

Navigation Committee

16 April 2026

Agenda item number 13

Safety Management System review

Report by Head of Safety Management

Purpose

This report introduces the revised Version 10 of the Authority's Safety Management System.

Broads Plan context

Theme C4 - Maintain and improve safety and security standards and user behaviour on the waterways.

1. Introduction

- 1.1. The Maritime and Coastguard Agency (MCA) Port Marine Safety Code (PMSC) is a nationally agreed standard for UK ports, harbours and marinas and was updated in 2025 to The Port Marine Facilities Safety Code (PMFSC). The Code requires that all harbour authorities base their powers, policies, plans, and processes on a Formal Safety Assessment (FSA) and that they maintain a Safety Management System (SMS).
- 1.2. The Broads Authority under (Pilotage Powers) Order 1991 is designated as a 'Competent Harbour Authority' and as such the Authority falls under the PMFSC requirements.
- 1.3. The PMFSC provides the agreed national standards, and the Safety Management System details the arrangements put in place by the Broads Authority to explain how we meet those standards.
- 1.4. The Authority's SMS and its compliance with the PMFSC was fully audited by ABPmer in 2025/26. It was identified that the SMS required a significant review and updated to be compliant with the requirements of the new 2025 code and its layout. The new version 10 is included in Appendix 1 of this report.

2. Safety Management System - Amendments

- 2.1. The PMFSC and SMS is regularly selected under the audit programme for review and in addition to this the Safety Team and senior management within the Delivery Directorate also carry out a regular review to ensure our systems are fit for purpose,

consider legislative changes as well as responding to incidents and accidents, a key aspect of a risk-based system.

- 2.2. The SMS is an overarching document which links to the plethora of policies, legislation, guidance and processes which make up the Broads Authority safety system. Version 10 has been rewritten to compliment the new layout of the ten sections of the 2025 PMFSC.
- 2.3. The results of the external audit by ABPmer found the Authority's SMS to be robust, with three non-compliances identified and two recommendations which are as follows:

Amendment from audit recommendation 1:

The Duty Holder (Broads Authority Board Members) is responsible for ensuring compliance with the relevant parts of The Code. Section 1.2 of the SMS has been updated to concisely set out these responsibilities. To ensure they are effective, under the PMFSC, the Duty Holder must:

1. Be aware of the organisation's powers, duties and responsibilities relating to marine safety.
2. Ensure that a suitable SMS, which employs formal safety assessment techniques, is in place.
3. Appoint a suitable Designated Person to monitor and report the effectiveness of the SMS and provide independent advice on matters of marine safety.
4. Appoint competent people to manage marine safety.
5. Ensure that appropriate resources are made available for discharging their marine safety obligations.
6. Ensure that the management of marine safety continuously improves by publishing a marine safety plan and reporting performance against the objectives and targets set; and report on the organisation's compliance with the relevant parts of The Code to the MCA every three years.

Amendment from audit recommendation 2:

Internal training and the Members Handbook cover all aspects of Broads Authority responsibilities; specific further training has been recommended to detail the full Duty Holder responsibilities.

Amendment from audit, compliance requirement 1: (completed)

The MCA PMFSC Compliance Self-Certification exercise has been completed within the compliance period of January to March 31st, 2026. The Broads is now registered as compliant with the MCA and the PMFSC.

Amendment from audit, compliance requirement 2:

Compliance requirement– Publish the new Marine Safety Plan (MSP) on the Authority’s website. The new MSP is complete (Appendix 2), and publishing to our website will be undertaken in April 2026.

Amendment from audit, compliance requirement 3:

ABPmer concluded that the Harbours Act 1964 applies to the Broads Authority. Section 7 of the Dangerous Vessel Act 1984 links the definitions of Harbour Authority and Harbour Master to the Harbours Act 1964 definitions. The Broads Authority, by definition, has the powers set out under Section 1 of the ‘Dangerous Vessels Act 1985’, the Harbour Masters (or equivalent roles as defined) may:

“A harbour master may give directions prohibiting the entry into, or requiring the removal from, the harbour for which he is harbour master of any vessel if in his opinion the condition of that vessel or the nature or condition of anything it contains is such that its presence in the harbour might involve—

(a) *grave and imminent danger to the safety of any person or property; or*

(b) *grave and imminent risk that the vessel may, by sinking or foundering in the harbour, prevent or seriously prejudice the use of the harbour by other vessels.*

3. Financial implications

3.1. The risks of getting safety wrong and not following established processes and procedures have far-reaching ramifications, with financial issues being just one. Therefore, safety and the effects of accidents and incidents upon the Authority are included on the Broads Authority Corporate Risk Register, carrying a risk rating of medium. A key mitigation factor to reduce these risks is adherence to the SMS.

4. Conclusion

4.1. Health and Safety does not sit in isolation within the Broads Authority, and as our risks are diverse and contiguous throughout the Authority’s work, we:

- Have PMFSC and SMS as an overarching active document to guide our safety practice.
- The PMFSC is a standing item on the Broads Authority agenda, to allow reporting to keep Members informed.
- We support and assist the Boat Safety Management Group, which advises the Navigation Committee on marine safety.
- We maintain and regularly review the Safety Management System and its supporting documentation to ensure compliance with the PMFSC, legislation and good practice.

- The Health & Safety Committee (Broads Authority staff, including senior management) regularly meets to review incidents and near misses to identify trends and recommend improvements and mitigation to the Management Team to reduce accidents.
- Broads Control maintains incident logs (of those that are reported to the Authority) so we can build a picture of incidents, plan safety campaigns, and target key areas of improvement.
- We operate a 'near miss' system where all staff and volunteers are encouraged to share health and safety mishaps that could have been more serious in different circumstances, so the Authority can respond before an accident happens.
- Staff are well trained and maintain skills and competencies on a raft of plant and equipment; only properly qualified and experienced staff have access to and use our equipment and plant.
- We regularly carry out reviews (by the risk owners) on our Risk Assessments and method statements, and we have Safe Systems of Work. These are updated as and when required. We carry out health surveillance for noise and hand-arm vibration to benchmark and keep staff safe and in good health.
- We operate a 'don't walk by' and 'lead by example' process, so at every level our staff feel able to highlight and report health and safety issues via our senior or line management structures.

4.2. Version 10 of the SMS, with its full review to match the sections of the new PMFSC and the inclusion of the identified improvements, has meant the Authority is now fully compliant with the code and has been able to register as such. Through our audit and internal review processes, members can be assured of the Authority's commitment to our health and safety systems and our culture of continuous improvement.

Author: Matt Dane

Date of report: 31 March 2026

[Broads Plan](#) strategic objectives: Strategic objectives: C4

Appendix 1 – Broads Safety Management System Manual (SMS)

Appendix 2 – Broads Marine Safety Plan (MSP) 2026-2028



Broads Authority

Appendix 1 - Final Broads_Safety Management System Manual (SMS)_Final

Version 10.0 / March 2026



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Executive Summary

[The Ports & Marine Facilities Safety Code](#) (DfT 2025) (PMSC) ('the Code') sets out a national standard for every aspect of port marine safety. Its aim is to enhance safety for everyone who uses, or works in, the UK port marine environment. It is authored by the UK Government, supported by the devolved administrations and representatives from across the maritime sector and, whilst the Code is not mandatory, it sets out many existing requirements under various legislation, and these bodies have a strong expectation that all organisations will comply. The Code is applicable both to Statutory Harbour Authorities and to Organisations that own and operate marine facilities.

Unlike a port, the Broads Authority is designated a "Special Statutory Authority", affording the same level of protection as National Park status, but with tailor-made legislation relating to navigation. The Authority therefore balances the navigational duties and powers of a harbour authority with the conservation and recreational duties and powers of a National Park Authority.

This 'Safety Management System' (SMS) manual has been produced to detail how the Broads Authority meet the requirements of the Code for its Statutory Harbour Authority area of operation and its approaches. Within this SMS the statutory harbour area is identified as 'Broads Navigation Area'.

The purpose of this SMS is to document the arrangements put in place by the Broads Authority to ensure, as far as reasonably practicable, the safety of those using or working on the Broads within the limits of Broads authority jurisdiction. The SMS document itself is intended to also serve as a signposting document, linking to external legislation and guidance as well as internal Broads Authority process as set out in Section 6: of this SMS document.

The Broads Authority, as Duty Holder for their area of jurisdiction, has developed this SMS in reference to the latest version of the Code and its accompanying 'Guide to Good Practice on Port and Marine Facilities' (DfT 2025) (GtGP), Noting the status of the Authority as a Special Statutory Authority, a pragmatic and proportionate approach has been taken to the application of the Code.

As the SMS develops, a wide variety of stakeholders will be consulted with the aim of achieving an SMS, which is practical, workable, and supported. The Code relates to "marine operations", which are defined in the GtGP glossary as "*marine operations have been taken to mean the moving, berthing and unberthing of ships and other marine craft within the limits and approaches of a harbour authority.*" The code does not apply to areas already regulated by another body, such as the Health and Safety Executive (HSE), or the Maritime and Coastguard Agency (MCA).

This SMS not only relates to marine and navigational safety but also to safety relating to the land assets that the Broads Authority manages, typically footpaths and areas where the public have access. It does not address health & safety issues for Broads Authority premises.

The SMS covers members of the public using hired or privately-owned craft, as well as Broads Authority employees when working on the water.

This SMS is informed by both the policies and formal risk assessment of the Broads Authority and is adopted by the Duty Holder.

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	Responsibilities	1.4 - 1.8	1.3, 1.5-1.9
	Reporting Compliance	1.9 - 1.10	1.4
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3. Legislation	Legislation	3.1 - 3.2	3.1
	National Legislation	3.3 - 3.6	3.2
	Local Acts and Orders	3.7 - 3.12	3.4 - 3.5
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4. Duties and powers	Duties and powers	4.1 - 4.2	1.3 – 1.4
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	Pilotage	4.25 – 4.30	3.2, 3.6, 3.8, 4.1, 4.4, 4.5-4.5.46, 4.7.7 6.5-6.6, 10.9, 10.15.2, 10.15.5, 10.16.1

PMSC-Section Name	PMSC Subject Heading	PMSC Paragraph Reference	GtGP Reference
			10.16.4
	Towage	4.31 – 4.33	4.6 – 4.7.1
	Pilot Tug Master Exchange	N/A	4.6.6
	Regulation of marine craft	4.34	4.7.2 – 4.7.7
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5. Risk Assessment	Risk assessment	5.1 – 5.7	1.3, 3.12 – 3.16, 5.1 – 5.3, 5.6-5.10
	Formal Safety Assessment	5.8 – 5.9	N/A
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	Enforcement	6.24 – 6.25	3.9, 6.1, 6.9.8 - 6.9.9
	Bridging Document	N/A	6.8
7. Review and Audit	Review and Audit	7.1 – 7.3, 7.8	7.1 – 7.2
	Safety Management System	7.4 – 7.6	6.7
	Plan, Do, Check, Act	7.7	N/A

PMSC-Section Name	PMSC Subject Heading	PMSC Paragraph Reference	GtGP Reference
8. Competence	Competence	8.1 – 8.4	8.1 – 8.10
9. Plan	Publication	9.1 – 9.2	9.1
	Format	9.3	9.1
	Review	9.4 - 95	9.1
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	Wrecks and Abandoned Vessels	10.10 – 10.17	4.1, 10.1 – 10.2, 10.8.4, 10.11, 10.12, 10.13,
Miscellaneous	Public Right to Navigate	N/A	10.15.4
	Local Port Services (LPS)	N/A	10.15.7
	Vessel traffic Services (VTS)	N/A	10.15.8
	Traffic Management	N/A	10.15.9 – 10.15.14
	Port Passage Plan	N/A	10.16 – 10.16.4
	Master Pilot Exchange (MPX)	N/A	10.16.4

SMS: Distribution List

A Controlled Electronic Copy of the Broads Authority Port Safety Management System Manual (SMS) is kept within the Broads Authority computer network. Any printed copies plus copies downloaded from the Broads Authority website are non-controlled.

The Head Of Safety Management shall ensure that all amendments are circulated and communicated to relevant personnel and or departments

The following all have access to the Controlled Electronic Copy

1	Duty Holder (Broads Authority Board)
2	Chief Executive
3	Director of Delivery
4	Head of Ranger Service
5	Head Operations
6	Head of Safety Management (Designated Person)
7	Senior Ranger (Navigation Officer)
8	Compliance & Safety Ranger
9	Waterways & Recreation Officer
10	Waterways Project Officer
11	Maintenance Manager
12	Construction Manager
13	Plant & equipment Manager
14	Construction & Maintenance Technicians
15	Rangers
16	Pilots (as required)

Section 1: Harbour Authority & Duty Holder

1.1 Harbour Authority

1.1.1 Harbour Origins

The Broads is Britain's largest nationally protected wetland, comprising rivers, broads, marshes, fens and carr woodland¹. There are over 200 km of navigable waterways and over 25% of the area has a European designation, Special Area of Conservation or Special Protection Area, incorporating many National and Local Nature Reserves and Sites of Special Scientific Interest. The Broads is listed under the Ramsar Convention on Wetlands of International Importance and is home to a diverse variety of rare birds, animals and plants.

The Broads Authority is responsible for managing the Norfolk and Suffolk Broads, a unique wetland area in the UK with National Park status. Its key duties include conserving the natural beauty, wildlife, and cultural heritage of the Broads, promoting opportunities for the understanding and enjoyment of the area, and protecting the interests of navigation. The Broads Authority also manage planning, recreation, and waterways within the Broads.

Unlike a commercial port, the Broads is home to a wide variety of river traffic. Commercial freight traffic is almost non-existent. The following represents the principal uses of the Broads:

- Day hire craft (self-drive).
- Larger motorised hire craft, typically hired out for a week (self-drive).
- Guided tour boats - approximately 8 MCA-certified passenger craft offering guided excursions.
- Small passenger boats (less than twelve passengers).
- Private motor boating.
- Sailing - including hire self-drive, private and tuition.
- Water skiing - in specific areas and at specific times as designated under the 2009 Act.
- Rowing, Canoeing and stand-up paddle boarding.
- Power Boat racing (Oulton Broad only).
- Angling, either from the bank or from a moored craft.

These activities are mostly seasonal, with most activity taking place between April and October; however there remains a lower level of activity over the winter months.

¹ Waterlogged wooded terrain.

1.1.2 Harbour Authority Status

The Broads Authority was established through the [Norfolk and Suffolk Broads Act 1988](#) and began operating as a Special Statutory Authority in 1989. In 2006 the Broads Authority promoted a second act, the primary purpose being to introduce greater safety controls on broads and rivers, obtaining powers of General and Special Direction. [The Broads Authority Act 2009](#) received Royal Assent in July 2009. The Broads Authority promoted [The Broads Authority \(Pilotage Powers\) Order 1991](#) confirming its status as a Competent Harbour Authority (CHA) as set out in the Pilotage Act 1987.

The Broads Authority is defined as a Special Statutory Authority² with duties to protect the “Interests of Navigation” and as a Local Lighthouse Authority (LLA) with respect to aids to navigation by virtue of [Section 193 of the Merchant Shipping Act 1995](#).

[The Broads Authority \(Pilotage Powers\) Order 1991](#) confirms that the Broads Authority as a “Competent Harbour Authority” as defined by the Pilotage Act 1987, and as such the Authority, notwithstanding its duties and powers set out in the 1988 and 2009 acts, falls under the requirements of the Ports & Marine Facilities Safety Code.

The Broads Authority ‘Navigation Area’ is described as follows in [Section 8 of the Norfolk and Suffolk Broads Act 1988](#):

- 8.—(1) *In this Act “the navigation area” means, subject to any variation for the time being in force by virtue of an order under subsection*
- (3)
below—
- (a) *those stretches of the rivers Bure, Yare and Waveney, and their tributaries, branches and embankments (including Oulton Broad) which, at the passing of this Act, were in use for navigation by virtue of any public right of navigation;*
 - (b) *the banks of the waterways which make up those stretches; and*
 - (c) *Haddiscoe New Cut and its banks; but does not include any part of the Haven or any part of any bank which lies above the level of mean high water spring tides (in the case of a tidal waterway) or above the mean water level (in any other case).*

The Broads Authority Executive Area is represented by the pink shaded areas in Figure 1, and the Navigation Area by blue lines in Figure 1.

² The Norfolk and Suffolk Broads Act 1998 refers to the Broads Authority as ‘Special Statutory Authority’. The term ‘Statutory Harbour Authority’ is used in places throughout this SMS document for alignment with the Code’s terminology and is considered synonymous with the term ‘Special Statutory Authority’ for the purpose of this Code required SMS document

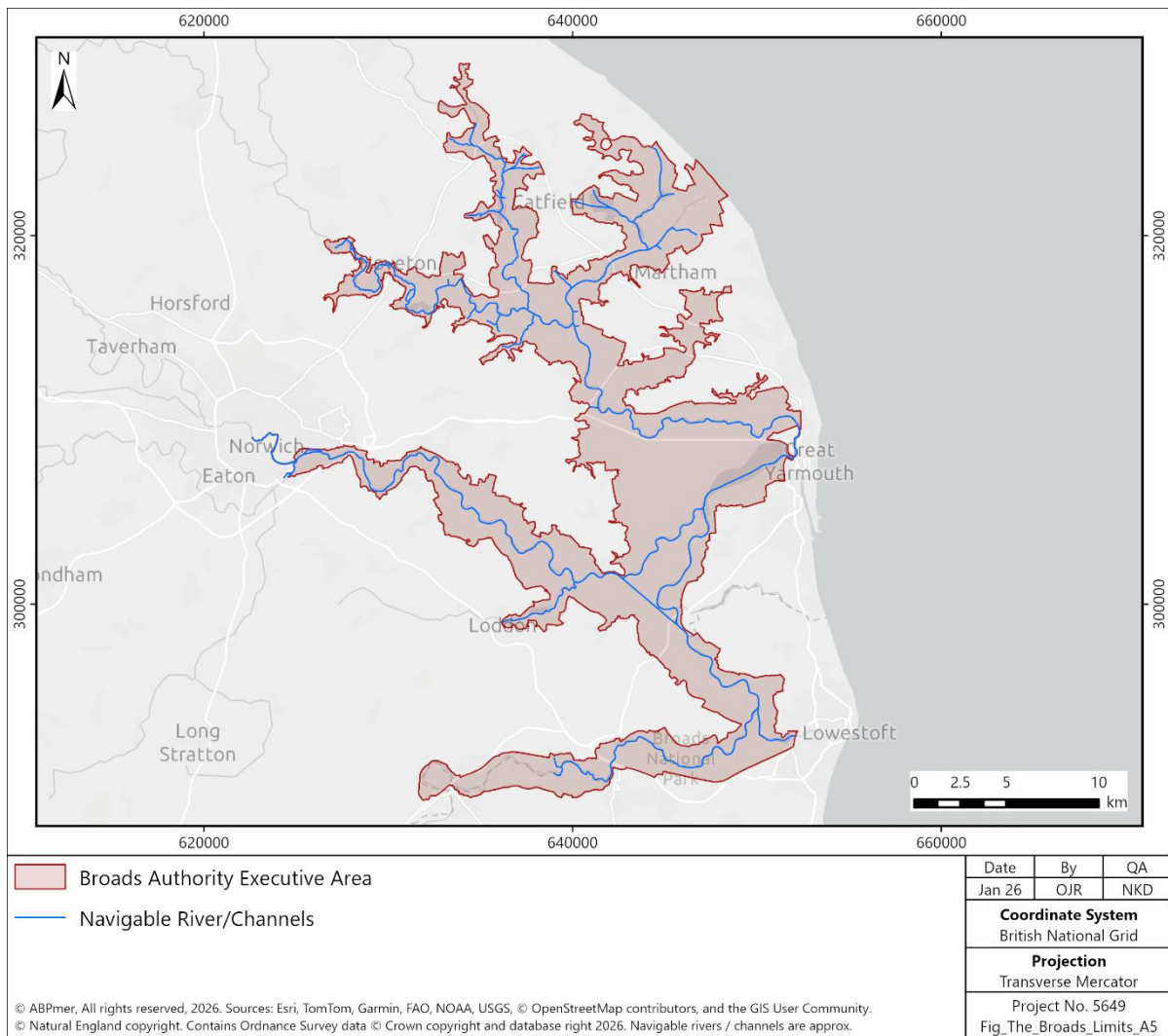


Figure 1 Broads Authority Executive and Navigation Areas

1.1.3 Interfaces

The Broads Authority's area of jurisdiction has boundaries with two other authorities, as described below.

1. **Great Yarmouth Port Company Ltd:** Peel Ports
2. **Associated British Ports Lowestoft:** Associated British Ports

The following paragraphs describe the details of the respective interfaces:

1.1.4 Interface with Great Yarmouth

The Broads Act excludes those areas which are the responsibility of the Great Yarmouth Port Authority under the Great Yarmouth Port and Haven Acts and Orders 1866 to 1986.

The navigational responsibilities for Breydon Water and the lower reaches of the Yare, Bure and Waveney have been transferred from Great Yarmouth Port Authority to the Broads Authority in June 2012 by virtue of '[Section 35 of the Broads Authority Act 2009](#)' and therefore this SMS now includes this area.

Interface with Lowestoft

At Lowestoft, Mutford Lock, at the eastern end of Oulton Broad, marks the boundary with Associated British Ports Lowestoft. Mutford Lock had historically been in the ownership of Associated British Ports Lowestoft (ABP).

['The Broads Authority \(Transfer of Mutford Lock Harbour Revision Order 2021'](#) transferred the ownership and management responsibility of Mutford Lock from ABP to the Broads Authority in February 2021. Mutford Lock is operated by East Suffolk Council on behalf of the Broads Authority. The lock is used almost exclusively by private craft – there is little commercial traffic, and hire craft are not permitted to pass through the lock.

1.2 The Duty Holder

The Broads Authority comprises 21 appointed Members, in accordance with Sections 3 and 4 of ['The Norfolk and Suffolk Broads Act 1988 \(Alteration of Constitution of the Broads Authority\) Order 2005'](#) which amended the requirements set out in [Section 1 of 'The Norfolk and Suffolk Broads Act 1998'](#) including representatives from local councils and Defra appointees. One Member is nominated as the Chairperson, and they are supported by a vice-chair. The composition of the Broads Authority Board is set out in Table 1.

Table 1 Broads Authority Board Composition

Body to be represented	Members
Defra (Secretary of State Appointed)	10
Norfolk County Council	2
North Norfolk District Council	1
East Suffolk Council	1
South Norfolk Council	1
Broadland District Council	1
Norwich City Council	1
Suffolk County Council	1
Great Yarmouth Borough Council	1
Appointed from Navigation Committee	2

Members also sit on one or more of three committees, which report directly to the Broads Authority. The composition of the three committees is set out in Table 2.

Table 2 Broads Authority Committee Composition

Committee	Authority Members	Co-Opted Members
Navigation	5	8
Planning	13	0
Risk, Audit and Governance	9	-
Standards	7	-

The Navigation Committee is a requirement set out in [Section 9 of the 'Norfolk and Suffolk Broads Act 1998'](#) and has a consultancy role and gives advice on waterways management and navigation issues, including safety. The eight co-opted members represent relevant interests such as hire boat owners, private owners, and passenger boat owners. Supporting the Navigation Committee is the Boating Safety Management Group

Two additional Committees (Risk, Audit and Governance) and (Standards) support the Broads Authority Strategic decisions. In addition to the three committees are the Broads Local Access Forum and the Planning Committee that also report to the Broads Authority on non-marine safety topics.

The relationship between these committees, and other groups, is set out in Figure 2.

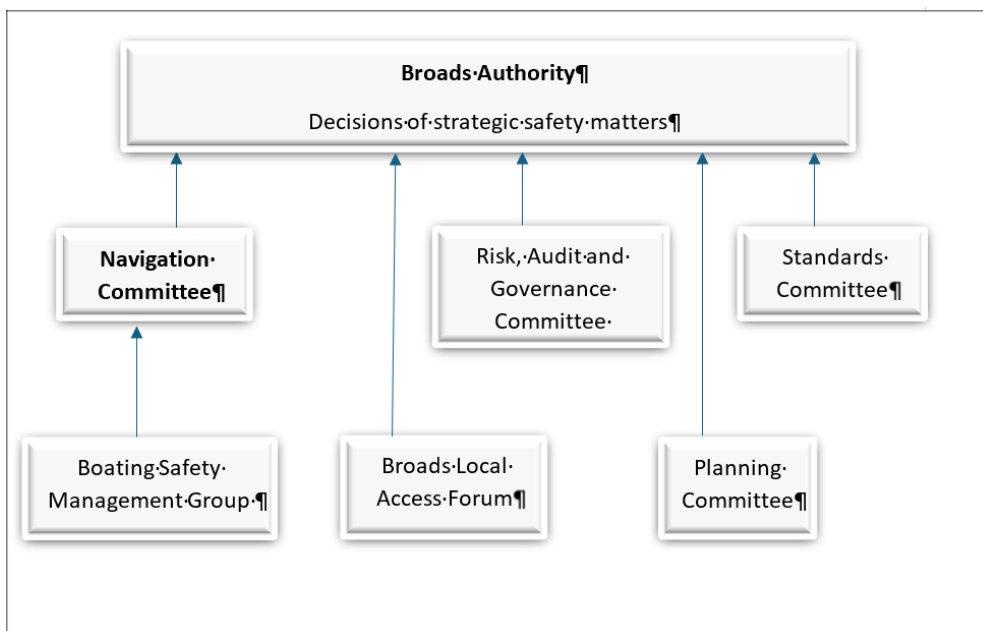


Figure 2 Broads Authority and Committees Relationship

Although the Duty Holders delegate the operation of the Navigation Area, including implementation of this SMS, to appropriate professional personnel, they may not delegate or abdicate their accountability for marine safety under the Code.

The Code requires all organisations to confirm who the Duty Holder is. **The Duty Holder is confirmed to be the Broads Authority Board.** The Board are both individually and collectively accountable for marine safety and compliance with the Code.

The Broads Authority Board (Duty Holder) acknowledges its responsibilities for marine safety. The Broads Authority is committed to adherence to the standard set out in the Code, and to periodic attendance at Duty Holder Awareness Training sessions. The Director of Delivery role is the point of contact for the appointed Designated Person.

In order to comply with the Code, the Duty Holders on behalf of the Broads Authority will:

- Comply with the duties and powers under existing legislation, as appropriate.
- Attend as regularly as necessary, PMSC awareness training to understand the organisation's powers and duties related to marine safety.
- Ensure that a suitable SMS, which employs formal safety assessment techniques, is in place.
- Ensure adequate resources and support is available for the discharge of duties and responsibilities relating to marine safety.
- Appoint a suitable Designated Person to monitor and report the effectiveness of the SMS and provide independent advice on matters of marine safety.
- Appoint competent people to manage marine safety.
- Ensure that the management of marine safety continuously improves by publishing a 'Marine Safety Plan' (MSP) for marine operations and report performance against the plan's objectives.
- Report compliance with the Code to the MCA in line with the 'Compliance Exercise' timescale promulgated by the MCA.

The Broads Authority Organisational Roles and responsibilities are set out in Figure 3.

1.3 Broads Authority Organogram

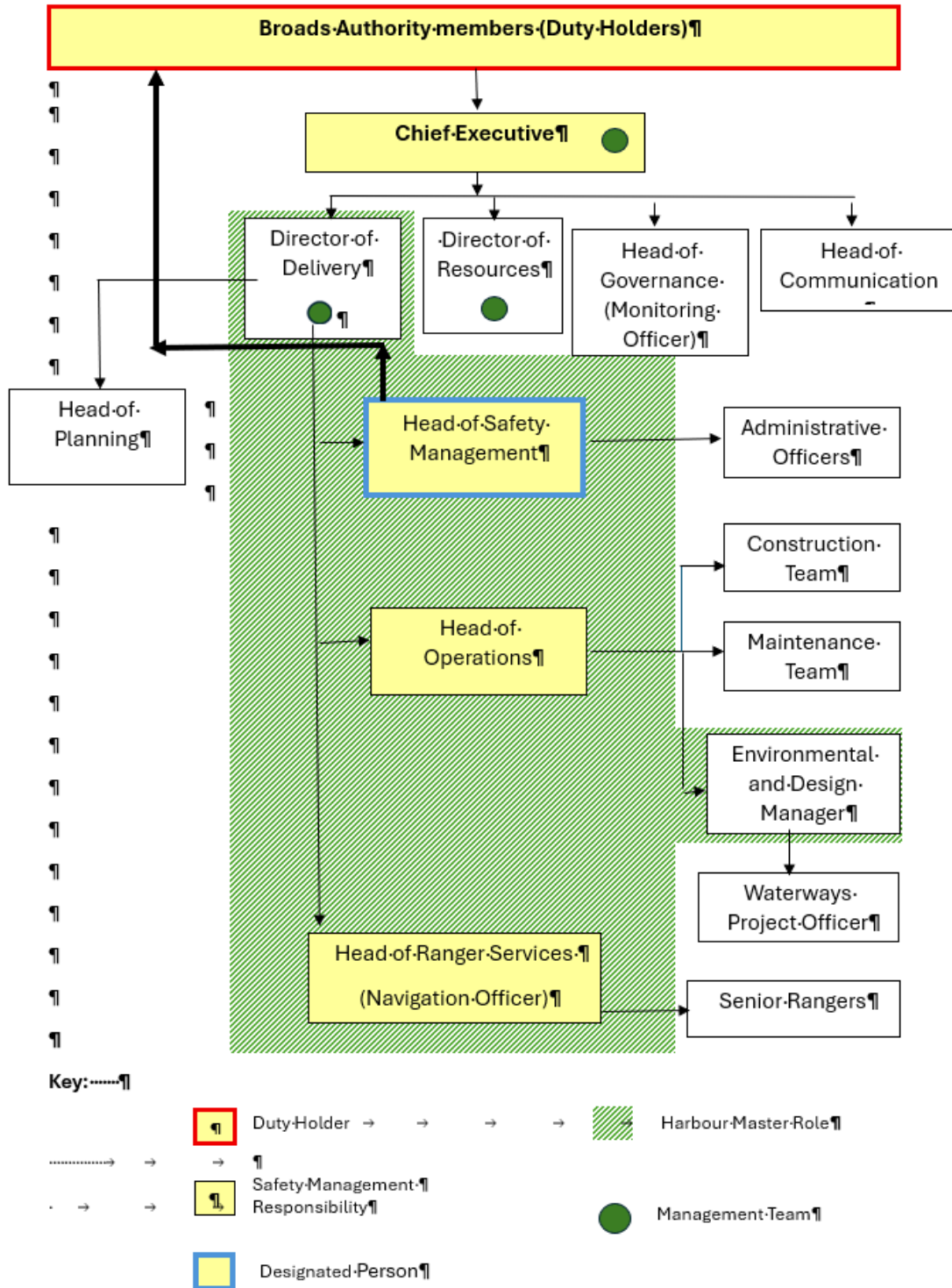


Figure 3 Broads Authority Team Structure and Delivery Directorate

Details of the Broads Authority Board members (Duty Holders) are published on the [Broads Authority website](#) and publish the Duty Holder commitment to compliance with the requirements of the Code [here](#).

1.4 Broads Authority Policies

The Broads Authority duties and responsibilities are significantly wider than the management of the Navigation Area. The Broads Authority has issued the following high-level policies that inform its duties and responsibilities including those for the Navigation Area.

- [Health, Safety and Wellbeing Policy](#)
- [Biodiversity Policy](#)
- [Biodiversity Net Gain Policy](#)
- [Natural Environment Policy](#)
- [Mitigating recreational Impacts](#)
- [Mitigating Nutrient enrichment Impacts Policy](#)
- [Major Development in the Broads Policy](#)
- [Embodied Carbon Policy](#)
- [Responding to the Carbon Emergency Policy](#)
- Learning and Development Policy [HR Policies & Procedures - All Documents](#)

The Broads Authority as Duty Holder have issued the following high-level policies that inform marine operations, training and safety management:

- [Navigation Safety Policy](#)
- [Navigation Enforcement Policy](#)

Additionally, the Broads Authority as Duty Holder has issued the following marine operationally focussed policies that inform the SMS procedures in place within the Navigational Area.:

- Weather Forecast Policy
- Conservancy and Hydrographic Policy
- Towing Policy
- Blue Light Policy
- Hazard Management Policy
- Pilotage Policy
- Mooring Safety Policy
- Bridge Policy

The above can be accessed on the Broads Authority Website <https://www.broads-authority.gov.uk/>

Section 2: Designated Person

2.1 The Designated Person

The Code requires that organisations appoint a Designated Person to oversee the organisations obligations with respect to the provision of an effective SMS. The function of the Designated Person is to provide independent assurance directly to the Duty Holder that the SMS is working effectively. To fulfil this requirement, the Designated Person must have a thorough knowledge and understanding of the requirements of The Code (and the GtGP) and associated marine legislation. The Designated Person needs to have direct access to the Duty Holder.

The Designated Person for the Broads Authority is the Head of Safety Management post holder. The nomination as Designated Person is formalised in the post holders Job Description. The Designated Person will:

- Determine through assessment and audit that Broads Authority has an effective and appropriate SMS. This will be conducted as periodic internal auditing and a three yearly audit undertaken by an external contractor, with the output provided as a written report to the Duty Holder.
- Monitoring the thoroughness of the marine risk assessment process and the validity of the assessment conclusions.
- Monitoring the thoroughness of the incident reporting and any subsequent investigation to confirm the validity of the investigation conclusions.

Section 3: Legislation

3.1 Review Existing Powers³

3.1.1 National Legislation

General legislation provides a range of duties and powers that as an SHA, CHA and LLA, The Broads Authority understands and applies within its approach to managing the undertaking, this includes (but is not limited to) the following:

- [Environment Act 2021](#)
- [Conservation of Habitats and Species Regulations 2010](#)
- [Conservation of Habitats and Species Regulations 2017](#)
- [Marine and Coastal Access Act 2009](#)
- [Marine Licencing \(Exempted Activities\) Order 2011](#)
- [Dangerous Vessels Act 1985](#)
- [Dangerous Goods in Harbour Areas Regulations 2016](#)
- [Harbours Act 1964](#)
- [The Health and Safety At Work Act 1974](#)
- [The Management of Health and Safety at Work Regulations 1999](#)
- [Marine Navigation Act 2013](#)
- [Merchant Shipping Act 1995](#)
- [Railways and Transport Safety Act 2003](#)
- [Civil Contingencies Act 2004](#)
- [The Natural Environment and Rural Communities \(NERC\) Act 2006](#)
- [The Rivers \(Prevention of Pollution\) Act 1951 \(Continuation of Byelaws\) Order 1989](#)

3.1.2 Local Legislation

The following acts and orders provide the Broads Authority specific duties, powers and responsibilities:

- [Norfolk and Suffolk Broads Act 1998](#)
- [The Broads Authority \(Pilotage Powers\) Order 1991](#)
- [The Norfolk and Suffolk Broads Act 1988 \(Alteration of Constitution of the Broads Authority\) Order 2005](#)
- [Broads Authority Act 2009](#)
- [The Broads Authority \(Transfer of Mutford Lock\) Harbour Revision Order 2021](#)

³ Hyperlinks to national and local legislation are set out in the references section of this SMS

The above acts and orders constitute the local acts and orders that provide the Broads Authority specific duties and powers. Together they are referred to in this SMS as; **'The Broads Authority Acts and Orders 1998-2021'** Key Broads Authority duties and powers are set out in Section 4: of this SMS document.

3.1.3 Harbours, Docks and Piers Clauses Act 1847

The Harbours Docks Piers and Clauses Act 1847(HDPCA 1847) is not incorporated wholly or partly in any of 'The Broads Authority Acts and Orders 1998-2021'.

The purpose of HDPCA 1847 is to set out a standard set of clauses conferring common duties and powers for harbour or navigation authorities. In the absence of incorporation of HDPCA 1847 clauses within 'The Broads Authority Acts and Orders 1998-2021', the Broads Authority duties and powers are conferred via express clauses within 'The Broads Authority Acts and Orders 1998-2021' It is of note that HDPCA 1847 has no relevance as a standalone piece of legislation, and only becomes relevant in whole or in part if it is wholly or partly incorporated within local acts and orders forming the enabling legislation of a statutory authority.

3.1.4 Review of Statutory Powers

The Broads Authority Duty Holder is committed to keeping its local legislation under review with regard to identifying the implications on their operations of any new legislation being developed. Where that legislation creates any new duties or responsibilities on organisations, these will be incorporated into the Broads Authority SMS.

Section 4: Duties and Powers

The Broads Authority duties and powers are provided in its local legislation (Section 3.1.2) plus obligations drawn from national legislation (Section 3.1.1). The Broads authority Duty Holder recognises its statutory duties in relation to safe and efficient port marine operations. This includes the duty of care to those using the Broads Executive and Navigational Areas which means they have an obligation to conserve and facilitate the safe use of the 'Navigation Area' as well as a duty of care against loss caused by the Broads Authority negligence. Duties to ensure the safety of marine operations are matched with general and specific powers to enable the Broads Authority to discharge these duties. There are procedures for these to be changed where necessary

The following sections describe how the Broads Authority Duty Holder meets its obligations.

4.1 Vessel Traffic Management

MGN 401 is an MCA publication that provides assistance to SHA's in considering the implementation of a Vessel Traffic Service (VTS) or Local Port Services (LPS) and in reviewing an existing VTS. It is also used by the MCA, as competent authority for VTS.

The guidance in MGN 401 does not technically apply to the Broads Authority, a Special Statutory Authority in relation to an inland waterway. However, the Broads Authority is committed to proportionate compliance with the Code. The Broads Authority Formal Risk Assessments (FRA) reference control measures such as 'Broads Control', Navigation and weather broadcasts and strategically placed contact information boards. These functions are termed within this SMS document as LPS.

Given the large and geographically dispersed nature of the Broads, there is no Vessel Traffic Service (VTS). Traffic is monitored daily by the Head of Ranger Services and a team of Rangers, who maintain regular patrols across the area, using the Broads Authority's launches.

Some private vessels and the larger trip boats communicate by VHF radio. Hire boats and small vessels do not have VHF radios. Hirers will generally call on mobile phone, if necessary, e.g., for bridge opening, problems with their boat, or to contact the emergency services.

The Broads Authority's personnel and resources are controlled via the "Broads Control" VHF Radio Base station in Thorpe, Norwich. Broads Control is operated 9am-6pm in summer, 9am-5pm in winter, seven days a week in summer, shorter hours in winter. Callers with emergencies or serious problems are directed to dial 999 and ask for the appropriate emergency service. H.M. Coastguard will co-ordinate any major incident that requires any of the maritime SAR assets to be used, outside of operating hours the Broads Authority telephone system transfers calls automatically to a designated duty manager. Some private vessels and the larger trip boats communicate by VHF radio. Hire boats and small vessels do not have VHF radios. Hirers will generally call on mobile phone, if necessary, e.g., for bridge opening, problems with their boat, or to contact the emergency services.

The provision of LPS is designed to improve navigation safety and co-ordination of the Broads Authority services within the Broads stakeholder communities by dissemination of information to vessels and marine facility operators. Provision of LPS can also act as a medium for liaison between vessels and the Broads Authority's operational staff /operations as well as providing a basis for implementing emergency plans and liaising with emergency services.

The objectives of the Broads Authority LPS functions is:

- To provide guidance on compliance with the Broads Authority Byelaws, and Directions.
- 'The Broads Authority Acts and Orders 1998-2021' do not confer upon the Broads Authority a responsibility to act as an emergency service. Nonetheless, the Rangers and Broads Control frequently receive emergency calls and have a responsibility to liaise appropriately with the emergency services.
- Operates a messaging/incident recording system for recording all calls received - whether an emergency or not. Incident records are kept and maintained for analysis and the derivation of trends and statistics.
- To act as the Broads Authority Navigation Area central point of contact for VHF Radio and for all incoming enquiries.

Procedures relating to the implementation of provisions of the Broads Authority Act 2009 have been developed in consultation with the Navigation Committee. Including:

- The power to give general directions to all vessels, or classes of vessels, for example to designate safe navigation routes, directions to regulate mooring within the Authority's navigation jurisdiction, directions to regulate the towing of vessels.
- The giving of special, i.e., one off, directions to vessels in one off cases. This will extend the existing powers in the 1988 Act to deal with safety issues where the existing provisions have proved ineffective.
- The power to designate construction and equipment standards for vessels allowing for the continuation of application The Boat Safety Scheme previously introduced into the Broads in 2007 by byelaws.
- The power to introduce compulsory third-party insurance for vessels.
- Powers to require the licensing of pleasure boats let for hire to the public.
- Powers to better regulate water skiing and wakeboarding in the Broads.
- Powers to deal with overhanging vegetation that poses a hazard to navigation.
- The removal of the requirement to have a separate navigation account dealing purely with navigation income and expenditure.
- The Authority also has many other responsibilities including promoting the enjoyment of the Broads by the public. The Authority aims to strike a balance between these responsibilities.

4.1.1 Navigational Advice and Guidance

The GtGP recommends that the authorities should make available information about current and forecast meteorological conditions. Although the effects of the weather are likely to be less significant on an inland waterway than a port, there can be an impact, especially on large bodies of water such as Breydon Water.

Some harbour authorities have dedicated weather stations or purchase customised weather information from the Met Office. Given the sheltered inland nature of the Broads and the geographic spread of the area, the Broads Authority has determined that this level of detail would be inappropriate and not reasonably practicable for the Broads.

Publication of forecast tidal information is currently carried out by the Broads Authority (annually in a booklet and a visitor newspaper, and weekly on the [Broads Authority website](#)).

Every day, Broads Control pull together a forecast from a variety of local and marine websites which is broadcast to the Broads Authority team at 10am and emailed to the visitor centres and yacht stations to print and display. Changes to the conservancy regime require the promulgation of navigational information to port users. Changes to seabed topography that may cause a navigational hazard or any other navigationally significant events such as wreck or major navigation aid casualty are promulgated to port users at the earliest possible opportunity.

4.1.2 Lowestoft and Oulton Broad Management Plan

A Management Plan has been developed jointly with the Lowestoft and Oulton Broads Motorboat Club (Reference 38) regarding the regulation of navigation on Oulton Broad during power boat races. The management plan will be reviewed on an annual basis. A Code of Practice (Reference 40) has been developed relating to the use of coaching vessels used by the Norwich rowing clubs to reduce potential conflict with other river users. Procedures for the Broads Authority workboats and launches have been developed and for vessels and equipment including, Generic Risk Assessments, vessel operating procedures, daily and weekly check lists.

4.1.3 Boat Safety Scheme

The [Boat Safety scheme](#) (BSS) is a nationally implemented scheme. Details are published on the [Broads Authority website](#).

Its aim is to work on behalf of the UK's navigation and harbour authorities to help sustain safety and promote pollution avoidance on the inland waterways in respect of boats, their installations and components.

The Scheme concentrates on safety of the fixtures and fittings of the boat principally with respect to fire, fumes and explosion. As such, it concentrates on engines, fuel tanks, gas appliances/piping and electrical equipment/cabling. The BSS does not cover navigational safety, stability or watertight integrity of hulls.

The following link sets out how the Broads Authority has input into the development of the BSS [BSS Governance](#).

The Head of Safety Management for the Broads Authority sits on the BSS Standards Setting Forum.

4.1.4 Publications Promoting Boat Safety

The Broadcaster

The Broadcaster is a free visitor guide published annually around Easter by the Broads Authority. It is a free newspaper containing articles of interest relating to the Broads (e.g., recent conservation work), essential boat safety advice including emergency arrangements, tide tables as well as guides on things to do, places to eat, etc. The Broadcaster is made widely available to visitors to the Broads, including placing copies at all boatyards and in local shops, restaurants etc. A copy can also be requested online.

Safety Awareness videos

The 'how to' boating videos are intended for hirers and private boat owners to watch before their visit, to help them get the most out of their time on the Broads. Hirers will be emailed a link to the videos before their holiday, to complement the safety handover they receive when they hire a boat. It is

hoped that the videos will help to acquaint visitors with their boats and improve handling skills.

[Broads Boating Essentials](#)

4.1.5 Notices to Mariners

Norfolk and Suffolk Broads Act 1988 requires that Notices to Mariners are published whenever navigation is restricted or suspended for any reason - principally due to maintenance works. Notices are published in the local press, and on the [Broads Authority website](#), email and by social media 35 days in advance of the date of the works.

The [Navigation Area Works Guidance](#) requires contractors to apply for publication of a Notice to Mariners for works that significantly affect navigation - e.g., severe height or width restrictions, or river closure. Because of the busy nature of the Broads, closures are not permitted unless unavoidable.

4.1.6 Harbour Patrols

The Broads Authority has a team of Rangers who provide the harbour patrol function in 8 patrol vessels. The Rangers main duties include:

- Providing advice and guidance to users.
- Maintaining a visual presence in the port area, and in so doing representing the Navigation Officer on the water.
- Enforcing byelaws and Directions.
- Collecting evidence following an incident and conducting preliminary investigations.
- Conducting spot checks on vessel navigational documentation.
- Assisting craft in difficulty and responding to other emergencies.
- Supporting Emergency Services/On-Scene Commander respectively during port emergencies and SAR incidents.
- Escorting vessels as required (e.g., vessels restricted in their ability to manoeuvre).
- Control and directing vessel traffic (e.g., during partial port closures).
- Monitoring craft licensed by the Broads Authority.
- Monitoring channel marker and other navigation lights and aids; and conducting routine surveillance of licensed works and moorings.

Best Value targets have been set in consultation with the Navigation Committee relating to the number and frequency of patrols made in each area of the Broads network. Patrol frequency is monitored to ensure compliance with the agreed standards. Rangers also provide a patrol service to the land-based sites that the Authority manages.

4.2 Open Port Duty

With reference to Section 3.1.3 of this SMS document, The Broads Authority do not have an Open Port Duty conferred by incorporation of Section 33 of HDPCA 1847 within 'The Broads Authority Acts and Orders 1998-2021'. However, [Section 2 of the 1988 Act](#) states:

- 2.—(l) *It shall be the general duty of the Authority to manage the Broads for the purposes of—*
- (a) *conserving and enhancing the natural beauty of the Broads;*
 - (b) *promoting the enjoyment of the Broads by the public; and*
 - (c) *protecting the interests of navigation.*

The above implies a right of public navigation over the Broads Authority Navigation Area. Broads Authority has powers that it used to ensure, as far is reasonably practical, that public rights of navigation within the Navigation Area are exercised in line with Broads Authority duties and responsibilities.

4.3 Appointment of a Harbour Master (or an Equivalent Role)

[Section 10 of the Norfolk and Suffolk Broads act 1988](#) provides for the appointment of a 'Navigation Officer' and a 'Deputy for the purposes of [Section 6 of the Norfolk and Suffolk Broads Act 1988](#), which refers to Byelaws and assisting members of the public using the Broads and of securing compliance with any byelaws made under the act. Additionally, the powers of the 'Navigation Officer' conferred by schedule 5 of the Norfolk and Suffolk Broads Act 1988. were repealed by the Broads Authority Act 2009 which, at the same time, conferred extensive direction making powers upon the Broads Authority. The Broads Authority has appointed the Head of Ranger Services as 'Navigation Officer', and the Broads Authority Rangers as 'Deputy Navigation Officers'.

In addition to the Navigation Officer, the Broads Authority determine the overall Harbour Master functions through two additional roles: Head of Safety Management and Head of Operations. The Harbour Master function is identified in Figure 3

4.4 Delegation of Powers

[Section 10 of the Norfolk and Suffolk Broads act 1988](#) extends the 'Navigation Officer' powers under [Section 6 of the 1988 Act](#) to 'Deputy Navigation Officers'. However, powers of Special Direction conferred by Section 6 of the '[Broads Authority Act 2009](#)', cannot be delegated and can only be issued by the Head of Ranger Service in the capacity of 'Navigation Officer'

The Broads Authority Head of Ranger Service and Rangers have been issued with cards that set out the powers available to them in managing the duties and responsibilities of the Broads Authority.

4.5 Byelaws

The Broads Authority, in exercising the powers conferred on it by:

- o [Section 6 of the 'Norfolk and Suffolk Broads Act 1988](#)
- o [Section 10 of the 'Norfolk and Suffolk Broads Act 1988](#)
- o [Paragraph 4 of Schedule 5 of the Norfolk and Suffolk Broads Act 1988](#)

has made Byelaws. These Byelaws enable the Broads Authority to enforce rules that it considers necessary to protect and maintain safety and protect the environment within the Broads Executive and Navigation Areas, in line with the conferred Byelaw powers, as follows:

o **Section 6 of the 'Norfolk and Suffolk Broads Act 1988**

- (1) *The Authority may make byelaws under this section for the purpose of securing that persons resorting to land to which the byelaws apply do not—*
- (a) *damage the land or anything in, on or under it; or*
 - (b) *interfere unduly with the enjoyment of the land by other persons.*
- (2) *Byelaws under this section may only be made in respect of land within the Broads—*
- (a) *of which the Authority is the owner or occupier;*
 - (b) *to which the general public have a right of access; or*
 - (c) *(c)which is commonly used by the general public.*
- (3) *Byelaws under this section may, in particular—*
- (a) *prohibit or restrict the use of land (other than any highway or other road or any land within the navigation area or the Haven), either generally or in any manner specified in the byelaws, by traffic of any description so specified;*
 - (b) *contain provisions prohibiting the depositing of rubbish and the leaving of litter;*
 - (c) *regulate or prohibit the lighting of fires; and*
 - (d) *make provision as to the conditions of use of parking places provided by the Authority and prohibit or restrict persons from plying for hire with vehicles at any such parking places.*

o **Section 10 of the 'Norfolk and Suffolk Broads Act 1988**

- (3) The Authority may make byelaws under this section for the good management of the navigation area, the conservation of its natural beauty and amenities and the promotion of its use for purposes of recreation.
- (5) The Authority shall have the additional functions in relation to the navigation area set out in this Act and, in particular, those set out in Part I of Schedule 5 to this Act.

Paragraph 4 of Schedule 5 of the Norfolk and Suffolk Broads Act 1988

Without prejudice to the generality of section 10(3) of this Act, byelaws under that section may be made for the purpose of:

- (a) *regulating the use of waterways in the navigation area for navigational and other purposes and the use of their banks and any works, facilities and services provided by the Authority;*
- (b) *prescribing navigational rules, including rules regulating the speed of vessels using the navigation area;*

- (c) regulating the placing, laying down, maintenance and use of moorings in the navigation area;
- (d) requiring specified classes of persons in charge (for reward) of passenger boats using the navigation area to satisfy such conditions as to their qualifications for so being in charge as may be prescribed by the byelaws;
- (e) prescribing, for purposes of safety or the prevention of pollution or excessive noise, conditions with respect to their construction, equipment and maintenance (including maintenance of equipment) which must be satisfied by vessels, other than seagoing freight vessels, using the navigation area;
- (f) regulating the display of advertising on any vessel using, or kept in, the navigation area;
- (g) regulating the shipping and unshipping of goods, their warehousing and their removal from any quay, staithe or other place within the navigation area.

The Broads Authority issue the following four sets of Byelaws which are all published on the Broads Authority website.

1. Navigation Byelaws, 1995 [Navigation Byelaws 1995 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These are general byelaws covering Steering & Navigation, Lighting, Signals, Mooring & Anchoring etc.
2. Vessel Dimension Byelaws, 1995 [Vessel Dimensions Byelaws 1995 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk). These specify the maximum length and beam of vessels which are permitted to navigate within the Broads. These dimensions vary for different areas of the Broads.
3. Speed Limit Byelaws, 1992 [Speed Limit Byelaws Booklet 1997 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These specify the maximum speed limits applicable within the Broads. The speed limit varies between 3 and 6 miles per hour and was introduced principally to limit the effect of wash on other vessels, and reduce erosion of the banks, however the limits also enhance safety. The Byelaws also identify zones where commercial boat testing may take place, during which activity the speed limits may be legally exceeded.
4. Vessel Registration Byelaws, 1997 [Vessel Registration Byelaws 1997 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These byelaws govern the registration of vessels, and the payment of dues to the Broads Authority.

An additional set of Byelaws - Boat Safety Standards Byelaws 2006 – were in force. These byelaws formalised the requirement to comply with the national Boat Safety Scheme within the Broads. However, these byelaws have been revoked following the introduction of the [Boat Safety Scheme requirements](#) via [Section 12 of the Broads Authority Act 2009- Construction and Equipment Standards](#)

A byelaw was made by the East Suffolk and Norfolk River Authority in 1969 relating to control of pollution in the Broads by sanitary appliances on boats. Pollution, enforcement, and management is an Environment Agency statutory duty for inland waters.

4.6 Special Directions

Section 6 of the 'Broads Authority Act 2009' conferred upon the 'Navigation Officer' the power to make Special Directions to a particular vessel, for the purpose of ensuring the ease, convenience or safety of the navigation or the safety of persons or property in the navigation area.

The Broads Authority Act 2009 sets out that special directions can only be given by the Authority's Navigation officer, the Authority has appointed the Head of Ranger Services as Navigation officer.

4.6.1 Issue of Special Direction

A procedure for the issue of Special directions is set out in operational procedure OP-6-4-2.

4.7 Harbour Directions

The Broads Authority does not have Powers of Harbour Direction which are a form of Direction applicable to vessels only. Taking into consideration the Broads Authority ranging Byelaw and General Direction Powers, the Broads Authority does not consider the powers to issue Harbour Directions appropriate or reasonably practicable but will keep the potential under review

4.8 General Directions

Section 4 of the Broads Authority Act 2009 conferred upon the Broads Authority the authority power to make General Directions to all vessels, or classes of vessels, in respect of vessels in, or proposing to enter, or leaving, the navigation area for the purpose of promoting or securing conditions conducive to the ease, convenience or safety of navigation and the safety of persons and property in the navigation area, as set out below:

General directions to vessels

- (1) The Authority may give directions under this section ("general directions") in respect of vessels in, or proposing to enter, or leaving, the navigation area for the purpose of promoting or securing conditions conducive to the ease, convenience or safety of navigation and the safety of persons and property in the navigation area.
- (2) Without prejudice to the generality of subsection (1) the Authority may give general directions for any of the following purposes—
 - (a) for designating areas, routes, fairways or channels in the navigation area which vessels are to use, or refrain from using, for movement, mooring or anchorage;
 - (b) for securing that vessels move only at certain times, or during certain periods;
 - (c) for limiting the speed of motor vessels;
 - (d) for requiring the use of any equipment (including engines) forming part of or carried on the vessel;

- (e) for prohibiting or regulating—
 - (i) entry into the navigation area by a vessel which for any reason would be or would be likely to become a danger to other vessels or to persons or property, in or near the navigation area; or
 - (ii) entry into, or navigation within, any designated fairway or channel during any temporary obstruction thereof;
 - (f) for prohibiting or regulating entry into or movement in the navigation area by vessels at times of poor visibility due to the weather or to the presence of dust or smoke, or at times of high winds;
 - (g) for requiring the master of a vessel to give to the navigation officer information relating to the vessel or the qualifications of the master reasonably required by the navigation officer for effecting any of the purposes of this subsection;
 - (h) for prescribing the action to be taken in relation to vessels which have become adrift, or sunk, or run aground;
 - (i) so far as is necessary for the safety of navigation, for requiring or regulating the use of tugs in relation to a vessel.
- (3) Subject to subsections (4) and (5), a general direction may apply—
- (a) to all vessels or to a class of vessels designated, or the designation of which is provided for, in the direction; or
 - (b) to the whole of the navigation area or to a part designated, or the designation of which is provided for, in the direction; or
 - (c) at all times, or at times designated, or the designation of which is provided for, in the direction,

and every direction under this section shall specify the extent of its application in relation to the matters referred to in paragraphs (a), (b) and (c).

- (4) A general direction relating to any matter referred to in subsection (2)(e) or (f) shall not apply to any pleasure craft.
- (5) A general direction relating to any matter referred to in subsection (2)(g) shall not require the master of a pleasure craft to give information as to his qualifications except where the craft is one in relation to which qualifications for masters are required by or under general legislation.
- (6) The Authority may revoke or amend any general direction.

A detailed procedure for the consultation, issue and publication of such direction is set out in the [Schedule 1 of the Broads Authority Act 2009](#). The Authority has set out a policy relating to General Directions, this policy is captured in an operating procedure OP-6-4-1.

The Broads Authority has taken the decision to only consult and issue General Directions as the need arises rather than issue a suite of General Direction similar to sets of Byelaws.

The Broads Authority has issued a [General Direction titled 'large vessels'](#) which is published on the Broads Authority website along with details of the Pilotage Review 2023, decision making and details of the process of consultation undertaken.

4.9 Dangerous Vessel Directions

It is considered that the [Harbours Act 1964](#) applies to the Broads Authority, an example being that the Broads Authority has used Section 14 of the Harbours Act 1964 to update its powers, such as in the Broads Authority (Transfer of Mutford Lock) Harbour Revision Order 2021.

[Section 7 of the Dangerous Vessel Act 1984 \(Interpretation\)](#) links the definitions of Harbour Authority and Harbour Master to the Harbours Act 1964 definitions, therefore the Broads Authority, by definition, has the powers set out [Under Section 1 of the 'Dangerous Vessels Act 1985'](#), the Harbour Masters (or equivalent roles as defined) may:

"A harbour master may give directions prohibiting the entry into, or requiring the removal from, the harbour for which he is harbour master of any vessel if in his opinion the condition of that vessel or the nature or condition of anything it contains is such that its presence in the harbour might involve—

- (a) grave and imminent danger to the safety of any person or property; or*
- (b) grave and imminent risk that the vessel may, by sinking or foundering in the harbour, prevent or seriously prejudice the use of the harbour by other vessels.*

A Direction under this Order does not apply to any vessel belonging to Her Majesty (or employed in the service of the Crown) or any vessel which is a pleasure boat of 24 metres or less in length.

These directions can be given to the vessel Owner, the Master or any Salvor or their Agent. The Harbour Authority may have limited liability for any loss or damage occurring outside the Harbour as a result of any such direction. Direction of the Harbour Master may be overruled by the Secretary of State's representative (SOSREP). In these cases, the vessel must be permitted to enter or stay in the Harbour, and the Government assumes a greater liability for the vessel.

The Broads Authority do not presently exercise these powers or have a specific procedure for issuing Dangerous Vessel Directions, as the powers can only be exercised in the case of vessels over 24 m LOA. The Broads Authority has issued a [General Direction](#) that requires all vessels over 24 m LOA to be subject to a specific risk assessment. The Broads Authority keep the requirement for a Dangerous Vessel Direction Procedure under review.

4.10 Unsafe Vessel Directions

[Section 18 of the 'Broads Authority Act 2009](#) defines "unsafe vessels in the context of the Broads Authority Navigation Area and immediate approaches. [Section 19](#) provides powers that can be exercised by any authorised officer of the Broads Authority in respect to rectification or removal of an unsafe vessel. [Section 20](#) sets out the circumstances and requirements for removal of vessels.

Procedures relating to the implementation of provisions of the Broads Authority Act 2009 have been developed in consultation with the Navigation Committee and include the removal of 'Unsafe Vessels' [Navigation Committee](#)

4.11 Water Skiing and Wakeboarding Directions

Sections [26](#), [27](#) and [28](#) of the Broads Act 2009 confer upon the Broads Authority the powers to define zones for waterskiing and wake boarding, issue permits for water skiing and wakeboarding and issue Directions as to water skiing and wakeboarding respectively. The requirements and provisions in place are set out on the [Broads Authority website](#), and the conditions of permits are set out on the [Broads Authority Website](#)

4.12 Dangerous Goods in Harbour Areas

The Broads Authority meet the definition of 'Harbour Authority' set out in [Section 2 of 'The Dangerous Goods in Harbour Areas Regulations 2016'](#) (DG HAR 2016)

The Broads Authority Navigation Officer has powers to prohibit the entry into a harbour of any vessel carrying dangerous goods, if the condition of those goods, or their packaging, or the vessel carrying them is such as to create a risk to health and safety, and to control similarly the entry on to dock estates of dangerous substances brought from inland (as prescribed in DG HAR 2016). The regulations apply to all vessels regardless of size.

There are presently no Dangerous Goods as defined by DG HAR 2016 permitted to transit the Broads Navigation Area, the Broads Authority has issued a standing notice to mariners that sets out Broads Authority requirements for the carriage of dangerous goods.

4.13 Directions as to Loading or Unloading of Vessels

[Section 10 of the 'Broads Act 2009'](#) conferred Powers upon the Broads Authority to issue Directions which includes a provision for the Authority to designate areas for the loading and unloading of any goods. Part 7 of that section expressly excluded the application of directions over any staithe within the Broads Authority jurisdiction. There are many staithe around the Broads system, the historic use of these staithe was for loading and unloading of goods to service local communities, however very few of these staithe are now used for this purpose.

The only commercial berth within the navigation area is the quay at the sugar beet factory at Cantley. This quay is owned and managed by British Sugar; however, it has been over 15 years since a vessel has used this berth. Due to the rarity of commercial vessel loading and unloading within the Navigation Area, Broads Authority do not have a standing process for issue of such Directions but would consider the specific circumstances if there was ever a need to issue a Direction under this power.

4.14 Pilotage

The Broads Authority has, by virtue of [The Broads Authority \(Pilotage Powers\) Order 1991](#), been conferred the status of CHA, as that status refers to the 'Pilotage Act 1987'.

Based on the outcomes of the [Pilotage review 2023](#), the Broads Authority Committee on 26 January 2024 resolved unanimously, pending checks on the outstanding questions raised in the report, that a General Direction be put in place, to restrict all vessels over 24 m from entering the Broads, subject to a risk assessment to see if such vessels could be safely accommodated without a pilot. This was updated at the Broads Authority meeting on the 29th November 2024 to include all vessels over 24 m. the [General Direction](#) issued requires a specific risk assessment to be undertaken. The Broads Authority has published an [Application Form for vessels exceeding 24 m](#) on the Broads Authority website along with [Guidance Notes for Breydon Water and River Yare \(commercial and larger vessels\)](#)

The Broads Authority as Duty Holder with duties and powers to regulate navigation within its jurisdiction, will keep under consideration the need for pilotage services to be provided to secure the safety of vessels navigating in or in the approaches to its jurisdiction. This consideration formed part of the authority's formal risk assessment. There is a specific duty to have regard in particular to the hazards involved in the carriage of dangerous goods or harmful substances by ships. The requirement will be kept under constant review to take account of changes in the use of the Navigation Area [Information regarding General Direction](#)

The process of review will be used to establish whether pilotage should be compulsory for vessels navigating in any part of the Navigation Area or its approaches and, if so, for which vessels and in which circumstances and what pilotage services need to be provided for those vessels. This is to be determined on grounds of safety only. It will be covered by the formal risk assessment required by the 'Code', and the requirement kept under review in the Broads Authority's SMS.

4.15 Towage

Towage is considered to include Routine Harbour Towage, where fully operational vessels seek towage assistance for berthing operations whilst remaining under their own power and the command of the master at all times., and Non-Routine Towage, where unusual, objects dead ships or non-powered barges are towed under the control of a tug or work boat.

All towing undertaken within the Broads Authority Navigation Area is considered to be Non-Routine. It therefore follows that the Broads Authority does not issue towage guidelines applicable to Harbour Towage. The Broads Authority keep this requirement under review and will implement Harbour Towage Guidelines if the provision is considered necessary. [Broads Authority Navigation Byelaws](#) have specific regulations covering towage

4.15.1 Non-Routine Towage

All towage operations undertaken within the Broads Authority Navigation Area are guided by section [9.3 of 'Guidance Notes for Those Conducting Works Within the Navigation Area'](#) and subject to a risk assessment and planning process specific to the nature of the non-routine or unusual towage operation required. This process is guided by a specific form.

Broads Authority Non-Routine Towage form [Information regarding General Direction](#)

4.16 Regulation of Marine Craft

The Broads Authority has broad powers set out in [Sections 11](#), [Section 12](#) and [Section 14](#) of the [Broads Authority Act 2009](#). for the Registration, Construction and Insurance respectively of craft.. Byelaws pertaining to Registration and Construction Standards have been Issued by the Broads Authority and are described in section 4.5.

The arrangements for registration of boats with the Broads Authority do not contain any element of licensing. The issue of a registration number merely indicates that the vessel has been registered and does not imply that the vessel has been inspected or approved.

The Licensing of motorised vessels which are let for hire to the public came into force in 2010 and were based on the Code for Design, Construction and Operation of Hire Boats version 1: 2009. The Hire Boat Code had been produced jointly by the Association of Inland Navigation and British Marine with support from the Maritime and Coastguard Agency. It provides the framework for continued safe business operations of hire boats on inland waterways and clarifies the responsibilities of hire boat operators, navigation authorities and users. It also helps operators by the application of licensing and registration requirements in inland waterways in the UK - [Hire boat licensing \(broads-authority.gov.uk\)](#). The License requires hire boat operators to have successfully demonstrated via a stability test or calculation that their vessels can carry the number of persons that they are licensed to carry.

A revised Code for the Design, Construction and Operations and came into force on 1 January 2022 - [Hire Boat Code 2021](#)

Following an investigation by the Marine Accident Investigation Branch (MAIB) into the tragic death on a Hire Boat in 2020. The MAIB made recommendations to make the Hire Boat Code mandatory for Navigation Authorities. The Broads Authority implemented the Hire Boat Code into its Business Licensing Terms and Conditions on 1 April 2022.

On the 18 March 2023, the Broads Authority adopted the Hire Boat Code in full into its licensing conditions and included the requirement in the conditions that all hire boat operators are accredited under the British Marine Quality Accredited Boatyard Scheme (QAB) to ensure the operator is achieving the required safety standards. Notwithstanding this, the Broads Authority still undertake their own audits

The Quality Accredited Boatyard scheme (QAB) is a mandatory licensing requirement for any operator who has a craft available (powered or sail) for others to use, this includes operators who let holiday homes with the use of watercraft as part of the rental package.

The Broads Authority has also introduced licensing requirements for unpowered hire craft. The licensing of commercial paddle craft (canoes, kayaks, stand-up paddle boards and paddle craft) was implemented from 1 April 2023.

The Broads Authority, in conjunction with the Association of Inland Navigation Authorities (AINA) and local authorities shall continue to monitor and assess the risks from Houseboats, vessels used for Airbnb and any other non-powered craft.

The introduction of licensing of non-powered hire craft removed the Broads Authority Paddling Scheme (BAPS) for commercial operators. Voluntary organisations and clubs are still able to licence their vessels under the scheme.

Small Passenger boats are operated on the Navigation Area and the Broads Authority introduced a licensing scheme in 2012 for vessels carrying no more than 12 passengers from April 2012. [Broads Authority Small Passenger-Boat Operator Licence](#). Licensing conditions are based on the requirements of the [Inland Waters Small Passenger Boat Code COP13](#).

4.16.1 Broads Authority Workboats and Launches

The Broads Authority owns and operates several small workboats, as below:

- Eight Broads Authority launches and one RIB, for the purpose of patrolling, escorting, offering assistance and enforcement.
- Three self-propelled workboats, one with a small hydraulic crane arm.
- Two welfare and support barges.
- Three water plant harvesters.
- Four sets Link float pontoons with excavators.
- Six Powered Wherries.
- Three Tugs.
- A small number of dinghies.

The Broads Authority does not operate any tugs for the purpose of towing third parties. Broads Authority launches are occasionally used for towing duties (e.g., assisting marine casualties to a safe mooring).

The Broads Authority has published the following information which covers towing, [Guidance notes for those conducting works within the Navigation Area 2023](#)

4.16.2 Broads Authority Passenger Craft

The Broads Authority operates three dedicated passenger craft for the purpose of providing guided tours and trips to members of the public. Each of these craft carries less than twelve passengers. Other Broads boats may from time to time be used for carrying passengers. All Broads boats have specified checks, which must be carried out on a daily and weekly basis.

[The Inland Waters Small Passenger Boat Code](#) (MCA & IANA 2014) and the associated guidance in [MGN 498 \(M\)](#) (MCA 2013) applies to vessels that do not go to sea and carry less than twelve passengers. The Code is a best practice guide rather than a statutory requirement and the Authority's passenger boats; crew and operation comply with the requirements of the code.

Stability tests have been conducted and recorded on all the Authority's passenger boats, and maximum passenger numbers defined accordingly.

The Broads Authority introduced a licensing scheme for small passenger boats in April 2012 and the Authority's passenger boats comply with this licensing scheme. The Authority's passenger boats are regularly inspected and certified in accordance with the Boat Safety Scheme requirements.

4.16.3 Lifebuoys and personal rescue equipment

Lifebuoys and personal rescue equipment are stationed at many locations on the Broads for use in an emergency. Where they are installed on Broads Authority owned or managed sites they are regularly checked. At Yacht stations they are checked daily, those lifebuoys and rescue lines which are located on the Authority's 24-hour moorings are checked by the Rangers when completing the routine mooring inspections.

4.16.4 Bridges

There are several bridges over the rivers in the Broads Authority area which include, rail, road bridges some of which open to allow the passage of vessels. The clearance of these bridges, room available to river users, is displayed on gauge boards. Also, as part of the Authority's Integrated Access Strategy de-masting moorings are provided where practical for sailing boat to raise and lower their masts. The Broads Authority publishes and regularly updates the following information for bridges, [Bridge heights and openings](#)

4.16.5 Moorings

The Broads Authority has published an '[Integrated Access Strategy](#)' which outlines the Authority's approach to the provision of moorings and sets out several principles when looking to obtain and manage moorings. Currently the Broads Authority manages around 60 moorings with a stay of up to 24 hours.

The Broads Authority also provides, where possible, moorings for the purpose of raising and lowering sails and mast in the immediate vicinity of the bridges around the Broads system.

There is a short stay mooring at Mutford Lock, provided to enable boats to moor whilst waiting for the lock, which is provided by the Broads Authority, but is outside of the Authority's navigational area. This mooring has no access to land and is managed by the operators of Mutford Lock on behalf of the Broads Authority.

There are also many private moorings and staithe, which are not maintained by the Broads Authority.

Risk assessments have been completed for all the Broads Authority managed moorings, quantifying the risk of falling into the water, and noting the controls in place at each mooring and public rescue equipment (e.g., ladders, chains/ropes, etc.)

The moorings are inspected by the Rangers on a fortnightly (summer) or monthly (winter) basis. Inspections are conducted using an electronic check facility based on the Authority's GIS system. This system then forwards any deficiencies (issues) to those staff responsible for repair and maintenance. Once repairs are complete the Rangers close the "issue" when they next inspect the facility.

4.17 Environmental Duty

The Broads Authority has environmental duties derived from national legislation including:

- The Environment Act 2021, Section 6 'Biodiversity and Resilience of Ecosystems
 - Duty' requiring public bodies, including Statutory Harbours, to have regard to biodiversity in their activities; and
- The Conservation of Habitats and Species Regulations 2010 and 2017.
- The Natural Environment and Rural Communities (NERC) Act 2006

And express environmental duties set out in [Section 2 of the 'Norfolk and Suffolk Broads Act 1998](#)

The Broads Authority is committed to the protection and conservation of the environment. And has issued several environmentally focussed Policies set out in Section 1.4 of this SMS document. The Broads Authority will seek to maintain and improve, whenever possible, high environmental quality through the strict adherence to UK environmental legislation and internationally agreed conventions, directives and resolutions intended to protect the environment.

The Broads Authority recognises the special position of the Harbour as a natural asset and will continue to promote its sustainable use, balancing the demands of its natural resources and resolving conflicts of interest.

4.17.1 Environmentally Sensitive Sites Within the Broads Authority Jurisdiction

The Broads is one of Europe’s finest and most important wetlands for nature conservation. It includes designated sites for nature conservation, consisting of 28 Sites of Special Scientific Interest (SSSIs), which cover 24% of the Broads executive area. One-third of SSSIs are also designated as National Nature Reserves (NNRs). Virtually all SSSIs also form part of the National Site Network; the network of European sites within the UK (Conservation of Habitats & Species Regulations 2017 (as amended)) [Conservation of Habitats & Species Regulations 2017 \(legislation.gov.uk\)](https://www.legislation.gov.uk/uk/2017/109).

These designations are set out in Figure 4 and Figure 5.

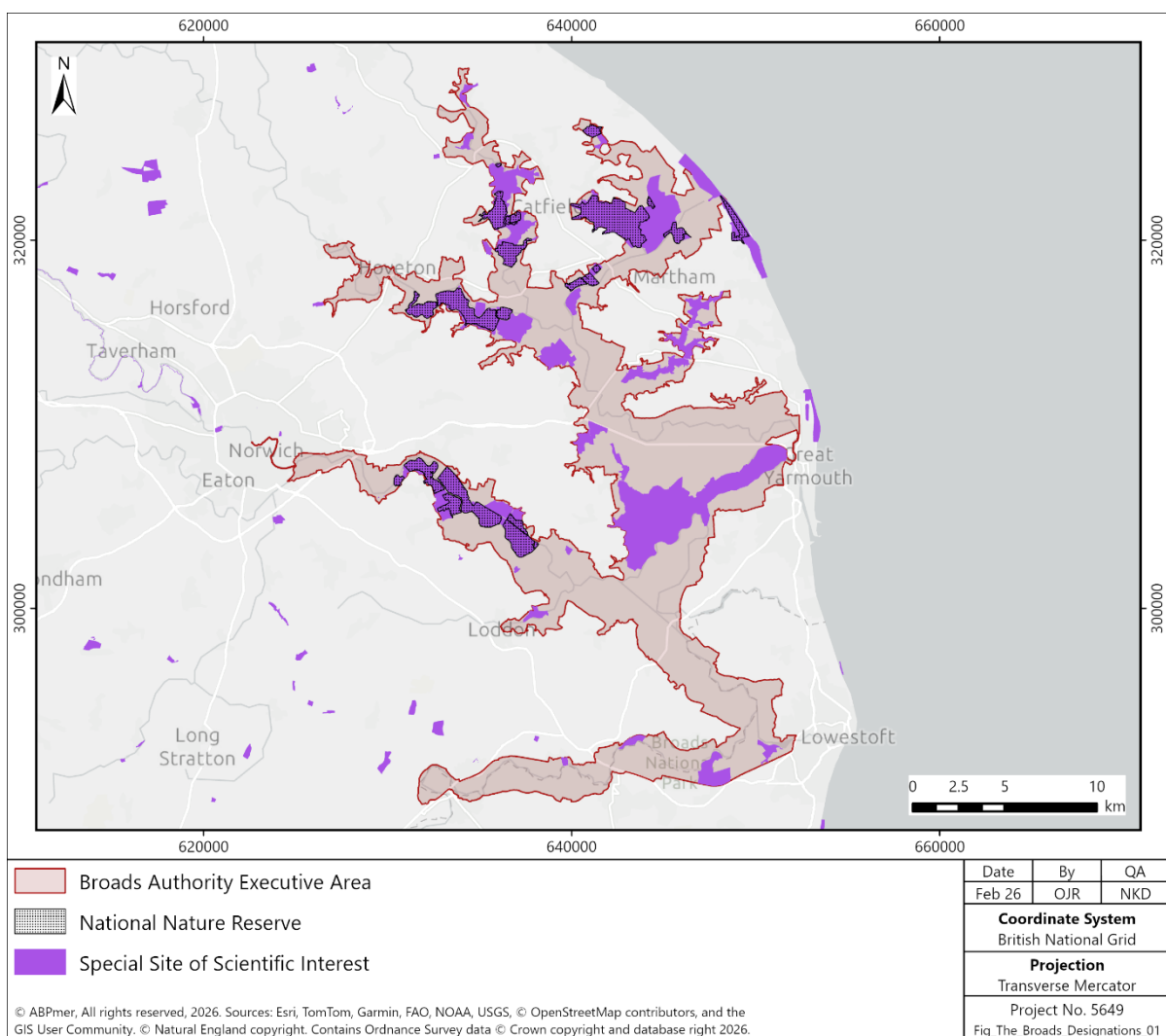


Figure 4 Network of National Nature Reserves (NNRs) and Special Site of Scientific Interest (SSSIs) within the Broads Authority Executive Area.

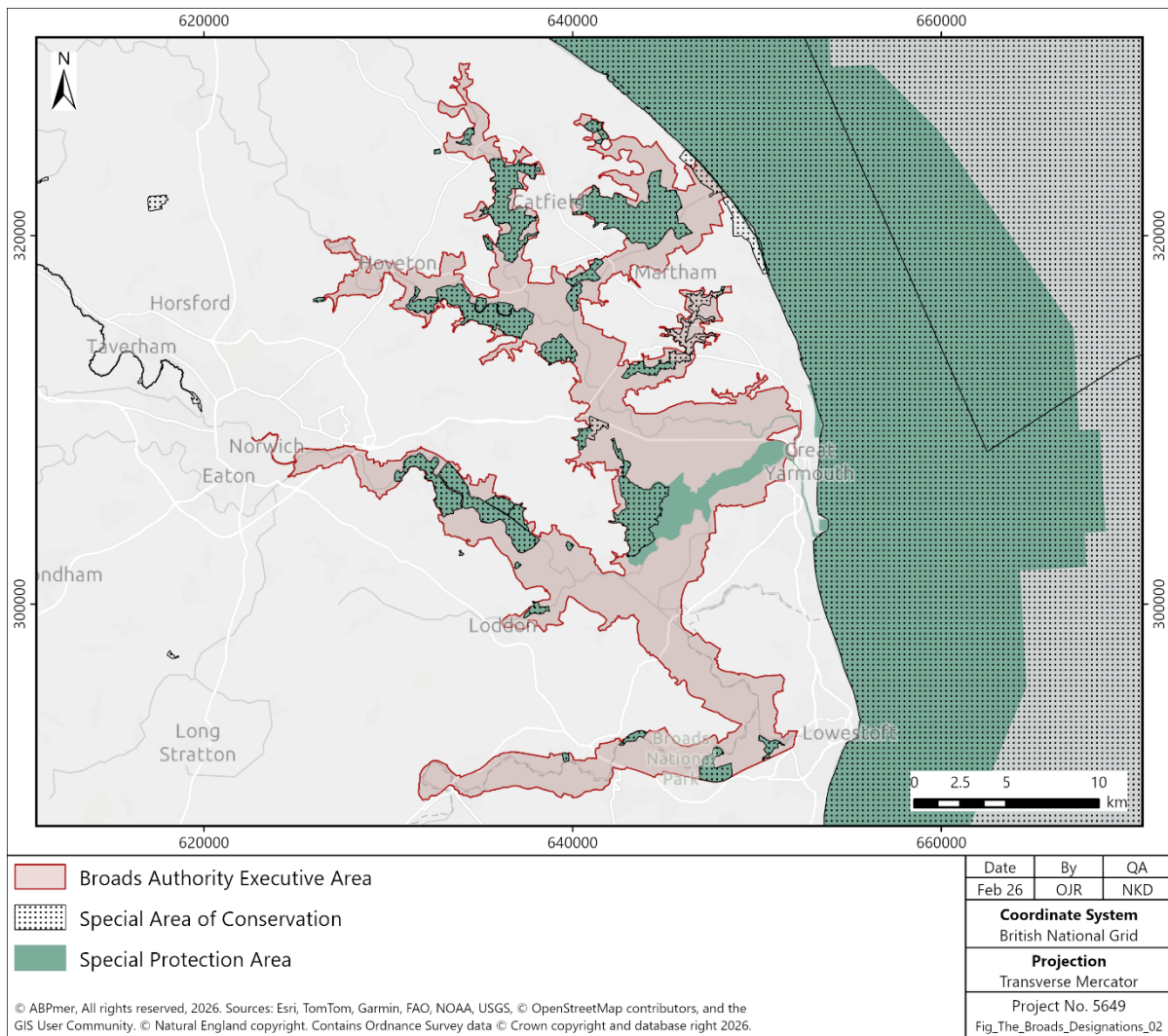


Figure 5 Network of Special Areas of Conservation (SAC) and Special Site of Scientific Interest (SSSIs) that are also of European importance within the Broads Authority Executive Area.

The Broads, apart from having many designated sites for nature conservation, is also important for wildlife throughout its area, with land and water managed for both biodiversity and landscape. The whole area forms an inter-connected wetland system and hydrological connections between the waterways, fens and grazing marsh dykes can often mean that pollution and other impacts in one part of the wetland affects a much wider area. [Link to Broads Biodiversity and Water Strategy](#)

4.18 Emergency Preparedness and Response

4.18.1 Introduction

This section of the SMS document describes the Broads Authority's preparedness for reasonably foreseeable emergency situations, and their procedures for dealing with an emergency should it arise. It is of note, as set out in Section 4.12, that Broads Authority do not permit the transit of Dangerous

Goods within the Navigation Area and therefore have no requirement under DGHAR 2016 to maintain emergency response contingencies related to incidents involving Dangerous Goods.

The Broads Authority maintain an emergency call out and response plan and take part in emergency planning exercises with the emergency services and the County Emergency Planning team.

4.18.2 Responsibilities

The Norfolk and Suffolk Broads Act 1988 does not confer upon the Broads Authority a responsibility to act as an emergency service. Nonetheless, the Rangers and Broads Control frequently receive emergency calls and have a responsibility to liaise appropriately with the emergency services.

4.18.3 Reporting of an emergency

In the event of an emergency on the water, boaters are instructed to call the Emergency Services on 999. The Coastguard acts as co-ordinator for any action which may be required, liaising with Broads Control and the Rangers, as necessary.

The Broads Authority is not a designated Emergency Service and is not a declared Search and Rescue (SAR) resource by H.M. Coastguard. However, the Authority's staff and patrol launches are frequently called on to assist the official emergency services in searching for missing persons or overdue vessels, communicating emergency messages to vessels, providing guidance on locations and access to the rivers network and sometimes transporting police, fire, ambulance or coastguard personnel or equipment.

Some areas of the Broads have good access to the road network, so the usual land-based emergency services can reach any casualty in these areas. For the open waters of the Broads, and those rivers with no direct road access, the Broads Authority provides patrol craft manned by Rangers and trained volunteers.

The Norfolk Constabulary "Broads Beat" has a boat available for Police patrols and to assist with SAR activities. The Hemsby Inshore Rescue RIB can be transported to the Broads and regularly exercises on the waterways. The RNLI has established an inland Lifeboat Station at Great Yarmouth. This is equipped with a directly launched D Class inflatable and also a small portable inflatable deployed to distant locations on a specially adapted four-wheel drive pickup vehicle.

Most of the sailing and boating clubs on the Broads have dedicated rescue craft afloat during racing and regattas and the Authority has good relations with these clubs and their resources can be called upon when required.

Search and Rescue Helicopters are co-ordinated by the Aeronautical Rescue Coordination Centre, and they will deploy resources based in Humberside and Lydd where required to service the Broads area. The Broads Authority provides a 24-hour, 365 days a year standby facility for the Emergency services usually coordinated by the Coastguard. Out of office hours the Coastguard control unit can contact

the duty standby manager via a pager system in the event of an incident. The on-call standby manager is primarily to provide advice and guidance to the emergency services however they have access to other operational staff and can call on all available officers and deploy vessels and equipment to assist where necessary. All standby staff are trained in boat handling, first aid and pollution control procedures.

4.18.4 Incident reporting system

Broads Control operates a messaging/incident recording system for recording all calls received - whether an emergency or not. Incident records are kept and maintained for analysis and the derivation of trends and statistics. Incidents can be reported to the Broads Authority by a variety of methods, verbally to Broads Control or any member of staff, and online via the Authority's website.

4.18.5 Assessment of the situation

If the Authority receives a call from a person in distress, the Rangers and Broads Control need to determine the nature of the situation and decide whether it is necessary to call the Emergency Services, or whether to attend themselves. Any Broads Authority response to such situations is coordinated by Broads Control who have reference to the Navigation Officer where necessary.

4.18.6 Response to a Minor Emergency

In the event of a minor emergency (for example a vessel which has run aground), a Ranger will attend and provide support as required. All Broads Authority personnel operating in the field are first aid trained, as described in the Training and Development Policy.

4.19 Pollution Prevention and Response

Under Section 144 of the Merchant Shipping Act 1995, the Navigation Officer may detain a vessel if there is reason to believe that it has committed an offence by discharging oil, or a mixture containing oil, into the waters of a harbour.

Under Section 135 of the Merchant Shipping Act 1995, Notice must be given to a Harbour Master (or equivalent role) before oil is transferred at night to or from a ship in any harbour. In addition, under Sections 136/259(6) of the Merchant Shipping Act 1995, all oil spills into harbour waters are to be reported and Harbour Masters (or equivalent roles) have powers to board vessels to investigate possible offences.

Under the requirements of the Merchant Shipping (Oil Pollution Preparedness Response and Co-operation Convention) Regulations 1998, there is a requirement for Broads Authority to produce an Oil Pollution, Preparedness, Response and Cooperation Plan (OPRC). The Broads Authority OPRC Plan can be found here [Pollution response](#)

The Broads Authority OPRC is approved by the MCA and Oil Pollution Response Plans are reviewed and updated by the Heads of Safety Management. The most recent updates were made post the last Tier 2 response exercise (2025) undertaken in conjunction with Broads Authority Tier 2 retained response contractor, Ambipar Limited.

The OPRC Plan was agreed in consultation with the Norfolk Resilience Forum and the Suffolk Resilience Forum and describes the relevant interfacing. The plan has been compiled in consultation with the Environment Agency, English Nature, Defra, Norfolk County Council and the Great Yarmouth Port Company

The Broads Authority's OPRC Plan is for spillages relating to private and hire craft. Such spills are generally relatively minor in nature, and consist of spillage of diesel during fuelling, and the leaking of engine oil or fuel into bilges and thence into the water.

It describes three tiers of response, in terms of the quantity of spillage, the organisation and mechanism for response, and the resources at the Authority's disposal for containment and disposal of oil. The plan interfaces with Local Authority and National plans for the higher tiers of severity. In all cases, containment and recovery of the pollutant is the preferred option.

4.20 Civil Contingencies Duty

[‘The Civil Contingencies Act 2004’](#) provides a framework for civil protection in the event of an emergency that threatens serious damage to human welfare, the environment or security. The Broads Authority as ‘Special Statutory Authority for the Broads Executive and Navigation Areas is classified as a Category 2 ‘co-operating body’ by virtue of [Schedule 1](#) in respect of its Statutory Harbour undertaking. This requires the cooperating and sharing relevant information with Category 1 (emergency services and local authorities) and other Category 2 responders. The Broads Authority takes part in emergency planning exercises with the emergency services and the County Emergency Planning team.

4.21 Collection of Dues

[Section 13 \(1\) of the ‘Norfolk and Suffolk Broads Act 1988’](#) confers upon the Broads Authority, the power to “*determine and recover tolls in respect of vessels moored, used or navigated on adjacent waters as well as in the navigation area*”. Section 13 (3) of the act requires that Broads Authority “shall consult the Navigation Committee before determining the level of any tolls or other charges to be imposed in respect of the navigation area or adjacent waters”.

The Broads Authority Tolls along with the requirement for vessels to be registered are set out on the [Broads Authority website](#). To keep toll payers updated with the latest Broads Authority navigation news, the Authority produce a publication called Broad Sheet (Broadsheet) every year, which can be viewed on the [Broads Authority website](#).

4.22 Diving Operations

Diving operations within the Broads Authority Navigation Area are defined by the categories in the following sections.

4.22.1 Commercial Diving

Undertaking diving related to a work activity, within or beside the Navigation Area, with the potential to interfere with navigation, requires a [Works Licence](#). The works licence document sets out the requirement to notify the Authority of diving operations taking place on the Broads in relation to works. If commercial diving operations take place within the Navigation Area, then the [Diving at Work Regulations 1997](#) and [Approved Code of Practice L103](#) (ACOP) will apply, and you will have duties under the Regulations. [Navigating the Broads - Underwater diving](#).

4.22.2 Recreational Diving

Recreational diving is not encouraged due to the shallow nature of the Broads, prevalence of water plants, strong current in the lower reaches and high levels of boating traffic. Guidance is provided on the [Broads Authority website](#). HSE have issued an Approved Code of Practice (L105) covering [Recreational Diving and Recreational Diving Projects](#). If recreational diving takes place within the Navigation Area, then the ACOP L105 will apply. The Broads Authority require the completion of the Broads authority Organised Diving Event Permission Form to be completed and approved by the Broads Authority before any Organised Diving Event takes place within the Navigation Area.

4.22.3 Diving as part of an Organised Event

Diving as an organised group requires permission from the Authority, the authority can set conditions to help ensure the safety of participants and river users. This usually involves event organisers producing a risk assessment to cover the key risks involved with the activity. Under byelaw 86 of the [Navigation Byelaws 1995](#), it is an offence not to notify the Authority of any such event. The Broads Authority has published Guidance on the website. [Organising Events in the Broads](#)

4.23 Bunkering and Fuelling of Recreational Craft)

No commercial bunkering takes place within the Broads Authority Jurisdiction. Internal bunkering of Broads Authority craft takes place in line with the Broads Authority Risk assessment and Safe system of Work (RASSOW). Privately operated fuelling stations are available within the Broads for recreational craft. The Broads Authority require vessels to be licenced and insured and meet the requirements of the Boat Safety Scheme that focusses on fuel safety but does not licence the privately owned fuel providers that operate independently under their own RASSOW.

4.24 Hot Work and other Controlled Works

The Navigation Area Works Guidance ([Guidance Notes for Conducting Works within the Navigation Area](#)) has been published by the Broads Authority to advise anyone wishing to carry out work within the Broads area of legislative requirements, provide practical health and safety advice, and highlight other possible considerations.

Although titled as “guidance”, this document in fact contains mandatory procedures for the issuing of Works Licences. The Broads Act 1988 gives the Authority the power to require a Works Licence to be applied for prior to any work being undertaken, and to determine whether such a Licence should be granted.

It defines the general requirements that contractors must comply with, along with specific requirements for certain types of work, e.g., diving, towing etc.

Contractors operating in compliance with the Broads Authority SMS include Hydrographic survey providers, salvage operators, Tier 2 Oil spill response company and piling contractors. These contractors have their own safety management system and are subject to compliance monitoring, submission of risk assessments and method statements, periodic spot inspections and licensing by the Broads Authority where relevant.

The Broads Authority will ensure that all contractors are aware of:

- The importance of compliance with the safety policy and objectives, and their individual roles and responsibilities in achieving it.
- The hazards and risks of marine operations, and the controls and recovery measures that have been established.
- Potential consequences of departure from agreed procedures, i.e. from breaching established controls and recovery measures.
- The mechanisms for suggesting improvement in the procedures.
- Any such contractors are required to comply with the Navigation Works Guidance (Guidance Notes for Conducting Works within the Navigation Area) and appropriate demonstration of crew competency.

Section 5: Risk Assessment

Under the '[Health and Safety at Work etc. Act 1974](#)', the Broads Authority has a duty to ensure, so far as is reasonably practicable, the health and safety of its workers and other persons who may be affected by the Authority's undertakings.

In addition, the Management of Health and Safety at Work Regulations (1999) (The Management of Health and Safety at Work Regulations 1999 (legislation.gov.uk) requires every employer to make a suitable and sufficient assessment of all the risks to the health and safety of workers and others arising at or from a work activity. The conduct of a formal risk assessment is central to the effective operation of the Broads Authority SMS. Figure 6 sets out this relationship.

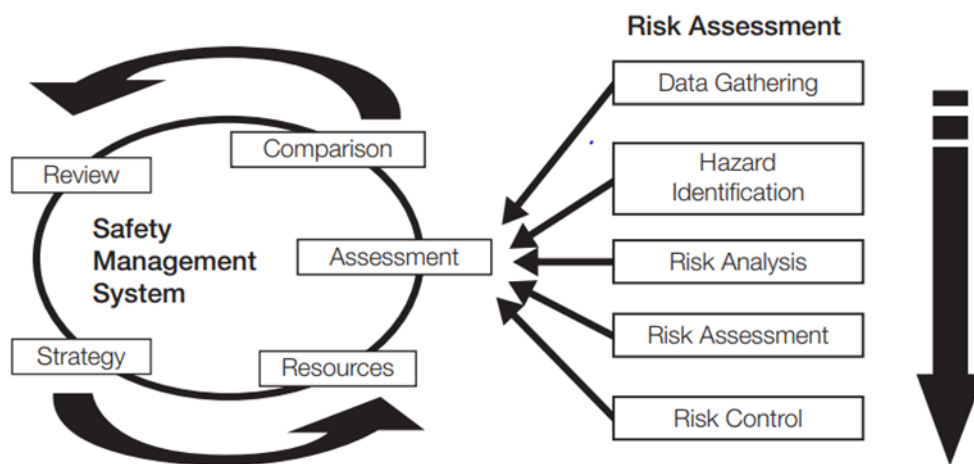


Figure 6 Relationship between SMS and Risk Assessment

5.1 Hazards

The Broads Authority's approach to hazard management is systematic identification, assessment and control of hazards, and the minimisation of the risks they pose to the public and to employees of the Broads Authority to a level, which is both tolerable and As Low As Reasonably Practicable (ALARP).

Port Marine hazards and those associated with land-based activities on land which is owned or managed by the Broads Authority are identified, and appropriately managed.

'[The Management of Health and Safety at Work Regulations 1999](#)' require the Broads Authority to make a suitable and sufficient assessment of all the risks to the health and safety of workers and others arising at or from a work activity.

5.2 Formal Risk Assessment

The Broads Authority has adopted a structured Formal Risk Assessment (FRA) approach to the identification and analysis of hazards, and the assessment of the risks they pose, in accordance with 'the Code', this includes:

- The identification and analysis of risks.
- An assessment of these risks against an appropriate standard of tolerability.
- Eliminating or maintaining tolerable risks within ALARP, which includes:
 - A cost effectiveness analysis of risk reducing measures where appropriate.

The principle of ALARP is considered to be best practice by the Health and Safety Executive (HSE) and is derived from case law in accident investigation cases. The HSE's document '[Reducing Risks, Protecting People](#)' gives the background to ALARP

The aim of the ALARP principle is to strike a balance between the severity of the consequence of a particular hazard, and the cost and difficulty of implementing control measures.

A risk can be declared ALARP, provided it is not in the "intolerable" region described below, if it is believed that all possible mitigating actions and safeguards have been identified and, if considered reasonably practicable, implemented.

The ALARP principle therefore recognises that it is seldom possible to entirely remove risk, and this is particularly true in a marine environment.

ALARP statements are to be generated following the formal hazard review. This may entail further analysis of the hazard or identification of additional mitigating actions.

The Broads Authority utilise the [ABPmer MARNIS](#) system for management and recording of Port Marine risks.

The Broads Authority's Navigational Safety Policy requires that risk assessment techniques be used to ensure that hazards are reduced to ALARP. It is important that risk assessments are conducted to a common standard, and against common criteria. This will then enable the level of risk to be understood and prioritised.

The Authority has developed guidance notes for the conduct of a risk assessment, including definitions of the probability and consequence of identified hazards. These instructions, along with a blank risk assessment form, are published on the [BA Intranet - Home](#).

These instructions have been used in the preparation of generic and site-specific risk assessments, in the Broads Authority's corporate occupational health and safety system.

Risk Assessments are stored electronically both on the corporate server and on the Broads Authority Intranet which is available to all employees.

5.3 Discussion of the Existing Hazard Log

All the hazards identified have been formally reviewed as part of the ongoing development of the Broads Authority SMS. The hazard log is kept under constant review by Broads Authority Officers, who refer any proposed variations or new hazards to the Boat Safety Management Group and the Local Access Forum. However, a formal review takes place every three years which is carried out by a stakeholder group. At each review, the group review experience gained in the intervening years and reviews proposed actions and whether the status of the hazard has changed.

Integrated Hazard Review 2023 records the outcome of the most recent reviews and makes recommendations for prioritisation and further action. Further formal hazard reviews are scheduled with the appropriate groups of stakeholders, to review the risk assessments and progress against actions, and to generate ALARP statements where possible. Post the integrated Hazard Review (next scheduled for Q4 2026), the following will be updated as required:

- Hazards logs
- Hazard scenarios
- Existing controls
- Potential future controls
- Likelihood descriptors
- Consequence descriptors

A risk can be declared ALARP, provided it is not in the 'intolerable' region described below, if it is believed that all practicable mitigating actions and safeguards have been identified and, if considered reasonably practicable, implemented.

5.4 Hazard Identification

Hazard identification is part of a process used to evaluate if any situation, or item which may have the potential to cause harm.

There are different techniques in hazard identification and methods which can involve suitably qualified people to discuss the hazards. This provides assurance that the hazard is valid, and that the assessment of the hazard, and the safeguards proposed, are suitable.

Hazards may also be identified by any Broads Authority Officer or employee, or indeed any person. Any hazard raised in such a way is discussed and considered for inclusion in the hazard log. Decisions are recorded to provide an audit trail.

5.5 Risk Classification

Risk levels were derived by using the risk matrix approach shown at Figure 7. The risk matrix approach is used to combine the estimated likelihood of a hazard with its estimated consequences to people, the environment, assets, and port business (the higher the risk numbers the greater the risk).

Figure 7 also shows the risk acceptance criteria: those that fall in the low or negligible category are “Broadly Acceptable” and those within High or significant risk are “Intolerable”. Risks that fall between these categories are in the As Low As Reasonably Practicable (ALARP) region. It should be noted that it is incorrect to say that a risk in region B “is ALARP”. Its placement in this region means that the risk has to be demonstrated to be ALARP by means of mitigations and risk reduction.

- Intolerable risks would require urgent attention and be the focus of regular reviews by the Broads Authority and any suitable risk control measures that are identified should be seriously considered for implementation. Such risks cannot be declared ALARP, a means of reducing or avoiding the risk must be found and implemented.
- Risks in the ALARP region require review to ensure that they can be satisfactorily weighed against the time, trouble, cost and physical difficulty in taking further measures to reduce them.
- Broadly acceptable risks would require some attention and occasional review (e.g. annually) to ensure that they remain under control.

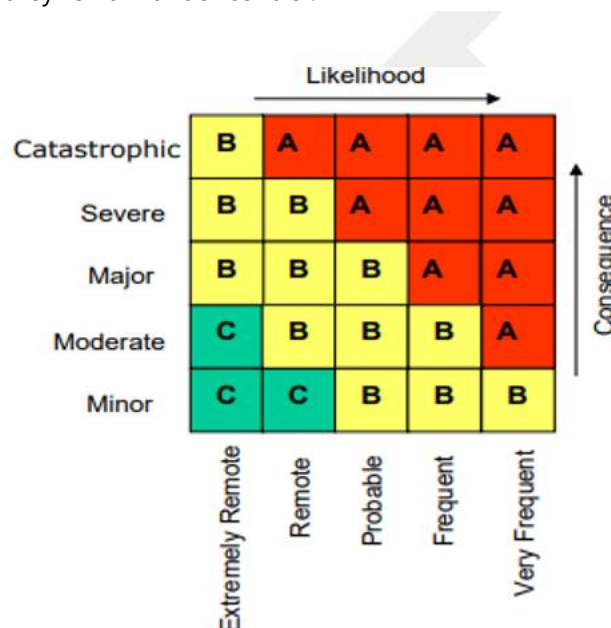


Figure 7 Risk Assessment Matrix

Risks are judged in terms of their likelihood (the probability of an incident occurring) and their impact (the worst-case consequence, if an incident occurs, on people, assets and the environment).

The estimates that were provided in the original Formal Safety Assessment (FSA) were worst credible scenarios, however, it is important to emphasise that these values should be viewed in relative terms and are not absolute measures of risk. Empirical evidence has shown that experts tend to be pessimistic when estimating risk levels (particularly when relating to safety) and this should be considered when reviewing the results of risk assessments.

5.6 Assessment of Incident Likelihood

The likelihood categories are set out in Table 3.

Table 3 Risk Likelihood Descriptors

Likelihood	Occurrences
Very Unlikely	1:50 years or greater
Unlikely	1:25 years
Occasionally	1:10 years
Probably	1:5 years
Likely	> 1 per year

5.7 Assessment of Incident Consequence

5.7.1 Consequence to People

The consequences to people to people are set out in Table 4.

Table 4 Consequences to People

Consequence Category	Number	Definition
None	1	No injuries or fatalities.
Minor	2	1 minor (recoverable) injury.
Moderate	3	Serious injury(s) (MAIB/RIDDOR reportable injury) s; or 1 minor occupational illness.
Severe	4	Single fatality
Catastrophic	5	Multiple fatalities

5.7.2 Consequence to the Environment

The consequences to the Environment are set out in Table 5.

Table 5 Consequences to the Environment

Consequence Category	Number	Definition
None	1	None (No incident - or a potential incident/near miss)
Minor	2	No Measurable Impact (An incident or event occurred, but no discernible environmental impact - Tier 1 but no pollution control measures needed)
Moderate	3	Minor (An incident that results in pollution with limited/local impact - Tier 1, Harbour Authority pollution controls measures deployed)
Major	4	Significant (Has the potential to cause significant damage and impact - Tier 2, pollution control measures from external organisations required)
Severe	5	Major (Has the potential to cause catastrophic and/or widespread damage - Tier 3, requires major external assistance)

5.7.3 Consequence to Broads Authority and Third-Party Property

The consequences to the Broads Authority and third-party property are set out in Table 6.

Table 6 Consequence to Broads authority and third party property

Consequence Category	Definition
None	No damage to assets.
Minor	(£0- £100,000)
Moderate	(£100,000 - £1M)
Major	(£1M - £10M)
Catastrophic	(> £10 Million)

5.7.4 Consequence to Broads Authority and Third-Party Operations

The consequences to the Broads Authority and third-party operations (business disruption and reputational damage) are set out in Table 7.

Table 7 Consequence to Broads Authority and Third-Party Operations

Consequence Category	Definition
None	No impact on reputation or disruption to business.
Minor	Local complaint/recognition, Minimal change in stakeholders 'confidence, impact lasting less than 1 week. Minor business disruption
Moderate	Moderate (Negative local publicity. Moderate damage to reputation. Moderate loss of revenue, £750,000 - £4M)
Major	Serious (Local, regional media coverage, Moderate change in stakeholder confidence, Impact lasting between one and three months, Moderate business disruption
Catastrophic	Major (National media coverage, Significant change in stakeholder confidence, Impact lasting more than three months, attracts regulators attention /comment, Major Business disruption and impact)

5.8 Dynamic Risk Assessment

The Broads Authority implement dynamic risk assessment principles on a day-to-day basis when undertaking all tasks including those tasks that are informed by FRA when circumstances including but not limited to the following are experienced:

- Unexpected and not accounted for;
- Makes the activity more difficult than expected due to surrounding influences;
- Changes the purpose or goal of the activity; and
- Increases the time required to complete the task beyond the expected period.

The Broads Authority has a dynamic Risk Assessment [Safety - By subcategory](#) The experience gathered from conducting dynamic risk assessments is utilised in the review process of FRAs and the refinement of standard operating procedures and processes.

5.9 Management of Hazards and Risk

Having identified hazards and controls, it is important to verify that those controls are put into place, and that they are effective in mitigating the hazard.

This requires that the hazards are reviewed on a regular basis, and that completion of the actions is recorded. It is also important to identify the actions for any given control measure, and to ensure they are aware of, and accept, the action.

Section 6: Safety Management System

6.1 Safety Management System Components and implementation.

The Code requires all organisations, including harbour authorities, to establish and maintain a SMS. The information and structure contained in this system, together with supporting documents, such as, policies, procedures and working documents produced, meets this requirement.

The system components include:

- Broads Authority high level Policies
- Broads Authority high level Marine Policy
- Broads Authority Operational Marine Operational Policies
- Broads Authority Marine Safety Plan (MSP)
- The SMS signposting document (this document)
- Port Marine Risk Assessments and Accident-Incident records.
- Broads Authority Emergency Response Plans.
- Broads Authority approved OPRC Plan
- Broads Authority Port Marine Training Matrix
- Personnel training records.
- Health & Safety Risk Assessments and accident incident records
- Safe Systems of Work (SSOW).
- High Level Procedures to Control Works, Diving, etc
- Guidance Documents and Notices to Mariners
- Forms
- Records

The Broads Authority SMS structure is based on the principle of Plan - Do - Check – Act. Figure 8 sets out the cyclic process.

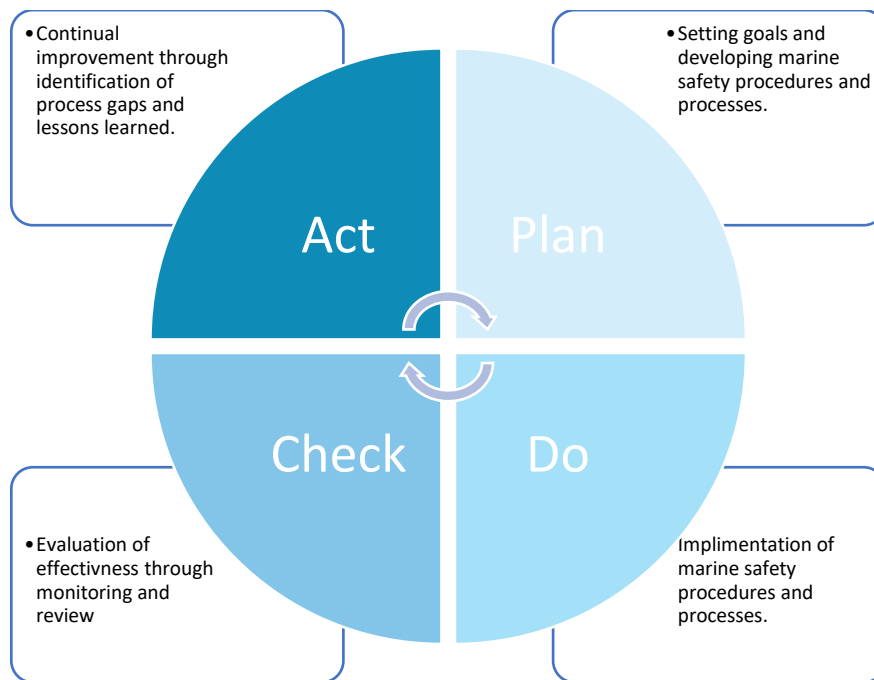


Figure 8 Broads Authority SMS Cyclic Process

The SMS should include a bridging document, where adjoining or interfacing with another organisation, setting out key communication lines and interactions, deconflicting application of policies and procedures within both SMS and emergency response.

Adjoining or interfacing organisations within the Broads Authority Navigation Area are represented through the Boat Safety Management Group and the Navigation Committee. The Broads Authority is in the process of engaging, via these forums, with identified organisations on a tiered basis with a view to agreeing interfacing documents

To inform the evolution of the SMS, the Broads Authority regularly reflect on their own operational practices and review documents which might be relevant to failures in the management of risk to drive continuous improvement. The documents reviewed include:

- The GtGP;
- MAIB reports and Safety Digests;
- Sector/industry alerts and best practice guidance; and
- MCA Health Check Reports.

6.2 Accountability for Marine Safety.

6.2.1 Broads Authority Board (Duty Holder)

Overall responsibility for the delivery of policies and financial decisions rests with the Broads Authority (Duty Holders) who are both individually and collectively accountable for marine safety and compliance with the Code. See Section 1.2 for a list of responsibilities.

The following sections lay out roles and responsibilities for key officers.

6.3 Chief Executive

The Chief Executive of the Broads Authority is accountable to the Broads Authority (Duty Holder) for the operational and financial control of the Harbour. The Chief Executive has overall responsibility for operational matters following the strategic direction set by the Members of the Broads Authority. The Chief executive is supported by the Management Team (two Directors), Governance Officers and the Monitoring Officer.

The responsibilities of the chief Executive include:

- To advise the Broads Authority on all matters relating to the Broads Authority's responsibilities.
- To implement the Broads Authority policies and decisions.
- Responsible to the Broads Authority for the overall safety of operations and staff and for promoting a safety culture within the Broads.
- To ensure that adequate staff and resources are deployed to meet safety requirements within the Broads and to make recommendations to the members in this regard where necessary.
- To ensure that responsibility is properly assigned, accepted, and discharged at all levels.
- To ensure that matters concerning safety are properly and sufficiently communicated both internally and externally.
- To maintain and improve standards of operational training.
- To actively participate in audits of the Broads authority SMS.

6.4 The Director of Delivery

The Director of Delivery has responsibility for navigational safety across the Broads Authority Navigation Area. The Director is supported by:

- The Head of Safety Management
- The Head of Operations
- The Head of Ranger services

The Director of Delivery Operations is also responsible for the Dockyard operation, Maintenance and Construction teams, Ranger services, the Environment and Design Manager Supervisor and the Rivers Engineer, all of whom have an impact on safety.

The Director of Delivery responsibilities include the following:

- The management of the safety of navigation within the Broads Authority's executive area.
- To manage the operation of the Broads Control and that staff are appropriately trained to carry out the required duties.
- To develop and implement the Broads Emergency Plan including emergency exercises.
- The Health and Safety of the Pilots (if engaged).
- To ensure that any safety reports received are investigated to an appropriate level and any resulting actions are implemented.
- The authorisation of Pilots (if engaged)
- To ensure that byelaws, general directions and standing orders relating to navigational safety are kept under regular review.
- To provide advice to the Chief Executive and the Broads Authority on appropriate navigational safety issues as well as training of Broads Authority personnel.
- To disseminate safety information including Notice to Mariners to all Broads users and Broads Authority personnel in a timely manner.
- To ensure staff are aware of their duties and responsibilities placed upon them with due regard to the Safety Management System and to ensure they are trained appropriately to undertake their duties.
- To ensure that the Safety Management System is functioning as required through regular reviews of the system.
- To liaise and consult with external organisations, users and any other interested parties in relation to navigational safety issues.
- To ensure that staff are consulted and involved in any risk assessments being carried out.
- To modify operational procedures in a controlled manner.
- To implement Oil Spill Response Plans in conjunction with Navigation staff and ensure appropriate training.
- To ensure conservancy is maintained within the Norfolk and Suffolk Broads Navigation Area.
- To ensure Broads Authority vessels operating within the Broads have the required certification and the operators are appropriately trained and properly qualified for the tasks they are likely to perform about Health and Safety issues.
- To ensure that all moorings occupied by the Broads Authority are maintained and are in a safe condition.
- To actively participate in audits of the Norfolk and Suffolk Broads Safety Management System.
- To disseminate Health and Safety Information and legislation relating to navigation to all Broads Authority staff in a timely manner.

6.5 Head of Safety Management

- As the Authority's Health and Safety Advisor to be responsible for the introduction of regulation or best practice guidance, to coordinate and advise on all health and safety at work matters, to provide advice and guidance at the Authority's Safety Committee and to ensure, in conjunction with staff safety representatives, that the Authority complies with relevant health and safety legislation and that working practices and systems are safe and in accordance with good practice and regulation.
- Investigate, report and, where appropriate, make recommendations to the Authority on Occupational Health and Safety accidents and incidents in the Broads which relate to safety, including boat fires, explosions, personal injuries or accidents on or around boats, serious navigational incidents and drowning or injuries sustained on the Broads Authority's property. To deal with the media in respect of incidents.
- Undertake the role of PMSC Designated Person with responsibility to provide independent assurance, directly reporting to the Authority that the Safety Management System is working effectively through the continued development and regular audit of a the Broads Authority SMS, pursuant to the Ports & Marine Facilities Safety Code.
- Work with private users and commercial concerns to ensure sustainable and safe use of the Broads as far as is reasonably practicable.
- Responsible for the development and regular review of an Oil Spill Contingency Plan for the Broads including involvement in the deployment and operation of oil spill clean-up equipment and materials.
- Responsible for the introduction of regulation or best practice guidance appropriate to Broads recreation which includes developing and providing advice and assistance to interested parties.
- Responsible for the assessment and licensing of Hire Boats and Small Passenger Boats on the Broads.
- Responsible for policy development, organising, planning, implementation monitoring, review, and audit of corporate Health & Safety Systems.
- Conduct external consultations on statutory requirements relating to waterways safety management issues and implementation of the Broads Authority legislation.
- Responsible for staff training records and to ensure that all staff are adequately trained to discharge the Authority's duties under health and safety legislation, including the delivery of in house and external training and to train staff where appropriate.
- Liaise with other organisations/individuals concerned with the safe use of the Broads including the waterways, particularly in connection with technical, operational, and general safety matters.
- Maintain awareness of current and evolving health and safety, port, waterways and environment legislation, regulations and best practice and ensure that the Authority fully and properly discharges its responsibilities in the context of its Health and Safety, marine operations, and its other regulatory functions.

6.6 Head of Ranger Services

- Oversee the work of the Ranger Team and volunteers providing formal line management to the Senior Rangers, direction on training, and guidance on the Team's day to day management. To ensure that conditions are present for the safe, orderly, and environmentally sustainable use of the Broads for recreational purposes and that the Authority's byelaws and regulations are observed and where appropriate enforced. Liaise with the Rivers Engineer to ensure that contractors or others seeking to undertake works in or affecting the navigation area are advised of the Authority's requirements concerning navigation and river safety.
- Develop and monitor a programme of work to record the condition of sites and visitor facilities in the Broads and ensure Rangers carry out minor works to improve access, biodiversity, and public safety, such as tree and scrub management, maintenance and minor improvements to ensure the locations are kept in good order.
- Undertake the duties and responsibilities of Navigation Officer as defined in the Norfolk and Suffolk Broads Act 1988. Give navigational directions to vessels as appropriate, including for towing. Grant permissions for events and regattas under schedule 5 of the Norfolk and Suffolk Broads Act 1988. [Note: This consists of the ability to give directions to specific vessels in relation to navigation, mooring, loading/unloading, etc. Broads Act, Schedule 5, Paragraph 18]; The duties include inclusion on the roster as required, and provision of out of hours emergency cover.
- Progress prosecutions where appropriate, maintain the required records and discharge the functions of Officer in Charge for the purposes of Criminal Procedure and Investigations Act 1996. Ensure that the Ranger Team is properly trained in the processes of prosecutions and evidence gathering. Investigate and record reported incidents, liaising with the Head of Safety Management concerning the investigation of incidents, particularly those of a technical nature.
- Ensure that operational bases, vehicles, vessels, and other equipment are kept secure, in good and safe repair and that defects are promptly rectified. Ensure that Authority assets including signage, countryside furniture and moorings are kept in good and safe condition and that defects are noted and reported, and that prompt action is taken in accordance with asset management systems to mark hazards and obstructions. Ensure that sites operated by the Authority are used in accordance with the Authority's policies and that instances of unlawful use are promptly dealt with, and that abandoned and sunken vessels are dealt with according to the Authority's powers and procedures.
- Liaise with the Police, Coastguard, and other emergency services to ensure that the Authority's personnel and resources are appropriately used in emergency situations. Take part in emergency exercises ensuring that the Authority takes a proper role in exercises and emergency response training. Prepare emergency/major incident plans. Assume the role of designated person under the Oil Pollution Preparedness, Response and Co-operation (OPRC) regulations [Note: This is not to be confused with the "Designated Person" identified by the Port & Marine Facilities Safety Code] Provide leadership and assume responsibility in incident or emergency situations including oil spill incidents. As appropriate, to be included in the emergency call-out list provided to police, coastguard, and emergency services and, in the event of an incident, to attend and help mobilise the Authority's response.

- Liaise with a wide variety of external organisations, where necessary representing the Broads Authority at meetings.
- Negotiate and supervise the Broads Beat annual agreement to ensure optimum specialist policing liaison, support the work of the Local Access Fora (Norfolk and Suffolk) by undertaking agreed priority route management, and maintain close links with other partners as required.
- Ensure that health and safety best practice is followed by the Ranger Team and their volunteers including the routine and monitored production of risk assessments.
- Ensure that volunteers working with the ranger team are trained and supported so that they can contribute effectively to the Authority's aims and objectives and that their health and safety is protected and receive a worthwhile experience.
- In order to promote a greater understanding of the special qualities of the Broads and raise awareness about safety matters arrange with the Communications Team appropriate attendance and support at events and schools, in accordance with corporate priorities and the agreed annual programme of events.

6.7 Other Broads Authority Officers and Staff

Other Officers and staff of the organisation with marine safety responsibilities include:

- Waterways Project Officer
- Senior Rangers
- Compliance and Safety Ranger
- Waterways and Recreation Officer
- Maintenance Manager
- Construction Manager
- Plant & Equipment Manager
- Construction and Maintenance Technicians
- Rangers
- Pilots (if engaged)

In-particular, they are responsible for:

- Following the Broads Authority's procedures and SSOW
- Identifying and proposing solutions to any hazards to Navigation Area safety and safety in the workplace.
- The reporting of incidents/accidents.
- Participation in emergency responses (including exercises).
- Promote safety awareness.

The following minimum standards are set for those working in the field:

- All induction training and courses will include references to workplace health and safety issues.
- All safety representatives and volunteers working in the field must undertake health and safety awareness training.
- All staff and volunteers working in the field must undertake first aid at work training.
- All staff and volunteers working in the field must undertake manual handling training.
- All staff and volunteers required to operate vessels less than 24 m long, including those whose duties involve operating one of the Authority's public boat trips, must hold an RYA Level 2 Power Boat qualification.
- All staff and volunteers who operate vessels over 24 m long must hold a Botmasters' Licence.
- Officers responsible for fire safety and emergency procedures must have undertaken fire safety awareness training.
- Workshop machinery and powered tools must be operated by staff or volunteers who have undertaken appropriate training and are authorised to use the equipment by the relevant line manager or supervisor.
- Pesticide spraying must be carried out by certified users who have obtained PA1 and PA6 certificates.
- Only certificated users must operate forklift trucks, telescopic handlers and excavators.
- Only certified users must operate cranes and lifting equipment.

The Authority has also formed a Safety Committee, the role of which is to ensure that the Authority's safety policy is implemented effectively, that safety standards are maintained, and that health and safety at work are discussed in a forum.

6.8 Consultation and Stakeholder Engagement

The Code requires organisations to consult, as appropriate, those likely to be involved in, or affected by, their SMS. The Broads Authority is committed to full and open consultation with all interested parties regarding Navigation Area operations and SMS development. The Broads Authority recognises the importance of consultation whilst developing policies and procedures for the discharge of its duties and powers. As Duty Holder, it is also acknowledged that the marine safety will only be effective if there is commitment and involvement from all those who work in and use the Broads Authority Area of Jurisdiction. It is important that these parties are given the opportunity to contribute to assessments and procedures which could have an effect on their operations.

Marine safety is not just a matter for the Broads Authority, its officers and staff. Users are also required to minimise risk to themselves and others; in doing so they must be able to put forward to the Broads Authority their views on the development of appropriate safety policies and procedures.

Consultation takes various forms with some specific statutory obligation. On occasion, the Broads Authority may formally consult with Broads users, both commercial and leisure regarding the making of Bylaws and General Directions for example. The Broads Authority will comply with the consultation and advertising laws as detailed though statutory requirement.

The Broads Authority has several mechanisms in place for consultation.

6.8.1 Navigation Committee

The role of the Navigation Committee is to reflect the position as set out in '[Section 9 of the Norfolk and Suffolk Broads act 1998](#)' Its purpose is to comment on and advise the Broads Authority on matters relating to the strategic management of the waterways. The Navigation Committee is the consultation forum for issues relating to protecting the interests of navigation, which includes safety issues.

Members of the public can attend and give notice to raise questions at meetings of the Broads Authority formal committee meetings

The membership of the Navigation Committee is defined in the Broads Act, and consists of thirteen members as follows:

- Five members of the full Authority.
- Two persons representing the interests of hire boat owners.
- One person representing the national interests of private boat owners.
- One person representing the local interests of private boat owners.
- Two persons representing the interests of passenger and goods shipping.
- One person representing other interests.
- One person appointed by the Great Yarmouth Port Authority.

The Committee receives advice from officers of the Authority who also attend.

Broads authority has published information about the Navigation Committee on the [Broads Authority website](#) which includes comprehensive details of meeting dates, agendas, minutes and outcomes.

6.8.2 Boating Safety Management Group

The Boating Safety Management Group was established to evolve the detail for the policy and processes on which the Broads Authority SMS is to be based.

The group is chaired by a member of the Authority (as a representative of the Duty Holders), with membership including:

- The Director of Delivery;
- The Head of Safety Management (“Designated Person”); and
- The Head of Ranger Services

The membership of the group also includes representatives from the Navigation Committee and outside bodies with a particular interest and involvement in boating safety issues.

The Group reports directly to both the Full Authority and the Navigation Committee on a regular basis.

The Terms of Reference for the Group were reviewed in 2012 and have been approved by the Authority. The terms of reference provide the formal nomination of the “Designated Person”.

The Group has a supervisory role, in consultation with relevant interests, for the implementation and maintenance of this SMS.

6.8.3 Broads Local Access Forum

The Broads Local Access Forum is a statutory advisory body to provide guidance and advice to relevant authorities on the improvement of public access to the countryside of the Broads Executive Area and to contribute to opportunities for the enjoyment of the area. The Forum also acts as a reference group to offer advice and comment on the Broads Authority's work relating to access land, exclusions, restrictions, and the appointment of access wardens on land where new rights of access exist.

6.8.4 SMS Stakeholders

The Broads Authority consult with the following stakeholders about various elements of the Broads Authority SMS:

6.8.5 Other Harbour Authorities

- Great Yarmouth Port Company
- ABP Ports – Lowestoft

6.8.6 Statutory/legislative bodies

- Environment Agency
- Defra
- Natural England
- Maritime and Coastguard Agency
- Association of Inland Navigation Authorities

6.8.7 Special interest groups

- Broads Hire Boat Federation
- British Water Ski and Wakeboard
- British Marine
- Inland Waterways Association
- Association of Pleasure Craft Owners
- Norfolk and Suffolk Boating Association
- Royal Yachting Association
- British Canoe Union
- British Rowing

6.8.8 Local councils

- Norfolk County Council
- Suffolk County Council
- North Norfolk District Council
- East Suffolk Council
- Broadland District Council
- Great Yarmouth Borough Council
- South Norfolk Council

6.8.9 Consultation and Communication with Staff

Formal safety meetings take place on a quarterly basis and are attended by a Broads Authority staff safety representatives.

The Broads Authority strives for consensus through consultation. Where this is not possible, the Broads Authority provides stakeholders with the reasoning behind its decisions.

6.9 Incident and Near Miss Reporting and Investigation

The Broads Authority has an incident reporting procedure that utilises the Incident Reporting and Investigation System (IRIS) application to log and record incidents. It is the Authority's policy that all reports from this system will be reviewed on a monthly basis to determine whether an amendment to the SMS might be required.

Each incident report is to be risk-assessed in accordance with the criteria at Section 5: of this SMS Document. This assessment should take into account that a low-category incident recurring regularly may, on aggregate, merit a higher category.

Category C issues are to be logged for implementation at the next scheduled SMS update.

Category B issues are to be raised to senior management, and a decision taken as to whether an immediate update of the SMS is required.

Category A issues should be notified to senior management, and an update to the SMS issued promptly.

Examples of the kind of amendment which may be required include updating a policy or changing the status of a hazard.

Where an amendment to the SMS is identified, it shall be logged for implementation at the next update, unless the severity of the situation is such that an immediate update is required.

6.9.1 Method

- Incident reporting (including statutory) requirements are observed.
- Root causes are determined.
- Risk controls are applied to reduce the possibility of recurrence and / or mitigate the consequences to "ALARP" levels.
- Conditions are monitored to ensure that the applied risk controls are effective to prevent recurrence of the incident.
- Procedures are revised to incorporate above risk controls, and changes are communicated to relevant personnel (including the other ports).

6.10 Port Marine Incident and Near Miss Reporting and Investigation

The Broads Authority is in the process of implementing the latest version of ABPmer MARNIS Incident Reporting Module as part of a full MARNIS upgrade. It is intended that Port Marine Incidents will be reported and investigated via the MARNIS System. The MARNIS System informs the requirement for making reports to MAIB based on the type and severity of the recorded incident or near miss.

In respect to marine incident investigation, the Code states: 'by ensuring that a robust, rigorous, independent investigation has been carried out, the board and the duty holder can be assured that their obligations for compliance has been addressed'. Investigations will be conducted in accordance with standard marine incident methodology to provide a:

- Accident/Incident synopsis.
- Narrative surrounding casualty events and accident events.
- A root cause analysis.
- Conclusions.
- Actions taken.
- Recommendations.

6.11 External Reporting

The Broads Authority has a statutory duty to report accidents and various other agencies, and public bodies must be advised and may be involved as follows:

MAIB reporting requirements are set out in '[The Merchant Shipping \(Accident Reporting and Investigation\) Regulations 2012](#)' and further guided by the information in '[MGN 564\(M + F\) Marine Casualty and Marine Incident Reporting](#)'

When Port Marine incidents meet the requirements for reporting to the MAIB, an Incident Report Form must be completed and forwarded to the MAIB. The form is available on the MAIB website '[Report an marine incident](#)'. The completed form should be saved to file and can then be submitted online.

The HSE holds enforcement authority for onshore safety matters, including activities carried out in dockyards, dry docks, and on slipways. Requirements for reporting under RIDDOR are detailed within the Broads Authority's management procedures for its premises.

Any Incidents or near misses where there is a suspicion of a criminal offence being committed with be advised to the police and guidance taken on evidence gathering and investigation agency primacy.

6.12 Reporting Guidance

Figure 9 sets out the Broads Authority Decision Tree guidance for internal and external reporting:

6.12.1 Incidents Involving Drugs or Alcohol

Commercial users (vessel masters and crew) suspected of being under the influence of alcohol and/or drugs may be committing an offence under Part 4 of [the Railways and Transport Safety Act 2003](#) the Navigation Officer has the power to detain a vessel, if it is suspected that a mariner (master, pilot, seaman) has committed a drink or drugs related offence when on duty. The power can be exercised only if the Navigation Officer summons a police officer before, or immediately after the vessel is detained. The power of detention lapses after the police officer has decided whether to administer a preliminary test and has notified the Navigation Officer of that decision.

6.12.2 Enforcement

The Broads Authority, as Duty Holder for the Broads Navigation Area, is responsible for the enforcement of its regulations which are in place to manage safe and efficient port marine operations. Principally, this means enforcement of Byelaws and Directions issued by the Broads authority under powers conferred by legislation set out in Section 4: of this SMS document.

The Broads Authority has issued a '[Navigation enforcement Policy](#)'.

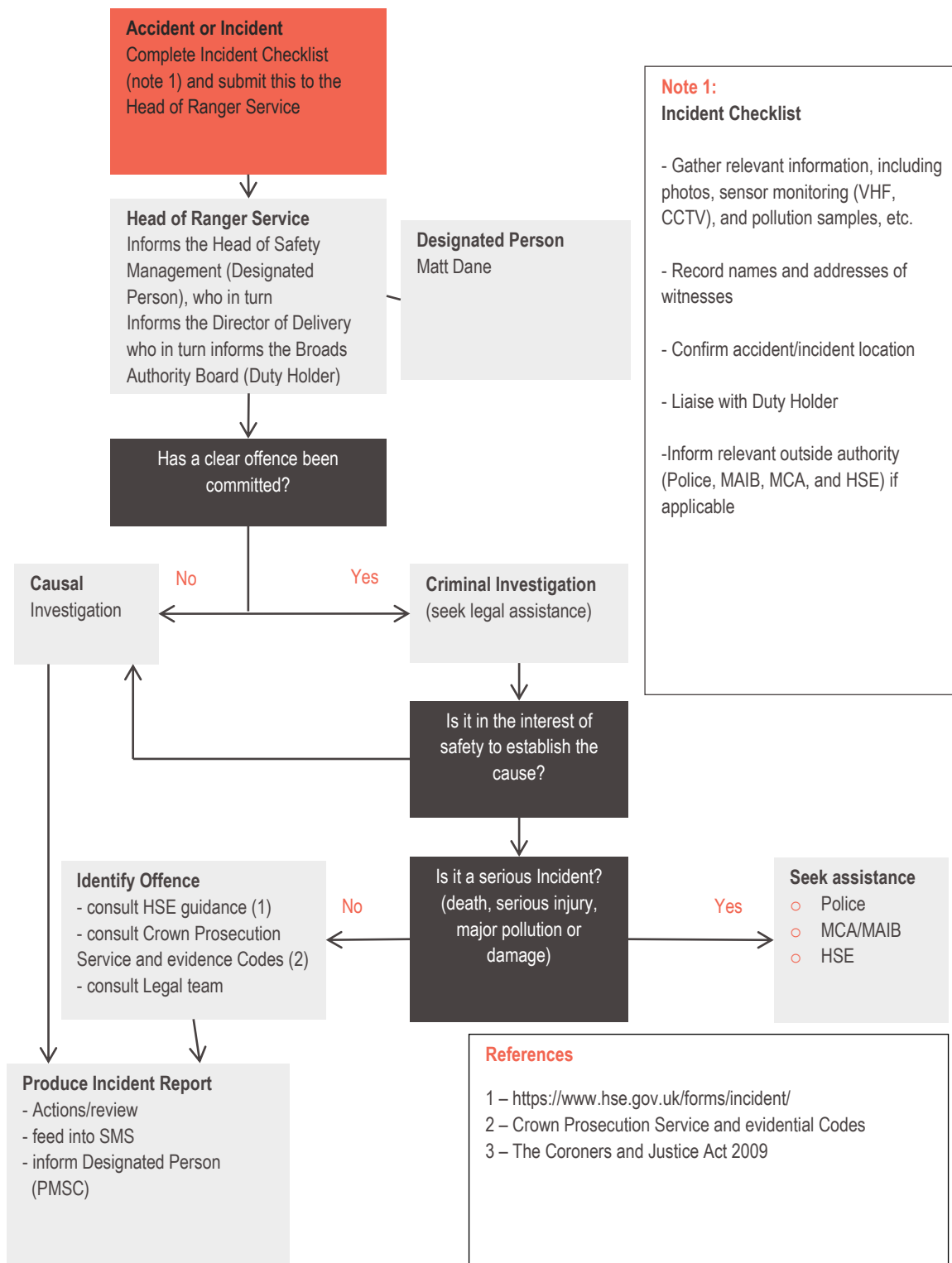


Figure 9 Accident/Incident Decision Tree

Section 7: Review and Audit

The Broads Authority has established a regular and systematic process in place to review and audit all their requirements for marine safety. These will assist in understanding current levels of compliance, highlighting areas for improvement, enhance credibility through independent verification, and deliver wider benefits through better planning and budgeting.

Comprehensive review of plans, SMS, documents records and reports ensure they remain current and fit for purpose. The trigger for a review might be, for example, in response to the regular review cycle, an incident or accident, a MAIB report, a Code self-compliance statement, a change in procedures or any other amendment.

The Broads Authority SMS will evolve and develop as the Broads area changes. Effective management and maintenance of the SMS will be required, to monitor any changes and the impact that those changes have on safety.

7.1 Monitoring

The Broads Authority will monitor the management and safety of navigation and the safety of all Navigation Area users and staff through performance measurements.

7.1.1 Proactive Monitoring

Which is used to monitor the achievement of plans and the extent of compliance with any standards. Active monitoring includes periodic formal inspection of management system and procedure to ensure the procedures documented within the Ports Marine Safety Code are functioning and meeting the requirements. This is generally achieved by reference to a defined set of performance indicators. The Broads Authority publishes its monitoring statistics and performance on the [Broads Authority website](#).

Table 8 Broads Authority PMSC KPI

PMSC Chapter	Provision / Activity	Objective	Measure
1	Duty Holder	Duty Holders to have received training on their role and responsibility under the Code in the last three years.	100% of Duty Holders trained
		Duty Holders to have undertaken an operational tour of the Broads Navigational area in the last three years	100% of Duty Holders undertaken an awareness tour

PMSC Chapter	Provision / Activity	Objective	Measure
2	Designated Person	Report by the Designated Person to the Duty Holder at least once per year.	Annual
3	Legislation	Review legal duties and powers at least once every three years.	Three years
4	Duties and Powers	MAIB Reportable Incidents: make all reports to the MAIB within 24 hrs, with investigation followed up.	24 hrs initial report, investigation sent at incident close
		Number of recorded incidents.	No target set, however, the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of the SMS.
		Number of oil spill incidents	No target set, however, the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of a Safety Management System).
		The number of formal written warnings issued by Rangers	No target set, however, the indicator provides a measure of the level of activity
		The number of piloted movements undertaken within the reporting period	No target set, however, the indicator provides a measure of the level of activity.
		The number of escorted movements undertaken in the reporting period	No target set, however, the indicator provides a measure of the level of activity.
		Number of moorings and land sites which are overdue inspection (Target: Zero).	Target: Zero.

PMSC Chapter	Provision / Activity	Objective	Measure
5	Risk Assessment	All Marine Risk Assessments to be in-date.	100% in-date
	Risk Assessment	Number of non-ALARP hazards (Target: Zero).	Target: Zero.
6	SMS	Review of all NIFHA Ports Policies on a three-yearly basis.	Three years
		The Safety Management System will be reviewed annually (or following any significant industry changes).	Annual
7	Review and Audit	External Audit completed three yearly.	Three years
8	Competence	Ensure staff with marine safety responsibilities are trained to undertake their duties.	100% of mandatory training completed
9	Plan	Publish a three yearly 'Marine Safety Plan' (this plan).	Published and in-date
		Publish an assessment of the organisation's performance against the last plan.	Three years
10	Conservancy	Aids to Navigation: Three-year performance meets or exceed IALA performance threshold.	Cat 2 = 99.0% Cat 3 = 97.0%
		Delivery of Annual dredging programme however a phased increase in target may be preferred based on the Waterways Management Strategy Action Plan).	100% delivered
		The number of navigational aids (markers/buoys/lights) which are overdue for scheduled inspection	Target zero
		The number of Channel markers and buoys renewed against annual maintenance programme.	Target -meet maintenance program

7.1.2 Reactive Monitoring

which is used to monitor accidents, ill health, incidents and other evidence of health and safety performance, such as incident reports and near misses. Reactive monitoring is performed in response to reports of accident, incidents/near misses and information regarding non-compliance that tend to be generated through the internal and external audit process.

7.2 Audits

Audits will be carried out by the Designated Person or delegated officer at regular intervals. Audits of the Broads Authority SMS aim to meet the following objectives:

- To monitor the overall effectiveness of the system.
- To identify and implement ways of improving overall performance.
- To confirm that relevant procedures are understood and being actioned by those involved.

Monitoring of performance indicators provides a useful guideline as to how well the system is functioning; however, an occasional in-depth analysis of the SMS is required.

The Designated Person will conduct annual internal audits of specific areas of the SMS, record the findings, and implement any action which arise as a result.

Every three years, the Broads Authority will arrange for a full audit to be undertaken by an independent third party to gain an objective opinion of the effectiveness and suitability of the SMS to meet its objectives, and to verify continued compliance with the Code.

Table 9 sets out the proposed schedule for the conduct of full and internal audits.

Table 9 Broads Authority Audit Schedule

Year	Subject
1	Conservancy and Management of Navigation and Marine Services
2	Hazard/Risk Assessments, Emergency Response and Pilotage
3	Full System Audit

The Designated Person will have responsibility for conducting internal audits, reporting the outcomes of all audits to the Duty Holder, and arranging for the results to be published.

Where audits identify areas for improvement or non-compliances, an Action Plan will be developed to rectify these issues.

The audits will be timed to feed into a statement that will be made in the Broads Authority Annual Report on the navigation safety performance of the Authority. It is a requirement of the Code (paragraph 9.1-9.2) that a Marine Safety Plan (MSP) is published covering a period of up to 3 years. It is a requirement that subsequent MSP report on performance against the previous period MSP.

An external audit of the SMS was completed in September 2025 which produced a report 'Assurance Review of Ports & Marine Facilities Safety Code' which sets out the findings and recommendation together with the Broads Authority initial responses. Progress against these recommendations is reviewed and monitored by the Boat Safety Management Group and the Audit and Risk Committee.

7.3 MCA Compliance Exercise

When promulgated by the MCA, the Broads Authority Board, as Duty Holder, participates in the MCA Compliance Exercise to confirm compliance with the requirements of the Code.

Section 8: Competence

Under the Code, all persons involved in the management and execution of marine operations should be qualified and trained to the requirements of the position. The Broads Authority has a policy on Learning and Development, which demonstrates the Authority's commitment to identifying and providing an appropriate level of training and development for all staff employed by the Authority.

The Broads Authority has a Marine Operations Training Policy which details training needs following a formal skills matrix analysis of both safety management personnel, field personnel and those personnel with direct responsibility from their collective roles as Navigation Officer. This policy allows for the review of compliance and equivalence qualifications or experience with the National Occupational Standards for Port Marine Operations.

Where possible, those with the required qualifications and experience will be employed to perform marine roles. If a suitable applicant does not hold all the relevant qualifications set out in the training matrix, a training plan will be required once employment commences.

8.1 Methods

Training needs are assessed based on individual staff development plans and job requirements. Training and refresher training is provided to Broads Authority staff at all levels to ensure competence to carry out both on-shore and marine duties. The application of National Occupational Standards for port marine personnel is kept under review and relevant training provided as required.

Section 9: Plan

The Code provides detail on the way in which Organisations should show commitment to maritime safety and to ensuring the involvement of users.

The Code requires a 'safety plan for marine operations' which should be published at least once every three years. The Broads Authority publishes a three yearly 'Marine Safety Plan' for its 'Standing Marine Operations Objectives'. The extant plan covers the period 2026-2028. And is published on the Broads Authority Website [Port Marine Safety Code](#)

As required by [Section 3 of the 'Norfolk and Suffolk Broads Act 1988'](#), the Broads Authority has produced a five-year plan, known as the '[Broads Plan 2022 – 2027](#)'. The Broads Plan is a plan for the Broads, not a Plan for the Broads Authority.

The 'Broads Plan' is the key management plan for the Broads. It sets out a long-term vision and guiding actions for the benefit of the natural and cultural environment, local communities, and visitors. The plan is reviewed and updated every 5-7 years. The current Broads Plan was adopted in 2022 and covers the period 2022-2027. While the Broads Authority is responsible for its production, it is a partnership plan for the Broads, and its success very much depends on a common vision, strong partnership working and the best use of shared resources.

[Theme C4 of the current Plan](#), Maintaining and Enhancing the navigation identifies several objectives related to safety management. These objectives are broken down into sub-objectives which are set out in the plan.

Section 10: Conservancy Duty

The code states that *"all organisations which have responsibility for the operation and maintenance of marine facilities should ensure that these are in good repair and are fit for purpose. This is vital to ensure that any vessels using them can do so safely but also makes good business sense since regular maintenance supports continued effective and efficient operations, reduces costs in the long term and assets in better condition retain greater intrinsic value"*.

10.1 Conservancy

[Section 10 of the 'Norfolk and Suffolk Broads Act 1998'](#) gives the Authority the duty to maintain the navigation area for the purposes of navigation to such standard as appears to it to be reasonably required and take such steps to improve and develop it as it thinks fit.. This means that the Duty Holder will ensure it is fit for navigation use and has a duty of reasonable care to see that the Navigation Area is in a fit condition for a vessel to utilise it safely. The Duty Holder issues a 'Conservancy and Hydrographic Policy'.

10.2 Management of Hydrography

Comprehensive and repeated hydrographic surveying has been carried out since 2005. This monitoring covers all areas of the public navigation managed by the Broads Authority and is repeated no less than every five years.

The Broads Authority is duty bound to provide hydrographic information to its port users. However, the United Kingdom Hydrographic Office (UKHO), the organisation who prepare admiralty charts, do not require the Authority to publish the data to them. UKHO do not prepare charts for inland areas which have such infrequent commercial traffic and where the harbour authority would provide a mud pilot in such rare events.

The Broads Authority publishes up to date hydrographic data for the whole of the Navigation Area on the [Broads Authority website](#) this data includes notes on navigating each area of the Broads network.

A Waterways Specification has been drawn up identifying the recommended channel depths (depth below mean low water) for all areas of the Navigation Area. The various depths and mapping of the Waterways Specifications are described in the [Waterways Management Strategy and Action Plan](#) This strategy and associated action plan also sets out the dredging and waterways maintenance regime across the Broads.

[The Broads Plan 2022-27](#) sets out objectives to reduce the sediment input into the Broads river system at a catchment wide level. The objective also seeks to sustainably re-use or dispose of dredged material. The Authority is working with local landowners and farmers on management techniques to

reduce run-off from fields. And in recent years has pioneered the reuse of sediment for bank re-creation and conservation benefit.

The Rangers respond to specific instances of sedimentation or shoaling reported by users of the Broads and will mark shallow areas with buoys or posts.

10.3 Dredging

The Broads Authority undertakes a comprehensive dredging program, supported by the hydrography function, and informed by the [Waterways Management Strategy and Action Plan](#) and [The Broads Plan 2022-27](#).

The Broads Authority publishes extensive information about its dredging activities, methods employed, completed and plans works on the [Broads Authority website](#)

10.4 Aids to Navigation

Several parts of the Broads Authority Navigation Area are marked, either by posts or buoys, to clearly define the safe navigable channels in accordance with the [Waterways Management Strategy and Action Plan](#). This includes marking the maintained channels across shallow Broads, examples being Rockland Broad, Hickling Broad and Breydon Water.

There are 3 different categories of channel markers:

- Channel markers recognised by Trinity House. These are the channels posts on Breydon water, which was formerly under the Great Yarmouth Port jurisdiction, transferred to the Authority in 2012.
- Channel markers to mark new flood defence works, installed on behalf of the Environment Agency to protect these areas.
- Other channel markers, including those marking navigable channels on narrow Broads, not inspected by Trinity House.

The Broads Authority has developed a Geographic Information System (GIS) based Asset Management System to regulate the management of navigation channels. The system will flag up planned regular inspections and maintenance as it becomes due and allows Rangers to record observed problems with navigation channel markings. If an issue is reported against an Aids to Navigation (ATON) which falls under the responsibility of Trinity House an email is generated to the Head of Ranger Services who is then responsible for adding the defect to the Trinity House defect reporting system, (LARS)

When assessing which type of mark is suitable at each location, the Broads Authority takes into consideration the category of water, likely conditions on the stretch of water, distance marks need to be seen from and type and amount of river traffic. Usually, posts are installed in preference to buoys. This is because buoys can often be pulled out of position by wind, tide or by vessels.

Posts on Breydon historically had caps with white tops. This practice has been phased out as during high tides the caps could be lifted off the posts. The new metal posts are also easier to maintain without the caps.

Cable and Gas crossing signs are also included as ATON. All the cable crossing signs are listed with Trinity house and checked annually as part of Trinity House formal inspections. The signs are the responsibility of the organisation who are responsible for the hazard, so for electrical cable crossings these are the responsibility of United Kingdom Power Networks (UKPN)

It is the Broads Authority Policy that it will:

- Carry out annual visual checks on each channel marker and cable and gas crossing signs, as well as recording defects seen as part of routine patrolling by the Ranger team. Issues will be recorded, and the defect rectified or controlled (such as a temporary replacement) within the defined timescales.
- For those ATON which fall under the responsibility of Trinity House, keep an up-to-date record of these ATONs (Aids to Navigation) and report any defects to Trinity House using their defect reporting system, LARS
- Ensure ATON availability targets as set by Trinity house are met.
- Keep the Channel markers and ATON under review if defects occur and as part of a five-year review to determine if the amount and type of marks is sufficient or if any can be removed if no longer required.

10.5 Tidal Heights and Streams

The Rivers Yare, Bure and Waveney empty directly into the sea at Great Yarmouth and are strongly tidal. At Great Yarmouth itself, the difference between high and low tide can be as much as 2.2 m, with strong tidal currents flowing.

The strong tidal flow introduces hazards for navigation, for example on the approach to obstacles such as bridges, especially for inexperienced people at the helm. The tidal range means that certain areas are only navigable at certain states of tide. Areas such as the mud flats of Breydon Water are under water at high tide, but not safe to navigate at any time, due to the high risk of grounding.

To mitigate this risk, the Broads Authority maintains channel markings in certain areas. Examples are Rockland Broad, Barton Broad and Hickling Broad, as well as the lower reaches of the rivers Yare and Bure and Breydon Water.

The Authority also publishes tide tables, in the form of an annually published booklet, and monthly tide tables are placed on the [Broads Authority website](#).

Information is also published, both online and in "The Broadcaster" visitor newspaper, providing advice on navigating the strongly tidal area upstream of Great Yarmouth.

10.6 Marking Hazards

The Broads Authority has a duty to mark hazards within the navigation. On the Broads the locally recognised method of doing this is via a yellow post or buoy. The type of mark is determined by the conditions in which it is being deployed and the length of time it is anticipated it will need to remain in place. Hazards can include sunken vessels, trees fallen in the river and hazardous piling.

In areas where the hazard has a significant impact on the channel, orange flashing lights may also be deployed to ensure anyone navigating after dark is able to clearly see it (as set out in the works licence guidance).

Pontoons managed by the Authority are currently marked with lights on a case-by-case basis. To bring the marking of pontoons, such as layby pontoons for bridges, in line with marking of other structures along the navigation channel a project is currently underway to replace the existing lights with orange flashing lights on both the up and downstream front edges of pontoons.

Rangers undertake checks on the marks as part of routine patrolling to ensure they are in position until the hazard has been removed.

10.7 Management of Trees and Scrub

There are many trees on land adjacent to the Navigation Area which pose safety hazards directly through their growth out into the channels restricting the navigable space, or from falling limbs or whole trees.

The overwhelming majority of riverside trees are on third party land, with the Authority is only directly responsible for individual tree safety on land that it has responsibility for (for example freehold, leasehold, or other management agreements with the landowner).

A process for the management of riverside trees [Waterways Management Strategy](#) has been developed which sets out intervention regimes based on navigational safety priorities. In addition, Rangers carry out regular site inspections and checks on trees to identify any potential faults and arrange for corrective action to be taken.

Trees on Broads Authority managed land are checked following an “amber warning for wind” issue by the metrological office.) has been developed which sets out intervention regimes based on navigational safety priorities. In addition, Rangers carry out regular site inspections and checks on trees to identify any potential faults and arrange for corrective action to be taken.

Trees on Broads Authority managed land are checked following an “amber warning for wind” issue by the metrological office.

10.8 Changes to Aids to Navigation

Any changes to formal navigational aids are made in consultation with Trinity House (the GLA) and in accordance with their requirements in order to obtain 'Statutory Sanction'.

10.9 Wrecks and Abandoned Vessels

[Section 10\(1\)\(a\) of the Norfolk and Suffolk Broads Act 1988](#) states: "*The Authority shall maintain the navigation area for the purposes of navigation to such a standard as appears to it to be reasonably required:*" and (b) *take such steps to improve and develop as it thinks fit*".

[Schedule 5\(12\) \(1\)](#) states: "*The Authority may raise, remove or destroy any vessel which has been sunk, stranded or abandoned, or which is unserviceable*"

[Section 19 \(Powers as to unsafe vessels\)](#) and [Section 20 \(Removal of Unsafe vessels\)](#) of the 'Broads Authority Act 2009' provide the Broads Authority with powers to remove unsafe vessels

On the 3 April 2025 the Navigation Committee considered a paper '[Abandoned and sunken vessels and financial implications](#)'. This paper sets out the present procedures in place for the management of sunken and abandoned vessels and proposed additional options to reduce the financial burden of managing wrecked and abandoned vessels.

Abbreviations/Acronyms

Abbreviation/Acronym	Definition
ABP	Associated British Ports
ABPmer	ABP Marine Environmental Research Ltd
ACOP	Approved Code of Practice
AINA	Association of Inland Waterways Authorities
ALARP	As Low As Reasonably Practicable
am	Ante Meridiem
ATON	Aids to Navigation
BA	Broads Authority
BAPS	Broads Authority Paddling Scheme
BSS	Boat Safety Scheme
CCTV	Close Circuit Television
CHA	Competent Harbour Authority
Code	Ports & Marine Facilities Safety Code
COP13	Inland Waters Small Passenger Boat Code
Defra	Department for the Environment, Food and Rural Affairs
DfT	Department for Transport
DGHAR	Dangerous Goods in Harbour Area Regulations
FRA	Formal Risk Assessment
FSA	Formal Safety Assessment
GIS	Geographic Information System
GLA	General Lighthouse Authority
GtGP	Guide to Good Practice on Port and Marine Facilities
HDPCA	Harbours, Docks and Piers Clauses Act 1847
HSE	Health & Safety Executive
IALA	International Organization for Marine Aids to Navigation (formerly the International Association of Lighthouse Authorities)
IRIS	Incident Reporting and Investigation System
KPI	Key Performance Indicator.

Abbreviation/Acronym	Definition
LARS	Local Aids to Navigation Reporting System
LLA	Local Lighthouse Authority
LOA	Length Overall
LPS	Local Port Services
M	Million (Pound UK Sterling)
MAIB	Marine Accident Investigation Branch
MARNIS	Maritime Navigation and Information Services
MCA	Maritime and Coastguard Agency
MGN	Marine Guidance Notes
MPX	Master Pilot Exchange
MSP	Marine Safety Plan
NERC	Natural Environment and Rural Communities
NIFHA	Northern Ireland Fishery Harbour Authority
NNR	National Nature Reserve
OP	Operational Procedure
OPRC	Oil Pollution, Preparedness, Response and Cooperation Plan
PA	UK Legal Qualification Certificate for Handling of Pesticides
pm	Post Meridiem
PMSC	Ports & Marine Facilities Safety Code
£	Pound (UK Sterling)
Q	Quarter (Year)
QAB	Quality Accredited Boatyard Scheme
Ramsar	Convention on Wetlands (Ramsar, Iran, 1971)
RASSOW	Risk Assessment and Safe System of Work
RIB	Rigid Inflatable Boat
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
RNLI	Royal National Lifeboat Institution
RYA	Royal Yachting Association
SAC	Special Area for Conservation
SAR	Search and Rescue

Abbreviation/Acronym	Definition
SHA	Statutory Harbour Authority
SMS	Safety Management System
SOSREP	Secretary of State Representative
SSOW	Safe Systems of Work
SSSI	Site of Special Scientific Interest
UK	United Kingdom
UKHO	UK Hydrographic Office
UKPN	United Kingdom Power Network
VHF	Very High Frequency
VTS	Vessel Traffic System

Cardinal points/directions are used unless otherwise stated.

SI units are used unless otherwise stated.

Glossary of Terms

Term	Definition
Competent Harbour Authority	Any harbour authority which has statutory powers in relation to the regulation of shipping movements and the safety of navigation within its harbour, and whose harbour falls wholly or partly within an active former pilotage district (Source: Pilotage Act)
Designated Person	Provides independent assurance to the Duty Holder that the SMS is working effectively, and to audit the Authority's compliance with the Code (Source: PMSC).
Duty Holder	Each board member of a harbour authority must accept responsibility for ensuring that the Authority discharges its duties and powers to the standards laid down. The members are, severally and collectively, the Duty Holder (Source: PMSC)
Harbour	The area or areas inside the limits of which the harbour authority's statutory powers are exercisable (Source: Pilotage Act).
Impact	The severity (in terms of people, assets or the environment) of an incident or accident occurring as a result of a hazard.
Likelihood	The chances of an incident or accident occurring as a result of a hazard.
Marine Operations	Marine Operations means the moving, berthing un berthing of ships and other marine craft within the limits and approaches of the harbour Authority (source: A Guide to good Practice on Marine Port Operations).
Ramsar	The Convention on Wetlands, signed in Ramsar, Iran, in 1971, an intergovernmental treaty which provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources.
Risk Class	The classification of a risk, in terms of tolerability, based upon its likelihood and impact

Term	Definition
Statutory undertaker	Persons authorised by enactment to carry out any railway, light railway, tramway, road transport, water transport etc. undertaking. Any public gas supplier, water or sewerage undertaker, the Environment Agency, the Post Office and the Civil Aviation Authority are deemed to be Statutory Undertakers (Source: Town and Country Planning Act 1990, 262).



Broads Authority

Appendix 2 - Marine Safety Plan (MSP) 2026-2028



Version Control

Date	Version	Update Reason	Author	Authorised (Duty Holder)
April 2026	1.0	New plan period		

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Section 1: Introduction

The Broads Authority was established through the [Norfolk and Suffolk Broads Act 1988](#) and began operating as a Special Statutory Authority in 1989. In 2006 the Broads Authority promoted a second act, the primary purpose being to introduce greater safety controls on broads and rivers, obtaining powers of General and Special Direction. [The Broads Authority Act 2009](#) received Royal Assent in July 2009. The Broads Authority promoted [The Broads Authority \(Pilotage Powers\) Order 1991](#) confirming its status as a Competent Harbour Authority (CHA) as set out in the Pilotage Act 1987.

Broads Authority is defined as a Special Statutory Authority with duties to protect the “Interests of Navigation” and as a Local Lighthouse Authority (LLA) with respect to aids to navigation by virtue of [Section 193 of the Merchant Shipping Act 1995](#).

The Ports & Marine Facilities Safety Code (PMSC) is published by the Department for Transport and sets out a national standard for port marine safety. The Code applies to all Harbour Authorities and other organisations such as marine facilities, berth owners and terminals operators in the UK.

As part of its compliance with the requirements of the PMSC, the Broads Authority publishes this safety plan for marine operations which covers a period of three years. This ‘Marine Safety Plan’ (MSP) is one component of a comprehensive (strategic level) Marine Safety Management System (MSMS) and serves to support the continuing improvement of marine safety performance.

This MSP commits the Broads Authority to undertake the proper management and regulation of marine operations within the scope of its powers and authority, and in line with its stated marine policies.

Section 2: Previous Marine Safety Plan Report

This is the first MSP published by the Broads Authority. For future MSP, this section will provide a brief report on the Broads Authority’s performance against the previous MSP.

Section 3: Marine Policies

The Broads Authority duties and responsibilities are significantly wider than the management of the Navigation Area. The Broads Authority has issued the following high-level policies that inform its duties and responsibilities including those for the Navigation Area.

- o [Health, Safety and Wellbeing Policy](#)
- o [Biodiversity Policy](#)
- o [Biodiversity Net Gain Policy](#)
- o [Natural Environment Policy](#)
- o [Mitigating recreational Impacts](#)
- o [Mitigating Nutrient enrichment Impacts Policy](#)
- o [Major Development in the Broads Policy](#)
- o [Embodied Carbon Policy](#)
- o [Responding to the Carbon Emergency Policy](#)
- o Learning and Development Policy [\[internal link to policy\]](#)

The Broads Authority as Duty Holder has issued the following high-level policies that inform marine operations and safety management:

- o [Navigation Safety Policy](#)
- o Marine Operations Training Policy [\[Internal link to policy\]](#)
- o [Navigation Enforcement Policy](#)

Additionally, the Broads Authority as Duty Holder has issued the following marine operationally focussed policies that inform the MSMS procedures in place within the Navigational Area.:

- o Weather Forecast Policy
- o Conservancy and Hydrographic Policy
- o Towing Policy
- o Blue Light Policy
- o Hazard Management Policy
- o Pilotage Policy
- o Mooring Safety Policy
- o Bridge Policy

The above can be accessed on the Broads Authority Website <https://www.broads-authority.gov.uk/>

Section 4: The Management of Marine Operations

A comprehensive overview of the Broads Authority, management and documentation is maintained in the MSMS document which supports the delivery of this Plan. Audits of the MSMS are undertaken on an annual basis by the Designated Person and three yearly by an external contractor. The Broad Authority is committed to ensuring a positive safety culture and to enhancing its risk-based MSMS.

Risk assessments identify marine hazards and identify control measures to mitigate those risks within the Broads Authority Navigation Area, risk tolerability thresholds and aligned with the principle of ALARP (As Low As Reasonably Practicable). The Broads Authority has a responsibility to provide vessel traffic management and, as far as its powers allow, to facilitate the safe transit of vessels using the Broads Authority Navigation Area.

The Broads Authority strives to ensure that commercial pressures do not undermine the safe provision of services and the efficient discharge of its duties.

Section 5: Plan Period

This plan covers a three-year period from April 2026.

Section 6: Management Objectives

The Broads Authority has split its objectives into two sets, the first addresses 'Standing Objectives' the second set addresses 'Period Objectives'.

6.1 Standing Objectives

The objectives support high level targets linked to key Code compliance. the targets are informed by the Broads Authority Key Performance Indicators (KPI) and fulfils the requirement of the Code for the Duty Holder to maintain a 'Marine Safety Plan'.

The Broads Authority publishes its monitoring statistics and performance on the [Broads Authority website](#).

PMSC Chapter	Provision / Activity	Objective	Measure
1	Duty Holder	Duty Holders to have received training on their role and responsibility under the Code in the last three years.	100% of Duty Holders trained.
		Duty Holders to have undertaken an operational tour of the Broads Navigational area in the last three years.	100% of Duty Holders undertaken an awareness tour.
2	Designated Person	Report by the Designated Person to the Duty Holder at least once per year.	Annual
3	Legislation	Review legal duties and powers at least once every three years.	Three years.
4	Duties and Powers	MAIB Reportable Incidents: make all reports to the MAIB within 24 hrs, with investigation followed up.	24 hrs initial report, investigation sent at incident close.
		Number of recorded incidents.	No target set, however, the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of the MSMS.
		Number of oil spill incidents.	No target set, however, the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of a Safety Management System.
		The number of formal written warnings issued by Rangers.	No target set, however, the indicator provides a measure of the level of activity.
		The number of piloted movements undertaken within the reporting period.	No target set, however, the indicator provides a measure of the level of activity.

PMSC Chapter	Provision / Activity	Objective	Measure
		The number of escorted movements undertaken in the reporting period.	No target set, however, the indicator provides a measure of the level of activity.
		Number of moorings and land sites which are overdue inspection (Target: Zero).	Target: Zero.
5	Risk Assessment	All Marine Risk Assessments to be in-date.	100% in-date.
	Risk Assessment	Number of non-ALARP hazards (Target: Zero).	Target: Zero.
6	MSMS	Review of all NIFHA Ports Policies on a three-yearly basis.	Three years.
		The Marine Safety Management System will be reviewed annually (or following any significant industry changes).	Annual.
7	Review and Audit	External Audit completed three yearly.	Three years.
8	Competence	Ensure staff with marine safety responsibilities are trained to undertake their duties.	100% of mandatory training completed.
9	Plan	Publish a three yearly 'Marine Safety Plan' (this plan).	Published and in-date.
		Publish an assessment of the Authority's performance against the last plan.	Three years.
10	Conservancy	Aids to Navigation: Three-year performance meets or exceed IALA performance threshold.	Cat 2 = 99.0% Cat 3 = 97.0%
		Delivery of Annual dredging programme, however a phased increase in target may be preferred based on the Waterways Management Strategy Action Plan.	100% delivered.

PMSC Chapter	Provision / Activity	Objective	Measure
		The number of navigational aids (markers/buoys/lights). which are overdue for scheduled inspection.	Target zero.
		The number of Channel markers and buoys renewed against annual maintenance programme.	Target -meet maintenance program.

6.2 Period Objectives

As required by [Section 3 of the 'Norfolk and Suffolk Broads Act 1988'](#), the Broads Authority has produced a five-year plan, known as the '[Broads Plan 2022 – 2027](#)'. The Broads Plan is a plan for the Broads, not a Plan for the Broads Authority.

The 'Broads Plan' is the key management plan for the Broads. It sets out a long-term vision and guiding actions for the benefit of the natural and cultural environment, local communities, and visitors. The plan is reviewed and updated every 5-7 years. The current Broads Plan was adopted in 2022 and covers the period 2022-2027. Whilst the Broads Authority is responsible for its production, it is a partnership plan for the Broads, and its success very much depends on a common vision, strong partnership working and the best use of shared resources.

[Theme C4 of the current Plan](#), Maintaining and Enhancing the Navigation Area identifies several objectives related to safety management. These objectives are broken down into sub-objectives which are set out in the plan.

Broads Authority reference Theme C4 of the current plan as 'Term objectives' within this MSP.