Risk, Audit and Governance Committee

23 November 2026
Agenda item number 11

Corporate Risk Register

Report by Head of Governance

Summary

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

Recommendation

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

1. Introduction

1.1. The Risk, Audit and Governance Committee's responsibilities for risk are set out in its Terms of Reference.

1.2. The Corporate Risk Register (CRR) sets out the "across the board" risks that could threaten the Authority's core business and the way it operates. Below this are Directorate Risk Registers (DRR) which are managed by each Director and identify risk that could threaten day to day operational activities. Where a new risk identified within a directorate has a revised risk score above 16 (high risk) it is automatically referred to the CRR for monitoring by Management Team and this committee. If new mitigation measures are implemented which reduce the risk's score to below 16 (moderate to low risk), the risk is removed from the CRR but retained on the DRR.

1.3. The Risk Management Policy sets out the rules and standards for managing strategic and operational risk and guides staff in assessing, monitoring and managing risk.

1.4. The Management Team (MT) has overall responsibility for the risk registers and policy, and risk owners are responsible for reviewing and updating their individual risk. Every risk is reviewed regularly or when there is a significant change in circumstances.

1.5. As requested at the meeting on 21 September 2021, the Corporate Risk Register is presented at every Risk, Audit and Governance Committee meeting.

2. Review of risk registers

2.1. A review of the Directorate Risk Registers was undertaken in October 2026 which informed the updating of the CRR. The content of the CRR was then reviewed by the Management Team on 2 November 2026, and the updated register is at Appendix 1.

2.2. Changes to the register are made using tracked changes. Any changes to the risk scores are identified with the relevant arrow, e.g. ↓↑

2.3. New Risks

A new risk 10: Failure to adapt to Climate Change, has been added to the register following the request from Members at the Risk, Audit and Governance Committee meeting in July 2026.

2.4. Updated Risks

Risk 1: Loss of key staff – this has been updated to reflect a full review of the Business Continuity Plan following the new Chief Executive's appointment.

Risk 2: Harmful actions undermining public confidence in Broads – updated to reflect the review of the Scheme of powers delegated to Chief Executive and other authorised officers, and of the Monitoring Officer protocol, both of which were presented to the Broads Authority for approval.

Risk 8: A breach in data security or data protection – updated to reflect that the Director of Delivery remains the Data Protection Officer (DPO), with the Head of Governance acting as the Deputy DPO following successful completion of the GDPR Foundation training course. Both the DPO and Deputy DPO are supported by the Governance Officer who has completed the Certified Data Protection Officer (C-DPO) training course. This provides greater resilience in not only preventing and mitigating data breaches, but also enables the Authority to meet its statutory requirements regarding responding to Freedom of Information requests and Subject Access requests.

2.5. Removed Risks

There have been no risks removed.

3. Risk Management Policy

3.1. The Authority also has a Risk Management Policy, which sets out the rules and standards for managing strategic and operational risk and guides staff in assessing, monitoring and managing risk. This policy was last reviewed and subsequently adopted at the 25 July 2025 Broads Authority meeting and is due to be reviewed again in July 2027.

Author: Lorraine Taylor

Date of report: 04 November 2026

Background papers: Risk Management Policy

Broads Plan strategic objectives: All objectives are considered in the Risk Register.

Appendix 1 – Corporate Risk Register (November 2026)

Broads Authority Corporate Risk Register

(Updated ~~July~~ November 2026)

Contents

Broads Authority Corporate Risk Register 1

Explanatory Notes 2

Risk score matrix 2

Likelihood definitions 2

Severity definitions 2

Summary 4

Risk 1 Loss of key staff 5

Risk 2 Harmful actions undermining public confidence in Broads Authority 6

Risk 3 Reduction in income and increase in costs 8

Risk 4 Failure to meet statutory purposes or requirements of other relevant legislation 9

Risk 5 Safety-related incidents (operational works) resulting in death or serious injury 11

Risk 6 Safety-related incidents (boating) resulting in death or serious injury 12

Risk 8 A breach in data security or data protection 14

Risk 9 Devolution and Local Government Reorganisation 15

Risk 10 Failure to adapt to Climate Change 16

Explanatory Notes

Risk name: risk that may affect the Broads Authority

Risk description: impact on delivery of BA objectives, service delivery, reputation

Primary impact areas: people, assets, finance, performance, reputation

Risk owner: ultimately responsible for risk

Workplan ref. the relevant item in the directorate workplan contained within the current Annual Business Plan

Risk scores: Likelihood x Severity (likelihood and severity are within range of 1-5)

Risk score matrix

Likelihood	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		Severity				

Likelihood definitions

Rating	Definition	Value
Highly likely	The event is expected to occur	5
Probable	The event will probably occur	4
Possible	The event may occur at some time	3
Unlikely	The event is not expected to occur in normal circumstances	2
Rare	The event may occur only in exceptional circumstances	1

Severity definitions

Schedule	Cost	Performance and quality	Value
<2 weeks delay	<1% of budget	Cosmetic impact only	1 Insignificant
2 weeks to 1 month's delay	1%-<2%	Some minor elements of objectives affected	2 Minor
1 month to <2 months delay	2%-<8%	Significant areas of some objectives affected	3 Moderate
2 months to <4 months delay	8%-<12%	Wide area impact on some objectives	4 Major
>4 months delay	>12% of budget	Significant failure resulting in the project not meeting its objectives	5 Extreme

Arrows (↓↑) indicate the direction of travel in the score since last review

Tasks to mitigate risk: controls/safeguards/precautions to date; noting any other factors that may influence the risk

Additional actions required: what we plan to do within the next 12 months

Summary

Table 1 below summarises each risk identified, the current risk score and whether there has been any change/amendments to the risk.

Risk	Risk Score	Status/Risk Score Change
Risk 1: Loss of key staff – this has been updated to reflect a full review of the Business Continuity Plan following the new Chief Executive's appointment.	12	Risk updated. No risk score change.
Risk 2: Harmful actions undermining public confidence in Broads – updated to reflect the review of the Scheme of powers delegated to Chief Executive and other authorised officers, and of the Monitoring Officer protocol, both of which were presented to the Broads Authority for approval.	6	Risk updated. No risk score change.
Risk 3: Reduction in income and increase in costs	12	No change.
Risk 4: Failure to meet statutory purposes or requirements of other relevant legislation	9	No change.
Risk 5: Safety-related incidents (operational works) resulting in death or serious injury	10	No change.
Risk 6: Safety-related incidents (boating) resulting in death or serious injury	15	No change.
Risk 7: A Cyber security event or a loss of service	12	No change.
Risk 8: A breach in data security or data protection – updated to reflect that the Director of Delivery remains the Data Protection Officer (DPO), with the Head of Governance acting as the Deputy DPO following successful completion of the GDPR Foundation training course. Both the DPO and Deputy DPO are supported by the Governance Officer who has completed the Certified Data Protection Officer (C-DPO) training course. This provides greater resilience in not only preventing and mitigating data breaches, but also enables the Authority to meet its statutory requirements regarding responding to Freedom of Information requests and Subject Access requests.	8	Risk updated. No risk score change.
Risk 9: Devolution and Local Government Reorganisation	9	No change.
Risk 10: Failure to adapt to Climate Change	9	New risk.

Risk 1 Loss of key staff

Risk description: Loss of working knowledge, expertise and/or close partnership associations due to key staff leaving Authority or being unavailable for long periods.

Primary impact areas: People, performance

Risk owner: Chief Executive

Date first entered on register 19/08/2019

Workplan ref: FD4; FD9; OD3; 0D6; OD11; OD13; OD18; SD1; SD2; SD3; SD4; SD15; SD16; SD17; SD18; SD20; SD22; SD23; SD24; SD27

Initial likelihood	4	**Initial severity**	4	**Initial risk score**	16

Tasks to mitigate risk: Resilience plan in place for handover period when key staff leave Authority or are unavailable for significant periods. HR policies and procedures in place to monitor absence and to support staff retention. Electronic data storage under review to allow access to any officer's files. Business Continuity Plan in place with systems back up. Plan reviewed annually (or following significant incident). Remote server enables office-based staff to work from home if required (e.g. period of quarantine).

Revised likelihood	4	**Revised severity**	3	**Revised risk score**	12

Additional actions required: Implement SharePoint online project to share data across Authority more effectively. Monitor ongoing hybrid working which was introduced to increase flexible working options.
Annual review of Directorate resilience plans.
Business Continuity Plan is reviewed annually. ~~The~~ An in-depth review of the Business Continuity Plan was undertaken in September 2026 following the new CEO's appointment. ~~reviewed in May 2026. The Plan will be reviewed again once the new CEO starts in August 2026~~.

Successful hand over of a new CEO.

return to contents

Risk 2 Harmful actions undermining public confidence in Broads Authority

Risk description: Reputational damage caused by comments or actions by Authority members or officers, with consequent harm to relationships with stakeholders and/or undermining of public confidence in Authority.

Primary impact areas: Reputation

Risk owner: Chief Executive

Date first entered on register 19/08/2019

Workplan ref: FD1; FD2; FD3; OD11; OD12; OD13; OD15; OD16; SD8; SD13; SD14; SD15; SD16; SD18; SD19; SD27; SD29

Initial likelihood	4	Initial severity	4	Initial risk score	16

Tasks to mitigate risk:

Additional Chair Briefing Notes to remind members before each meeting of their responsibility to follow the code of conduct, in particularly the principles of fairness and respect towards others.

Code of Conduct Training offered to all member in September 2025.

An email was issued from the BA Chair Reminding Members of their Code of Conduct Responsibilities in September 2025.

Code of Conduct for Members (updated March 2025) in place containing Nolan Principles of Conduct, and training given to all Members.
Code of Practice for Members of the Planning Committee and officers (July 2023).
Code of Conduct for Officers included with HR policies.
Director and Governance Officer trained in Data Protection and GDPR; staff have specific data protection training, refreshed annually.
Protocol on Member and Officer Relations in place (updated 2025).
Scheme of Powers Delegated to CEO and other authorised officers (updated Sept 2025).
Proactive communication policies relating to local and social media in place.
. In house Monitoring Officer (MO) in post from 18 May 2026, and Wilkin Chapman Rollits, with specialisms in Local Authority governance and Code of Conduct issues, remaining as Deputy Monitoring Officer. The MO is a member of the Association of Monitoring Officers and Local Government Lawyers. This enables the MO to keep abreast of changes in legislation and practices.

Monitoring Officer Protocol adopted by the Authority in September 2023.
In January 2023, Members received findings and recommendations of an independent investigation into a formal complaint about a planning matter.
All the recommendations from the VWV report have been implemented. Of particular significance is amending the ToR for the Risk, Audit & Governance Committee and establishing a Standards Committee.

Revised Standing Orders adopted by the BA in Nov. 2024 for implementation wef 1 Jan. 2025

Revised likelihood	3	Revised severity	2	Revised risk score	6

Additional actions required:	Review of Scheme of powers delegated to Chief Executive and other authorised officers was completed in ~~—~~July 2026 and approved by the Board.~~;~~ The ~~and~~ review of the Monitoring Officer protocol ~~– August 2026~~was completed and presented to the Board in September 2026.

Risk 3 Reduction in income and increase in costs

Risk description: Uncertainty about National Park and/or Navigation funding, as any reduction would affect our ability to deliver our duties, e.g.

- Awaiting NPG funding confirmation from Defra
- Loss of toll income due to changes to/ impacts on local tourism industry)
- Loss of money as a result of fraud incident against the BA, including cybercrime

Primary impact areas: Finance

Risk owner: Director of Resources

Date first entered on register 19/08/2019

Workplan ref: FD5; FD6; FD8; FD10; SD28

Initial likelihood	4	Initial severity	5	Initial risk score	20

Tasks to mitigate risk:

Regular contact with Government (DEFRA) regarding Comprehensive Spending Review.
Consideration of external funding opportunities to plug any gaps.
Regular input to Government consultations.
Prudent budgeting for Navigation and National Park expenditure. Reserves in place to mitigate against sudden drop in income.
Significant blocks of work delivered through external funds won by Authority.
Annual training in cybercrime and Counter Fraud, Bribery and Corruption given to all staff.
Review of minimum reserves undertaken and reviewed by Management Team prior to 2023/24 budget setting.
Energy insights used in budget setting process to determine impact of potential changes in the price cap.

Finance monthly review of actuals compared to the latest available budget to assist budget holders to take appropriate action.
Reducing expenditure to reflect reduced/declining income.

Revised likelihood	3	Revised severity	4	Revised risk score	12

Additional actions required:

Model expenditure options are being considered based on the new grant settlement and toll increases (Aug 202~~6~~7).

Make provision for reduction in tolls income.

Explore options on income generation and capital maximisation.

Toll/Budget workshop to be held with members Autumn 202~~6~~7.

return to contents

Risk 4 Failure to meet statutory purposes or requirements of other relevant legislation

Risk description: Underperformance in achieving, or conflict between, our statutory purposes resulting in legal issues or adverse impacts on the Broads and stakeholders (e.g. contravening Habitats Directive, loss of navigation access)

Primary impact areas: performance

Risk owner: Chief Executive

Date first entered on register 19/08/2019

Workplan ref: FD2; FD4; OD2; OD4; OD7; OD9; OD15; SD5; SD6; SD17

Initial likelihood	3	Initial severity	5	Initial risk score	15

Tasks to mitigate risk:

The Monitoring Officer work programme was presented to the Management Team in October 2025 which includes assessing legal compliance, disciplinary action process for statutory officers and member complaint procedures.

Provision of external legal services and Monitoring Officer (MO) in place until May 2026 when transferred in house.
Monitoring Officer Protocol adopted by the Authority in September 2023.
Constitutional documents in place and regularly reviewed.
Strategic plans (incl. Broads Plan) and Broads Local Plan subject to review and to Sustainability Appraisal/SEA and Habitats Regulations Assessment.
Detailed environmental practices in place, including Environmental Standard Operating Procedures.
Collaborative working in place with key stakeholders to understand and address issues and risks.
Officer level project boards in place with Wildlife Trusts, Natural England and Environment Agency to monitor progress and ensure compliance with statutory regulations.
Scientific research and monitoring ongoing to assess impacts, and mitigation measures developed if potential harm identified.

Revised likelihood	2	Revised severity	2	Revised risk score	9

Additional actions required:

Monitor annual external legal MO services.

Transfer MO services in house once training completed - MO services transferred in-house following Broads Authority approval on 15 May 2026

Continue review of Broads Local Plan.

Continue to monitor the Cunliffe Report, on the supply of safe drinking water and treatment of wastewater, and any legislation or regulation reform that will directly impact the Broads Authority.

Continue to monitor the Corry Review, on how to frame and organise regulation so that it efficiently delivers the right outcomes, and any direct changes that will impact the Broads Authority.

Continue to monitor the impact of reduced funding on the Authority's ability to undertake its statutory purposes or requirements of other relevant legislation

return to contents

Risk 5 Safety-related incidents (operational works) resulting in death or serious injury

Risk description: Death or serious injury to officer, volunteer or member of public in relation to the carrying out of operational works.

Primary impact areas: People

Risk owner: Director of Delivery

Date first entered on register 19/08/2019

Workplan ref: OD2; OD3; OD4; OD5; 0D7; OD8; OD17; SD26

Initial likelihood	5	Initial severity	5	Initial risk score	25

Tasks to mitigate risk:

Health and safety policies in place and reviewed regularly by H&S Committee and risk owners.
H&S Committee monitors and reviews incident reports; risk assessments are reviewed and updated regularly.
All staff and volunteers trained in key H&S issues; regular toolbox talks given before carrying out tasks.
Health Screening and Assessments for Noise and hand-arm vibration are provided to the appropriate staff.
Safety observations system in place to record near misses and learn from incidents that nearly happened. All accidents are investigated; regular audits are used to check control measures.
Insurance is in place for legal expenses.
Quarterly reports on H&S monitoring assessed by the Management Team.
Safety system externally audited to ensure it is fit for purpose and compliant.
External review of Hazard logs under the PMFSC carried out by ABPmer in 2025. The Safety Management System (SMS) has been updated and brought into an MCA format, by ABPmer, to ensure compliance and submitted for compliance with the MCA.

The Health, Safety & Wellbeing Policy was reviewed and adopted by the Authority in September 2024 and updated to reflect organisational changes in 2025

Revised likelihood	2	Revised severity	5	Revised risk score	10

Additional actions required:

Monitor changes in H&S legislation.

Continuous monitoring of industry best practice and implement changes where required.

Report on Health & Safety, Audit results from PMFSC and internal H&S Audit programme due to Navigation Committee in 2026/2027.

return to contents

Risk 6 Safety-related incidents (boating) resulting in death or serious injury

Risk description: Failure to exercise powers as a navigation authority and licencing authority, resulting in death and injury to boat hirers due to poor performance by hire boat operators.

Primary impact areas: Reputation

Risk owner: Director of Delivery

Date first entered on register 18/06/2021

Workplan ref: OD10; 0D11; OD12; OD13; OD14; 0D15; OD16

Initial likelihood	5	Initial severity	5	Initial risk score	25

Tasks to mitigate risk:

Safety videos were provided to boat hirers in advance of the holiday.
Improved safety information provided by Broads Authority webpages.

Ongoing safety information provided via communications channels, signage etc during the main boating season as appropriate and in reaction to emerging accident trends.
Ranger services in place providing advice to waterways users.
Survey of HBO handover procedures carried out to assess efficacy.
Broadcaster, pre-visit training videos and other safety information provided to boat hirers.
Joint training for fast water locations provided by Rangers and safety partners at Great Yarmouth Yacht Station (GYYS). Hire Boat licensing and audit of licensees in place. A program of spot checks and handover observations carried out.
Boat Safety Scheme and inspections in place.
Compulsory 3rd party insurance in place for boats.
Implemented the new Hire Boat Code, which includes the Quality Boatyard Accredited scheme, as well as HB licencing requirements for hirers of paddle craft (introduced in 2022).

Refresher training for Hire Operator staff on fast tidal waters by Rangers and safety partners delivered in 2025 at GYYS.

Annual programme of summer spot check of Hire Boat operators.

10 Super Safety Days held in 2026.

Revised likelihood	3	Revised severity	5	Revised risk score	15

Additional actions required: Review of safety incident data from 2026/27, so trends and key areas to review can be determined in Spring 2027.

return to contents

Risk 7 A Cyber security event or a loss of service

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

Primary impact areas: performance; reputation

Risk owner: Director of Resources

Date first entered on register 19/08/2019

Workplan ref: FD8

Initial likelihood	4	**Initial severity**	4	**Initial risk score**	16

Tasks to mitigate risk:

Data/IT systems are secured through firewalls, anti-virus software, password and security policies, online training for staff and HR policy. Microsoft 365 security features implemented.

Cloud back-ups.

Bi-annual internal audit of IT systems and processes carried out, including Cyber Security.

ICT security protocols were reviewed in light of staff working from home to ensure compliance.

ICT protocols on automatic deletion were instigated within Microsoft Office 365 as well and the removal of the autofill email tool to reduce message-sending errors.

Disaster recovery plan outlines potential disaster scenarios and associated recovery procedures.

Patching and upgrade policy.

Regular internal phishing exercises run to identify staff training needs.

Finance and Planning systems moved from on premise to cloud hosted.

Revised likelihood	3	**Revised severity**	4	**Revised risk score**	12

Additional actions required:

Review existing policies on a regular basis to ensure they follow most up to date security measures

Ongoing attach simulation training targeting higher risk roles including user education and awareness

Implement additional security policies – e.g. conditional access / app protection policies to control access via unmanaged or personal devices

Implementation of any actions identified through the cyber security audit.

Migration of on-premise system and data to cloud. Supplier chosen following G-Cloud evaluation and selection process. The project to start beginning of July 2026.

Cost/benefit review of network security scanning.

~~Project to migrate the planning system to the cloud has commenced. Target date for implementation Sept 2026.~~

return to contents

Risk 8 A breach in data security or data protection

Risk description: Failure by staff to follow GDPR processes or protocols, allowing data breach.

Primary impact areas: performance; reputation

Risk owner: Chief Executive

Date first entered on register 19/08/2019

Workplan ref: FD8

Initial likelihood	4	**Initial severity**	4	**Initial risk score**	16

Tasks to mitigate risk:

The Data Protection Officer offered Freedom of Information and Data Breach Training to all staff in October.

A review of the Data Request processes, including FOI and DSAR, was presented by the Data Protection Officer to the Management Team in September. This included the adoption of a new workflow management process and the establishment of internal Service Level Agreements (SLAs).

~~New Data Protection Officer is no longer in post and the responsibility has reverted back to the Director of Delivery until the successor has completed DPO Certification.~~

The Director of Delivery is the Data Protection Officer (DPO), with the Head of Governance acting as the Deputy DPO following successful completion of the GDPR Foundation training course. Both the DPO and Deputy DPO are supported by the Governance Officer who has completed the Certified Data Protection Officer (C-DPO) training course.

~~-~~Certified GDPR Data Protection Officer(s) and GDPR Compliance Plan in place, and data protection training given to all staff.
All new staff to the Authority are inducted on Data Protection and the principles of GDPR.

All new staff are required to complete a Data Security induction with the DPO.

Regular ELMS training in Data Security

Revised likelihood	2	**Revised severity**	4	**Revised risk score**	8

Additional actions required:

Monitor and review case law and keep up to date with GDPR & data protection information/best practice.

Provide refresher GDPR & Data Protection online training via ELMS to all staff.

~~The Director of Delivery is the Data Protection Officer~~. ~~The successor has undertaken the DPO Certification and both officers are undertaking a handover process.~~

return to contents

Risk 9 Devolution and Local Government Reorganisation

Risk description: Failure to engage with a new territorial authority, in particularly with a new Mayor, on environmental, climate change, economic and transport (including navigation) which directly impacts service delivery within The Broads.

Primary impact areas: performance; reputation

Risk owner: Chief Executive

Date first entered on register 28/10/2025

Workplan ref: GOV4

Initial likelihood	5	**Initial severity**	4	**Initial risk score**	20↑

Tasks to mitigate risk:

The Chief Executive continues to engage with Chief Executives at territorial authorities on transitional planning.

The Chair continues to engage with respective member bodies on transitional planning.

Revised likelihood	3	**Revised severity**	3	**Revised risk score**	9

Additional actions required:

Engage any newly established territorial authority to support strategic planning and transitional work.

Arrange a meeting with the newly appointed Mayor to develop a collective view and relationship with the Broads Authority. Awaiting more information on when Mayor is likely to be appointed.

return to contents

Risk 10 Failure to adapt to Climate Change

Risk description: Failure to adapt to the effects of Climate Change and how it would impact the Authority's objectives and assets, as well as the risk to the biodiversity of the Broads.

Primary impact areas: performance; reputation

Risk owner: Chief Executive

Date first entered on register 22/07/2026

Workplan ref: SD2

Initial likelihood	5	Initial severity	4	Initial risk score	20↑

Tasks to mitigate risk: The risk to the Authority's objectives, assets and the biodiversity of the Broads is monitored through the Directorate Risk Registers which filters down through to the various work plans and strategies which guides the Authority's activities to mitigate any risks associated with increased salinity, flooding, loss of assets.

The Business Continuity Plan has detailed plans in place should there be an event where assets were not able to be accessed.

Revised likelihood	3	Revised severity	3	Revised risk score	9

Additional actions required: Consider the role of other stakeholders in addressing these risks.