

Annual Governance Statement 2011/12

Report by Director of Change Management and Resources

Summary: This report explains the purpose of the Annual Governance Statement, and the requirement to carry out an annual review of the Authority's systems of internal control and governance arrangements. The annual Governance Statement for 2011/12 is appended, for members' consideration.

Recommendations:

- (i) That the views and comments of the Committee are sought on the internal control systems and governance arrangements in place.
- (ii) That the Annual Governance Statement for 2011/12 and Action Plan for 2012/13 are recommended to the Broads Authority for approval, subject to any amendments or additions the Committee may wish to make.
- (iii) That the Committee confirms, subject to implementation of the improvements identified in the Action Plan, that the Authority's internal control systems and governance arrangements are considered to be adequate and effective.

1 Introduction

- 1.1 The Accounts and Audit (England) Regulations 2011 contain a requirement that an Annual Governance Statement, prepared in accordance with proper practices in relation to internal control, must be approved 'by the relevant body' (in this case the Broads Authority) and must accompany the Statement of Accounts.
- 1.2 The Annual Governance Statement requires local authorities to conduct a review at least once a year of the effectiveness of their systems of internal control and risk management, so as to give assurance on their effectiveness and/or to produce a management action plan to address identified weaknesses.
- 1.3 In addition, under the Accounts and Audit Regulations 2011 and CIPFA's Code of Practice for Internal Audit ('the Code'), the Head of Internal Audit is required to provide, on an annual basis:
 - an overall opinion on the adequacy and effectiveness of the Authority's internal control environment;
 - any qualifications to that opinion, along with the reasons for qualification;

- a summary of audit work from which the opinion was derived;
 - any issues considered relevant to the Annual Governance Statement;
 - comparison with planned and actual audit work, summarising the performance of internal audit against its measures and targets;
 - commentary on compliance with the standards of the Code; and
 - communication of the results of the Internal Audit quality assurance programme.
- 1.4 The Opinion of the Head of Internal Audit for 2011/12 is set out in a separate report within this agenda, and the key findings are summarised in the Annual Governance Statement. It is the opinion of the Head of Internal Audit, on the basis of the audit work undertaken during 2011/12, that the Authority's internal control environment is 'Adequate', in accordance with the definitions provided in that report.
- 1.5 For the purposes of this opinion, the 'internal control environment' includes the Authority's corporate governance arrangements and systems of risk management. The Head of Internal Audit has indicated, with regard to the provisions in place, that she is able to give a 'Good' opinion in relation to Corporate Governance and Risk Management arrangements. This represents a noticeable improvement on the previous year, when an 'Adequate' assurance was awarded.
- 1.6 Once agreed, the Annual Governance Statement should be signed by the Chairman of the Authority and the Chief Executive.

2 Code of Corporate Governance

- 2.1 The Authority's systems for delivering good governance are set out in the Code of Corporate Governance which was adopted by the Broads Authority at its meeting in November 2009. This document was prepared in accordance with the guidance set out in the CIPFA/SOLACE Framework '*Delivering Good Governance in Local Government*'.
- 2.2 The principles and standards set out in the Framework are aimed at helping local authorities to develop and maintain their own codes of governance and discharge their accountability for the proper conduct of business. The Framework emphasises the importance of good governance to the wider outcomes of good management, good performance, and good public engagement. It puts high standards of conduct and leadership at the heart of good governance, placing responsibility on members and officers to demonstrate leadership by behaving in ways that exemplify high standards of conduct, and so set the tone for the rest of the organisation.
- 2.3 The Authority's Code of Corporate Governance is updated annually, as part of the process of preparing the Annual Governance Statement, and is signed by the Chairman and Chief Executive.
- 2.4 Where new evidence has been identified in the Code, to contribute towards the Authority's governance arrangements, this has been included in the

2012/13 Action Plan, in order to monitor progress and ensure that it is implemented.

3 Role of the Chief Financial Officer

3.1 In 2010 CIPFA issued a document entitled '*The Role of the Chief Financial Officer in Local Government*'. The Statement supports CIPFA's work to strengthen governance and financial management across the public services, and sets out five principles that define the core activities and behaviours that belong to the role of Chief Financial Officer (CFO) in local government and the governance requirements needed to support them. These are set out in paragraphs 3.2 and 3.3 below.

3.2 The CFO in a local authority:

- is a key member of the leadership team, helping it to develop and implement strategy and to resource and deliver the authority's strategic objectives sustainably and in the public interest;
- must be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer term implications, opportunities and risk are fully considered, and alignment with the authority's financial strategy;
- must lead the promotion and delivery by the whole authority of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

3.3 To deliver these responsibilities the CFO:

- must lead and direct a finance function that is resourced to be fit for purpose;
- must be professionally qualified and suitably experienced.

3.4 It is further recommended that, in their Annual Governance Statements, local authorities should 'include a specific statement on whether the authority's financial management arrangements conform with the guidance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010) and, where they do not, explain why and how they deliver the same impact'. This statement is set out in paragraphs 3.13 to 3.16.

4 Annual Review of Governance Arrangements

4.1 The production and publication of the Annual Governance Statement is the result of an ongoing review of the adequacy of internal control systems and governance arrangements, and is not an activity which should be viewed in isolation.

4.2 The review has been informed by the work of officers of the Authority, who have responsibility for the maintenance and review of the internal control environment, internal audit reports and the recommendations made by external auditors and inspectors. It has also been informed by a survey of

senior managers, who have been asked to respond to a questionnaire analysing the adequacy of the Authority's internal control systems and governance arrangements insofar as they affect their teams, with a view to identifying any significant gaps and weaknesses.

- 4.3 Where significant weaknesses have been identified these are set out in the Action Plan (Appendix 1b). It should be noted that this Action Plan does not cover all the activities which will be undertaken during the year and which will contribute towards good governance, but focuses on those activities, and especially new initiatives and those issues identified by auditors, which will address weaknesses, ensure continuous improvement of the system and generally 'add value' to the arrangements.
- 4.4 A copy of the 2011/12 Action Plan is also appended (Appendix 2), with progress to date added. Where the appropriate action is still outstanding, it has been carried forward into the 2012/13 Action Plan.

5 Summary

5.1 The Committee is asked:

- to review and comment on the internal control systems and governance arrangements in place;
- to approve the Annual Governance Statement and confirm that it represents a true reflection of the control environment present in the Authority; and
- to confirm that, subject to implementation of the improvements identified in the Action Plan, these are adequate and effective.

5.2 The Action Plan will be implemented during 2012/13 in order that there is ongoing review and improvement of the systems of internal control and governance arrangements. Progress in implementing the Action Plan will be reported in the next Annual Governance Statement.

Background papers: CIPFA Annual Governance Statement Rough Guide for Practitioners
Internal Audit Annual Governance Statement Audit Brief
Broads Authority Code of Corporate Governance

Author: Rob Holman
Date of report: 28 June 2012

Broads Plan Objectives: None
Appendices: APPENDIX 1a – Annual Governance Statement 2011/12
APPENDIX 1b – 2012/13 Action Plan
APPENDIX 2 – 2011/12 Action Plan: Summary of Progress

Broads Authority

Annual Governance Statement 2011/12

1 Scope of Responsibility

- 1.1 The Broads Authority is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Authority also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility the Authority is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, including arrangements for the management of risk.
- 1.3 The Authority has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the Code is on the Authority's website at www.broads-authority.gov.uk or can be obtained from the Director of Change Management and Resources at Dragonfly House, 2 Gilders Way, Norwich NR3 1UB. This statement explains how the Authority has complied with the code and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 and the Accounts and Audit (England) Regulations 2011, in relation to the publication of an Annual Governance Statement.

2 The Purpose of the Governance Framework

- 2.1 The governance framework comprises the systems and processes for the direction and control of the Authority and its activities through which it accounts to, and engages with the community. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework has been in place at the Broads Authority for the year ended 31 March 2012 (except where otherwise stated) and up to the date of approval of the statement of accounts.

3 The Governance Framework

- 3.1 At its meeting on 20 November 2009, the Broads Authority adopted a Code of Corporate Governance in accordance with guidance in the CIPFA /SOLACE Framework 'Delivering Good Governance in Local Government'.
- 3.2 The Framework also included a number of supporting principles and suggestions for source documents/good practice that may be used to demonstrate compliance. These have been used by the Authority in developing its Code.
- 3.3 The purpose of the Code is:
- to develop a framework for Corporate Governance for the Authority based on good practice and external guidance;
 - to demonstrate compliance with the principles of good governance; and
 - to continuously improve its effectiveness through an annual review of performance against the framework with an action plan to address weaknesses (as set out in the Annual Governance Statement).
- 3.4 The Code sets out how the Authority delivers good governance, using as its basis the objectives set out in the CIPFA/SOLACE Framework, supported by examples of evidence which demonstrate the actions being taken.
- 3.5 At its meeting on 13 May 2011 the Broads Authority adopted the Broads Plan 2011, the strategic five year plan for the management of the Broads. As part of the development of the new Plan the Authority consulted key stakeholders (including the Broads Forum, which includes representatives of over 50 Broads organisations and user groups), partner organisations and members of the public. The Plan contains a revised vision for the Broads, for the period up to 2030, together with long-term aims, and strategic objectives for the five year period up to 2016.
- 3.6 The Authority has in place a number of procedures to ensure that it obtains best value for money in all that it does, including Financial Regulations, Standing Orders Relating to Contracts and a Procurement Strategy. These are all reviewed and updated on a regular basis; the Procurement Strategy was reviewed and updated in June 2011. The Authority benchmarks some of its key services against those of national park authorities, through the identification of a number of performance indicators, supplemented by a number of 'local' (Broads Authority only) indicators. Performance data is published in the Authority's Business Plan and over time will give an indication of how well the Authority is performing in these areas, both year on year and in comparison with national park authorities.
- 3.7 The Authority also has in place a series of internal financial controls, including approved budgets, separation of duties and authorised signatures, to reflect good practice and ensure that its finances are managed securely to minimise risk.
- 3.8 The views of users have been sought through a number of means, including questionnaires to the Norfolk Citizens Panel and all toll payers (both to be repeated approximately every three years), the national park visitor centres annual survey and an ongoing survey of users of the planning system. An on-line survey of all toll payers was carried out in February 2012.
- 3.9 The Authority communicates the results of these surveys, and other relevant information, through its website and through its regular publications Broad Sheet

(aimed at toll payers), Broadcaster, and the Annual Report. The Authority also issued two editions during 2011/12 of its electronic residents newsletter, the Broads Explorer.

- 3.10 The Authority does not operate through an Executive. All matters are dealt with by the full Broads Authority, which is the prime decision maker, and its service committees. The Authority monitors the effectiveness of internal control systems through the consideration of regular performance management and budget monitoring reports, and through monitoring and receiving reports on the work of the Financial Scrutiny and Audit Committee.
- 3.11 The terms of reference of the Financial Scrutiny and Audit Committee include responsibility for financial scrutiny, including a review of the Statement of Accounts and Annual Governance Statement, financial planning, audit and risk management.
- 3.12 The Standards Committee, comprising an independent Chairman and majority of independent members, was responsible in 2011/12 for promoting and maintaining high standards of conduct by members and assisting members to observe the Authority's Code of Conduct (although this Committee ceased to exist on 1 July 2012 as a result of the new standards regime introduced by the Localism Act 2010).
- 3.13 The Authority has appointed the Head of Finance and Revenue Services at Broadland District Council to act as its Treasurer and Financial Adviser ('the Treasurer'), to be responsible for the proper administration of the Authority's financial affairs, as set out in Section 17 (1) of the Norfolk and Suffolk Broads 1988. The Treasurer has a defined job description, appropriate delegated powers, works closely with senior officers of the Authority, in particular the Director of Change Management and Resources and Head of Finance, is consulted on key decisions, receives all committee papers which have potentially significant financial implications, and attends Broads Authority meetings as and when appropriate to provide high level strategic and financial advice.
- 3.14 The Treasurer is professionally qualified and suitably experienced. Although not a member of the Authority's Management Team, she has access to the Chief Executive and Director of Change Management and Resources and is entitled to attend meetings of the Management Team should she consider it to be necessary.
- 3.15 The Treasurer is supported by the Director of Change Management and Resources, who is a member of the Management Team and who works closely with the Treasurer in overseeing the Authority's strategic financial arrangements, and the Head of Finance, who manages the financial arrangements and internal financial controls on a day to day basis.
- 3.16 Although these arrangements do not comply in all respects with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government, they are considered to be appropriate and proportionate for the size and budget of the Authority, and have worked successfully for many years, representing a good example of partnership working between local authorities.
- 3.17 The Chief Executive is responsible for day to day management and maintenance of internal controls within the Authority, with advice and support from the Treasurer and Financial Adviser, Solicitor and Monitoring Officer, and other senior officers.
- 3.18 There are clear Terms of Reference which set out the powers reserved to the Broads Authority and its committees, and a Scheme of Powers Delegated to Officers, which

sets out the powers delegated to the Chief Executive and other senior officers. These are reviewed and updated on a regular basis.

- 3.19 The Authority has in place a Whistle Blowing Policy which enables staff to raise concerns or issues about any aspect of the Authority's work, and a formal Complaints Procedure for receiving and investigating complaints from members of the public. Both documents are on the Authority's Intranet, and the latter is also on its website.
- 3.20 The Authority's Strategic Risk Register is reviewed annually by the Management Forum so that the Management Team can provide assurance that key strategic and operational risks have been identified, monitored and reviewed during the year and that key controls to mitigate the identified risks have operated effectively throughout the year. It is also reviewed on an annual basis by the Financial Scrutiny and Audit Committee and at least six monthly by risk owners. In addition the Risk Management Strategy was updated in July 2011, and a Risk Management Workshop was held for members and responsible officers in October 2011.
- 3.21 A Partnerships Protocol and Register of Partnerships have been developed, and the Authority has identified and reviewed the governance arrangements in respect of all significant partnerships, with identified weaknesses being addressed through an Action Plan, with responsibility for action and timescales.
- 3.22 The Authority has made significant progress in developing its asset management practices over the past two years, following an Audit Commission qualification in 2009/10. Comprehensive data of all the Authority's land and property assets have been captured on a consolidated Excel database, and the corresponding paper records have been consolidated into one location. In addition the Authority has established an Asset Management Steering Group and, from 1 May 2011, a new post of Asset Officer, to ensure that the management of its asset base is given due priority.

4 Review of Effectiveness

- 4.1 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.
- 4.2 As part of this exercise the Authority reviews the Code of Corporate Governance on an annual basis. The annual review is initiated by the Director of Change Management and Resources, and includes consultations with the Management Team, the Solicitor and Monitoring Officer, the Treasurer and Financial Adviser and the Chairs of the Financial Scrutiny and Audit Committee and the Standards Committee. Other senior officers are also invited to contribute.
- 4.3 The Treasurer and Financial Adviser and Monitoring Officer have provided an assurance that, subject to the weaknesses already identified and addressed in the Action Plan, the Authority's governance arrangements are adequate and are operating effectively. They have confirmed that there have been no significant control issues that have required the need for formal action in their respective roles, significant additional funding, had a material impact on the accounts or resulted in

significant public interest, thus damaging the reputation of the Authority (*Confirmation awaited from Monitoring Officer*).

- 4.4 The Authority's Standards Committee has been asked to provide an annual ethical assessment of the activities of the Authority and what, if necessary, the Authority could do to improve its ethical standards. In its annual report to the Broads Authority on 13 July 2012 the Committee concluded that 'the ethical standards of the Authority continue to be high'.
- 4.5 Internal audit reports are considered by the Director of Change Management and Resources and other officers as appropriate, and a management response is submitted in respect of each recommendation, setting out whether the recommendation is accepted, what action will be taken, which officer is responsible and the timetable for action. Each audit report contains an independent assurance of opinion on the adequacy and effectiveness of controls in place to mitigate risks. The agreed actions are followed up subsequently to ensure implementation, thus ensuring that the Authority's risks are properly managed. A summary of all internal audit work carried out during the year is received by the Financial Scrutiny and Audit Committee, together with regular reports setting out progress made in implementing internal audit recommendations. Any significant issues of concern are brought to the attention of the the Broads Authority.
- 4.6 Attention is drawn to the audit of the Authority's Tolls Management System in December 2011, as part of the development of this new system which was subsequently implemented in February 2012. This generated the unusually high number of nine recommendations, of which one was a High priority and the remainder Medium. Consequently the audit received a 'Limited' assurance. The high priority recommendation and one other were implemented immediately, and three were outstanding as at 31 March 2012. Target dates have been set for their implementation and progress will be monitored on a regular basis.
- 4.7 The Authority has developed a strategic five year audit plan for the Authority, using a risk based approach, supplemented by an annual audit plan.
- 4.8 The Accounts and Audit (England) Regulations 2011 require that the Authority must undertake an annual review of the effectiveness of its internal audit function, and that this review must be carried out by the same body that reviews the effectiveness of the system of internal control. The aim is not only to make the Authority more aware of the work of Internal Audit and its key role in governance, but also to make those charged with governance more able to understand the connection between, and the Authority's responsibility for, risk management, internal control and the function of internal audit. This review was the subject of a separate report to the Financial Scrutiny and Audit Committee at its meeting on 10 July 2012. *The Committee concluded that proper arrangements had been put in place to comply with the statutory requirements relating to Internal Audit, and that the system of internal control at the Authority was effective. (To be confirmed)*
- 4.9 In order for the Broads Authority to be able to place reliance on the opinions contained within this report, the Head of Internal Audit has in place a performance management and quality assurance framework to demonstrate that the Internal Audit Service is:
- meeting its aims and objectives;
 - compliant with the CIPFA Code of Practice for Internal Audit in Local Government in the United Kingdom 2006;

- meeting internal quality standards;
- effective, efficient and continually looking to improve service delivery; and
- adding value and assisting the Authority in achieving its objectives.

- 4.10 Additionally the Authority is informed of the work of Audit Commission appointed auditors and inspectors, including receipt of the Annual Governance Report and annual audit and inspection letter.
- 4.11 The Head of Internal Audit is required to provide an annual opinion on the overall adequacy and effectiveness of the Authority's internal control environment, including its corporate governance framework and risk management arrangements, identifying any weaknesses that qualify this opinion and highlighting significant issues.
- 4.12 On the basis of the internal audit work undertaken during 2011/12, it is the opinion of the Head of Internal Audit that the Authority's internal control environment is 'Adequate', in accordance with the definitions provided in that report. For the purposes of this opinion, the 'internal control environment' includes the Authority's corporate governance arrangements and systems of risk management. The Head of Internal Audit has indicated, with regard to the provisions in place, that she is able to give a 'Good' opinion in relation to Corporate Governance and Risk Management arrangements. This represents a noticeable improvement on the previous year, when an 'Adequate' assurance was awarded.
- 4.13 We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the Financial Scrutiny and Audit Committee, and a plan to address weaknesses and ensure continuous improvement of the system is in place.

5 Significant Governance Issues

- 5.1 An Action Plan has been developed in order to address those significant governance issues which have been identified and to secure continuous improvement in the Authority's governance arrangements. This is set out at Appendix 1b.
- 5.2 This Action Plan has been informed not only by the results of audit and other reports, but also by the results of a self assessment assurance statement which has been circulated to all senior managers, inviting them to assess the Authority's performance across a range of governance issues, in order to identify any gaps and weaknesses and add value to the Authority's governance arrangements.
- 5.3 The Action Plan is monitored on a regular basis by the Director of Change Management and Resources, and a record of progress against the recommendations is maintained.
- 5.4 We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed
Dr J S Johnson, Chairman

Signed.....
Dr J Packman, Chief Executive

Date

Date

Annual Governance Statement 2011/12

2012/13 Action Plan

Action	Lead Officer(s)	Target Date	Priority
Asset Management			
Develop consolidated asset database	Director of Change Management and Resources/Asset Officer	By 31 March 2013	H
Identify further liabilities and associated costs arising out of Broads Authority assets, and incorporate into capital programme	Director of Change Management and Resources/Asset Officer	By 31 October 2012	H
Business Continuity			
Review and update the Business Continuity Plan and Disaster Recovery Plan to have regard to the virtualisation of the server network and changes resulting from the Premises Strategy	Head of Governance and Executive Assistant/Head of ICT and Collector of Tolls	By 31 December 2012	H
Carbon Reduction			
Develop targets for early reductions of carbon uses within the Authority's work, and identify options for tackling more challenging, longer term usage	Head of Strategy and Projects	By 31 December 2012	M
Data Management and Monitoring			
Formalise a data quality policy	Director of Change Management and Resources	By 31 March 2013	L

Action	Lead Officer(s)	Target Date	Priority
Identify a set of relevant and proportionate performance indicators to measure progress and contribute to the State of the Park Report	Strategy and Projects Officer	By 31 December 2012	M
Establish process with partners for monitoring the delivery of Broads Plan outcomes	Strategy and Projects Officer	By 31 August 2012	H
Data Protection			
Provide training for all members of staff as required in compliance with the Data Protection Act.	Head of ICT and Collector of Tolls	By 31 July 2012	H
Democratic Framework			
Undertake review of consultative arrangements	Director of Planning and Strategy	By 30 November 2012	H
Review Terms of Reference of Committees/ Scheme of Powers Delegated to Officers following completion of review of consultative arrangements	Director of Change Management and Resources	By 31 March 2013	M
Equality			
Review and update the Equalities Policy	Head of Human Resources	By 30 November 2012	H
Undertake an Equal Pay Audit	Director of Change Management and Resources/Head of Human Resources	By 31 August 2012	M
Provide training for staff and members in equalities issues	Head of Human Resources	By 30 November 2012	M

Action	Lead Officer(s)	Target Date	Priority
Collect data about staff and volunteers, to enable an equality analysis of employment policies and practices to be carried out	Head of Human Resources	By 31 March 2013	M
Health and Safety at Work			
Review and update Health and Safety Policy to include new arrangements for managing health and safety and validate risk profile	Head of Safety Management	By 31 March 2013	M
Human Resources			
Develop Workforce Strategy to clarify staffing structure and requirements from April 2013	Director of Change Management and Resources	By 31 October 2012	H
Review and update Scheme of Local Conditions of Service and all existing HR policies to ensure that they are in accordance with current legislation and where appropriate incorporate the requirements of volunteers	Director of Change Management and Resources/Head of Human Resources	By 31 March 2013	M
Provide guidance for staff to raise awareness of the Counter Fraud, Corruption and Bribery Strategy, Whistle Blowing Policy and Code of Conduct for Staff	Director of Change Management and Resources	By 31 August 2012	M
Information Technology			
Identify and develop IT strategies and policies, including for the new Tolls Management System	Head of ICT and Collector of Tolls	By 31 December 2012	M
Volunteer Management			

Action	Lead Officer(s)	Target Date	Priority
Update and develop Volunteer Handbook, Strategy, policies, role descriptions and code of conduct as appropriate, and communicate to volunteers.	Volunteer Coordinator	By 31 March 2012	M

APPENDIX 2

Annual Governance Statement 2010/11

2011/12 Action Plan: Summary of Progress

Action	Lead Officer(s)	Target Date	Priority	Progress to date
Asset Management				
Migrate asset data from spreadsheet to database, linked to Geographical Information System (GIS)	Director of Change Management and Resources/Asset Officer	By 31 December 2011	H	Draft specification developed. Progress reported to Management Forum on 19 December 2011. Project scoping being developed.
Identify further liabilities and associated costs arising out of Broads Authority assets, and incorporate into capital programme	Director of Change Management and Resources/Asset Officer	By 31 March 2012	H	Work ongoing.
Business Continuity				
Review and update the Business Continuity Plan to have regard to the virtualisation of the server network and relocation from Ludham Field Base	Head of Governance and Executive Assistant	By 31 March 2012	H	Not yet commenced. Redevelopment of Dockyard will provide improved facilities for storage of data.

Action	Lead Officer(s)	Target Date	Priority	Progress to date
Carbon Reduction				
Develop targets for early reductions of carbon uses within the Authority's work, and identify options for tackling more challenging, longer term usage	Head of Strategy and Projects	By 31 December 2011	M	Work ongoing. Approach to procurement of aggregates and timber being developed. Review of utility services undertaken and a move to a new supplier has been approved, to provide a greener tariff.
Communication				
Carry out bi-annual survey of toll payers to inform priorities and work plan activities for 2012/13	Head of Communications/ Director of Operations	By 31 March 2012	M	Completed. On-line survey carried out. Summary of responses prepared and presented to Broads Authority/Navigation Committee.
Corporate Assessment				
Finalise the corporate assessment of the Authority	Head of Governance and Executive Assistant	By 30 September 2011	H	Completed. Peer Review Group report received and Improvement Action Plan drawn up.
Data Management				
Formalise a data quality policy	Director of Change Management and Resources	By 31 March 2012	L	Not yet commenced.
Identify a set of relevant and proportionate performance	Strategy and Projects Officer	By 31 December 2011	M	Draft set of indicators prepared for consideration by Director of

Action	Lead Officer(s)	Target Date	Priority	Progress to date
indicators to measure progress and contribute to the State of the Park Report				Planning and Strategy/Head of Strategy and Projects.
Financial Management				
Review and update the Anti-Fraud and Corruption Policy, and ensure that all members of staff are aware of the contents of the policy	Head of Finance/Director of Change Management and Resources	By 31 March 2012	L	Counter Fraud, Corruption and Bribery Strategy prepared for consideration by Financial Scrutiny and Audit Committee.
Review new budgetary and coding structure to ensure a clear linkage with work programmes	Director of Change Management and Resources/Head of Finance	By 31 December 2011	H	Completed. Review of coding structure undertaken as part of the review of the 2011/12 budget.
Human Resources				
Undertake review of new organisational structure, to identify successes and shortcomings and whether any changes are necessary	Chief Executive	By 31 December 2011	H	Completed. Review undertaken by Management Team on 2 November 2011.
Review and update Scheme of Local Conditions of Service and update/develop HR policies relating to Equalities, Job Evaluation, Working Hours, Recruitment and Selection, Age Retirement, and Child Protection/Vulnerable Adults.	Head of Human Resources	By 31 March 2012	M	All policies have been reviewed. Some are in need of further updating.

Action	Lead Officer(s)	Target Date	Priority	Progress to date
Information Technology				
Identify and develop IT strategies and policies	Head of Information Technology and Collector of Tolls	By 31 December 2011	M	Not yet commenced.
Learning and Development				
Identify and complete essential training required for staff to undertake new roles/duties within the new organisation structure	Director of Change Management and Resources	By 31 December 2011	M	Completed. All essential training needs identified and training undertaken.
Provide training and guidance to budget holders in the use of the Authority's financial systems	Head of Finance	By 31 March 2012	M	List of recipients has been drawn up, and training is underway.
Provide training to line managers in managing routine HR issues	Head of Human Resources	By 31 March 2012	M	Two one day courses held in June/July 2012, facilitated by Birketts Solicitors. Options for ongoing management development training being explored with potential training providers.
Compile written procedures for new Tolls Management System	Head of ICT and Collector of Tolls/Assistant Collector of Tolls	By 30 November 2011	M	Not yet commenced.
Membership Issues				

Action	Lead Officer(s)	Target Date	Priority	Progress to date
Identify key issues, outcomes or actions arising out of the member appraisal process	Head of Governance and Executive Assistant (in association with Chairman)	By 30 September 2011	M	Completed. Report considered by Broads Authority on 23 September 2011.
Provide training for selected members in dealing with the press and media	Communications Manager	By 31 December 2011	M	Workshop on Ambassadorial Role of Members to be held as part of 2012/13 Member Development Programme.
Provide training for members of the Financial Scrutiny and Audit Committee and senior officers in risk management	Director of Change Management and Resources	By 31 December 2011	M	Risk Management Workshop for members and senior officers held on 18 October 2011, facilitated by Zurich Risk Engineers.
Volunteer Management				
Update policies and codes of conduct as appropriate, communicate these to volunteers and implement	Volunteer Coordinator	By 31 March 2012	M	Work underway.
Update volunteer database	Volunteer Coordinator/IT Project Officer	By 31 December 2011	M	System purchased, configured and tested. Now in position to upload data by migrating it from the old database.