

Risk, Audit and Governance Committee

24 February 2026

Agenda item number 9

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. The content of the CRR was reviewed by the Management Team in January, 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

No new risks have been added, however, updates have been made to some of the existing risks, which are set out below.

2.4. Updated Risks

Risk 1: Loss of key staff – updated to reflect the successful recruitment of the new CEO.

Risk 3: Reduction in income and increase in costs - Following discussions at the November 2025 committee meeting, a revised risk score of 12 has been applied.

Risk 4: Failure to meet statutory purposes or requirements of other relevant legislation – updated to reflect the current situation of the provision of an external Monitoring Officer.

Risk 5: Safety-related incidents (operational works) resulting in death or serious injury – provides updates on: the external audit of the Authority’s safety system; the external review of Hazard Logs under the Port Marine Facilities Safety Code (PMFSC); and the Health, Safety and Wellbeing Policy.

Risk 6: Safety-related incidents (boating) resulting in death or serious injury – update of additional actions required in regard to the review of safety incident data from 2025/26.

Risk 8: A breach in data security or data protection – update to show change in the appointed Data Protection Officer.

2.5. At the meeting held on 25 November 2025, Members highlighted that the CRR did not reflect the gap between the Government’s ambitions in conservation, biodiversity and sustainability and the capacity of National Parks’ to deliver these ambitions, and thought that capturing this risk would be beneficial. The Authority’s ability to deliver this would, however, be difficult due to the lack of clear targets being defined and that the Authority was not solely responsible for these areas.

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.

Author: Lorraine Taylor

Date of report: 10 February 2026

Background papers: [Risk Management Policy](#)

[Broads Plan](#) strategic objectives: All objectives are considered in the Risk

Register. Appendix 1 – [Corporate Risk Register \(January 2026\)](#)

Broads Authority Corporate Risk Register

(Updated ~~November 2025~~ January 2026)

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Explanatory Notes

Risk name: risk that may affect the Broads Authority

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

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

Risk owner: ultimately responsible for risk

Workplan ref. the relevant item in the directorate workplan contained within the current [Annual Business Plan](#)

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

Risk score matrix

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

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

Risk 1 Loss of key staff

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

Primary impact areas: People, performance

Risk owner: Chief Executive

Date first entered on register 19/08/2019

Workplan ref: FD4; FD9; OD3; OD6; OD11; OD13; OD18; SD1; SD2; SD3; SD4; SD15; SD16; SD17; SD18; SD20; SD22; SD23; SD24; SD27

Initial likelihood	4	Initial severity	4	Initial risk score	16
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Tasks to mitigate risk: Resilience plan in place for handover period when key staff leave Authority or are unavailable for significant periods. HR policies and procedures in place to monitor absence and to support staff retention. Electronic data storage under review to allow access to any officer's files. Business Continuity Plan in place with systems back up. Plan reviewed annually (or following significant incident). Remote server enables office-based staff to work from home if required (e.g. period of quarantine).

Revised likelihood	4	Revised severity	3	Revised risk score	12
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Additional actions required: Implement MS Teams to share data across Authority more effectively.
 Monitor the implementation of hybrid working which was introduced to increase flexible working options.
 Annual review of Directorate resilience plans.
 Business Continuity Plan is reviewed annually.
 Successful [recruitment and](#) hand over of a new CEO.

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Risk 2 Harmful actions undermining public confidence in Broads Authority

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

Primary impact areas: Reputation

Risk owner: Chief Executive

Date first entered on register 19/08/2019

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

Initial likelihood	4	Initial severity	4	Initial risk score	16
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Tasks to mitigate risk:

Additional Chair Briefing Notes will be included in November 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 Senior Governance Officer trained in Data Protection and GDPR; staff have specific data protection training, refreshed annually.

Protocol on Member and Officer Relations in place (updated 2021).

Scheme of Powers Delegated to CEO and other authorised officers (updated Sept 2023).

Proactive communication policies relating to local and social media in place.

Monitoring Officer and Deputy Monitoring Officer in place (service agreement with Wilkin Chapman LLP), with specialisms in Local Authority governance and Code of Conduct issues.

Monitoring Officer Protocol adopted by the Authority in September 2023.

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

Revised 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
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Additional actions required:

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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
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Tasks to mitigate risk: Regular contact with Government (DEFRA) regarding Comprehensive Spending Review.
 Consideration of external funding opportunities to plug any gaps.
 Regular input to Government consultations.
 Prudent budgeting for Navigation and National Park expenditure. Reserves in place to mitigate against sudden drop in income.
 Significant blocks of work delivered through external funds won by Authority.
 Annual training in cybercrime and Counter Fraud, Bribery and Corruption given to all staff.
 Review of minimum reserves undertaken and reviewed by MT prior to 2023/24 budget setting.
 Energy insights used in budget setting process to determine impact of potential changes in the price cap.
 Change of splits between National Park and Navigation recommended as part of 2023/24 toll and budget setting.
 Finance monthly review of actuals compared to the latest available budget to assist budget holders to take appropriate action.
 Reducing expenditure to reflect reduced/declining income.

Revised likelihood	3	Revised severity	34	Revised risk score	912↑
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Additional actions required: Model expenditure options are being considered based on the new grant settlement and toll increases (Aug 2026).
 Make provision for reduction in tolls income.
 Explore options on income generation [and capital maximisation](#).
 Toll/Budget workshop to be held with members Autumn 2026.

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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
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Tasks to mitigate risk: The Monitoring Officer work programme was presented to the Management Team in October 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 ~~December 2025~~ [April 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	4
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Additional actions required: Monitor annual external legal MO services.

Transfer MO services in house once training completed (~~December 2025~~ [April 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.

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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; OD7; OD8; OD17; SD26

Initial likelihood	5	Initial severity	5	Initial risk score	25
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Tasks to mitigate risk: Health and safety policies in place and reviewed regularly by H&S Committee and risk owners.
H&S Committee monitors and reviews incident reports; risk assessments are reviewed and updated regularly.
All staff and volunteers trained in key H&S issues; regular toolbox talks given before carrying out tasks.
Health Screening and Assessments for Noise and hand-arm vibration 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 ~~fit for purpose and compliance~~ it is fit for purpose and compliant.
External review of Hazard logs under the PMFSC carried out by ABPmer in 2023~~5~~, using the Boat Safety Management Group (next scheduled review in 2026). The Safety Management System (SMS) is being updated and brought into an MCA format, by ABPmer, to ensure compliance when the window for registering SMS's is open between Jan-Mar 2026.
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
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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 202~~5~~/2027~~6~~.

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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; OD11; OD12; OD13; OD14; OD15; OD16

Initial likelihood	5	Initial severity	5	Initial risk score	25
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Tasks to mitigate risk: Safety videos were provided to boat hirers in advance of the holiday.
Improved safety information provided by Broads Authority webpages.
Ranger services in place providing advice to waterways users.
Survey of HBO handover procedures carried out to assess efficacy.
Broadcaster, pre-visit training videos and other safety information provided to boat hirers.
Joint training for fast water locations provided by Rangers and safety partners at GYYS. Hire Boat licencing and audit of licensees in place. A program of spot checks and handover observations carried out.
Boat Safety Scheme and inspections in place.
Compulsory 3rd party insurance in place for boats.
Implemented the new Hire Boat Code, which includes the Quality Boatyard Accredited scheme, as well as HB licencing requirements for hirers of paddle craft (introduced in 2022).
Refresher training for Hire Operator staff on fast tidal waters by Rangers and safety partners delivered in 2024 at GYYS.
Annual programme of summer spot check of Hire Boat operators.

Revised likelihood	3	Revised severity	5	Revised risk score	15
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Additional actions required: ~~Refresher training for Hire Operator staff on fast tidal waters by Rangers and safety Partners to be reviewed in 2025 at GYYS.~~
~~Review of safety incident data from 2025/26 so trends and key areas to review can be determined, so trends and key areas to review can be determined in Spring 2026.~~

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

Cloud back-ups.

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

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

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

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

Patching and upgrade policy.

Regular internal phishing exercises run to identify staff training needs.

Revised likelihood	3	Revised severity	4	Revised risk score	12
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Additional actions required: The Data Protection Officer presented to the Management Team in October the GDPR Compliance work programme. This is to ensure there are standards in place to demonstrate compliance by design and default. The work programme includes establishing a data governance framework, undertaking assessments of our data inventory, mapping, GAP and RADAR analysis, establishing a Privacy Framework, and compliance/monitoring actions.

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

Cost/benefit review of network security scanning

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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
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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 appointed following the successful completion of the DPO Certification in September. 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.](#)

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

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

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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↑
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Tasks to mitigate risk: The CE continues to engage with CEs 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↑
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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.

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