

Broads Authority

Agenda 17 March 2023

10.00am

King's Centre, 63-75 King Street, Norwich, NR1 1PH

John Packman, Chief Executive – Friday, 10 March 2023

Under the Openness of Local Government Bodies Regulations (2014), filming, photographing and making an audio recording of public meetings is permitted. These activities however, must not disrupt the meeting. Further details can be found on the [Filming, photography and recording of public meetings](#) page.

Introduction

1. To receive apologies for absence
2. Chairman's announcements
3. Introduction of members and declarations of interest
4. To note whether any items have been proposed as matters of urgent business
5. Public question time – to note whether any questions have been raised by members of the public
6. **To receive and confirm the minutes of the Broads Authority meeting held on 20 January 2023** (Pages 3-30)
7. **Summary of actions and outstanding issues following decisions at previous meetings – to note the schedule** (Pages 31-42)

Strategy and policy

8. **Strategic direction – draft Annual Business Plan 2023/24 and strategic priorities update for 2022/23** (Pages 43-82)
Report by Senior Governance Officer
9. **Capital Funding progress report** (Pages 83-89)
Report by Chief Executive
10. **Financial performance and direction** (Pages 90-163)
Report by Director of Finance

11. **Broads Peat extension** (Pages 164-169)
Report by Environment Policy Advisor
12. **Oulton Neighbourhood Plan – adoption** (Pages 170-171)
Report by Planning Policy Officer

Governance

13. **Consultation on the County Deal** (Pages 172-180)
Report by Chief Executive
14. **Appointments to Navigation Committee** (Pages 181-185)
Report by Chair of the selection panel and the Senior Governance Officer
15. **Committee calendar 2023/24** (Pages 186-189)
Report by Senior Governance Officer

Reports for information

16. **Member report on outside bodies - Norfolk and Suffolk Broads Charitable Trust** (Pages 190-193)
Report by Paul Hayden
17. The Port Marine Safety Code: To consider any items of business raised by the designated person in respect of the Port Marine Safety Code

Minutes to be received

18. To receive the minutes of the following meetings:
[Audit & Risk Committee – 29 November 2022](#)
[Broads Local Access Forum – 30 November 2022](#)
[Planning Committee – 9 December 2022](#)
[Planning Committee – 3 February 2023](#)
19. Other items of business
Items of business which the chairman decides should be considered as a matter of urgency pursuant to section 100B (4)(b) of the Local Government Act 1972
20. To answer any formal questions of which due notice has been given
21. To note the date of the next meeting/workshop – **Friday 12 May 2023** at 10.00am at The King’s Centre, 63-75 King Street, Norwich.

Broads Authority

Minutes of the meeting held on 20 January 2023

Contents

1.	Welcome and apologies	2
2.	Chairman’s announcements	2
3.	Introduction of members and declarations of interest	3
4.	Items of urgent business	3
5.	Public question time	3
6.	Minutes of last meeting	3
7.	Summary of actions and outstanding issues	3
8.	Strategic Priorities – update	4
9.	Capital funding progress report	4
10.	Proposed charges for 2023/24 in the navigation area and adjacent waters	5
11.	Budget 2023/24 and financial strategy to 2025/26	13
12.	Broads Peat project – update	14
13.	Recommendations from external review into formal complaint	17
14.	Member report on outside bodies – Upper Thurne Working Group	20
15.	Items of business raised by the Designated Person in respect of the Port Marine Safety Code	20
16.	Minutes to be received	20
17.	Other items of business	20
18.	Formal questions	20
19.	Date of next meeting	20
	Appendix 1 – Declaration of interests: Broads Authority, 20 January 2023	21
	Appendix 2 – Public Questions: Broads Authority, 20 January 2023	22

Please note these are draft minutes and will not be confirmed until the next meeting.

Present

Bill Dickson – in the Chair, Harry Blathwayt, Nigel Brennan, Andrée Gee, Tony Grayling, Gail Harris, Paul Hayden, Tristram Hilborn, Tim Jickells, James Knight, Greg Munford, Michael Scott, Matthew Shardlow (from item 6), Simon Sparrow, Nicky Talbot and Melanie Vigo di Gallidoro (from item 5)

Officers in attendance

Estelle Culligan – Deputy Monitoring Officer, Jonathan Goolden – Monitoring Officer, Andrea Kelly – Environment Policy Officer (for item 12), Emma Krelle – Director of Finance, John Packman – Chief Executive, Rob Rogers – Director of Operations, Marie-Pierre Tighe – Director of Strategic Services and Sara Utting – Senior Governance Officer

Others in attendance

Ben Falat, Chair NSBA, and Duncan Holmes and Paul Savage of the Broads Society, all in respect of item 5

1. Welcome and apologies

The Chair welcomed everyone to the meeting.

Openness of Local Government Bodies Regulations 2014

The Chair explained that the meeting was being audio-recorded. All recordings remained the copyright of the Broads Authority and anyone wishing to receive a copy should contact the Governance Team. The minutes remained the record of the meeting. He added that the law permitted any person to film, record, photograph or use social media in order to report on the proceedings of public meetings of the Authority. This did not extend to live verbal commentary. The Chair needed to be informed if anyone intended to photograph, record or film so that any person under the age of 18 or members of the public not wishing to be filmed or photographed could be accommodated.

Apologies were received from Stephen Bolt, Matthew Bradbury, Leslie Mogford, Vic Thomson and Fran Whymark.

2. Chairman's announcements

The Chair advised that the forms relating to annual appraisals would be circulated during February. He reminded Members that, for Secretary of State appointees, the annual appraisal was mandatory but participation by local authority appointees was encouraged. The process provided a useful insight and an opportunity for personal development.

Following the last meeting, two suggestions had been received for themes of future workshops:

- 1) climate change adaptation – it was accepted that this would be more productive to hold in a year's time once the information was available from the Broadland Futures Initiative in the form of the hydrological model; and
- 2) biodiversity crisis – diarised for Summer 2023.

Please note these are draft minutes and will not be confirmed until the next meeting.

Finally, the Chair invited the Monitoring Officer (MO) and Deputy Monitoring Officer (DMO) to introduce themselves, as this was their first meeting since being appointed. The MO stated that it was both an honour and a challenge to be engaged by the Broads Authority and he was looking forward to working with the Authority to seek a process of continuous improvement in its governance and transparency.

3. Introduction of members and declarations of interest

Members indicated they had no further declarations of interest other than those already registered, and as set out in Appendix 1 to these minutes.

4. Items of urgent business

There were no items of urgent business.

5. Public question time

Three questions had been received from Duncan Holmes, Trustee of the Broads Society and one question from Ben Falat, Chair of the Norfolk & Suffolk Boating Association. It was confirmed that Members had received a copy of the questions and supporting statements (as set out in Appendix 2) and therefore, both were invited to read out just their questions. The Chair provided the Authority's response as set out in Appendix 2 to these Minutes.

6. Minutes of last meeting

The minutes of the meeting held on 02 December 2022 were approved as a correct record and signed by the Chair.

7. Summary of actions and outstanding issues

Members received the latest summary of actions and outstanding issues following decisions at previous meetings.

In response to questions on progress with the QAB scheme, the Director of Operations (DO) advised that the Hire Boat Licensing Officer was in regular contact with those boatyards which had yet to do what was required. All hirers had been written to three times and a further letter would be issued this month as a reminder. At the last meeting with British Marine (BM) just before Christmas, they had confirmed that they had appointed three local assessors. It was acknowledged there was a delay in the process as this depended on how much work was required by each yard to comply with the scheme. The DO advised that the response time for BM was within three weeks and the Authority would liaise with hirers, confirming that for those operators who were already engaged in the process and going through the QAB audit, their licence would be issued. However, at the beginning of the season no licence would be issued for those operators who had yet to make a start.

The report was noted.

8. Strategic Priorities – update

Members received the report setting out the latest progress in implementing the Authority's annual strategic priorities for 2022/23.

The report was noted.

9. Capital funding progress report

Members received the report providing an update on the progress in implementing the capital funding programme, as requested by Members at the last meeting. This had also been provided to Defra and confirmation had been received that the format and content met their requirements.

The Chief Executive (CE) advised that he had brought two issues to the attention of Defra as a result of the late receipt of the grant-award decision which had only been received just before Christmas, despite the application being submitted in August.

1. The restoration and repairs to Strumpshaw Fen drainage system were very complicated and it was extremely unlikely that these works would be completed before the end of this financial year.
2. Purchase of the barge – a deadline had been missed due to the delay in Defra's decision. The delivery date was now after March.

Defra officials were sympathetic with the Authority's position and had advised they would research what needed to be actioned.

The CE reported that he had attended a meeting of Chief Executives of all the National Parks in England, together with Defra, when it was announced that Defra would be seeking bids for capital funding from National Parks in 2023/24. This confirmed his impression that the recent award of £1.3m was unique to the Broads Authority. He referred to the pressures on navigation due to the fine weather and improved water quality which had resulted in a very rapid and increased growth in aquatic plants and the impact this had on the ability to navigate the waterway system. The Authority had struggled to keep up with the cutting and the purchase of the new weed harvester in time for the new season would bring huge benefits. This was the first time the Authority had been able to purchase a brand-new harvester, and would mean a total of three machines would be available to staff plus there was the added reliability of having a new machine. It was also worth noting that the price was better than originally provided for, due to some hard negotiating. This meant that officers had been able to make some changes to the proposed list of purchased items with the purchase of a 14-tonne excavator rather than some of the more minor items and Defra were satisfied with these changes. The remaining smaller items could be paid for from existing budgets.

A member referred to the potential financial risks of continuing with the works at Strumpshaw Fen after this financial year and whether the Authority should proceed or wait for confirmation from Defra. The CE responded that Defra officials were being helpful in looking for a solution to this particular issue; with the costs at £60,000 there were considered

Please note these are draft minutes and will not be confirmed until the next meeting.

to be minimal risks until such time the contract was placed for the works. An engineer had been appointed to design the repairs and officers were working with the Environment Agency regarding the necessary consents and applying for planning permission. All this needed to be completed before the contract for the works was let. In terms of the barge, if it proved necessary, the Authority could fund the cost from existing budgets.

The report was noted.

Having declared a Disclosable Pecuniary Interest, James Knight, Greg Munford and Simon Sparrow left the room for the following item.

10. Proposed charges for 2023/24 in the navigation area and adjacent waters

The Chief Executive (CE) referred to the numerous pieces of correspondence which he and/or the Chair of the Navigation Committee had received in relation to this matter, some from individuals and some from yacht clubs etc. which had been reported at the Navigation Committee on 12 January. Since then, a further nine representations had been received including two in the last 24 hours. One was from Mary Sparrow on behalf of Hippersons Boatyard and as a member of the Visit the Broads Committee, and one from the Clerk to Reedham Parish Council. There had also been recent articles in the Eastern Daily Press (13 Jan) and BBC News online (14 Jan).

A summary of the issues raised from the correspondence could be grouped into areas as follows:

1. Concern over the proposed increase in charge for using Mutford Lock from £15 to £17 and the adverse impact this would have on local yacht clubs.
2. The proposed new charges for mooring at Ranworth and Reedham would have a detrimental impact on the shore-based businesses plus they equated to an additional 3% increase in tolls. The charges were considered unjustified as there were no showers provided.
3. At Reedham, making a charge was considered to have unsafe consequences. Question how the Authority could levy a charge there and how would it be enforced. Also concern on impact on small businesses in the village.
4. Concern on the impact on boat owners - the increase in costs would discourage them from owning a boat. There should be a more moderate increase, or stage the proposed increase over 2-3 financial years or raid the Reserves instead.
5. Too late notice for tourism businesses to do anything about increased charges. Bookings for 2023 were 15% down on 2019; Broads holidays were seen as too expensive compared to an all-inclusive holiday abroad. Broads business had raised their prices by an average of 5-6%.
6. With the shift between National Park and navigation costs, there was the expectation that toll-payers will bear a higher proportion of the Authority's overheads; seen as an attempt to use current inflationary factors to justify a considerable increase in the navigation contribution to the Authority's costs rather than being realistic about the

services which could actually be funded and the functions which it can and should perform.

7. The charges had risen over the last ten years well above the rate of inflation but the services provided by the Authority had actually declined.

The CE stated that he would respond to the last issue first as this was important: looking at charges in relation to the RPI was not straight-forward. In particular, Members had made some changes about the charges for specific types of boats. He had reviewed the figures for the previous ten years and the RPI had increased by 46% and the toll for a large, private motor boat had increased by approx. 80% which was a significant increase. For the weekly hire fleet this was not so great an increase as the Authority had taken the decision to change the proportion they paid so the increase was more likely 50-55%. At the other end of the scale, a very small motor boat (5 sq m) in 2012/13 would have paid £97.44 and for 2023/24 the proposed charge was £85.10, an increase from £75.30 for 2022/23. This meant that the increases affected different boat owners in different ways but reflected the policy decisions made by Members.

The CE questioned the statement that the Authority was doing less than previously as there was no evidence to support this. In fact, the opposite was true and that was partly the reason for increased costs above RPI. In terms of moorings, officers had tried to negotiate a new lease at Thurne Mouth, a site identified in the correspondence, but had been unable to reach agreement with the landowner. However, over a ten-year period, there had been a significant increase in moorings, equating to 10% in length and officers were continuing to look for new sites, either for rent or purchase. A review of all moorings would be conducted this year to identify any gaps and the CE assured Members there had been no loss in the length of available moorings.

In terms of the Rangers, there had been a significant increase in the number of hours in patrolling over the last two years, compared to the previous ten years, and the figures for 2022/23 demonstrated a figure of 1,713 days which was well above the figures for 2012/13 (1,241 days).

Another significant expense was dredging; previously this had required a huge amount of effort by officers but with better hydrological information in recent years, the amount of material taken out had been large and targeted at the areas in greatest need and so the waterways were now in a very good condition. There had also been a huge increase in waterplant cutting, with 72 days ten years ago and 198 days last year. This was reflected in the condition of the water compared to ten years ago. There had also been improvements in the management of trees and scrub adjacent to the rivers. The CE concluded that it was important the toll-payers were made aware of all of this information.

The CE then presented his report, supplemented by a presentation, on the proposed navigation charges in the navigation area and adjacent waters, and other charges for 2023/24.

Please note these are draft minutes and will not be confirmed until the next meeting.

Firstly, he referred to the all-Member briefing on 5 October 2022 when officers had highlighted the pressures on the budget from inflation and the significant reduction in NP Grant from £4.4m (2009/10) down to £3.2m currently. This had a big impact on the organisation as a whole, as well as its navigational responsibilities through the costs of diesel, aggregate, steel etc. In addition to this, audit fees had increased considerably and there had been a continuing loss of weekly hire boats.

The CE explained that, in order to retain services on both NP and navigation, this would require an increase in 10% and to retain the additional Ranger patrolling would require an overall increase of 13%. The unanimous feedback of Members in October was that it was vital to retain the safety provision and so a 13% increase had been supported.

There had been huge uncertainty at that time, including the Authority's pension contributions, and that was why the decision had been taken to consult the Navigation Committee in January rather than November. Income was actually slightly better than anticipated due to increased income from higher interest rates and the reduction in hire boat income was not as great as budgeted for, plus there had been an increase in private boat numbers. In terms of non-payers, the Authority had a good success rate with the prosecutions for non-payment, with the majority of people paying just before they were summonsed to Court.

The Authority, along with many other authorities, had budgeted for a salary increase of 2% and it had no control over the figure which had been agreed through the local government settlement scheme. The local government employers and unions had agreed a flat cash increase of £1,925 for all staff which equated to an increase overall of 6.2% in the Authority's salary costs (staffing made up 65-70% of the Authority's total costs).

The Government decision not to increase National Insurance contributions had helped, coupled with no changes to the anticipated pension costs. Conversely, rising inflation had impacted on the cost of raw materials and fuel. Therefore, whilst income had risen, expenditure had also risen but it was expected to be broadly in line with the budget. In terms of Reserves, the Authority had drawn down on both the NP and Navigation Reserves in recent years to both maintain services and mitigate the impact on charges but this could not continue.

The challenges for 2023/24 came from a flat-cash NP Grant settlement, compounded by inflation which reduced the value of the cash even further, plus a reduction in weekly hire boats. Private motor boats accounted for 55% of navigation income and weekly hire boats 23%. There were predicted to be at least 15 fewer boats which equated to approx. £20,000 loss of income. Private boat numbers were more difficult to predict and were currently at a high point, with an increase in the number and size of the vessels. Looking back to 2009/10, the time of the last recession, private boat numbers actually increased. It was acknowledged the pressures on toll-payers was high, with the current cost of living, but a lot was discretionary spend. Looking at the profile of private boat owners, the majority were in ABC1 social classes and it was acknowledged that pensioners might find it difficult but overall it was difficult to predict a potential change in private boat numbers. The Director of Finance had

Please note these are draft minutes and will not be confirmed until the next meeting.

taken a fairly cautionary approach in budgeting for predicted salary increases (5% in 23/24; 4% in 24/25 and 2% in 25/26) but this was a great unknown. With the Authority's salary costs making up a high proportion of its overall costs, any increases to these estimates would have a big impact. Whilst it was accepted that inflation was decreasing in some areas, costs for materials, legal fees and audit services were increasing.

Looking at savings and potential income, Yare House was one of the Authority's biggest overheads and so the decision had been taken to drastically reduce the amount of rented floorspace (down by 50% wef summer 2023). This would impact on both staff and Members, for example, the meeting room on the ground floor would be reduced in size to enable part of it to be used as desk space to maximise its occupancy rate. Like the public, the Authority was facing increased charges for services such as electricity which affected not only the offices but also the Yacht Stations and electric charging points. Some positive news was the Authority had managed to secure a longer lease with Great Yarmouth Borough Council for the Great Yarmouth Yacht Station and the Chief Executive thanked Sam Bates (Visitor Centres Supervisor) and Leslie Mogford for all their hard work. This would enable the Authority to install additional electricity charging pillars which would be greatly welcomed by visitors.

The CE referred to the proposed increases in charges: Mutford Lock up from £15 to £17; new charges for mooring at Ranworth and Reedham at £5/day and £10 for overnight. He referred to the theme of the comments received about the charges for Reedham and pointed out the proximity of the moorings close to the railway bridge and the impact of the swift tide. Staff helped with mooring and had received a great deal of positive feedback from boat owners. Staff provided an excellent service which helped to avoid accidents and problems and often went above and beyond what was expected. The local Public House charged a £10 mooring fee and feedback identified that many visitors were surprised that the Broads Authority currently did not charge. Therefore, it was not anticipated there would be any great push-back on people wanting to moor there, or significant adverse impact on local businesses. The issue of charging at Ranworth had been debated for many years, with the neighbouring landowner in favour. They already charged for moorings at the island even though no services were provided. It was considered that the introduction of charges and helping with the mooring of boats would enable more boats to moor there and increase support for the local shop. It was accepted no services, such as showers, were provided at either site but staff helped boaters to moor and therefore the charges were considered to be reasonable and would not have a detrimental impact on local business or deter people from mooring there.

Turning to the split of costs between National Park (NP) and navigation, not many operations were purely one or the other and so many were shared costs. The split had been reviewed by the Resource Allocation Working Group (RAWG) in 2012. Prior to that date, the Yacht Stations were costed as 100% navigation but, due to concerns on the impact on tolls, this figure had been decreased with 25% allocated to NP. However, this was recently reviewed on the basis that the Yacht Stations were purely navigation: if the Authority was not also a navigation authority then there would be no need for the Yacht Stations. The biggest item was the Rangers at c. £100,000 and although they spent 20% of their time on NP activity, NP paid 30% of their costs. Navigation was the second purpose duty of the NP: to promote enjoyment and

Please note these are draft minutes and will not be confirmed until the next meeting.

understanding of the Broads, therefore the splits were somewhat artificial. You could justify funding all navigation activity from NP Grant if the award from Defra amounted to £10m and this would negate the need for tolls. However, the Authority was trying to manage a declining level of grant and the NP Grant could no longer support navigational activity. It was acknowledged that the proposed increase of 13% might be difficult to accept but it was necessary to avoid creating problems elsewhere, eg cutting back on highly valued activities and issues such as the climate change and biodiversity crisis. There were also the statutory functions, such as planning, and the required support services such as HR and IT to maintain. It had to be looked at in the round with the aim of managing how to deliver the services for boat owners, the general public and Defra.

Looking at private motorboat numbers, in terms of income this was the most important group, ranging from a small motor-powered dinghy up to a very large ocean-going, twin-engine motor boat. Numbers were currently at a high point (5,142) which was an increase on the number for 2013 (4,967) and had been generally stable. Boat sizes had increased in this group which ultimately meant more income for the Authority and offset losses elsewhere. In terms of sailing craft, whilst these were iconic for the Broads, there had been a persistent decline in numbers despite the Authority charging a lower fee than for a motor boat.

Turning to the hire fleet, the biggest contributors in this group were the motor cruisers. In 2000 a review of the hire boat industry had been carried out which identified that a hire boat holiday was not competitively priced when compared to an overseas package holiday and there had been a gradual decline partly for this reason. At that time, a figure of 500 boats was predicted for the fleet. However, this forecast had not turned out as expected, with the current number at 673, a reduction of 56 boats compared to 2021 (a reduction of approx. 8%). There had also been a restructuring of the industry which included replacing the oldest boats and investment in more high-quality craft with a higher range of facilities onboard, and these were popular with hirers. In addition, smaller yards were being bought-out by the larger boat yards, who had advantages such as economies of scale and diversification of businesses, such as land-based holiday accommodation, hire of day boats etc. There had been an increase in the number of boats of a larger size within the overall numbers.

Although the 13% figure sounded like a large increase, this was not necessarily the case in cash terms, eg a small sailing craft would pay an additional £6 p/a; a small private motor boat would pay an additional £9.80 p/a; a 38 m² private motor boats an additional £74 p/a; day hire boats (12 m²) an additional £81 p/a and the bigger (48m²) hired motor-craft £212 p/a. The CE said he accepted that there would be an impact on some individuals but the toll was a small percentage of the overall cost of owning, maintaining and running a boat (approx. 9% of overall costs for both private and hire fleet).

Regarding the continuing flat-cash settlement from Defra, the CE advised that, at the Navigation Committee, he had urged people to write to their MP highlighting the impact this had and the difficulties the Broads Authority faced by a continual reduction in financial support from the Government. The three largest inland navigation authorities were the Canals and River Trust (CRT), followed by the Environment Agency and then the Broads Authority.

Please note these are draft minutes and will not be confirmed until the next meeting.

The CRT had increased its charges by 4% mid-way through 2022/23 then by an additional 9% totalling 13%. If the Authority was to deliver its statutory purposes as a whole, then it had little choice but to increase the tolls as proposed and by accurately reflecting the shared costs. There was evidence to justify the change in the allocation of the Rangers' costs; a £55,000 navigation deficit had been budgeted for and a 3% increase in income from the new charges. The majority of boats were at the smaller end and so the cash impact for owners would be relatively minor.

The CE concluded that, at the Navigation Committee last week, Members had voted 9-1 in favour of recommending the increased charges to the Broads Authority, with one abstention.

The Chair thanked the CE for his very thorough presentation and the comprehensive information which had been provided.

A Member referred to the interests which had to be declared under the adopted Code of Conduct (CoC) and his concern at the different approach which had to be taken by individual toll-payers and the hire boat operators (HBO), with the latter having to leave the room. He considered that the meeting would miss their valuable contributions to the debate and asked that this be reviewed for the future to enable HBOs to remain in the room and contribute to the debate at the Authority meeting. The Monitoring (MO) responded that an established case (Richardson -v- North Yorkshire County Council) indicated that a Member was either in the room or not. They could not remain with a pecuniary interest but not vote. In terms of a Disclosable Pecuniary Interest (DPI), the commercial owners had a directorship of a commercial company in the Register of Interests and this required them to leave the room. Therefore, it was not possible to contribute to the debate but not take part in the vote. However, it was possible to apply for a dispensation and the MO confirmed that he had received such a request from a Member two days before this meeting. He outlined the grounds for granting a dispensation:

1. Quorum – how many Members were affected and would this affect the quorum to such a degree that the business could not be conducted. Not applicable in this case.
2. In the interests of the residents of the area. In the MO's view this was not applicable as the Authority had in place a statutory consultation method through the Navigation Committee. Members with commercial interests who were members of the Navigation Committee had been granted a dispensation by the previous MO to take full part in the consideration of tolls at that meeting.

The MO referred to the need for the Authority to adopt a process of continuous improvements to its governance arrangements, which would be discussed elsewhere on the agenda. He concluded that he was not discounting the ability of the Authority to return to this issue in the future.

The Member responded that as a sailor, he could be seen as welcoming a smaller fee compared to HBOs but he was not sanctioned and they were not in the meeting. However, he did understand about the dispensation granted for the Navigation Committee meeting but just wanted the situation to be made clear. The MO confirmed that the Authority's Code of

Please note these are draft minutes and will not be confirmed until the next meeting.

Conduct included a specific exemption, and a private boat owner was a non-registerable interest and Members were permitted to remain.

Another Member commented that he had been persuaded by the experts and the advice given at the Navigation Committee and would be voting in favour of the proposed increases. He referred to the use of percentages, and to CPI and RPI which could be an issue. If inflation was currently at 10% and the Authority was seeking a 13% increase someone could think that the Authority was trying to seek more than what could be justified. Some of the representations were considered to be unhelpful but the presentation by the CE had provided the detail and assuaged any concerns. However, in terms of the policy stance and direction, he felt that this should be reviewed in the future, focussing on issues such as net-zero, climate change etc. The current proposal was for an increase of 13% across all craft and he felt there could be options to incentivise less-polluting boats and electrification etc. This was an issue for the whole Authority, not just navigation members, and should look at how to persuade people to take on a different form of boating or even the sustainability of tourism and the broader economy. The CE responded that the current tolls structure had beneath it a policy which supported non-carbon boating by lower charges, eg a sailing boat paid less than a diesel motor boat. However, this was something that could be looked at again, whilst mindful that the toll was only a small proportion of the total cost of owning a boat. Our policy stance would be an important indicator of where the Authority should be going but it was highly unlikely to impact significantly on an individual's decision on owning a different type of boat, due to the difference in purchase/conversion costs, similar to buying an electric car. The Member referred to the report commissioned on the electrification of the hire boat fleet and suggested a policy indication be provided in future. The CE added that a sustainable boating workshop could be held later that year, possibly with external specialist speakers. It was worth noting that this was an area which was changing rapidly and that the Authority had been a leading-player on sustainable boating for over 20 years. As members were aware, it had recently been successful in a piece of research, using grant-funding from the Department of Trade and Industry.

A Member stated that he was minded to support the proposals as he was conscious of the need to move to a balanced budget and get the right proportions in the split of costs. The NP funding could not afford to subsidise navigation expenditure and he welcomed the recent capital funding from Defra which navigation would benefit from. He questioned how the mooring fees would be enforced and how the apportionment of costs was calculated for the visitor centres. The CE responded that there were no specific byelaws for enforcement powers and he used the analogy of someone leaving a premises without having paid for their goods/services. There were ways to recover such costs and the Authority would be seeking a legal opinion as required. He stated there had not been any enforcement issues at either of the two Yacht Stations. The Director of Finance (DF) confirmed that the split of costs had only been amended for Ranworth (previously 100% NP). From the new mooring fees and sales from the tourist information centre there was a predicted income of £40,000 for mooring fees and £15,500 for the other income (from sales of ice-creams etc). The costs had been apportioned on that basis.

Please note these are draft minutes and will not be confirmed until the next meeting.

In supporting the proposed charges, a Member commented that he accepted the difficulties but could not see any alternative and it was vitally important to maintain the Ranger service. He added that it was important when notifying the increases to also publicise the reasoning, including the increase in services and improvements to the area.

Another Member referred to the recurring flat-cash NP Grant which had been received for a number of years and also the fact that users benefitted from both sides of navigation and the National Park, seeing the Broads as an attractive place to visit and benefitting from the investment made by the Authority. The Authority could not operate with decreasing resources and navigation being a burden. He also referred to the risks experienced during the Covid pandemic and how there might be similar circumstances in the future. During that time, it was important to maintain the navigation of the Broads and keep it in good condition. This had been achieved by a temporary loan payment from NP Reserves to support navigation which was subsequently being paid back. The current situation where some navigation activities were subsidised by NP budget was not sustainable in the long-term and navigation needed to be secure and financially independent. He had not heard any example of services delivered by the Broads Authority which should not be delivered. He concluded that a really strong case had been presented at both the Navigation Committee and this meeting today.

A Member supported comments made previously about incentives for low-carbon emitting boats, using a comparison with electric cars and the Government policy not to charge road tax and the message this sent out. He referred to a comment made by a Member at the Navigation Committee about not expecting others to subsidise his hobby and he concurred with this view.

A Member referred to the importance of safety, and also whilst a figure of 13% was regrettable, they had been persuaded by the information provided, acknowledging that the toll was a small proportion of the costs of owning and maintaining a boat. They therefore supported the proposed charges. With regards to the Members with a DPI and remaining in the meeting, the Member referred to the differences between Navigation Committee and Authority meetings; one was advisory and the other was a decision-maker.

In response to questions on accessibility and also affordability, the CE advised that whilst commercial operators could pay over a number of months, private boat owners were required to pay in one instalment, based on the amounts involved and the administrative overheads. He added that if someone was experiencing particular financial difficulty, the Collector of Tolls would discuss payment options with them.

A Member questioned if any issues were envisaged by introducing charging at Ranworth and in particular, a possible increase in the use of boats hanging off mud weights. The CE responded that it was a very busy spot for mooring and with staff helping and a payment scheme in place, it was expected that there should be less problems not more.

Tim Jickells proposed, seconded by Michael Scott and

It was resolved unanimously to approve

Please note these are draft minutes and will not be confirmed until the next meeting.

- 1. an increase of 13% in navigation charges for 2023/24 in the navigation area and adjacent waters (as exemplified in tables 3 & 4 of the report);**
- 2. an increase in the charge for Mutford Lock from £15 to £17;**
- 3. an increase in the charge at the two yacht stations from £13 to £16**
- 4. the introduction of mooring charges at Ranworth and Reedham (£5/day and £10 overnight).**

James Knight, Greg Munford and Simon Sparrow re-joined the meeting.

The meeting adjourned at 11.50am and reconvened at 12pm.

11. Budget 2023/24 and financial strategy to 2025/26

The Director of Finance (DF) introduced the report providing a strategic overview of current issues and items for decision. This included consolidated income and expenditure up to the end of November 2022, and the consolidated budget, as well as the updated budget for 2023/24 and the financial strategy to 2025/26.

The DF provided an update as at the end of December 2022:

- Favourable variance of £410,209 – whilst a large increase, this was mainly due to timing differences in the profile for the peat project expenditure.
- Toll income was £40,000 over the annual budgeted figure.
- Earmarked Reserves down by £137,000 – this was as a result of expenditure for deposits on capital items under the Defra grant which would be reimbursed once the money was received.
- Pension valuation – a review was conducted every three years to ensure contributions made to the Pension Fund were accurate. This was split into primary and secondary contributions. The primary contribution was a monthly percentage of employees' pay, and the secondary was for funding any deficits in the Fund. As a result of the re-evaluation, the Authority's position in the Pension Fund improved and its proportion improved so the secondary contribution had been consolidated into the monthly payment.
- Variances – always budgeted for staff at 100% occupation of posts. Where there were vacancies, there was often a period of time between advertisement and recruitment before the post was occupied. In the past consideration had been given to reduce the occupancy part in the budget but it was concluded that this was not particularly prudent on the basis that there could be years when all staff remained in post and there were no vacancies.
- Reserves – will be used to balance a deficit in the budget but the level would remain above the minimum threshold which was 10%+ £100,000 for NP and 10% for navigation.

A Member referred to the 2023/24 budget and the level and use of Reserves and asked the DF to provide some commentary, particularly as a suggestion had been made that Reserves could be used to defray some of the navigation costs. The DF referred to page 73 of the report and the close of CANAPE reserve which resulted in a total surplus of £270,000 split equally between NP and navigation. When the project had been set up, some Earmarked Reserves had been used to fund it as the amount of the Euro had an impact on the amount of cash received. By the end of the project, a surplus of £270,000 was forecast. This was a one-off payment. A Member questioned if the Authority would increase its free cash Reserves over the next four years in view of the greater uncertainty ahead. The DF responded that, at the end of last year, a detailed analysis had been carried out of the Authority's Reserves and commitments. This was compared to the other NP's minimum level, with the majority set at 5% or at cash value, but the Broads Authority was considerably above this level. Worst case scenarios had been looked at including if the Authority totally failed, all money currently held in Earmarked Reserves and future capital would no longer be required and would be rolled-back into those Reserves. Therefore, in policy terms, the current level of Reserves was considered to be appropriate.

A Member referred to the increase in interest rates (income of £84,000) and questioned if officers had looked at reviewing the Authority's policy for Reserves and investments to see if there was potential for more than £84,000 next year. The DF responded that the Capital Treasury and Investment Strategy was presented to the Authority annually for approval for the coming year. It was due to be considered by the Audit & Risk Committee on 14 March and so was currently being updated. The Authority's policy was for low-risk but this could be reviewed. Interest rates had gone up which is why income was higher than budgeted for. There was the opportunity for the Authority to tender for the appointment of Treasury Management advisors to look at future investments and this would be included in the report to Audit & Risk Committee.

Tony Grayling proposed, seconded by Andrée Gee and

It was resolved unanimously to:

- 1. Note the actual income and expenditure figures, and adopt the:**
 - i. 2023/24 Budget, including endorsement of the assumptions made applied in preparation of the Budget; and**
 - ii. Earmarked Reserves and Financial Strategy for the period 2023/24-2025/26.**
- 2. Approve the use of the Premises Earmarked Reserve as set out in paragraph 2.6 of the report to implement the reduction in the costs of occupation at Yare House.**

12. Broads Peat project – update

Members received the report by the Environment Policy Advisor (EPA) providing an update on the progress of the Broads Peat project which was funded through the Nature for Climate Peatland Grant Scheme - Discovery Grant. Authority was also being sought to approve two

Please note these are draft minutes and will not be confirmed until the next meeting.

waivers of Standing Orders relating to Contracts to commission environmental surveys, as the additional work represented more than 10% of the initial contract value. The works would be fully funded by additional funding from Natural England, for which confirmation had been received.

The EPA provided further information on the project at the meeting, advising that there were major barriers to raising water tables in the peat soil to ensure there were no carbon leaks into the atmosphere. The Broads had 2,5000 hectares of drained peat which gave off, over the last 40 years, over a million tonnes of Carbon Dioxide into the atmosphere. Over those grazed marshes which were drained, there was evidence of subsidence rates of over 1cm p/a which was slightly less than arable fields but not much, and so the emissions were a similar magnitude as arable farming. This was something which was not yet well incentivised in terms of agri-environment payments and carbon payments and why the project was in the discovery phase. The first barrier was finance and good financial models. Habitats were also key: a substantive change in say a grassland or permanent pasture to a reedbed or very wet fen could require permission under the Environmental Impact Assessment Regulations. For a large wetland where the peat was formed in under wet conditions, putting the water back to the floodplain would require considerable consenting processes including planning permission, habitats assessment, historic environment assessment, looking at flood risk and also water abstraction. Building capacity and capability to overcome these barriers was clearly needed. The Discovery project was about pushing ahead and putting in place with the regulators what needed to be done. This was why additional funding was needed.

The EPA reported that the project had been rather successful, and a seminar was held recently with Palladium for 35 people from Defra, Natural England and the other Discovery projects on carbon finance. The Peat Partnership was leading carbon finance for peatland. One of the successes was the development, for the first time, of a carbon finance model working with Palladium across the Revere Partnership. The model forecasts a payment of £140-£190 per year per hectare on top of the agri-environment scheme for areas of peat protected by raised water table. She had also worked with Cranfield University on a model for identifying the watercourses. In the Netherlands, where their watercourses are instrumented, they knew exactly their water levels. We only know at pump level, and as the pumps are getting replaced by the Water Management Alliance and the Internal Drainage Boards, there is an opportunity to review these levels to protect the peat soils. The modelling produced by Cranfield was unique in the UK and so it would be exported to the other Discovery projects. In addition, a baseline was needed for Water Voles. Members may recall the work at Petos Marsh for Water Vole survey and mitigation which was very expensive. These costs had been reduced by around four time by creating a habitat tool which meant that, rather than go out and hand search each nest, burrows etc, you could look at each habitat and evaluate water vole numbers. The habitat tool marked the relationship between Water Vole habitats and occupancy.

Another success was landowner engagement with some brilliant work undertaken by Norfolk FWAG along with Palladium. Around 60+ farmers had attended workshops, walks etc.

Please note these are draft minutes and will not be confirmed until the next meeting.

Looking at next steps, the project finished at the end of March and so an extension was being sought. The Restoration project, should an application be made, started in the autumn. There was a need to extend the discovery phase to enable officers to continue the work, and liaise with the EA, planners etc to get the necessary permissions. Work was also underway to establish a Paludiculture Exploration Fund (PEF) – working with Norfolk County Council, Norfolk FWAG, River Waveney Trust, NUA, architects and people overseas to create an economy to create a wetter environment, encouraging new or existing products made using paludiculture crops, such as fibre-board, reed and thatch. The PEF would be about demonstrating wet farming and water filtration, producer/farmer engagement and product development models.

A Member referred to the huge amount of work which had been done and suggested this should be part of the Authority's core activities particularly improvements in peatland. He questioned what was the plan longer-term, referring to Montreal COP 15 biodiversity summit on 30-by-30 targets. The EPA responded that the project was clearly evident in the Broads Plan – it was about land management and adaptation and how to manage water for multiple benefits. There were trade-offs between different options – some of the PEF would be to work on the opportunity mapping. Some farmers might be more interested in energy, others in fibre, and others just continuing to graze or arable farming. It was important to get the whole economy with the whole market chain around any new system. It was not just about the producing and the growing and the economics, but also pulling the markets through. An example was the fibreboard and magnesite boards used in construction materials produced from Reedmace (also known as bulrush or Typha). Typha had a high biomass, over and above what you could get from a woodland, in terms of its growth rates and annual harvest so Kingspan was investing its green-lines in its unbonded, no-glue, clean-green product which was a high value market in terms of possible return for farmers. It was at the early stages and the Lowland Agricultural Peatland Taskforce at which the EPA had been a member, chaired by the Association of Drainage Authorities, has created a Road Map with a potential ten-year investment from Defra subject to ministerial sign off. The Member commented that it would be preferable to take this away from just project work and improving the peat in the Broads had to be a core part of the Authority's activities. He asked if the EIA Regulations had been tested in this regard yet, through people making an application. The EPA responded that this was a concern as the project would be a test case. There wasn't peat across the whole of the Broads, just an area of 2,500 hectares comprising the mid-range within each valley and particularly the Yare, Waveney and Upper Thurne, but water mattered for the whole, eg wintering and breeding waders in the marshes. Beside peat, other types of soil were carbon rich –many of the alluvial soils formed in the ancient estuaries and salt marshes were also carbon stores.

A suggestion was made to contact the Internal Drainage Boards as they recorded information on Water Vole numbers.

A Member referred to the governance and social side underlying this – questioning what if all farmers in, say Halvergate, bought-in and we ended up turning all of the Halvergate marshes into reedbed. That would have implications for RAMSAR sites and also the public perception.

This might require a future envisioning study to see what it would look like. The EPA responded that mapping was something which was missing and this was part of the PEF. This would include choice mapping so people could cite what options were available for adaptation and nutrient neutrality, water storage, washlands and empower people to see the future in a positive way and to see the possible income streams associated with that. Peat restoration hadn't happened in many places despite some incentives being in place already and so it was recognised there was a need to work with those who were willing, which are not the majority of landowners. The mapping would include ownership and hydrological management eg Beccles Marshes comprised 200 hectares of peat; this site is more straightforward as it is under the same ownership and water management, the Town Council, and they were very supportive. Other sites such as on the south side of Heckingham involved eight landowners upstream of there. The EPA had talked to them and some were positive and some less so and this would be more difficult to solve. The cost implications of sub-dividing the catchment and providing a pump to enable people to still be serviced (approx. £1m) meant there would be challenges for cost benefit decisions.

Matthew Shardlow proposed, seconded by Michael Scott and

It was resolved unanimously to:

- 1. note the update and**
- 2. approve two waivers of Standing Orders relating to Contracts, to commission additional environmental surveys and to update a report (as detailed in section 8 of the report).**

13. Recommendations from external review into formal complaint

Members received the report of the Monitoring Officer on the findings and recommendations of the independent review into the formal complaint by Cllr Fuller. Some improvements to the Authority's governance and processes were recommended for adoption.

The MO referred to one of the public questions which had been presented earlier in the meeting, advising that he had received a similar request from the Broads Society for publishing the VWV report. He considered that, if the Authority instructed officers to comply with that request, the report could be placed on the website without delay. He emphasised that today's report was not about the findings of the VWV report, but learning from, and implementing, the recommendations produced by the investigator (table 1). It was a matter of regret that a dispute over what Mr Heath described as an error in a planning condition but a minor error, resulted in the involvement of the Police, a three-stage formal complaint process and two external reviews. The MO stated that Members, and others, should be able to raise concerns and suggest improvements to the governance of the Authority without recourse to such steps. The Authority itself should seek to continually ensure its governance arrangements were fit for purpose as part of its duties as a Best Value authority. It was normal in other parts of local government for the Monitoring Officer, and other relevant officers

Please note these are draft minutes and will not be confirmed until the next meeting.

tasked with governance, to work with Members to identify and consider regular improvements to the constitutional workings of the authority. That work should be informed by suggested improvements or concerns raised by Members, officers and stakeholders alike. The core of the recommendations in table 1 was to provide two important foci for governance improvements:

1. enhanced role for the Audit & Risk Committee to receive, consider and recommend to the Authority improvements to the Broads Authority's Constitution on a regular basis, and
2. amend the Hearings Committee, which currently had a purely reactive role in determining breaches of the Code of Conduct, to a full Standards Committee, and such a committee, as was normal in other areas of local government, would have not only a reactive role of adjudicating on complaints under the Code of Conduct but also a proactive role in identifying measures such as training, guidance and governance improvements which would assist the Authority and Members in meeting the statutory duty to ensure high standards of conduct by Members.

Lastly, and in specific response to the concerns expressed in relation to the Haddiscoe applications, officers would work with the Planning Committee to improve and clarify the call-in arrangements on planning applications, including a means for resolving disputes about the use of call-in.

The MO stated that the recommendations of the VWV report would be referred to the Audit & Risk Committee (ARC) for detailed consideration. Together with the Director of Finance and Senior Governance Officer, he would prepare proposals and a timetable for those governance improvements to the next meeting of ARC. He concluded that he was looking forward to working with members of the former Task and Finish Group in preparing those proposals.

A Member welcomed the report, stating that he fully supported the request for publication of the VWV report as it would help the public's understanding particularly regarding the Planning Committee and the call-in process.

Another Member added his support, commenting that the accusation of misconduct in public office was quite inappropriate and serious, and certainly did not cross the threshold. He was particularly mindful of the recommendation relating to the well-being of staff and the need for Members to recognise the stress which had been put upon staff inappropriately; how Members should support the staff and ensure this did not happen again in the future. The Member welcomed the recommendations for improvements in governance arrangements and supported the publication of the VWV report (redacted as necessary) and he considered the report to be a vote of confidence in the Authority's planning function. Another Member added to these views, commenting that it was important to work together and whilst the planning function may not be perfect, there had certainly not been misconduct in office. He supported the recommendations plus the publication of the VWV report on the Authority's website as soon as possible.

One Member commented that it had been drawn to his attention that the original draft of the report to be very different to the final version, giving a number of examples where the content had been watered-down (such as serious concerns about confidence in the planning function); reference to errors by the Authority being removed or reclassified as minor and the section relating to governance completely rewritten. In addition, the draft report made it clear that the application should have been referred to the Planning Committee and this had been removed from the final version. He felt it was important that Members were aware of these facts. In conclusion, he stated that, whilst he would not be able to welcome the report, he did accept the recommendations coming from it.

Another Member welcomed the report, especially the recommendation (iv). In response to a comment on the effectiveness of publishing the VWV report and if this would draw a line under the whole issue, the Chair advised that the report would be available under a Freedom of Information request and so the Authority was being proactive in publishing it and that was the intention behind doing this.

Another Member commented that it was beneficial to have an independent report; this concluded the matter, and the fact that it was largely funded by Defra showed that it couldn't be anything other than independent. He concluded that the report should be published in the interests of transparency and, as a Member, he had very clear assurances on all of these matters.

In terms of what redaction would be required, the MO advised that only the name of the planning agent would need to be redacted as all of the other people named had been contacted and responded that they did not object to the publication of their name.

Nicky Talbot proposed, seconded by Harry Blathwayt and

It was resolved with 15 Members voting for and one against, to:

- i. Welcome the findings and recommendations of the independent investigation into the formal complaint and in particular that:**
"In our view officers acted in good faith and professionally throughout", and that
 - a. The Broads Authority's governance arrangements are regularly reviewed by Internal and External Audit, both external to the organisation... There is continuous improvement underway within the realm of governance.**
 - b. "any suggestion that there are significant fundamental problems at the Authority and that it is "failing" or similar would be completely incorrect."**
- ii. In accordance with recommendation a. above and recognising the Authority's designation as a Best Value Authority it adopts in full the recommendations of the independent review for improvements in the organisation's governance and procedures as set out in Table 1.**
- iii. Refers the recommendations of the VWV report to the Audit and Risk Committee for detailed consideration and implementation.**

- iv. **The Authority recognises the serious impact this process has had upon its officers' well-being and, while implementing the practical steps in the recommendations, recognises the duty to officers as their employer and commits to protecting its officers in future from unfounded allegations.**
- v. **Thank: the Task and Finish Group for its work which has been concluded and its views incorporated into the VWV report; VWV for their independent review and Defra for meeting the costs.**
- vi. **To publish the VWV report on the Authority's website (subject to one redaction of personal information).**

14. Member report on outside bodies – Upper Thurne Working Group

Members received the report of Stephen Bolt, who was one of the Authority's appointees to the Upper Thurne Working Group.

The Chair took the opportunity to remind Members to submit reports on an annual basis, in liaison with the governance team, on those bodies to which they had been appointed.

15. Items of business raised by the Designated Person in respect of the Port Marine Safety Code

There were no matters to report under this item.

16. Minutes to be received

Members received the minutes of the following meetings:

Navigation Committee – 20 October 2022

Planning Committee – 11 November 2022

17. Other items of business

There were no other items of business.

18. Formal questions

There were no formal questions of which notice had been given.

19. Date of next meeting

The next meeting of the Authority would be held on Friday 17 March 2023 at 10.00am at the King's Centre, 63-75 King Street, Norwich.

The meeting ended at 1.01pm

Signed by

Please note these are draft minutes and will not be confirmed until the next meeting.

Chairman

Appendix 1 – Declaration of interests: Broads Authority, 20 January 2023

Member	Agenda/minute	Nature of interest
Harry Blathwayt, Bill Dickson, James Knight, Michael Scott and Nicky Talbot	10	Private toll-payers. Non-registerable interest affecting own financial interest to a greater extent than majority of inhabitants and reasonable member of public would believe that it would affect view of wider public interest – permitted to remain, speak and vote by the Authority’s Code of Conduct.
James Knight, Greg Munford & Simon Sparrow	10	Commercial hire boat operators. Disclosable pecuniary interest (employment, office, trade, profession, or vocation carried out for profit or gain) and left the room for this item.
James Knight	13	Involved in the planning process and had been asked for evidence as part of the review. Non-registerable interest affecting own well-being but not to a greater extent than majority of inhabitants or reasonable member of public would not consider it would affect view of wider public interest – permitted to remain, speak and vote by Authority’s Code of Conduct.

Appendix 2 – Public Questions: Broads Authority, 20 January 2023

1. Question 1 for meeting 20/01/23 - Broads Society

Could the members please offer an explanation as to why this meeting was suddenly brought forward by 5 working days, giving members of the public only 1 working day to submit questions? And are they satisfied that by allowing this to occur that they have complied with the Authorities Code of Conduct regarding openness. (Appendix A – Seven Principles of Public Life).

Supporting Statement

Section 1(4) Public Bodies (Access to Meetings) Act 1960 normally requires at least 3 days' notice of a meeting but given that 4 working days' notice is required for questions it should be usual for the BA to give at least 14 days' notice of any public meeting.

Given that the requirement for more than 20 members or officers to clear their diaries in order to attend, clearly the Authority would not have moved this meeting without good reason. Similarly, the short notice amendment would restrict the public's ability to submit question or attend the meeting.

The practice of publishing the notice of meeting etc. on Friday and then insisting on 4 working days' notice of a question inhibits the public from asking a question and is in breach of the Nolan Principle of "Openness".

Given the sensitivity of the agenda and public concern regarding the Budget 2023/24 and re-allocation of costs to navigation, We are concerned that the purpose of the sudden change in meeting was to restrict the ability of the public to engage.

Response by the Chair on behalf of the Authority:

I thank Mr Holmes for his question and note his comments. The meeting originally scheduled to take place on Friday 27 January 2023 was rescheduled to Friday 20 January in July last year (2022). Members were informed on 20 July 2022 via email of 3 changes which were required to the agreed committee calendar for 2022/23 (including the Audit & Risk Committee and Broads Authority meetings in November). The Authority's website was updated on 26 July 2022. The agenda papers for the 20 January Authority meeting were published on Friday 13 January. Therefore, the Authority has complied with all requirements regarding notification of this meeting. The Authority's public question scheme currently requires questions to be submitted 4 days in advance of the meeting. This is to provide sufficient time for officers to research and prepare the response in time for the meeting. This does not prohibit the public from asking a question before the paper are published. For clarity, a question does not have to relate to an item on the agenda and indeed, the public can submit questions in advance of an agenda being published.

The Authority acknowledges the importance of openness, as referred to, and also the public's ability to attend and, where permissible, participate in meetings. We will be reviewing the public question scheme as part of the overall review of governance documents and processes to ensure it meets those aims.

2. Question 2 for meeting 20/01/23 - Broads Society

We note the Monitoring Officer's "findings" of the External Review of Cllr. Fuller's complaint. As the Monitoring Officer's Report of 10 January – published on 13 January – gives no reasons nor evidence for the findings, will the Members publish the external review?

Statement in Support

A letter from the Broads Society was used in support of the imposition of Condition 6 and we recommended to Members of the Planning Committee that they should rely on section 101(4) Local Government Act 1972. We gave evidence to Mr Heath. Thus, we are an "interested party".

Finding 2 – The Landowner's Representative pointed out, in the application to remove the "no mooring" condition, that the imposition was inappropriate, because the site had been used as a permanent mooring for in excess of 10 years. The original application by the Environment Agency, for permission to carry out works, stipulated the existing use was "private moorings". We do not understand how the "intention was to avoid conferring any unlawful use."

Finding 5 – The justification given to Members for the imposition of the condition, was that the site is too narrow for mooring, not that mooring would be "unlawful".

The Landowner's Representative also pointed out that the Authority had previously asked to rent the site for a mooring and this had been agreed in principle, but no agreement was reached concerning rent. It was in the Authority's 2009 Moorings Policy as a "priority site" to acquire for a mooring and a S106 agreement had been enforced to oblige the Landowners to create a de-masting mooring adjacent to the site.

Simultaneously with removing the condition, the Head of Planning informed the Landowners that there was no right to moor, but the Authority would like to rent it for mooring. These facts are inconsistent with the justification of narrowness.

The evidence given to Members for imposing the condition, did not support the contention that the site was too narrow for mooring and the fact that this was so was obscured by redacting the text.

Finding 9 S101(4) states that any delegation of power "shall not prevent" the Members from taking back the function. The Members were prevented from "calling-in" the application. Why does the Monitoring Officer say the view it was unlawful is "incorrect"?

Findings 11, 12, 13 and 14. Misconduct in Public Office is an offence which requires the investigator to form an opinion as to how serious the alleged conduct of an Officer is. To

Please note these are draft minutes and will not be confirmed until the next meeting.

constitute the offence, the misconduct must be so serious as to amount to an “affront” to the public. This is a matter of opinion. This investigator concluded the misconduct did not reach that standard, but nevertheless, there was misconduct. Giving her view of the conduct was an essential part of her investigation.

We do not follow why the Monitoring Officer concludes making a complaint to the police was “inappropriate” given that there matter was taken up to the Chief Executive by Council Leaders.

The CPS Charging Guidelines say the views of the Injured Party should be taken into account when assessing the degree of seriousness. Whilst the landowner did not support a prosecution, clearly the Local Authorities (especially South Norfolk and Norfolk County Council), whose Members were prevented from calling-in, evidently took a different view. The reason why the grounds for a decision tend not to be disclosed, especially to the potential defendant, is not that giving reasons is somehow improper. It is because it can lead to an argument that a subsequent decision to prosecute amounts to an Abuse of Process, because it can lead to a suspect not bothering to look for evidence in his support. A subsequent delay can therefore cause an Abuse. The police usually tell the suspect they have decided not to prosecute, but reserve their position to change their mind if further evidence comes to light.

Response by the Chair on behalf of the Authority:

I thank Mr Holmes for his question and note his comments. If the report is published, the Authority may need to redact it appropriately to remove any personal data which should not be published. The recommendations from Mr Heath’s report are due to be discussed at item 13 of today’s meeting. There are a number of recommendations in the report and it is open to any member to suggest an additional recommendation that the report is published.

Just for noting, the Terms of Reference actually identify the interested parties in his report and state: “The interested parties in this investigation are the original complainant (Cllr Fuller), the subject of those complaints (the Authority) and DEFRA. These 3 interested parties will see the draft report and be given an opportunity to comment on it. It will be a matter for Mr Heath to decide in due course whether the draft report requires to be shared with any other persons/parties before it is finalised.

3. Question 3 for meeting 20/01/23 - Broads Society

1. Are the Members truly persuaded that the proposed changes to tolls for next year are a genuine prediction of the cost of actual “navigation expenses”, as defined in the Norfolk and Suffolk Broads Act 1988?
2. What would the increase in tolls have been if the expenses in Appendix 2 had not been reallocated or entirely redefined as “navigation” expenses?

Statement in Support

According to the published accounts, the actual navigation income (including tolls) for the year to April 2003 was £1,435,100. Increased in line with inflation, according to the Bank of England's inflation calculator, that would amount to £2,407,464 in 2022. The actual navigation income for 2022 was £3,708,458. That was an increase of 78%.

The proposed increase in tolls for 2023 is in excess of the government's annual CPI figure for inflation of 10.1%. It appears that tolls have been steadily increasing in excess of inflation for the last 20 years

By law, the "navigation income" must be equal to the actual "navigation expenditure". Navigation income may only be spent on "navigation expenses".

We see that in Appendix 2 of the report for proposed tolls for next year such things as the cost of the Visitor Centre at Ranworth is in future to be regarded as 72% a "navigation expense", because the staff will collect mooring charges. We cannot see how 72% of the cost of running this visitor centre can fit the definition of a "navigation expense" and we are sceptical of the other reallocations in Appendix 2.

Response by the Chair on behalf of the Authority:

I thank Mr Holmes for his question and note his comments. In accordance with the Norfolk and Suffolk Broads Act 1988, navigation expenses are any expenditure in furtherance of the Authority's duties set out in part 2 of the Act. Those duties are wide and include maintenance, improvement and safety of the navigation area.

The introduction to the budget report including proposed charges for the navigation area, at item 10, makes clear that the Authority, like many public bodies, is facing an extremely challenging financial situation, which is due both to intense inflationary pressures and a flat national park grant which remains as £3.414 million for the fifth year running and as a result is roughly half the value of the grant received in 2009/10. Members are well aware of this, and the Chief Executive highlighted it at the all-member briefing on 5 October and at the meeting of the Navigation Committee on 12 January.

Paragraph 5.2 of the report explains that these intense financial pressures have meant that it was essential to review the allocation of shared costs between navigation and National Park expenditure because the current use of National Park income to moderate navigation charges cannot be sustained.

The result of that review is contained at appendix 2 and is based on evidence. For example, the largest item is the apportionment of Ranger time. The Rangers are duty rostered with their task time accurately recorded, 80% of their time is spent on navigation activity while only 70% is currently charged. The Authority is satisfied that appendix 2 represents a fair assessment of shared costs.

Please note these are draft minutes and will not be confirmed until the next meeting.

In order to continue the effective delivery of its statutory purposes and responsibilities and retain the enhanced safety provision from increased patrolling by seasonal Rangers an increase in charges of 13% is required.

The review of the shared costs between National Park and Navigation expenditure moves £324,148 between those headings. As stated the largest item is the apportionment of Ranger expenditure (£100,869). If the corrections are not made it would require the reduction of £324,148 in National Park Expenditure and a 3.3% increase in tolls.

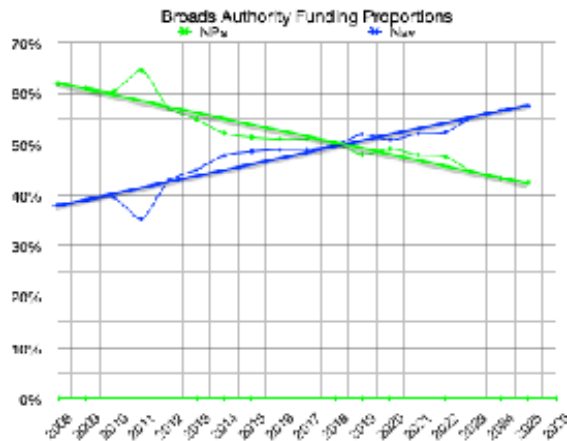
DRAFT

4. Question 1 for meeting 20/01/23 - Ben Falat of the NSBA

Broads Authority Meeting: Fri-20-January-2023 **Public Question**

Whereas, at NavCom last week, there was abject failure to undertake thorough discussion of the “Boiling Frog” analogy of successive year-on-year erosion of distributed funding between NPs Grant and Tolls, there was indeed very full recognition given to the current proposal for the new year’s Tolls increase being not too far removed from the previous year.

Also, the 60:40 distribution from 2008, achieving parity in 2018, and reversing gradually towards 40:60 projected by 2026 is doubtless wholly recognised and welcomed by DEFRA in not needing to apply additional grant because the Service continues to be provided at approximately previous levels and indeed is propped-up through external (Tolls-) funding.



While CEO at NavCom stated, “... **if the BA wants to maintain services ... then it needs to move to a more accurate distribution ...**”, wherein the, “... **wants to maintain services ...**”, becomes a very pertinent focus for The Authority’s forward strategy.

And indeed one might imagine a consequent ‘traffic-light’ style of exercise identifying **Must, May, Miss** criteria placed onto each area of Service such that executive can collate those parts of its operation which are critical against those which are rather niceties, perhaps considered available for delay or outright deletion within the present national financial climate.

Therefore without such evidential and informed submission DEFRA will doubtless welcome and continue its low level of grant provision; it needs to be spelled out explicitly **which parts of the current service are at risk.**

Question:–

→ **Has The Authority conducted an explicit internal spending review directed at each area of responsibility to report their impacts against a suggested ~60% reduction in funding, and reported results to DEFRA ?**

Please note these are draft minutes and will not be confirmed until the next meeting.

Response by the Chair on behalf of the Authority:

Paragraph 5.2 of the Budget report (Item 11) states: “This year the budget has been prepared by Management Team rather than zero based approach taken in previous years. The main objective of this approach is to manage our resources in context of flat cash National Park Grant and to reduce underspends at the end of the financial year.” All items of expenditure have been reviewed as part of this process. The implications of the flat cash settlement have been discussed with Defra officials in the annual review meeting in December 2022 as required in the National Park Grant agreement.

DRAFT

Broads Authority

17 March 2023

Agenda item number 7

Summary of actions and outstanding issues following discussions at previous meetings

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
Wherryman's Way footpath on River Chet	26/07/2019	Rob Rogers	Wherryman's Way footpath by River Chet included in priority actions for new Waterways and Recreation Officer. Discussions ongoing with Norfolk County Council.	<p>Work to be split into 2 phases over winter 2020 and 2021. Plan is to concentrate efforts in first year on Loddon FP4, Langley with Hardley FP9 and Loddon FP5. NCC to repair two bridges at Loddon FP4 by Sept 2020. Environmental officers to complete minor tree/shrub clearance by Oct 2020.</p> <p>BA operations team to dredge Chet for 3 months from Oct 2020 and dispose of material on sections of footpaths mentioned. They will return 6 months later to rebuild paths with new material. Similar work to continue in 2021 to restore rest of footpaths at eastern end of Hardley Flood.</p> <p>May 2020: Project now part of a much larger programme of works in partnership with Norfolk County Council and CIL application; to include new circular routes, bank stabilisation, signs and infrastructure, and access for all resurfacing works. Programme improvements across entire Wherryman's Way beginning 2021.</p> <p>October 2020: Funding application submitted Aug, been through first round approval and decision to be made in Dec.</p> <p>December 2020: Application unsuccessful. Reframing bid with Norfolk CC colleagues to submit in a future funding round.</p> <p>April 2021: BA to dredge River Chet and place sediment onto footpath winter 2021/2022. Arrangement made with Norfolk CC to return up to 18 months later to reshape footpath once sediment has dried.</p> <p>June 2021: BA partnering up with NCC for CIL application to carry out additional works here and at Surlingham and Bramerton.</p>	31/12/2021

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>July 2021: The CIL bid has been submitted (end of July 2021) with responses for successful bids expected in Nov 2021. Dredging in the River Chet is programmed for October 21 with material being deposited onto the footway to help build up the path. The CIL money (if successful) will be used to restore bridges and stabilise the banks at weak points.</p> <p>March 2022: A meeting at Norfolk County Council in March 2022 will decide which Community Infrastructure Levy funded projects are successful and the Broads Authority have two bids in the offing, Bramerton and Surlingham dedicated footpaths. If successful delivery will be progressed in 2022/23.</p> <p>April 2022: The final decision making meeting to allocate CIL project money is scheduled for May 16 by Norfolk County Council. The Broads Authority have arranged a pre-meeting with NCC Recreation & Project Officer (week commencing 1 May) to discuss action to date. Dredged material from the River Chet has been deposited and is drying on the Wherryman's Way which will be re-shaped once its dry enough to use.</p> <p>July 2022: CIL funding of £216,500 approved. Work already started on improvements to the Wherryman's Way., with riverbank stabilisation starting in Spring/Summer 2023. The scheme for Rockland access improvements to Bramerton and Surlingham footpath will be timetabled for completion in late 2023.</p> <p>November 2022: Preparations being made for 'reshaping' of the sediment placed on the bank at Hardley Flood footpath last Winter. Site visits with Broads Authority and Norfolk County Council ecologists plus Natural England staff have taken place to identify further survey work which may be needed plus mitigations measures to put in place in order for the 're-shaping' to take place prior to Spring 23.</p> <p>Monthly working group meetings are being held with County Council colleagues and quarterly update meetings held with local Parish Councils.</p> <p>December 2022: Wherryman's Way Improvement Project stakeholder group was held. NCC and Authority staff updated the parish council representatives on progress and received queries. NCC's bridge designers and main contractors are developing solutions for the bridges required along the Hardley Flood stretch. Broads Authority staff are developing designs for river edge erosion protection along the Bramerton FP5 section.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>March 2023: A feasibility report has been produced for the repair and replacement of bridges at Hardley Flood. A series of ecological investigations have also been carried out on the site. There will be an update to local parish councils and stakeholders in late March.</p>	
Responding to Climate Change Emergency	27/09/2019	John Packman	<p>To adopt Climate Change Emergency Statement for the Broads (first report Appendix 1) and principles outlined for BA to:</p> <p>Recognise climate emergency</p> <p>Work toward making the Broads Authority 'carbon neutral' by 2030, with further objective of reducing all carbon emissions to zero by 2040.</p> <p>Establish base line for CO2 emissions using a common methodology with NPAs and develop an Action Plan and Monitoring system.</p> <p>Work with constituent local authorities to reduce emissions from domestic, travel and other sources in the Broads across the two counties.</p> <p>Work with farmers, land managers, NFU and Defra to influence land management practices, to maintain and build organic matter and carbon in soil, improve biodiversity and store water to protect against flooding and drought.</p> <p>Work with boating and tourism organisations to continue promoting and developing environmentally friendly boating and sustainable tourism; and</p> <p>Aspire to offsetting carbon emissions locally within the Broads by a Broads offsetting scheme.</p>	<p>September 2019: Principles agreed - first in series of items dealing with climate change.</p> <p>22 November 2019: Presentation to BA from Asher Minns, Director of Tyndall Centre at UEA and update by CANAPE Project Manager/Carbon Reduction Projects Manager.</p> <p>10 January 2020: Planning Committee report on planning policy response to climate change mitigation and adaptation.</p> <p>May 2020: Progress report to BA prepared on Climate Change Action Plan for Broads Authority and Broads Area. Deferred to BA meeting in July due to COVID-19 situation.</p> <p>July 2020: Report on agenda on Climate Change Action Plan - agreed to set target of 1.5 degree compliant emissions curve for Broads executive area, in line with Tyndall Centre recommendations, and use as basis for public engagement and working with partners.</p> <p>September 2020: National Parks England received data from BEIS on emissions from National Parks and the Broads. Work underway to better understand these figures, in particular around boating emissions listed as several times higher than previous estimates.</p> <p>Yare House electricity supply switched to Green Tariff. BA investigating capacity of its equipment to use higher percentages of biofuel. These measures will achieve targeted savings for this year.</p> <p>With South Downs NPA, BA working with Smallworld Consulting Ltd to deliver Consumption Baseline for Broads Area by March 2021. From data provided by this and BEIS data, BA will establish savings needed in each year to achieve carbon neutrality.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>12 March 2021: Facilitated presentation on climate change to the Norfolk Public Sector Leaders Board.</p> <p>August 2021: Trial of HVO Biofuel with the CME team has been successful. This can provide a low-carbon fuel source for our heavy equipment before electric/alternative fuelled equipment becomes available, and make a substantial reduction in the BA Carbon Footprint.</p> <p>Ongoing work with Smallworld Consulting Ltd to calculate a consumption based Climate Footprint for the Broads Executive Area, in line with the National Parks Family. This will inform our high level targets for Climate Mitigation.</p> <p>We have carried out a survey of boat owners in the Broads to get a better understanding of usage habits and fuel consumption, and to gather views on green boating.</p> <p>We have successfully received funding to carry out a partnership project (led by Ren Energy Ltd) to deliver a feasibility study into an electrified broads network.</p> <p>19 November 2021: Agreed, in principle, to support the National Parks' involvement as a hub in the "Count Us In" Protect What You Love Count Us In (count-us-in.org) initiative and work with partners and others to promote the development of "Broads specific" actions, linked to the 16 "Count Us In" themes, to residents and visitors to help tackle climate change and biodiversity loss in the Broads in order to develop behaviour change messaging.</p> <p>27 April 2022: We have received the draft report on greenhouse gas emissions by Small World Consulting Ltd (academics based at Lancaster University). There are some minor adjustments to be made before we can share it more widely, including testing some of the recommendations with relevant officers. Agreed to hold a member workshop on the topic in June.</p> <p>05 July 2022: The presentation of the report to members is planned for the middle of July. Following the completion of the "Electrifying the Broads" feasibility study in March 2022 we are investigating funding options for expanding the electric charging network, and developing a fully electric vessel.</p> <p>13 September 2022: A member workshop was held on the 25th of July, and the full report circulated to members. Work is ongoing on the next steps, with a report anticipated for the November Authority meeting.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>The next phase of Clean Maritime funding, which may allow us to build on the Electrifying the Broads feasibility study, is expected to be announced on the 22nd of September.</p> <p>November 2022: We are working on various possible bids for external funding to support our climate change work, including the Norfolk Investment Framework. Unfortunately the Clean Maritime Competition Phase III was not suitable for the Electrifying the Broads project, so we are exploring other avenues.</p> <p>December 2022: An update report setting out next steps was presented to the Authority Meeting in December. We will hear in early January the outcome of the bids to the Pioneer Places fund and the Norfolk Investment Framework.</p> <p>February 2023: Pioneer Places bid was not awarded. We have a new possibility of funding through the Local Electric Vehicle Infrastructure Fund award, in partnership with Norfolk County Council, that includes funding for electric pillars in the Broads.</p>	
'Broads Peat' - A Nature for Climate Peatland Grant Scheme project	23/07/2021	Andrea Kelly	<p>The Broads Peat Project was awarded £785,668 in December 2021 from Defra, as part of the Nature for Climate Peatland Grants Scheme – Discovery Grant which is administered by Natural England. The project budget was revised to £855,831 in December 2022 (the formal Change Control Notice was received from Natural England on 3 January). Broads Peat was initially expected to close in March 2023 - now waiting feedback on a request for an extension until August 2023.</p>	<p>July 2021: Members agreed to submit an application, at the Broads Authority meeting on 23 July 2021, with the Authority as the lead partner.</p> <p>August 2021: Bid submitted, for around £800k project across 13 sites, with 7 partner organisations and 9 private landowners. Natural England report that they will announce successful projects in mid-November 2021.</p> <p>October 2021: Responses to 12 clarification questions submitted. Initial preparation on recruitment and procurement.</p> <p>December 2021: Awarded £800k grant on 24 Nov. Internal Board meeting weekly. Held partnership meeting on 26 Nov, including adoption of ToR, PA, Procurement and Schedule. First round of recruitment for PM unsuccessful. Re-advertising into January. Secondment for PO being advertised into January. Stage one small contracts let. Tender for seven work packages developed to advertise in early January. Framework Contracts being assessed. Paper for Jan 22 BA Committee prepared. Press release in EDP. £800,000 grant for project to restore peatland in the Broads Eastern Daily Press (edp24.co.uk). Webpage drafted. Agreement with Palladium and landowners being drafted.</p>	31/03/2023

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>January 2022: An update on Broads Peat and Framework Procurement was provided to members at the 28 Jan 2022 BA meeting. Peat depth and land level assessments underway. Developed farmer engagement programme to discuss private finance and land management.</p> <p>February 2022: Recruitment for two posts progressing, and start of the standstill period for activities consulted by tender. Linking with two other Discovery Grant projects in the East.</p> <p>March 2022: Secondments from Birketts and the Suffolk Wildlife Trust agreed and staff started work.</p> <p>April 2022: All contracts underway with consortia of 17 contractors. Entered SCAPE Framework to access Jacobs, working closely with WMA. Third Partnership meeting held. Workshop on Carbon Finance held with landowners. Working towards influencing the fen peatland code.</p> <p>June 2022: Main contracts delivering ahead of schedule with peat, topography and water level data largely complete. Novel water vole habitat assessment tool showing promising early results for consenting landscape water level raising. Contract with Jacobs, via SCAPE, close to completion with scoping study task defined. 50 farmers and landowners attended a further carbon finance event at Acle led by Andrea Kelly and Palladium. Site prioritisation for Restoration Grant being discussed by partners and 3 new farmer led sites added to partnership. Palladium scoping out sites for Nutrient Neutrality as well as carbon finance. Youth engagement with fashion, young farmer and architects at scoping stage. Display of wet farming products engaged people at the Norfolk Show. Preparing for Internal Audit of Partnership.</p> <p>August 2022: Water vole habitat assessment method completed at all sites and initial analysis was presented on 24 August. Analysis of 3 test sites indicated a significant relationship between increasing habitat suitability score and water vole presence.</p> <p>Restoration Plan structure agreed. Updated list of sites agreed with landowners and Natural England. Prioritisation of sites to have full Restoration Plans endorsed by the Partnership on 28 July and then sent to NE. Consultant Stantec will be appointed for the design of engineering solutions.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>Programme of engagement with colleges due to commence September. Public arts engagement with youth-led collective member of RE-PEAT at GroundWork Gallery, Kings Lynn 2-30 September.</p> <p>November 2022: Partnership Audit has focused on the Broads Peat Project has completed with minor change to the risk register. Application for additional budget (potentially available from unallocated funds) submitted to Natural England together with request for an extension to the Project has been made and likely to be successful. Staff Resources - sickness and change to secondment arrangement have and will impact on remaining staff and delivery and requires mitigation to provide additional resource. Stantec appointed via SCAPE framework and Task Orders for Engineering, Permissions up and running. Restoration plans being drafted. Leading discussion with upstream landowners at Heckingham. Water vole habitat assessments and Historic Environment Reports complete and mitigation plans for priority sites under development. Landscape water table assessment in draft and rust rods assessed. Engagement has included visits from Defra, ADA, Friesland Water Board, CANAPE, Cambridge University, 2 farm walks, 2 youth engagement events. Environment Policy Adviser investigating grant submission for the Paludiculture Exploration Fund. A further carbon finance event at Acle with Palladium planned for Nov.</p> <p>December 2022: Application for 9% additional budget awarded for further peat, water and water vole assessments. An outline request for an extension to the Project to August 2023 has been made. Stantec work on Engineering, Permissions is highlighting the risk of not gaining EA permissions in time. Restoration plans being drafted. Further discussion with upstream landowners at Heckingham required. Held positive meeting with Beccles Town Council. Landscape water table assessment complete and rust rods assessed. Revere Carbon finance event held at Acle with Palladium. Engagement since November has included 1 farm walk and 1 youth engagement event. Building a partnership for the Paludiculture Exploration Fund.</p> <p>February 2023: A formal request for an extension to the Project to August 2023 was made on 28 February. Stantec submitting pre-applications for Permissions and completing site costings. Restoration plans almost complete. Holding meetings with site landowners.</p> <p>Revere Carbon finance model complete, awaiting UKPCv2 launch to register sites. Unexpected outcome of UKPCv2 that we need more water level data for 12 months.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>Engagement since December has included Norwich Science Fair, developing A-level session for Paston College, explored education access at Dilham Hall Farm and worked with a journalism student from UEA.</p> <p>Early March - Submission of ~£400k Paludiculture Exploration Fund bid with Norfolk FWAG, Norfolk County Council, NUA, Wetland Products Foundation and Hudson Architects. with support from EA, Broads IDB, Fenland Soil.</p>	
Farming in Protected Landscapes (FiPL)	23/07/2021	Hannah Norman	To deliver the Farming in Protected Landscapes (FiPL) programme.	<p>24 August 2021: First meeting of the Local Assessment Panel (called the Broads and Norfolk Coast Land Management Board), in collaboration with Norfolk Coast AONB. Ten applications were approved: five from the Broads (about 62% of the allocation), and 5 from the AONB (about 69% of the allocation).</p> <p>22 October 2021: Another two Local Assessment Panels (on 30 September and 8 November) to approve additional projects (12 approved, over 90% fund allocated). Some work on-going to reallocate some of the administrative and advice project towards the project pot. The website will publish the summary of the successful projects. Farming in Protected Landscapes (broads-authority.gov.uk) The catchment and farming officer joined the Authority on 21 October.</p> <p>17 December 2021: Additional Local Assessment Panel (on 14 December) with 3 new applications approved (two in the Broads and one in the AONB). These projects will be for Year 2 (start from April 2022). The Board thanked the team for the team's support since FiPL was announced this summer. Two farmer Board members presented successful FiPL projects at a national workshop of ~600 people. FiPL evaluation completed by members of the PL Team.</p> <p>February 2022: The Board agreed at their January meeting the changes for Year 2 submissions, with a maximum grant of £50k. Preparation of communications about the success of Year 1 projects.</p> <p>10 March 2022: Next meeting of the Land Management Board will consider three further applications for funding.</p> <p>21 April 2022: Year 1 funding spend by the end of March 2022 with available information on the summary of Year 1 projects Broads Farming in Protected Landscapes Programme - Year one summary (broads-authority.gov.uk). Good progress on the allocation of funds for Year 2 and Year 3.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>30 June 2022: The Land Management Board met on 6 June. Two projects were approved, both for the Norfolk Coast, and one application for the Broads was rejected. So far, 10x Year 2 projects have been approved for the Broads and one rejected. To date for Year 2, 53% of the funding has been allocated, and two projects have been completed.</p> <p>25 August 2022: The Land Management Board met on the 18 July and approved one Year 2 project for the Broads. Three applications under £5,000 have been improved internally, bringing the total number of year two projects to 14. Good progress is being made on approved projects.</p> <p>15 November 2022: The Land Management Board met on the 1 September and the 10 October and approved one year 2 project. One project under £5,000 was approved internally. A total of 16 projects have been approved so far for year 2, with 77% of grant funds allocated.</p> <p>20 December 2022: The Land management Board met on 21 November, approved one year two project and rejected another. A total of 17 projects have been approved so far. 94% of funds have been allocated for year 2. Seven projects have been completed and good progress is being made on other projects.</p> <p>10 January 2023: The Land Management Board met on 9 January and approved two grant applications for the Norfolk coast and received a presentation from the Authority's Farming and Catchment Officer on the performance of the programme to date.</p> <p>24 February 2023: All of the funding for 22/23 has been allocated to grants. A total of 20 grants were funded in year 2, with nine completed and paid. The Land Management Board met on 20 February, and assessed three project applications for year 3 which starts in April. They deferred two projects and part funded a third.</p>	
Safety on the Broads	18/03/2022	Rob Rogers	Amend the Authority's Hire Boat Licensing Conditions such that the Code for the Design, Construction and Operation of Hire Boats is incorporated in full.	<p>July 2022: Letters have been issued to every Hire Boat operator within the broads informing them of the changes to Hire Boat Licensing Conditions that will be effective from 1 April 2023.</p> <p>British Marine has offered a special discounted membership and QAB price to all Broads hire boat operators and this has also been communicated.</p>	01/04/2023

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
			<p>Make the British Marine's QAB scheme a mandatory aspect of Broads Authority Hire Boat Licensing Conditions from 1 April 2023 in line with the Navigation Committee's view.</p>	<p>The Hire Boat Licensing Officer is also talking to all operators as part of their auditing and condition checks and British Marine are resourced and ready to assist operators reach the required standards.</p> <p>September 2022: A letter to all hire operators has been issued asking for comments on the widening of the Hire Boat Licensing scheme to include ALL non-powered paddle, or pedal craft let for hire from 1 April 2023. A paper is planned for Navigation Committee (Oct) with recommendations coming to the Full Authority in Dec. A phased approach is planned which will hopefully incorporate any craft or vessel let for hire (including Houseboats and craft let for Airbnb) being licensed in the future to bring further safety improvements.</p> <p>October 2022: Navigation Committee discussed the commercial paddle scheme and proposed charges and made a full recommendation to the Broads Authority. Papers included in the December 2022 Broads Authority committee meeting.</p> <p>December 2022: Annual BSMG report on safety to the Navigation Committee meeting in January.</p> <p>February 2023: New Licensing arrangements and conditions have been set for the non-powered craft. All Hire Operators have been informed of the changes. We have also chased up compliance under the Hire Boat Licensing to ensure operators have engaged with British Marine over the Quality Assured Boatyard Scheme (QAB)</p> <p>Following the setting of the budget for 2023/24 recruitment underway for the Seasonal Assitant Rangers who will help maintain a visible 7 days a week presence on the water during the season.</p>	
Appointment of Monitoring Officer	02/12/2022	John Packman	<p>At the Broads Authority meeting in December, It was resolved unanimously to: Appoint Jonathan Goolden of Wilkin Chapman LLP as the Authority's Monitoring Officer with effect from 1 January 2023. To authorise the Chief Executive to enter into an appropriate form of contract with Wilkin Chapman LLP for the provision of Monitoring Officer services pursuant to Section 5 of the Local Government and Housing Act 1989.</p>	<p>10 January 2023: An engagement letter, together with scope of work description, have been agreed between Wilkin Chapman LLP and the Chief Executive and signed by both parties.</p>	27/01/2023

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
Recommendations from external review into formal complaint	20/01/2023	John Packman	<p>At the Broads Authority meeting on 20 January 2023, it was resolved to:</p> <p>i. Welcome the findings and recommendations of the independent investigation into the formal complaint and in particular that:</p> <p>“In our view officers acted in good faith and professionally throughout”, and that</p> <p>a. The Broads Authority’s governance arrangements are regularly reviewed by Internal and External Audit, both external to the organisation... There is continuous improvement underway within the realm of governance.</p> <p>b. “any suggestion that there are significant fundamental problems at the Authority and that it is "failing" or similar would be completely incorrect.”</p> <p>ii. In accordance with recommendation a. above and recognising the Authority’s designation as a Best Value Authority it adopts in full the recommendations of the independent review for improvements in the organisation’s governance and procedures as set out in Table 1.</p> <p>iii. Refers the recommendations of the VWV report to the Audit and Risk Committee for detailed consideration and implementation.</p> <p>iv. The Authority recognises the serious impact this process has had upon its officers’ well-being and, while implementing the practical steps in the recommendations, recognises the duty to officers as their employer and commits to protecting its officers in future from unfounded allegations.</p>	<p>16 February 2023: All recommendations were adopted by members at the BA meeting on 20 Jan. The report was published on the website on 20 January (rec. vi).</p> <p>A report will be presented to the Audit & Risk Committee on 14 March, to agree a set of actions to implement the recommendations and the relevant timetable. In addition, to delegate authority to the CE and MO to take all and necessary steps to implement the recommendations and report back to the ARC on progress.</p>	22/12/2023

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
			<p>v. Thank: the Task and Finish Group for its work which has been concluded and its views incorporated into the VWV report; VWV for their independent review and Defra for meeting the costs.</p> <p>vi. To publish the VWV report on the Authority's website (subject to one redaction of personal information).</p>		
Appointment of Trustees to Whitlingham Charitable Trust	29/07/2022	John Packman	The BA to appoint four Trustees to the Whitlingham Charitable Trust (WCT).	<p>29 July 2022: Members agreed that the CE and VC should discuss alternative proposals for the BA appointing Trustees with the new WCT Chair and report back to a future meeting.</p> <p>23 September 2022: Members agreed that, in collaboration with the new Chair of the WCT, to use an open and transparent process to appoint four Trustees with the skills and experience to deliver the Trust's Strategic Plan.</p> <p>16 February 2023: Awaiting confirmation from WCT that the Strategic Plan had been signed off, following which agreement would be sought on the skills and experience needed for the Trustees to deliver the Strategic Plan.</p>	12/05/2023
BFI (Broadland Futures Initiative)		Marie-Pierre Tighe	To implement the next steps of the Broad Futures Initiative (BFI) programme, including the development of the modelling which is expected in 2024.	February 2023: Issue 11 of the BFI newsletter was published on 15 February 2023. The project team met on 20 February, and received a presentation from the Broads Angling Services Group on salinity. The next meeting of the Elected Members Forum is due on 4 April, to give an update to members on the long listing of potential flood risk management actions.	

Date of report: 03 March 2023

Broads Authority

17 March 2023

Agenda item number 8

Strategic direction- draft Annual Business Plan 2023/24 and strategic priorities update

Report by Senior Governance Officer

Purpose

This report presents the Broad's Authority's draft Annual Business Plan for 2023/24 and the final update on this year's set of strategic priorities

Broads Plan context

The Annual Business Plan is the link between the Broads Plan and the Authority's work plans, including the annual strategic priorities.

Recommended decision

To adopt the Annual Business Plan 2023/24 and to note the final 2022/23 strategic priorities update.

1. Draft Annual Business Plan 2023/24

- 1.1. The Authority's Annual Business Plan gives an overview of work priorities for the financial year. It is the link between the Broads Plan, the strategic partnership plan for the Broads, and the Authority's directorate work plans. The draft Annual Business Plan at Appendix 1 sets out planned activity and expenditure for the financial year 2023/24, and a summary of progress against our 2022/23 work plans.
- 1.2. The strategic priorities for 2023/24 were approved by the Authority at its meeting on [2 December 2022](#).
- 1.3. A number of more detailed guiding strategies support the high-level Broads Plan, and a status update on these is included in the Annual Business Plan.
- 1.4. The Broads Plan and guiding strategies may be viewed on the [strategy](#) pages of our website at www.broads-authority.gov.uk

2. Update on strategic priorities for 2022/23

- 2.1. The final update on our strategic priorities for 2022/23 is in Table 1 below. A number of these priorities will carry forward as priorities for 2023/24.

Table 1

Strategic priorities 2022/23 – final progress update

Themes, aims and milestones	Progress	Lead officer
<p>1. Response to the Government’s proposals on the Landscapes Review</p> <p>Aim: To influence the Government’s approach to the implementation of the Landscapes Review.</p> <p>Milestones: 9 April 2022 deadline</p>	<p>Status: complete</p> <p>Broads Authority meeting on 18 March 2022 agreed the response which was sent to Defra on 8 April 2022.</p> <p>Await further response from the Government.</p>	<p>Chief Executive</p>
<p>2. Broads strategy and policy review</p> <p>(a) Broads Plan</p> <p>Aim: To review, update and produce the Broads Plan for adoption in 2022.</p> <p>Milestones:</p> <p>(i) Consult on draft Plan (May-July 2022)</p> <p>(ii) Adopt final Plan (Sept 2022)</p>	<p>Status: complete</p> <p>(i) Consultation held 23 May to 15 July 2022.</p> <p>(ii) Broads Plan 2022-2027 adopted in September 2022.</p>	<p>Strategy and Projects Officer</p>
<p>(b) Local Plan for the Broads</p> <p>Aim: To review the Local Plan for the Broads for adoption in 2024 (estimated).</p> <p>Prepare and adopt Supplementary Planning Documents and guidance to support Local Plan policy.</p> <p>Milestones:</p> <p>(i) Sustainability Appraisal Scoping Report – May 2022</p> <p>(ii) Housing and residential moorings need assessments – June 2022</p> <p>(iii) Issues and Options version of Local Plan (with HRA and</p>	<p>Status: on track</p> <p>(i) Complete</p> <p>(ii) Complete</p> <p>(iii) Consultation ended 9 December 2022 and comments and sites being assessed.</p> <p>(iv) On track for around September 2023 time, but timings may be amended.</p>	<p>Planning Policy Officer</p>

Themes, aims and milestones	Progress	Lead officer
<p>SA) consultation – August 2022</p> <p>(iv) Preparation of the Preferred Options version of Local Plan (with HRA and SA) consultation – towards consultation for June 2023</p>		
<p>3. Safety in the Broads & Hire Boat Licensing Review</p> <p>Aim: To manage and monitor safety in the Broads for all users.</p> <p>Milestones:</p> <p>(i) Recruit and train new Rangers (date May 2022)</p> <p>(ii) Prepare and make available safety videos (May 2022)</p> <p>(iii) Review Marine Accident Investigation Branch (MAIB) report.</p> <p>(iv) Review new safety measures and liaise with Broads Hire Boat Federation (BHBF) on any additional measures.</p>	<p>Status: complete</p> <p>(i) Rangers recruited and trained in time for the new season. Additional Rangers recruited, trained and deployed onto the waterway, enabling the Authority to maintain a 7 day a week on river patrolling.</p> <p>(ii) Amended safety videos distributed. Instructional videos produced and shared through partnering websites and YouTube channels. The suite of instructional videos has been added too in 2022, bringing paddle-sports and what to do in an emergency into the free online suite</p> <p>(iii) Marine Accident Investigation Branch (MAIB) report into fatal accident on the Diamond Emblem 1 at Great Yarmouth on the River Bure on 19 August 2020 published on 5 May 2022. Response to recommendations sent on 1 June 2022. The Marine Accident Investigation Branch report was released in May 2022, following consultation and inputs from the Broads Authority. The three recommendations suggested by the MAIB for the Authority have</p>	<p>Head of Ranger Services</p>

Themes, aims and milestones	Progress	Lead officer
	<p>been either approved or implemented.</p> <p>(iv) Following consultation with the Navigation Authority and in line with the MAIB recommendations the last recommendation made by the MAIB, adoption of the British Marine Quality Accredited Boatyard Scheme as part of our Hire Boat Licensing Conditions, will be implemented from April 2023.</p>	
<p>4. Responding to climate change</p> <p><u>(a) Broadland Futures Initiative</u></p> <p>Aim: To implement the next steps of the Broad Futures Initiative (BFI) programme, including the development of the modelling which is expected in 2023.</p> <p>Milestones:</p> <p>(i) Publish 9th and 10th editions of the BFI newsletter (April and December 2022).</p> <p>(ii) Hold 3rd and 4th meetings of the Elected Members Forum (Spring 2022 and early 2023).</p> <p>(iii) Various technical deliverables from consultant (throughout 2021/22) including the list of all possible actions.</p>	<p>Status: slightly delayed</p> <p>(i) 10th edition of the newsletter published in September 2022, with a focus on the next stage of the BFI work.</p> <p>(ii) The 4th meeting of the Elected Members Forum scheduled on 18 January was rescheduled on 4 April 2023.</p> <p>(iii) There are delays in awarding the contract for the next phase of work on flood risk management option identification, to the consultant Jacobs. This phase of work is now due to take place in early 2024. [Note that there was an error in the previous progress update which wrongly indicated “early 2023”]</p>	<p>Director of Strategic Services</p>
<p><u>(b) Climate Change Action Plan</u></p> <p>Aim: To implement agreed actions in the Authority’s Climate Change Action Plan.</p> <p>To reduce the carbon footprint of the Broads Authority and the Broads Executive Area (‘Broads Area’).</p>	<p>Status: on track</p> <p>(i) Electrifying the Broads report delivered to DfT on time. Second phase of funding for trialling an electric hire boat delayed as the Clean Maritime Demonstration Competition Round 2 was limited to “out of water” testing, and</p>	<p>Carbon Reduction Project Manager</p>

Themes, aims and milestones	Progress	Lead officer
<p>Milestones:</p> <ul style="list-style-type: none"> (i) Work with partners to secure funding for Phase II of the “Electrifying the Broads” Project (ii) Develop proposals for each of the six areas identified in the Small World report and consult with members 	<p>Round 3 asked for projects with far higher budgets than would be required for this project. Potential funding through other schemes is being explored, including the Norfolk Investment Fund.</p> <ul style="list-style-type: none"> (ii) Report presented to Broads Authority December meeting on how to respond to the Smallworld Report. We are awaiting news on funding bids submitted to the Norfolk Investment Fund for sustainable tourism, and a bid submitted to the Pioneer Places. <p>The Government has announced the £2 bus fare scheme – we will be promoting this as a way to visit the Broads in the New Year.</p>	
<p>5. <u>Water, Mills and Marshes Landscape Partnership Scheme</u></p> <p>Aim: To implement and report to National Lottery Heritage Fund (NLHF) on partnership projects to agreed revised schedules (scheme extended to 2024).</p> <p>Milestones:</p> <ul style="list-style-type: none"> (i) Monitor and report progress (July/Dec). (ii) Submit quarterly claims to National Lottery Heritage Fund (April/Jul/Oct/Jan) (iii) Implement Fundraising and Legacy plan with partners (July) (iv) Hold Broads Life Festival (June) 	<p>Status: on track</p> <ul style="list-style-type: none"> (i) All projects progressing well to adjusted plans, with most ended in December 2022, and are now being evaluated. (ii) Quarterly returns submitted on time and paid by NLHF. (iii) Legacy and fundraising plan in progress. Have completed scheme fundraising and now have full cash match as required for the grant. (iv) Complete: Broads Life Festival held on 11 June at Beccles Quay. (v) Complete: Broads Hidden Heritage Conference held on October 29th at UEA’s Thomas Paine Study Centre. Largest conference ever for the project with more than 200 attendees. 	<p>WMM Programme Manager</p>

Themes, aims and milestones	Progress	Lead officer
<p>(v) Hold Broads Hidden Heritage Conference (Oct)</p> <p>(vi) Implement Changing Places Toilets Installation project with district councils</p>	<p>(vi) The first toilet being delivered in partnership with South Norfolk Council at Whitlingham Country Park is currently be built. It is prefabricated off site and will be delivered later in the spring to the prepared site. We are still planning for the delivery of two additional toilets in East Suffolk and North Norfolk, both delivered in coordination with the local district councils. The East Suffolk toilet is waiting for further agreements with Greater Anglia.</p> <p>Most partner projects are now complete and are being evaluated and we are awaiting their final invoices.</p> <p>Works are nearing the final stage at Mutton’s Mill, Halvergate, with the involvement of students from City College Norwich nearly completed. Scaffolding is due to come down as soon as conditions permit and repairs to the access track have been completed. We anticipate the works to the mill to be completed in the Spring of 2023 with both pairs of sails to be re-instated.</p> <p>We are currently out to tender for the repair of the sluice at Strumpshaw Pump House and expect this work to be completed in summer 2023.</p> <p>We are completing work on our upcoming volume on the history of the Broads being written by Tom Williamson at UEA. This is due for publication in March 2023.</p>	

Themes, aims and milestones	Progress	Lead officer
	<p>Our exhibition on the history of drainage windmills in the Broads at the Museum of the Broads in Stalham will reopen when the Museum reopens for the new season in March 2023. It will remain on display for the remainder of 2023.</p>	
<p>6. Nature for Climate Peatland Grant Scheme (NCPGS) Discovery project</p> <p>Aim: Co-ordinate and implement with partners the NCPGS Discovery project to agreed schedule.</p> <p>Milestones:</p> <ul style="list-style-type: none"> (i) Landowner agreements (ii) Appoint Engineering Consultants (iii) Landowner engagement and development of carbon finance model (iv) Technical studies including peat and vegetation water surveys, and Historic Environment Assessments (HEA) (v) Scheme wide engagement and education (vi) Water Vole Survey New Approach to be approved by Natural England (vii) Monitoring and Restoration Plans (viii) Complete site selection for potential restoration (ix) Restoration Grant Application 	<p>Status: on track</p> <ul style="list-style-type: none"> (i) Complete for original sites. (ii) Appointed Stantec via SCAPE Framework operated by Perfect Circle. Progressing Task Order 2 for permissions and costing of engineering solutions. (iii) Commercial model for carbon finance and legal templates finalised. Final seminar with Defra, NE and other NCPGS projects held. (iv) Completed peat coring, topographic levelling and vegetation surveys. Final HEAs ongoing. Additional coring and hydrology ongoing. (v) Three site walks have been written up. These were of great interest to those who attended. Youth Engagement continues with the Norwich Science Fayre and engagement with NUA. (vi) The Literature Review from SWT is complete and consent was given in principle for this to be published. This is part of the project's legacy. Impact and mitigation planning ongoing. (vii) 4 Restoration Plans in draft. 	<p>Peat Project Manager</p>

Themes, aims and milestones	Progress	Lead officer
	<p>(viii) Complete. List of sites to have full Restoration Plans approved by the Partnership and sent to NE.</p> <p>(ix) Not commenced. NE offering Broads Peat to apply for an extension to Discovery Grant. Submission deadline for Restoration Grant expected in June 2023.</p>	
<p>7. Farming in Protected Landscapes (FiPL)</p> <p>Aim: To run the FiPL programme and support the Broads and Norfolk Coast Land Management Board to allocate funding.</p> <p>Milestones:</p> <p>(i) Hold seven land management board meetings (March 2023)</p> <p>(ii) Allocate all grant funding to projects (December 2022)</p> <p>(iii) Pay all grant claims for completed projects (March 2023)</p> <p>(iv) Promote the success of the programme through the Press and our partners.</p>	<p>Status: on track</p> <p>(i) Nine Land Management Board meetings held: on 11 April, 6 June, 18 July, 1 August, 1 September, 10 October, 21 November, 9 January and 20 February.</p> <p>(ii) Complete. Twenty projects approved and £147,939.34 funding allocated.</p> <p>(iii) On track. Nine projects completed and claimed, and other projects on track.</p> <p>(iv) Under way. Good news that funding for Year 4 2024/25 was confirmed by Defra.</p>	<p>Catchment & Farming Officer</p>
<p>8. Tolls system replacement</p> <p>Aim: To replace current legacy system and provide improved online functionality.</p> <p>Milestones: Undertake scoping for the replacement of the:</p> <ul style="list-style-type: none"> • Internal system • External system and • Ranger mobile application 	<p>Status: on track</p> <p>Initial project initiation document reviewed by MT on 6 October.</p> <p>Workshop held with the Navigation Committee on 20 October to determine form of user input into system development.</p> <p>Broadsheet to detail proposed functionality changes due to be published early 2023.</p>	<p>Director of Finance / Collector of Tolls</p>

Themes, aims and milestones	Progress	Lead officer
	<p>Scoping meetings have taken place with the Rangers and the Tolls team.</p> <p>This will continue to be a priority for 2023/24.</p>	

Author: Sara Utting

Date of report: 01 March 2023

[Broads Plan](#) strategic objectives: all

Appendix 1 – Draft Annual Business Plan 2023/24

Annual Business Plan 2023/24

Contents

1.	Introduction	4
1.0.	Annual Business Plan	4
1.1.	Our functions	4
1.2.	Our funding	4
1.3.	Context for the year ahead	4
1.4.	Guiding plans	5
2.	Review of last year	6
2.0.	Our financial position	6
2.1.	Progress against work plans	6
3.	Financial Strategy 2023/24–2025/26	7
4.	Directorate work plans 2023/24	8
4.0.	Operations Directorate	10
4.1.	Strategic Services Directorate	14
4.2.	Finance and Support Services Directorate	18
	Appendix 1 – Guiding strategies	20
	Appendix 2 – Progress against Directorate work plans 2022/23	22

1. Introduction

1.0. Annual Business Plan

This Annual Business Plan outlines the Broads Authority's work plans for 2023/24 and its 3-year financial strategy for 2023/24 to 2025/26.

Our work plans are guided by the Broads Plan, the partnership strategy for the Broads, and we work with many organisations, interest groups and local communities to achieve the vision and objectives for the area. Figure 1 (page 8) shows the 'golden thread' from the Broads Plan to our work plans and other policies, plans and programmes.

1.1. Our functions

The Broads Authority has a duty to manage the Broads for the following three purposes:

- Conserving and enhancing the natural beauty, wildlife and cultural heritage of the Broads;
- Promoting opportunities for the understanding and enjoyment of the special qualities of the Broads by the public; and
- Protecting the interests of navigation.

No priority is set between these purposes. It is up to the Authority in any particular instance to decide on their relative priority, supporting its commitment to the integrated management of the Broads.

In managing the area, the Authority must also have regard to:

- The national importance of the Broads as an area of natural beauty and one which affords opportunities for open air recreation;
- The desirability of protecting the natural resources of the Broads from damage; and
- The needs of agriculture and forestry and the economic and social interests of those who live and work in the Broads.

The Authority also has the duty to maintain the navigation area for the purposes of navigation to such standard as appears to it to be reasonably required; and to take such steps to improve and develop it as it thinks fit. It may carry out works and do other things in relation to any adjacent waters in or over which it has sufficient rights or interest for the improvement of navigation on those waters.

1.2. Our funding

The Authority's funding is through National Park Grant (NPG) provided by Defra, and navigation income funded by toll payers. Our financial strategy for 2023/24 to 2025/26 is in **Section 3**.

1.3. Context for the year ahead

In the last couple of years, the Broads Authority has reviewed its management plan, with collaborative work with our members and key partners, as well as public consultation on the draft plan. This resulted in the [Broads Plan 2022-2027](#) being adopted in September 2022. This sets the framework for the next 5 years. The plan acknowledges a much greater awareness and

urgency of the need to address the impacts of climate change and flood risk, as well as creating opportunities to inspire and support people in acting to protect this special area. Nature recovery is at the heart of the Plan, and it commits to improve key habitats to help the over 11,000 wildlife species recorded here to recover and flourish, including priority species that are in decline or on the brink of survival.

Maintaining and enhancing the navigation is also at the forefront of the new plan, as we seek to balance the needs of those who visit this special area to enjoy boating and water sports with other responsibilities. This includes objectives to implement a comprehensive dredging and sediment re-use programme, management of riverside trees/scrub, improve safety on the water, maintain and expand riverside facilities, and ambitions to extend access for various types of craft. The plan seeks to ensure that the Broads connects with and inspires a wide range of communities, including young people, those from minority backgrounds and people who may have never been here before.

Following a trial, Broads Authority has adopted agile working practices for its employees, with many of our office-based staff able to work from home, with the prime objective of delivering our services efficiently. This will make it possible to reduce the office space, hence making savings and reducing overhead costs. The move to reduced office space is planned for 2023.

As the season starts, we are continuing with the package of safety measures designed to respond to the rise in waterways users, with a greater Ranger presence on the water, and a dedicated Senior Ranger to deal with prosecutions and compliance. This, together with our animated safety videos which will continue to be distributed by the hire boat companies to their customers, will hopefully make sure everyone has a safe, responsible and enjoyable visit to the Broads.

While financial pressures have increased with the impact of inflation being significant on the Authority's operations, we must be mindful of other major issues facing the Broads: climate change, and in particular sea-level rise; the long-term decline of biodiversity; the need for the emerging agricultural support scheme to take account of our fen and grazing marshes; and the competition for limited water resources.

With the Government reviewing how they will monitor the delivery of Protected Landscapes, Broads Authority officers have started to engage with Defra officers on their draft Outcomes Framework. The development of this will be an opportunity to engage with members and key partners about the key role played by the Broads Authority in responding to nationally significant issues.

As always, working in partnership will be at the heart of any initiatives. The Authority owns little land itself but can work with others to support major change.

1.4. Guiding plans

The [Landscapes Review](#) (2019) sets out 27 proposals to protect and improve England's protected landscapes.

The Government published its response ([Landscapes review \(National Parks and AONBs\): government response - GOV.UK \(www.gov.uk\)](#)) to the Landscape Review in January 2022, with the following vision for protected landscapes:

‘A coherent national network of beautiful, nature-rich spaces that all parts of society can easily access and enjoy. Protected landscapes will support thriving local communities and economies, improve our public health and wellbeing, drive forward nature recovery, and build our resilience to climate change.’

The [25-year Environment Plan](#) (2018) aims to improve the environment within a generation by setting goals for clean air and water, wildlife, environmental hazards, sustainable resource use, engagement with the natural environment, climate change adaptation, minimising waste and managing exposure to chemicals.

At a local level, the **Broads Plan** sets a long-term vision and shorter-term objectives and guides more detailed plans, programmes and policies for us and for partners working in the Broads. The [current Plan \(2022-27\)](#) was adopted in September 2022.

Sitting under the Broads Plan are a number of **guiding strategies** (see Appendix 1).

2. Review of last year

2.0. Our financial position

The forecast for the end of 2022/23 reflects a slightly more positive position than that compared to the Latest Available Budget. For core income the forecast indicates an increase of £40,000 relating to Navigation tolls, and for investment income an increase of £84,000. For the first time the Authority has received a capital grant from DEFRA to enable the purchase of new equipment which will help improve Biodiversity within the Broads. There have been continuing delays with the purchase of new vehicles which means those scheduled for replacement in 2022/23 have been transferred to the 2023/24 budget. The increased income has help offset some of the increased costs such as the higher than budgeted pay increases for staff and the rising energy costs. The forecast consolidated deficit of £403,870 will be balanced through the National Park and Navigation reserves.

It is likely that the Authority will see an underspend in some projects which may result in budget holders submitting carry forward requests. Where this is the case, budget holders will submit carry forwards for the full Authority to consider in May.

Both reserves are forecast to remain above the minimum operating levels at the end of 2022/23. While the budgeted financial position is sustainable in the short to medium term, the fact that National Park income has not risen in line with salary costs means the Authority continues to look at ways to reduce its costs and increase income.

The year-end report to the Authority, when available, will be published on our website at www.broads-authority.gov.uk/about-us/committees/broads-authority

2.1. Progress against work plans

A summary of progress against last year’s Directorate work plans is in Appendix 2.

Each year we set a small number of strategic priorities, focused on Authority-led projects that have high resource needs or a very large impact on the Broads, or that are politically sensitive. These priorities help us target resources and make the most of partnership working and

external funding opportunities. The summary tables in Appendix 2 highlight last's years priorities, and updates are reported regularly to the Broads Authority.

The strategic priorities for 2023/24 are:

- Climate change crisis response
- Biodiversity crisis response
- Navigation IT
- Water Mills and Marshes
- Local Plan for the Broads
- Farming in Protected Landscapes (FiPL)
- Budget pressures

3. Financial Strategy 2023/24–2025/26

At the time of writing, we are awaiting confirmation about our 2023/24 National Park Grant settlement. From discussions, it looks like the settlement will continue to be flat cash for the following two years, which creates pressure for funding future years' salary increases.

Our guiding principles in setting our Financial Strategy from 2023/24 are:

- A provisional 5% pay increase for staff. Rising inflation may delay or reduce the scale of some of the planned projects.
- Assumption that boat numbers will reduce by a minimum 15 weekly hired boats when compared to 2022/23 levels.
- National Park Grant remains at 2022/23 level. This is subject to confirmation from DEFRA.
- £50,000 will be transferred from Navigation reserves annually to repay the £250,000 payment from National Park reserves.
- Maintaining the National Park reserve at 10% plus £100,000 and the Navigation reserve at 10% of net expenditure.

The financial position for navigation income looks to return to a surplus position by 2024/25. The Financial Strategy takes account of a reduction in hire boat numbers; a 1% reduction in boat numbers could result in a £41,000 reduction in income. The above minimum toll increase allows for the Navigation reserve to be built up whilst maintaining the 10% minimum reserve.

Our Financial Strategy for 2023/24 – 2025/26 is published on our website: www.broads-authority.gov.uk/about-us/spending/budgets-and-financial-planning. The latest available budget for 2023/24 is at **Table 1**. Detailed Directorate budgets are in the Directorate Work Plans in **Section 4**.

Table 1

Expenditure summary 2023/24

Item by section	National Park £	Navigation £	Consolidated £
Income	(3,476,578)	(4,327,110)	(7,803,688)
Operations	1,705,512	3,317,713	5,023,225
Strategic Services	1,322,373	400,106	1,722,479
Finance & Support Services	800,502	975,078	1,775,580
Corporate items	3,417	3,283	6,700
Contributions from earmarked reserves	(392,324)	(313,750)	(706,074)
(Surplus)/Deficit	(37,098)	55,320	18,222

4. Directorate work plans 2023/24

This section outlines the annual work plans for our three Directorates:

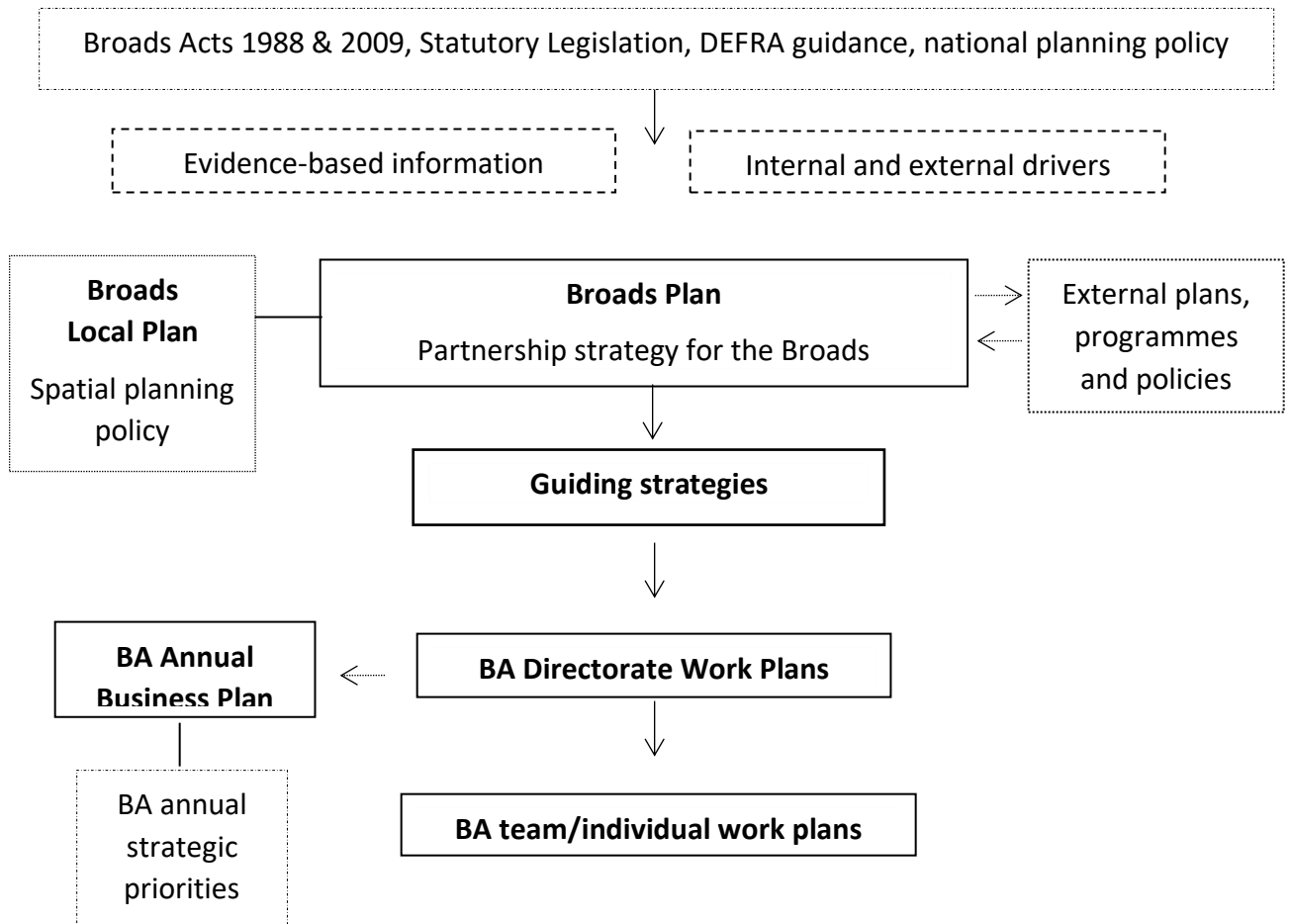
- Finance and Support Services Directorate
- Operations Directorate
- Strategic Services Directorate

Appendix 2 shows progress against last year's work plans. **Fig.1** shows the link between the Broads Plan, which sets the high-level strategic direction for the Broads, and our Directorate work plans.

Our staffing structure chart is at www.broads-authority.gov.uk/about-us/who-we-are/staff.

Fig. 1

'Golden thread' strategic framework



4.0. Operations Directorate

The Operations Directorate includes Construction, Maintenance & Ecology (CME), Ranger Services and the Safety Management Team.

Activity for the CME Team in 2023/24 is apportioned at 70% Navigation/30% National Park (20% conservation and 10% recreation). We regularly report on our delivery within CME and safety management to the Navigation Committee. Ranger team apportionment has been amended to 80% Navigation/20% National Park to reflect the time spent on the respective tasks. Ranger Team work plans and priorities are agreed at area level, according to local priorities.

Table 2

Operations Directorate: Work plan 2023/24 (summary)

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
OD1	Broads Authority operations carbon neutral by 2030 [A2]	(BA strategic priority) Procurement of five fully electric vehicles to replace older diesel vehicles
OD2	Restore, maintain and enhance lakes and use monitoring evidence [B1]	Carry out hydroacoustic and species surveys of water plants in Broads waterbodies, as per the survey prioritisation criteria detailed in the Annual Monitoring Reports Water conservation reports (broads-authority.gov.uk)
OD3	Fen & marsh management [B3]	(BA strategic priority) Utilising staff, plant, equipment, volunteers and contractors, deliver the annual fen management work programme across the 20 fen and marsh sites the Authority directly manages for biodiversity. This includes the newly acquired Hulver Ground fen site in the Ant Valley
OD4	Horseley Wetland Demonstration site [B2, B3]	(BA strategic priority) Maintain the Horseley Wetland site to maximise benefits of carbon capture and water quality improvements
OD5	Invasive non-native species control [B4]	Continue control and eradication plans for American mink and giant hogweed across the Broads and swamp stonecrop at Snipe Marsh adjacent to How Hill NNR.
OD6	Implement and monitor management regimes for	Carry out species surveys of water plants in main river stretches managed for navigational purposes

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
	priority species [B4]	
OD8	Annual Dredge Programme [C1]	The 2023/24 Priority dredging areas are River Waveney (Oulton Broad) River Ant (priority areas between Stalham and Barton Turf), River Bure (Wroxham Viaduct to Belaugh), River Bure (plough dredge Tar Works Rd to Vauxhall Bridge)
OD9	Annual Dredge Programme [C1]	Restoration and on-going maintenance of sediment re-use sites from previous dredging campaigns at Hickling Broad and Hardley Flood.
OD10	Develop good practice for sediment re-use [C1]	Working in partnership with key organisations (AINA, EA and Canals and Rivers Trust) develop and share best practice and legislation for the re-use of dredging sediments.
OD11	Maintain Navigation Access [C2]	Assist Network Rail plan and prioritise refurbishment plans for Somerleyton, Reedham & Oulton swing Bridges. Work with other bridge operators to ensure bridges open to allow access and opening information is shared to navigators.
OD12	Develop access opportunities for various craft [C2]	Through the review of the Integrated Access Strategy, develop approaches to improve access for paddle sports such as trails, launching pontoons and low freeboard mooring opportunities. Canoeing, kayaking and paddleboarding (broads-authority.gov.uk)
OD13	Bankside tree and scrub maintenance [C3]	A 5-year riverside tree and scrub management plan (2022 – 2027) has been developed, prioritising sections of riverbank using sailing intensity, safety, presence of moorings, width of channel and position of the river reach as the guiding criteria. Riverside tree and scrub management (broads-authority.gov.uk)
OD14	Water Plant Management [C3]	Carry out annual water plant cutting in accordance with the criteria in the Waterways Management Strategy . Monitor the impact on water plant species, including distribution and abundance.
OD15	Improve safety within Hire Boat industry	Ensure compliance to the latest revised version of the Hire Boat Code (April 2021), through licensing and auditing of Hire Boat operators.

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
	[C4]	
OD16	Safety Signage [C4]	Manage and maintain navigational aids, carry out regular infrastructure inspections, identify works and agree annual repair schedules.
OD17	Safety Management [C4]	Consistently apply byelaws and other powers to ensure safe use of the Broads by all water users including water skiing, power boat racing, wild swimming and paddle sports. Ensure compliance against existing agreements in place to promote safe use and develop new ones where issues arise.
OD18	Broads Authority Ranger Safety Provision [C4]	Through ranger patrolling, events, training and guidance, promote and improve waterways all recreational user safety and security.
OD19	Development at key sites [E1]	Progress repiling of the river edge at Hoveton Riverside Park and develop a partnership approach for the on-going maintenance of the site. Develop project plan for Acle Bridge visitor facilities (toilets, showers etc.)
OD20	Integrated physical access network and riverside facilities [E1]	Review the Broads Integrated Access Strategy and implement the annual action plan, incl. BA-led projects.

Table 3

Operations Directorate: Expenditure 2023/24

Item by section	National Park Grant £	Navigation £	Consolidated £
Construction & Maintenance	599,074	998,076	1,597,150
Equipment, Vehicles and Vessel	230,901	538,769	769,670
Water Management	4,700	84,000	88,700

Item by section	National Park Grant £	Navigation £	Consolidated £
Land Management	(31,145)	0	(31,145)
Waterways & Recreation Strategy	0	8,000	8,000
Practical Maintenance	240,900	351,575	592,475
Ranger Services	205,818	912,122	1,117,940
Safety	46,363	96,952	143,315
Project Funding	129,475	1,125	130,600
Operational Property	102,294	192,156	294,450
Head Office	117,080	44,860	161,940
Operations Management & Admin	60,052	90,078	150,130
Total	1,705,512	3,317,713	5,023,225

4.1. Strategic Services Directorate

The Strategic Services Directorate includes Development Management, Strategy and Projects, Human Resources, Volunteer Services, Communications, Visitor Services and Education.

Table 4

Strategic Services Directorate: Work plan 2023/24 (summary)

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
SD1	Climate change planning incl. flood risk management [A1]	(BA strategic priority) Implement next steps of the Broadland Futures Initiative programme, including the development of the modelling which is expected in 2024.
SD2	Climate change planning incl. flood risk management [A2, A3]	(BA strategic priority) Implement agreed actions in the Authority's Climate Change Action Plan as presented to members in December 2022. Monitor and report progress towards carbon neutrality in the BA operations.
SD3	Strategy and project planning [B3]	(BA strategic priority) Coordinate and implement with partners the Broads Peat project, funded through the Nature for Climate Peatland Grant Scheme (NCPGS), to agreed schedule.
SD4	Strategy and project planning [B3]	Prepare legacy of the Broads Peat project about wetland restoration as a tool for nature-based solutions, including carbon finance and Paludiculture exploration.
SD5	Biodiversity and agriculture [B1, B2, B3, B4, B5]	Update and continue to implement the Biodiversity & Water Strategy Action Plan (Broads Biodiversity Partnership).
SD6	Biodiversity and agriculture [various]	(BA strategic priority) Run the Farming in Protected Landscape programme and support the Broads and Norfolk Coast Land Management Board to allocate funding.
SD7	Broadland Rivers Catchment Plan [B2 and others]	Implement small-scale local interventions and river enhancement projects across catchment.

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
SD8	Biodiversity and agriculture [B2, B3]	Deliver the next steps of the Horsey water filtration and wet farming demonstration project.
SD9	Priority species and invasive non-native species management [B4]	Support agreed species management priority action, including mink and floating pennywort control.
SD10	Communications [E1, E2, E3]	Promote Broads National Park through branding guidelines and action plan; manage Authority's events programme, PR and media engagement, incl. support to key partnership projects. Review options to reuse the pillars used at the Norwich forum outdoor exhibition space.
SD11	Communications [E3]	Operate Authority's information centres and yacht stations to provide a high standard of service to the public.
SD12	Communications [A3, E2, E4, F5]	Prepare next version of the Tourism Strategy for adoption in 2024.
SD13	Education [F3]	Implement Education Strategy annual action plan, incl. Broads Curriculum, work placements, award schemes and Water, Mills & Marshes activities. Adopt updated Education Strategy in 2023.
SD14	Development management [F4]	(BA strategic priority) Review of the Local Plan for the Broads for adoption in 2024 (estimated).
SD15	Development management [F4]	Provide high quality planning service, including determining applications to national targets, providing free pre-application advice, investigating alleged breaches of Planning & Listed Building Consent including condition and s106 monitoring, and resolving breaches of control; conduct annual Customer Satisfaction Survey.
SD16	Development management	Engage with District Councils on Land Registry changes to ensure records are accurate.

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
SD17	Landscape Character and Historic Asset Management [D3]	Review and adopt Conservation Area Appraisals for Halvergate and Tunstall. Commence work on next Conservation Area Appraisal.
SD18	Landscape Character and Historic Asset Management [D2, F1, F2]	Implement Water, Mills and Marshes (WMM) 'Land of the Windmills' programme to agreed partnership schedules. As part of the legacy of WMM, look for external funding to implement Norfolk Landscapes for Wellbeing.
SD19	Landscape Character and Historic Asset Management [D1, F4]	Produce a Design Guide for the Broads.
SD20	Undergrounding wires programme [D4]	Through the Steering Group, promote the implementation of undergrounding wires projects, funded by UK Power Networks.
SD21	Volunteer Service [F2]	Implement Volunteer Strategy annual action plan, including the roll-out of modular training programme, Authority and local community project support, promotional and celebration events; recruitment of new volunteers as required.
SD22	Human Resources	Provide routine HR support services to the Authority's staff, including payroll and pension management; support flexible working opportunities through HR policy and recruitment; implement Equality Working Group actions; provide support for recruitment needs, including annual intake of apprentices; review and update HR policies as appropriate.
SD23	Strategic Services administration	Provide administrative support to directorate officers and committees/working groups.

Table 5

Strategic Services: Expenditure 2023/24

Item by section	National Park £	Navigation £	Consolidated £
Development Management	414,589	4,921	419,510
Strategy and Projects	236,409	28,181	264,590
Biodiversity	9,300	0	9,300
Communications	303,826	90,148	393,974
Visitor Services	126,163	139,012	265,175
Human Resources	84,141	77,669	161,810
Volunteers	55,013	20,347	75,360
Strategic Services Management and Admin	92,932	39,828	132,760
Total	1,322,373	400,106	1,722,479

4.2. Finance and Support Services Directorate

The Finance Directorate includes the Monitoring Officer, Legal Services, Governance, Financial Services, Tolls, IT and Asset Management.

Table 6

Finance Directorate: Work plan 2023/24 (summary)

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
FD1	Strategic planning and governance	Working with the Monitoring Officer prioritise and timetable the implementation of the recommendations from external review into the independent complaint.
FD2	Strategic planning and governance	Produce Annual Governance Statement and Code of Corporate Governance; monitor and update Corporate/Directorate Risk Registers, monitor and update the strategic priorities.
FD3	Strategic planning and governance	Provide admin support to CEO, Chairs and Authority members, incl. servicing of committees, member training and allowances.
FD4	Financial Services	Provide financial planning and administration service, incl.: 3-year Financial Strategy, end of year accounts, monthly financial monitoring reports, internal & external audits, Govt returns for DLUHC/ CIPFA/ HMRC, Treasury Management; annual insurance renewal.
FD5	Financial Services	(BA strategic priority) Review additional savings and income generation opportunities to reduce pressure on the budget. Project manage the downsizing of head office.
FD6	Development at key sites, asset management	Monitor Authority-owned assets, incl. negotiations of leases, additions and disposals; maintain assets database.
FD7	ICT	Provide ICT support service. Deliver priority projects in corporate ICT plans, including supporting the downsizing of the head office.
FD8	ICT	(BA strategic priority) Progress tolls system project by developing timetable and specification by May 2023.

Ref	Work area [Broads Plan refs]	Planned priority actions 2023/24
FD9	Tolls	Collect and process toll income and prepare potential prosecutions.
FD10	Capacity building (UK National Parks) [F5]	Support National Park Partnerships
FD11	Capacity building (Broads Authority) (F5)	Explore further opportunities/mechanisms for contracting services to support National Park and Navigation purposes.

Table 7

Finance and Support Services Directorate - Expenditure 2023/24

Item by section	National Park Grant £	Navigation £	Consolidated £
Legal	80,000	24,000	104,000
Governance	120,632	124,718	245,350
Office Expenses	20,100	9,900	30,000
Chief Executive	80,408	52,652	133,060
Asset Management	75,486	78,394	153,880
Finance and Insurance	223,624	271,886	495,510
Collection of Tolls	0	208,680	208,680
ICT	200,252	204,848	405,100
Total	800,502	975,078	1,775,580

Appendix 1 – Guiding strategies

The Broads Plan is the key partnership strategy that sets the long-term vision and objectives for the Broads. Under this high-level plan sit more detailed guiding strategies, which generally focus on a single theme and cover a short-term period. Table 8 shows the status of those strategies for the Broads where the Broads Authority is a lead or key delivery partner.

Read our strategies here: www.broads-authority.gov.uk/about-us/how-we-work/strategy

Table 8

Guiding strategies

Strategy and scope	Lead	BA contact	Status
Broads Plan Key partnership management plan for the Broads	Broads Authority	Director of Strategic Services	Adopted September 2022 Review date: 2027
Local Plan for the Broads Spatial planning policy used in determining planning applications within the Broads Executive Area	Broads Authority	Planning Policy Officer	Adopted May 2019. Review date: 2024 (estimated)
Broads Biodiversity & Water Strategy Implementing the Biodiversity 2020 Strategy in the Broads	Broads Biodiversity Group	Environment Policy Adviser	Adopted May 2019. 5-year action plan to 2024.
Broadland Rivers Catchment Plan Managing water quality and quantity in the catchment	Broadland Catchment Partnership	Catchment Partnership Officer	Adopted 2014. Action plan under ongoing review.
Climate Change Action Plan Reducing our carbon footprint towards net zero.	Broads Authority	Carbon Reduction Project Manager	Adopted 2022.
Waterways Management Strategy Managing the Broads waterways, and prioritisation of the maintenance requirements and programmes	Broads Authority	Head of Construction, Maintenance & Ecology	Adopted 2021. 2022-27 Action Plan
Education Strategy for the Broads Formal environmental education and wider outreach in the Broads	Broads Environmental Education Network	Education Officer	Adopted 2017. 5-year action plan in place. Review underway for adoption in 2023.

Strategy and scope	Lead	BA contact	Status
<p>Integrated Access Strategy for the Broads</p> <p>Improving access facilities and links to and between land and water in the Broads, and wider access</p>	Broads Local Access Forum	Waterways & Recreation Officer	Rolling 3-year action plan – to be reviewed in 2023/4.
<p>Tourism Strategy and Destination Management Plan</p> <p>Promoting and managing tourism within the Broads and wider ‘area of tourism influence’</p>	Broads Tourism	Head of Comms	Adopted 2016. 5-year action plan (extended to 2023)
<p>Volunteer Strategy for the Broads</p> <p>Promotion, recruitment, training and administration of BA Volunteer Service</p>	Broads Authority	Volunteer Coordinator	Adopted 2022. 5-year action plan in place (2023-28). Review date: 2028
<p>BA Financial Strategy</p> <p>Managing the use of the BA’s financial resources</p>	Broads Authority	Director of Finance	3-year rolling strategy adopted annually in January

Appendix 2 – Progress against Directorate work plans 2022/23

Key 1

Progress status in tables 9 to 11

Progress	Details
Good	Progressed to agreed schedule or ongoing routine, no problems identified
Completed	Fixed term project, completed
Some	Some progress, delays or challenges in delivery
Not achieved or withdrawn	Work did not proceed

Note: References to Covid-19 restrictions are noted as 'C-19'.

Table 9

Finance and Support Services Directorate: Progress against work plan 2022/23

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
FD1	Strategic planning and governance	Update and monitor the Authority's strategic priorities.	Good
FD1	Strategic planning and governance	Produce Annual Governance Statement and Code of Corporate Governance; monitor and update Corporate/Directorate Risk Registers, Business Continuity Plan and staffing resilience plans.	All completed except a few outstanding staff resilience plans
FD1	Strategic planning and governance	Provide admin support to CEO, Chairs and Authority members, incl. servicing of committees, member training and allowances.	Good
FD1	Strategic planning and governance	Complete review of constitutional/policy/guidance documents (Governance); manage future meeting formats in response to other requirements such as hybrid legislation if introduced.	Some New Code of Conduct complaints procedure adopted. Other documents delayed awaiting outcome of

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
			independent review into a formal complaint.
FD2	Financial services	Provide financial planning and administration service, incl.: 3-year Financial Strategy, end of year accounts, monthly financial monitoring reports, internal & external audits, Govt returns for DLUHC/ CIPFA/ HMRC, Treasury Management; annual insurance renewal.	Good
FD2	Financial services	Review minimum levels of reserves required for National Park and Navigation and implement any change in policy if required.	Completed, no change to minimum required.
FD3	Capacity building [9.3]	Support National Park Partnerships	Some Imminent decision by Defra on potential funding to support NPP.
FD3	Capacity building [9.3]	Support the joint ambition around Net Zero with Nature	Completed Work with REVERE to explore carbon finance. Net Zero With Nature - National Parks
FD4	Development at key sites, asset management [8.2]	Progress partnership proposal for Hoveton Riverside Park redevelopment and project plan for Acle Bridge visitor facilities and mooring.	Some. Masterplan developed for Hoveton Riverside Park, funding being sought and progressed by Operations. Feasibility study for Acle site part completed.

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
FD4	Development at key sites, asset management [8.2]	Monitor Authority-owned assets, incl. negotiations of leases, additions and disposals; maintain assets database.	Good.
FD5	ICT	Provide ICT support service. Deliver priority projects in corporate ICT plans, including supporting those working from home, options analysis of tolls system replacement, and review and update disaster recovery (DR) plan	Good on the majority of projects, including scoping of the new tolls system. The disaster recovery actions such as backups, the DR plan remains work in progress as in the replacement infrastructure continues to be updated.
FD6	Tolls	Collect and process toll income and prepare potential prosecutions.	Good.

Table 10

Operations Directorate: Progress against work plan 2022/23

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
OD1	Lake restoration [2.1]	(BA strategic priority) After 4 years the CANAPE funded works to construct a lagoon at Chara Bay, Hickling Broad have been completed. The project finished and the monitoring and consolidation phases begin. The priority is to establish reed and reed mace during the 2022/23 growing seasons to stabilise and retain material used in construction.	Good Final reed and reedmace planting delayed to May 2023 for optimal timing of nursery plant growth and planting out.
OD2	Priority habitat site management	Implement rotational habitat management programmes on management agreement sites and Broads	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
	[2.3, 5.5]	Authority owned land; Review expiring HLS agri-environment scheme agreements, transfer sites into new schemes and pursue new site agreements for priority habitats.	
OD2	Priority habitat site management [2.3, 5.5]	Work with local reed and sedge cutters to support commercial management on Authority managed sites, including How Hill.	Good
OD2	Priority habitat site management [2.3, 5.5]	Review National Nature Reserve (NNR) management plan for How Hill NNR and Buttle Marsh; following feasibility study into raising of water levels at Buttle Marsh for biodiversity and carbon storage benefits, scope and budget site project.	Some Plan review delayed awaiting results of Nature for Climate Peatland Grant Scheme feasibility study for raising water levels
OD3	Invasive non-native species management [2.4]	Implement BA work plans to control invasive non-native species in identified priority areas and encourage management activity at catchment level (floating pennywort on River Ant a priority).	Good. Control work continuing.
OD4	Research and monitoring for biodiversity [2.6]	Carry out annual water plant survey on selected broads and prioritized river stretches; produce framework to guide long-term Authority monitoring programme on fen sites.	Good. 2022 Broads Water Plant Survey Report celebrates 40 years of continuous aquatic biodiversity monitoring
OD5	Ranger Services	Complete two adjacent waters surveys to monitor toll and BSS compliance (June/October); carry out navigation patrolling and hold pop-up safety events; Rangers to contribute information to Broads Authority social media to provide	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
		public safety and other navigational information.	
OD6	Dredging and sediment disposal [3.1, 3.2]	Carry out dredging works to achieve Waterways Specification in priority areas in line with dredging programme.	Good
OD7	Navigation water space maintenance, expansion and extension [4.1]	Liaise with Network Rail on planned works for swing bridges at Reedham), Somerleyton and Oulton. Timetable will need to be agreed between Network Rail and Greater Anglia.	Good
OD7	Navigation water space maintenance, expansion and extension [4.1]	Work to Tripartite Agreement to 2022/23 for operation of Mutford Lock and road bridge. Provide evidence to inform feasibility study and budget plan for restoration of lock walls.	Some Operational agreement all in place with supplier. Additional external expertise required. 3D hydroacoustic survey completed, but production of a detailed and costed repair plan deferred to 23/24.
OD8	Aquatic plant cutting and tree and scrub management [4.2]	Carry out annual tree and scrub management regimes and annual regime for aquatic plant cutting in navigation channels to agreed criteria. Review and re-survey riverside tree management zones to assess past work and prioritise future regimes.	Complete The previous bankside management priority plan has been delivered and a new plan (2022 - 2027) developed. Aquatic plant management has been effectively delivered and surveys completed.

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
OD9	Safety and security for the navigation and boats [4.3]	Continue roll out of electronic condition monitoring; maintain and relocate mobile speed awareness electronic signage to assist navigators.	Good Monitoring and speed signage continues to be used effectively.
OD9	Safety and security for the navigation and boats [4.3]	(BA strategic priority) Manage and monitor safety in the Broads for all users, incl. new Ranger training, safety videos, user surveys; review Marine Accident Investigation Branch report; review new safety measures and liaise with Broads Hire Boat Federation on any additional measures.	Good Safety is continually reviewed and is being improved. Incidents and accidents are internally investigated and reviewed and safety changes implement where appropriate
OD9	Safety and security for the navigation and boats [4.3]	Carry out regular site checks at all Authority managed facilities and manage to agreed standards.	Good All sites were regularly inspected and defects recorded and programmed for repair.
OD9	Safety and security for the navigation and boats [4.3]	Work with governing bodies to implement updated Hire Boat Code (Version 2: April 2021) and administer Hire Boat Licensing Scheme audits; work with Broads Hire Boat Federation, British Marine and Royal Yachting Association to ensure key safety measures are implemented.	Good The new HBC was introduced and additional safety measures, as recommended by the MAIB have been (QAB) introduced.
OD10	Water, Mills and Marshes [multiple]	(BA strategic priority)	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
		Implement and report to National Lottery Heritage Fund on partnership projects to agreed revised schedules (scheme extended to 2024).	Regular progress, quarterly finance returns and update have been supplied to the funders. Further external funding has been secured as per the plan, allowing the delivery of projects to continue in heritage skills and access.
OD11	Integrated physical access network and riverside facilities [6.1, 6.2]	Carry out rolling programme of structural assessment at all BA 24-hour moorings and implement planned works, seek opportunities to bring new locations into use as mooring locations, slipways and paddle sports launch points.	Good. Assessment criteria for piled assets now established. Delivery against the structure priority lists continues to be delivered. Opportunities to improve slipways and access are being explored.
OD11	Integrated physical access network and riverside facilities [6.1, 6.2]	Implement Broads Integrated Access Strategy action plan, incl. BA-led projects (also see 8.2).	Good. Additional grant funding from Defra's 'Removing Barriers' project has added two extra projects to be delivered in 22/23.
OD11	Integrated physical access network and riverside	Implement network riverside facilities annual maintenance and expansion programme to agreed schedules.	Good. Re-piling of Neatishead Staithe may extend into April 2023,

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (explanatory note)
	facilities [6.1, 6.2]		depending on progress
OD12	Operations administration	Provide administrative support to Directorate officers and committees/working groups.	Good Governance and Administration support for Officers has been provide by a dedicated and effective resource.

Table 11

Strategic Services Directorate: Progress against work plan 2022/23

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (Explanatory note)
SD1	Strategy and project planning	(BA strategic priority) Review, update and produce the Broads Plan for adoption in 2022.	Complete (Broads Plan 2022-2027 adopted in September 2022)
SD1	Strategy and project planning	(BA strategic priority) Coordinate and implement with partners the Nature for Climate Peatland Grant Scheme (NCPGS) Discovery project to agreed schedule.	Good (extension post March 2023 under discussion)
SD1	Strategy and project planning	Update and implement Biodiversity & Water Strategy Action Plan (Broads Biodiversity Partnership).	Some (Review of arrangements started in January 2023)
SD1	Strategy and project planning	(BA strategic priority) Run the Farming in Protected Landscape programme and support the Broads and Norfolk	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (Explanatory note)
		Coast Land Management Board to allocate funding.	
SD2	Broadland Rivers Catchment Plan [1.1, 1.2, 1.4, 2.2]	Implement small-scale local interventions and river enhancement projects across catchment.	Good
SD3	Climate change planning incl. flood risk management [1.3, 10.1, 10.2]	(BA strategic priority) Implement next steps of the Broadland Futures Initiative programme, including the development of the modelling which is expected in 2023.	Some (some delays due to delays in awarding the contract to the consultant)
SD3	Climate change planning incl. flood risk management [1.3, 10.1, 10.2]	(BA strategic priority) Implement agreed actions in the Authority's Climate Change Action Plan.	Good
SD4	Lake restoration, maintenance and enhancement [2.1]	Deliver and review the Horsey wetland creation project, as part of the CANAPE activities.	Good
SD5	Priority species and invasive non-native species management [2.4]	Support agreed species management priority action, including mink and floating pennywort control.	Good (Floating pennywort is requiring greater control. Mink control working well requiring constant effort)
SD6	Landscape-scale habitat initiatives [2.5]	Implement CANAPE project Work Package 4 to agreed schedule, incl. wetland creation project.	Good
SD7	Communications [7.1, 7.2, 7.3]	Promote Broads National Park through branding guidelines and action plan; implement Experience Interreg project to	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (Explanatory note)
		revised schedule; manage Authority's events programme, PR and media engagement, incl. support to key partnership projects. Review how the Experience outdoor exhibition space was used.	
SD7	Communications [7.1, 7.2, 7.3]	Operate Authority's information centres and yacht stations to provide a high standard of service to the public.	Good
SD7	Communications [7.1, 7.2, 7.3]	Prepare next version of the Tourism Strategy for adoption in 2023.	Some (some delays due to limited resources and awaiting outcome of external funding to support the work)
SD8	Education [9.4, 9.5]	Implement Education Strategy annual action plan, incl. Broads Curriculum, work placements, award schemes and Water, Mills & Marshes activities. Review of the Education Strategy in 2022.	Good (work underway on the review of the Education Strategy, consultation on final draft planned in spring for adoption before the end of 2023)
SD8	Education [9.4, 9.5]	Prepare legacy of the Generation Green project.	Some (uncertainty on future funding)
SD9	Development management [8.1]	(BA strategic priority) Review of the Local Plan for the Broads for adoption in 2024 (estimated).	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (Explanatory note)
		Prepare and adopt Supplementary Planning Documents and guidance to support Local Plan policy.	
SD9	Development management [8.1]	Provide high quality planning service, including determining applications to national targets, providing free pre-application advice, investigating alleged breaches of Planning & Listed Building Consent including condition and s106 monitoring, and resolving breaches of control; conduct annual Customer Satisfaction Survey.	Good
SD9	Development management [8.1]	Engage with District Councils on Land Registry changes to ensure records are accurate.	Good (working with HMLR on a process to check data. Norwich CC complete, South Norfolk DC in train)
SD10	Landscape Character and Historic Asset Management (5.1, 5.2)	Review and adopt Conservation Area Appraisals for Halvergate and Tunstall.	Some (some delays due to other workload pressures)
SD10	Landscape Character and Historic Asset Management (5.1, 5.2)	Implement Water, Mills and Marshes 'Land of the Windmills' programme to agreed partnership schedules.	Some (reduced programme of work agreed due to feasibility of some sites)
SD10	Landscape Character and Historic Asset Management (5.1, 5.2)	Produce a Design Guide for the Broads.	Good

Ref	Work area [Broads Plan refs]	Planned priority actions 2022/23	Progress status (Explanatory note)
SD11	Undergrounding wires programme [5.6]	Through the Steering Group, promote the implementation of undergrounding wires projects, funded by UK Power Networks.	Some (development of 3 projects with UKPN)
SD12	Volunteer Service [10.2]	Implement Volunteer Strategy annual action plan, including the roll-out of modular training programme, Authority and local community project support, promotional and celebration events; recruitment of new volunteers as required.	Good
SD12	Volunteer Service [10.2]	Review Volunteer Strategy for the Broads in 2022.	Complete
SD13	Human Resources	Provide routine HR support services to the Authority's staff, including payroll and pension management; support flexible working opportunities through HR policy and recruitment; implement Equality Working Group actions; provide support for recruitment needs, including annual intake of apprentices; review and update HR policies as appropriate.	Good
SD14	Strategic Services administration	Provide administrative support to Directorate officers and committees/working groups.	Good

[End of document]

Broads Authority

17 March 2023

Agenda item number 9

Capital funding progress report

Report by Chief Executive

Purpose

To provide the Broads Authority members and Defra officials with a regular update on the progress implementing the capital funding programme.

Broads Plan context

B3 - seek biodiversity net gain and enhance areas of fen, reed bed, grazing marsh and wet woodland, to protect peatlands as carbon sinks.

C1 – maintain navigation depths to defined specifications, reduce sediment input and dispose of dredged material in sustainable and beneficial ways.

C2 – maintain existing navigation water space and develop appropriate opportunities to extend access for various types of craft.

C3 – manage water plants and riverside trees and scrub, and seek resources to increase operational targets.

E1 - improve the integrated network of access routes and points (with easier access for people with mobility and sensory needs), linked to visitor facilities.

Recommended decision

Note the progress in the delivery of the programme.

1. Introduction

1.1. The table in the appendix updates the Authority on the progress made since the last meeting in delivering the capital programme funded by Defra. A copy has been sent to Defra officials so that they are aware of the current position. The Truxsor had been delivered and a photo of the machine is below.

1.2. The key developments since the last report are:

- (a) A cancellation of another order has meant that the construction of the work barge has begun on the original timescale and it may well be delivered before 31 March.

(b) Arrangements have been agreed with Defra so that the repair of the drainage structure to protect the Strumpshaw SSSI can be funded even though the work will not commence until the summer.

(c) A claim for the funding has been submitted to Defra and payment is expected soon.

2. Financial implications

2.1. At the last meeting Members were alerted to the financial risk associated with the delay in the delivery of the work barge and the complexity around the restoration of the drainage structure at Strumpshaw SSSI. Both of these have now been mitigated and the risks significantly reduced.

3. Risk implications

3.1. Officers are working hard to deliver the programme on time and within budget and the risks, with Defra support, are minor.

Author: John Packman

Date of report: 03 March 2023

[Broads Plan](#) strategic objectives: B3; C1-3 and E1

Appendix 1 – Capital Funding Monitoring Report March 2023



Capital Funding Monitoring Report – March 2023

Defra has provided the Authority with additional funding of £1,338,880. The formal Change Control Notice was received on 14 December 2022. It includes:

- Capital funding for equipment and land purchase to commit by the end of March 2023, 8 projects totalling £1.115 million
- Capital and Revenue funding for Water Mills and Marshes of £223,880 over two years (2022/23 and 2023/24)

8 projects are designed to enhance the Broads Authority's current management of 390 of the 2,000 hectares fen and grazing marsh and 125 miles of waterways and Broads. 25% of the Broads is designated SSSI and 25% of the UK's conservation priority species are supported in these managed habitats. Also support the final delivery phase of the innovative Lottery funded Water, Mills and Marshes Programme.

This table updates progress on the capital expenditure, regularly reporting to Defra and the Authority's Board.

Project	Purpose	Funding	Cost	Current Position
Water Mills & Marshes (Andrew Farrell)	Complete our works on the Mills, Trails, Access improvements, Changing Places Toilets, and capital works at Upton Marshes.	£ 142,112	£ 142,112	Our investment manager at the National Lottery Heritage Fund was pleased to hear that we now have our full match funding to enable the full delivery of the WMM scheme (total cash investment for the scheme £2.93m). Work is ongoing in the delivery of mill restoration, trails, access improvements, changing places toilet and work at Upton Marshes. We will be completing individual projects over the course of 2023.
Truxor plus accessories (Matt Dane and Sue Stephenson)	Truxor is a low ground pressure and tread amphibious machine that allows it to travel over land into the water with no environmental damage. A multi-purpose machine for tackling a number of sites where access for large	£ 285,000	£288,400	T50 Truxor with a wide range of attachments (cutting blades, rake, mudpump, excavator arm) plus a bespoke trailer has been delivered. (£182,000) Tractor with front loader (£92,000) and low loader trailer (£14,400) have been delivered.

Project	Purpose	Funding	Cost	Current Position
	equipment is difficult. Particularly important for sensitive wetland sites found in the Broads. For example, it would allow fen habitat to be enhanced for bittern and other priority species and provide sensitive management for species of conservation concern such as water vole.			
Barge plus welfare unit (Rob Clarke and Wayne Collins)	This vessel would facilitate all manner of conservation and habitat creation projects on water.	£ 118,000	£70,780	Small workboat/support barge currently being constructed for delivery in early April 2023. (£70,780)
3 Whaly workboats (Andy Elson and Rob Clarke)	The maintenance of the designated sites in the Broads requires access to areas where conventional craft cannot reach. The Whaly 435R is an incredibly robust, double-walled boat manufactured from high-grade plastic (Polyethylene). This version is even stronger and has a foam layer on the interior, making it the preferred choice for professional use as a work boat.	£ 40,000	£23,300	Whaly boats ordered for delivery in March. Outboard engines received. Originally quoted 9 h.p. engines were out of stock, so marginally cheaper 8 h.p. engines were accepted (revised cost £23,300)
360 Excavator (Wayne Collins)	A bespoke 360 excavator built to exacting requirements to manage Marsh and fen. This machine requires low ground bearing tracks, a wide base and slim profile to allow access and enable working within a wetland environment.	£ 187,000	£247,700	Long reach, 18 tonne JCB excavator ordered (£152,800) and a 14 tonne excavator on wide tracks for fen work (£94,900) have been ordered for delivery in March. Smaller items (welfare unit, bog mats, dipper arm extension and weed bucket) have been

Project	Purpose	Funding	Cost	Current Position
				deferred and re-prioritised within the plant and equipment replacement programme.
Water plant management machine (Rob Clarke)	Higher temperatures and more sunshine have contributed to an increase in water plant growth throughout the Broads. Waterways and broads need sensitive managed to create under-keel clearance and reduce suspended sediment, both increasing dissolved oxygen and improving the flow for fish and sensitive aquatic life within SSSI waterways. The Broads Authority has two such machines but in recent years these have been proven to be inadequate for the task and it is proposed to purchase a third machine.	£ 265,500	£268,450	Berkey weed harvester 6520 (£249,750) to be delivered in mid March. Two towable fuel bowsers and two fuel cube storage bowsers (£18,700) have been delivered
Reciprocating mower /brushcutters (Matt Dane)	Adapting to higher water levels and retain essential management of the fens and marshes requires various small, powered tools for use by staff and volunteers	£ 9,500	£11,130	Brushcutters, chainsaws and a reciprocating mower received.
Hulver Ground purchase (Sue Stephenson and Angie O'Connor)	How Hill National Nature Reserve forms a large area of established and designated fen within the River Ant valley, north of Ludham Bridge. An area of fen habitat adjacent to How Hill NNR that is currently managed by the Broads Authority under a land management agreement is due to be put up for	£ 150,000	£150,000	The sales contract is being prepared to reflect and deal with the Foundations Land Registry issues.

Project	Purpose	Funding	Cost	Current Position
	<p>auction. Purchase of this area of fen would safeguard the future management of this important habitat, containing rare plant species and communities, such as Crested Buckler-fern.</p>			
<p>Drainage structure repair at Strumpshaw Fen (Kate Knights)</p>	<p>Collapsed heritage drainage structure at Strumpshaw Fen is leading to significant flooding from the River Yare into the SSSI. Replacement of this sluice would allow for proper management of water levels on the site.</p>	<p>£ 60,000</p>	<p>£60,000</p>	<p>The works are currently out to tender and the planning application and other applications have been submitted. Work planned to take place during late spring – summer 2023, subject to consents being in place and contractor availability.</p>
		<p>£1,257,112</p>	<p>£1,261,872</p>	

Broads Authority

17 March 2023

Agenda item number 10

Financial performance and direction

Report by Director of Finance and Senior Accountant

Purpose

This report provides a strategic overview of current key financial issues and items for decision.

Broads Plan context

Financial performance underpins all the strategic objectives of the Broads Plan.

Recommended decision

- i. To note the outcome of the National Park Grant settlement for 2023/24 and the additional National Park Grant provided for 2022/23.
 - ii. To note the income and expenditure figures.
 - iii. To approve the waiver of standing orders relating to contracts as set out in paragraph 8.2.
 - iv. To adopt the Capital, Treasury and Investment Strategy.
 - v. To adopt the Advertising and Sponsorship Policy.
-

Contents

1.	Introduction	2
2.	National Park Grant 2022/23 and 2023/24	2
3.	Overview of actual income and expenditure	3
4.	Latest available budget	5
5.	Overview of forecast outturn 2022/23	6
6.	Reserves	6
7.	Summary	7
8.	Waiver of Standing Orders relating to Contracts	7
9.	Annual Capital, Treasury and Investment Strategy	8
10.	Counter Fraud, Bribery and Corruption Strategy	9
11.	Advertising and Sponsorship Policy	9
	Appendix 1 – Consolidated actual income and expenditure charts to 31 January 2023	11

1. Introduction

1.1. This report covers six items items:

- The additional National Park Grant for 2022/23 and the agreement for 2023/24 (Section2);
- Consolidated Income and Expenditure up until 31 January 2023 (Sections 3-7);
- Waiver of Standing Orders Relating to Contracts (Section 8);
- The Capital, Treasury and Investment Strategy for 2023/24 (Section 9);
- The Counter Fraud, Bribery and Corruption Strategy; (Section 10); and
- The Advertising and Sponsorship Policy (Section 11).

2. National Park Grant 2022/23 and 2023/24

- 2.1. Members adopted the consolidated budget at the Broads Authority meeting on 20 January where it was noted that the National Park Grant settlement for 2023/24 was expected to be flat cash. This has since been confirmed.
- 2.2. As part of this announcement the Authority also received the unexpected notification that additional National Park Grant of £440,000 would be paid in 2022/23 to the Broads Authority and the nine other English National Park Authorities. A report on this was considered by the Audit and Risk Committee on 14 March 2023. A verbal update will be provided at the meeting.

3. Overview of actual income and expenditure

Table 1

Actual consolidated income and expenditure by directorate to 31 January 2023

Directorate	Profiled latest available budget £	Actual income and expenditure £	Actual variance £
Income	(7,163,062)	(7,285,043)	+ 121,981
Operations	4,019,492	3,509,643	+ 509,849
Strategic Services	1,327,562	1,395,748	-68,186
Finance & Support Services	1,442,644	1,556,466	-113,822
Projects, Corporate Items and Contributions from Earmarked Reserves	(351,639)	60,877	- 412,516
Net (Surplus) / Deficit	(725,003)	(762,309)	+ 37,306

3.1. Core navigation income is above the profiled budget at the end of month ten. The overall position as at 31 January is a favourable variance of £37,306 or a 5.1% difference from the profiled LAB. This is principally due to:

- An overall favourable variance of £121,981 within income:
 - Hire Craft Tolls is £14,782 ahead of the profiled budget.
 - Private Craft Tolls is £29,218 ahead of the profiled budget.
 - Short Visit and Other Tolls is £9,832 ahead of the profiled budget.
 - Investment Income is £68,149 ahead of the profiled budget.
- An underspend within Operations relating to:
 - Construction, Maintenance and Ecology Salaries is over the profiled budget by £23,082 due to the annual inflationary pay rise agreed by the National Joint Council (NJC) being higher than originally budgeted
 - Equipment, Vehicles and Vessels is under the profiled budget by £196,902 due to some of the expenditure from the earmarked reserves is not going ahead this year. This is due to receiving the Capital Grant from DEFRA.
 - Land Management is under the profiled budget by £18,436 due to timing differences on the receipt of the RPA income.

- Practical Maintenance is under the profiled budget by £141,760 due to timing difference on the mooring's maintenance and repairs and the expenditure from the earmarked reserves relating to Hoveton Riverside Park being transferred to 2023/24 budget.
- Waterways and Recreation Strategy is under the profiled budget by £85,643 due to receiving the Access Grant from DEFRA. This money is due to be spent by the 31st March.
- Ranger Services is under the profiled budget by £50,914 as there is a delay in the vehicle replacement funded from the earmarked reserves and electrifying a launch engine.
- Premises is under the profiled budget by £48,417 as the Dockyard solar panel project funded from the earmarked reserves is not going ahead this year. This has been transferred to the 2023/24 budget.
- Premises – Head Office is over the profiled budget by £23,626 due to the cost of the facilities management is higher than originally budgeted.
- An underspend within Strategic Services relating to:
 - Development Management is over the profiled budget by £34,635 due to a decrease in planning application income and an overspend in salaries. The salaries variance is due to the inflationary pay rise agreed by the NJC being higher than originally budgeted.
 - Strategy and Projects is over the profiled budget by £14,410 due to timing differences on the Nature for Climate Peatland project expenditure and grant reclaim.
 - Biodiversity Strategy is under the profiled budget by £10,560 due to receiving additional funding towards the Horsey project and timing differences in expenditure.
 - Human Resources is over the profiled budget by £19,560 due to staff cover.
 - Communications is under the profiled budget by £25,155 due to timing differences on expenditure in a number of budgets.
 - Visitor Services is over the profiled budget by £20,460 due to income for boat trips and moorings being less than originally budgeted.
 - Strategic Services Management and Administration is over the profiled budget by £12,124 due to an overspend in salaries. The salaries variance is due to the inflationary pay rise agreed by the NJC being higher than originally budgeted.
- An overspend within Finance and Support Services relating to:

- National Park Grant is over the profiled budget by £213,392 due to expenditure for the Capital Grant has started, but the funds weren't received until February.
- Governance is under the profiled budget by £17,503 mainly due to a reduction in corporate subscriptions.
- Asset Management is under the profiled budget by £61,986 mainly due to timing differences on lease payments and works funded from the earmarked reserves being transferred to 2023/24 budget.
- ICT is under the profiled budget by £17,950 due to an underspend in stationery costs and computer hardware.
- An adverse variance within reserves relating to:
 - Premises reserve is under the profiled budget due to delays in Dockyard expenditure.
 - Property reserve is under the profiled budget due to work at Hoveton Riverside Park being delayed until 2023/24 and the works at South Walsham slipway no longer being a priority for this financial year.
 - Plant, Vessels and Equipment is under the profiled budget due to the delays in equipment and vehicle replacements.
 - Upper Thurne is under the profiled budget as this work has been delayed into 2023/24.
 - UK Communications Team is over the profiled budget due to Expenditure being ahead of budget.
 - Match Funding is under the profiled budget due to expenditure on the EXPERIENCE project being lower than expected.

3.2. The charts at Appendix 1 provide a visual overview of actual income and expenditure compare with both the original budget and the LAB.

4. Latest available budget

4.1. The Authority's income and expenditure is monitored against the latest available budget (LAB) for 2022/23. The LAB is based on the original budget for the year, with adjustments for known and approved budget changes such as carry-forwards and budget virements. Full details of movements from the original budget are set out in Appendix 2.

Table 2

Adjustments to consolidated LAB

Item	Authorisation reference	Amount £
Original budget 2022/23 – deficit	Broads Authority 28/01/22 Agenda item number 9	352,484
Approved budget carry-forwards	Broads Authority 13/05/22 Agenda item number 9	75,000
LAB as at 31 January 2023	n/a	427,484

5. Overview of forecast outturn 2022/23

- 5.1. Budget holders have been asked to comment on the expected income and expenditure at the end of the financial year in respect of all budget lines for which they are responsible.
- 5.2. Since the last report in November, the forecast deficit has decreased and is now a favourable variance when compared with the LAB. The forecast is still showing a deficit and this will need to be balanced through the use of reserves.

A summary of these adjustments are given in the table below:

Table 3

Adjustments to Forecast Outturn

Item	Amount £
Forecast outturn deficit per LAB	427,484
Adjustments previously reported	30,239
Increase to Hire Craft income	(6,092)
Increase to Private craft income	(34,150)
Increase to Investment income due to rate increase	(35,000)
Decrease to salary costs following vacancies	(11,594)
Decrease to Planning Fee income	16,000
Increase to expenditure	500
Forecast outturn deficit as at 31 January 2023	387,387

6. Reserves

- 6.1. As in previous years, the Authority's contributions to the reserves have all been made in full at the end of quarter one. This has resulted in some reserves showing increased balances at the end of January. It was anticipated that these would reduce as planned

purchases take place throughout the year but some of this work will happen in 2023/24 instead due to other work taking priority.

- 6.2. Items funded from the Property Reserve include repairs to the Eel Sett and How Hill Nature Trail. The Plant, Vessels and Equipment reserve has the income from the disposal of vehicles and scrap metal and the deposits for three new vehicles.

Table 4

Consolidated earmarked reserves

Reserve name	Balance at 1 April 2022 £	In-year movements £	Current reserve balance £
Property	(880,274)	(35,321)	(915,595)
Plant, Vessels and Equipment	(485,138)	(204,610)	(689,748)
Premises	(293,951)	(80,000)	(373,951)
Planning Delivery Grant	(244,810)	0	(244,810)
Upper Thurne Enhancement	(187,031)	(21,000)	(208,031)
Heritage Lottery Fund	(7,619)	131,777	124,158
Catchment Partnership	(84,381)	629	(83,752)
CANAPE	(476,272)	74,459	(401,813)
Computer Software	(129,326)	(20,000)	(149,326)
UK Communications	(38,346)	16,990	(21,356)
Match Funding	(46,130)	29,038	(17,092)
Total	(2,873,278)	(108,038)	(2,981,316)

- 6.3. £1,482,155 of the current reserve balance above relates to Navigation reserves.

7. Summary

- 7.1. The forecast position for the year suggests a deficit within the National Park and Navigation budget, which will be balanced through the use of reserves. This would result in a National Park Reserve balance of approximately £673,000 and a Navigation Reserve balance of £609,000 at the end of 2022/23 (before any year-end adjustments for interest). This would mean that both reserves would be above the recommend levels, with National Park at 18.4% and Navigation at 15%.

8. Waiver of Standing Orders relating to Contracts

- 8.1. Members may recall at the September meeting members were asked to approve a waiver of standing orders relating to contracts for the scaffolding at Muttons Mill for an

additional period of six months. This work is part of the Heritage Lottery Project where scaffolding has been assembled at Mutton's Mill to complete repairs.

- 8.2. However, a further extension of two months is required at a cost of £1,770, this will bring the total cost of the contract to £26,432. This is due to the loss of contractor staff and longer timescales in obtaining new parts from the millwright than expected. This means the scaffolding needs to be retained for a longer period than planned. The driver behind this request is that obtaining additional quotes would involve the Authority paying for potentially new scaffolding to be erected and would further extend the project and given the poor condition of the access track it would not be possible for scaffolders to get to the site at present. The extension, with the previous six months agreed, equates to over a 10% extension and therefore exceeds the CEO delegated powers. Members are requested to approve this waiver of Standing Orders

9. Annual Capital, Treasury and Investment Strategy

- 9.1. The Prudential Code for capital finance in local authorities requires local authorities, including the Broads Authority, to prepare an Annual Investment and Treasury Strategy.
- 9.2. This strategy must be approved, before the start of each financial year, by the Authority.
- 9.3. The Prudential Code requires investments to be analysed between investments for treasury management, service and commercial purposes. The Authority holds investments purely for Treasury management purposes. This is where investments arise from cashflows and will ultimately represent balances that need to be invested until the cash is required for use in the course of business. Investments for service purposes are generally linked to those authorities who provide housing, regeneration and local infrastructure. Investments for commercial purposes are held primarily for financial return such as commercial property.
- 9.4. Due to the Authority's purchase of the dredging operation from May Gurney, financed by a loan from the Public Works Loan Board (PWLb), the Annual Treasury and Investment Strategy needs to take account of the prudential indicators required by the Prudential Code.
- 9.5. The Prudential Code aims to ensure that the capital investment plans are affordable, prudent and sustainable. A further key objective is to ensure that treasury management decisions are taken in accordance with good professional practice.
- 9.6. The Annual Treasury, Investment and Capital Financing Strategy includes the key prudential indicators necessary for an authority that has borrowing. The prudential indicators are designed to support and record local decision making in a publicly accountable manner. At the beginning of each year, estimates for the prudential indicators are set and agreed by members. In the past actual indicators were compared to the estimates once the annual accounts are produced in May each year. The updated

code requires these prudential indicators to be reported quarterly and this will be included in the Financial Performance and Direction reports from 2023/24.

- 9.7. The Annual Capital, Treasury and Investment Strategy for 2023/24 is attached at Appendix 3 for members' consideration. A draft was reviewed by the Audit and Risk Committee on 14 March.
- 9.8. The Investment section of the strategy has been updated to reflect current holdings in paragraph 3.1. Paragraph 4.3 highlights the impact of the introduction of IFRS 16 Leases on the Authority. The introduction of this standard has been delayed by CIPFA for several financial years and will now be introduced in 2024/25. Where right to use leases are included under the adoption of IFRS 16, this will increase the Authority's assets as well as its other long-term liabilities (borrowings). As a result, the authorised level of debt may need to increase for years beyond 2024/25. Where amounts in the strategy need to be revised as part of this analysis, these will be reported back to the Broads Authority at the earliest opportunity.
- 9.9. Capital borrowing powers are reviewed on an annual basis as part of the budgeting process. However, in practice long term borrowing is limited to the acquisition of the dredging operation from May Gurney.
- 9.10. There are no additional financial implications for the Authority as a result of this report as the expenditure proposed, including the loan interest and capital repayments to the Public Works Loan Board, have been incorporated into approved budgets.

10. Counter Fraud, Bribery and Corruption Strategy

- 10.1. At the Audit and Risk on 14 March the updated Counter Fraud, Bribery and Corruption Strategy was considered by the committee. Under the Terms of Reference of Committees it sets out in section 4 (Audit and Risk Committee) paragraph 15 the powers to approve such documents. A verbal update on its status will be given at the meeting.
- 10.2. The strategy applies to all persons working for the Authority or on its behalf and in any capacity. All members have a role in supporting and promoting a strong counter fraud culture and a copy of the strategy can be found at Appendix 4.

11. Advertising and Sponsorship Policy

- 11.1. The policy was last reviewed by the Authority in February 2019 and it has been updated into the Authority's accessible format. A version highlighting the amendments can be found in track changes at Appendix 5. This was considered by Audit and Risk on 14 March and a verbal update will be provided at the meeting.
- 11.2. The Management Team, the Head of Communications and the UK Director of Communications have been consulted on the revised version and their comments and feedback have been incorporated into the revised strategy. The main changes are

around updating success to date (section 8) and amending references from State Aid to Subsidy Control (section 9) following the UK leaving Europe.

Author: Emma Krelle and Ellie Richards (sections 3-7)

Date of report: 03 March 2023

[Broads Plan](#) strategic objectives: All

Appendix 1 – Consolidated actual income and expenditure charts to 31 January 2023

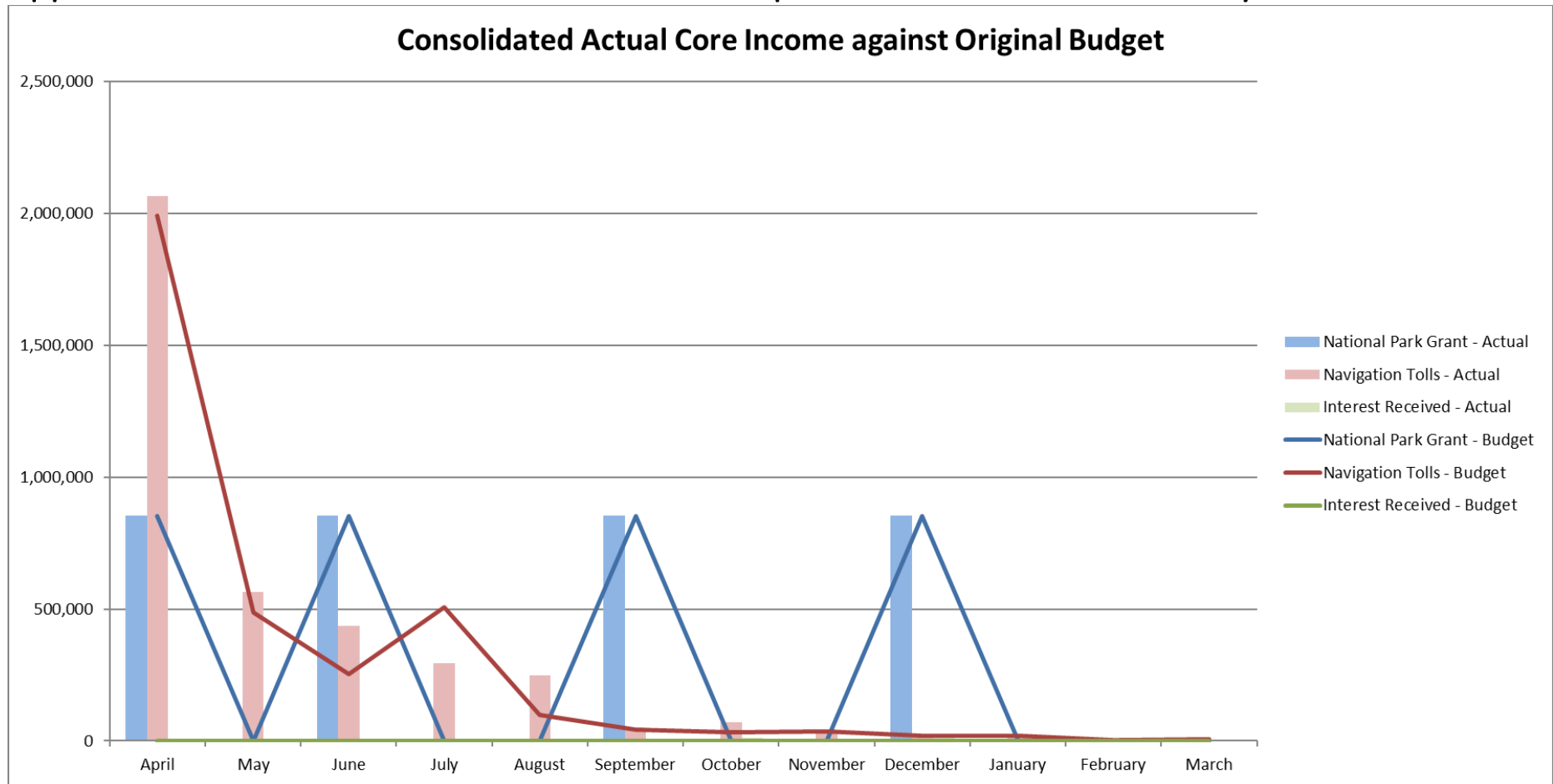
Appendix 2 – Financial monitor: Consolidated income and expenditure 2022/23

Appendix 3 – Capital Treasury and Investment Strategy 2023-24 DRAFT.pdf

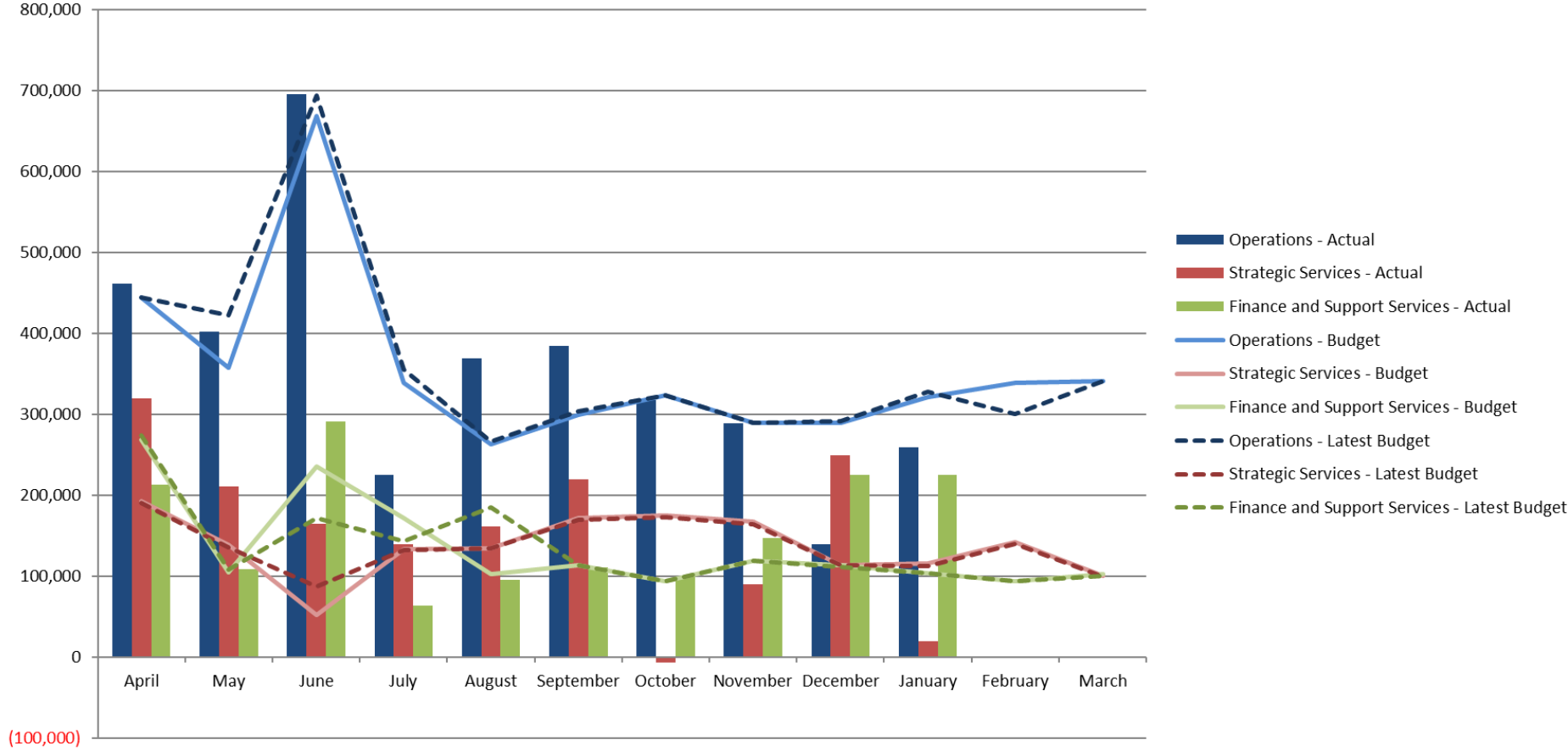
Appendix 4 – Counter Fraud, Corruption and Bribery Strategy (new format Feb 2023)

Appendix 5 – Advertising and Sponsorship Policy (new format Feb 2023)

Appendix 1 – Consolidated actual income and expenditure charts to 31 January 2023



Consolidated Net Actual Expenditure against Original and Latest Budget



(100,000)

Appendix 2 – Financial monitor: Consolidated income and expenditure 2022/23

Table 1
Income

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Total Income	(7,175,468)	0	(7,175,468)	(8,371,450)	1,195,982
National Park Grant	(3,414,078)	0	(3,414,078)	(4,469,078)	1,055,000
Hire Craft Tolls	(1,186,000)	0	(1,186,000)	(1,200,782)	14,782
Private Craft Tolls	(2,489,000)	0	(2,489,000)	(2,516,200)	27,200
Short Visit Tolls	(48,000)	0	(48,000)	(48,000)	0
Other Toll Income	(32,390)	0	(32,390)	(32,390)	0
Interest	(6,000)	0	(6,000)	(105,000)	99,000

Table 2
Operations

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Total Operations	4,691,344	75,000	4,766,344	4,455,794	310,550
Construction and Maintenance Salaries	1,382,480	0	1,382,480	1,430,496	-48,016
Salaries	1,384,240	0	1,384,240	1,430,575	-46,335
Expenditure	(1,760)	0	(1,760)	(79)	-1,681
Equipment, Vehicles & Vessels	730,645	0	730,645	526,760	203,885
Income	(13,700)	0	(13,700)	(14,000)	300
Expenditure	744,345	0	744,345	540,760	203,585
Water Management	79,840	0	79,840	79,840	0
Expenditure	79,840	0	79,840	79,840	0
Land Management	(40,786)	0	(40,786)	(40,786)	0
Income	(97,606)	0	(97,606)	(97,606)	0
Expenditure	56,820	0	56,820	56,820	0
Practical Maintenance	640,195	75,000	715,195	592,990	122,205
Income	(11,000)	0	(11,000)	(11,425)	425
Expenditure	651,195	75,000	726,195	604,415	121,780
Waterways and Recreation Strategy	54,100	0	54,100	56,420	-2,320

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Income	0	0	0	(76,621)	76,621
Salaries	42,100	0	42,100	44,420	-2,320
Expenditure	12,000	0	12,000	88,621	-76,621
Ranger Services	1,067,690	0	1,067,690	1,060,234	7,456
Income	0	0	0	0	0
Salaries	866,570	0	866,570	878,827	-12,257
Expenditure	200,870	0	200,870	181,157	19,713
Pension Payments	250	0	250	250	0
Safety	122,430	0	122,430	149,330	-26,900
Income	(1,000)	0	(1,000)	(1,000)	0
Salaries	78,100	0	78,100	81,560	-3,460
Expenditure	45,330	0	45,330	68,770	-23,440
Premises	232,190	0	232,190	184,610	47,580
Income	(3,500)	0	(3,500)	(5,100)	0
Expenditure	235,690	0	235,690	189,710	45,980
Premises – Head Office	263,880	0	263,880	263,880	0
Income	0	0	0	0	0
Expenditure	263,880	0	263,880	263,880	0

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Project Funding	12,100	0	12,100	4,600	7,500
Expenditure	0	0	0	(7,500)	7,500
Pension Payments	12,100	0	12,100	12,100	0
Operations Management and Administration	146,580	0	146,580	147,420	-840
Salaries	138,080	0	138,080	138,920	-840
Expenditure	8,500	0	8,500	8,500	0

Table 3
Strategic Services

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Total Strategic Services	1,691,702	0	1,691,702	1,759,978	-68,276
Development Management	364,240	0	364,240	404,000	-39,760
Income	(100,000)	0	(100,000)	(84,000)	-16,000
Salaries	408,840	0	408,840	422,600	-13,760
Expenditure	50,850	0	50,850	60,850	-10,000
Pension Payments	4,550	0	4,550	4,550	0
Strategy and Projects Salaries	212,500	0	212,500	222,960	-10,460
Income	(962,486)	0	(962,486)	(962,486)	0
Salaries	175,350	0	175,350	185,970	-10,620
Expenditure	999,636	0	999,636	999,476	160
Strategy and Projects	1,000	0	1,000	1,000	0
Expenditure	1,000	0	1,000	1,000	0
Biodiversity Strategy	11,900	0	11,900	11,900	0
Income	0	0	0	(5,103)	5,103
Expenditure	11,900	0	11,900	17,003	-5,103
Human Resources	150,610	0	150,610	172,150	-21,540

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Income	0	0	0	(370)	370
Salaries	91,960	0	91,960	113,870	-21,910
Expenditure	58,650	0	58,650	58,650	0
Volunteers	73,300	0	73,300	75,330	-2,030
Salaries	53,900	0	53,900	55,930	-2,030
Expenditure	19,400	0	19,400	19,400	0
Communications	428,704	0	428,704	427,920	784
Income	(115,272)	0	(115,272)	(89,480)	-25,792
Salaries	303,810	0	303,810	373,780	-69,970
Expenditure	240,166	0	240,166	143,620	96,546
Visitor Centres and Yacht Stations	339,370	0	339,370	326,450	12,920
Income	(200,600)	0	(200,600)	(200,600)	0
Salaries	396,620	0	396,620	383,700	12,920
Expenditure	143,350	0	143,350	143,350	0
Strategic Services Management and Administration	110,078	0	110,078	118,268	-8,190
Salaries	112,950	0	112,950	121,140	-8,190
Expenditure	(2,872)	0	(2,872)	(2,872)	0

Table 4

Finance & Support Services

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Total Finance & Support Services	1,659,775	0	1,659,775	2,660,305	-1,000,530
National Park Grant	0	0	0	1,055,000	-1,055,000
Expenditure	0	0	0	1,055,000	-1,055,000
Legal	96,000	0	96,000	94,000	2,000
Income	(4,000)	0	(4,000)	(6,000)	2,000
Expenditure	100,000	0	100,000	100,000	0
Governance	249,960	0	249,960	230,650	19,310
Salaries	173,060	0	173,060	170,350	2,710
Expenditure	76,900	0	76,900	60,300	16,600
Chief Executive	125,240	0	125,240	123,940	1,300
Salaries	124,240	0	124,240	122,940	1,300
Expenditure	1,000	0	1,000	1,000	0
Asset Management	146,609	0	146,609	105,199	41,410
Income	(24,000)	0	(24,000)	(24,000)	0
Salaries	47,970	0	47,970	49,560	-1,590
Expenditure	122,639	0	122,639	79,639	43,000

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Finance and Insurance	452,746	0	452,746	468,666	-15,920
Salaries	234,620	0	234,620	237,540	-2,920
Expenditure	218,126	0	218,126	231,126	-13,000
Collection of Tolls	193,760	0	193,760	195,220	-1,460
Salaries	182,760	0	182,760	184,220	-1,460
Expenditure	11,000	0	11,000	11,000	0
ICT	395,460	0	395,460	387,630	7,830
Salaries	202,560	0	202,560	206,280	-3,720
Expenditure	192,900	0	192,900	181,350	11,550

Table 5

Projects and Corporate items

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Total Projects and Corporate Items	(5,387)	0	(5,387)	(3,687)	-1,700
Partnerships / HLF	(151,987)	0	(151,987)	(151,987)	0
Income	(681,924)	0	(681,924)	(887,420)	205,496
Salaries	104,180	0	104,180	183,140	-78,960
Expenditure	425,757	0	425,757	552,293	126,536
Corporate Items	146,600	0	146,600	148,300	-1,700
Expenditure	19,600	0	19,600	21,300	-1,700
Pension Payments	127,000	0	127,000	127,000	0

Table 6

Contributions from earmarked reserves

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Total Contributions from Earmarked Reserves	(509,482)	0	(509,482)	(113,553)	-395,929
Earmarked Reserves	(509,482)	0	(509,482)	(113,553)	-395,929
Expenditure	(509,482)	0	(509,482)	(113,553)	-395,929

Table 7

Net (Surplus) / Deficit

Row labels	Original Budget (Consolidated) £	Budget Adjustments (Consolidated) £	Latest Available Budget (Consolidated) £	Forecast Outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Grand Total	352,484	75,000	427,484	387,387	40,097

Capital, treasury and investment strategy 2023/24

Contents

Capital Strategy	3
1. Introduction	3
2. Core principles	4
3. Capital expenditure	4
4. Short, medium and long term capital priorities	5
Short and medium term priorities (1-3 Years)	5
Long term priorities (4 years plus)	5
5. Risk appetite	6
Treasury strategy	7
1. Introduction	7
2. Treasury management policy statement	7
Borrowing principles	7
Investment principles	8
Treasury management practices	8
Management practices for non-treasury investments	12
Annual Investment Strategy 2023/24	14
1. Specified investment	14
2. Non-specified investments	14
3. Liquidity	15
4. Capital financing (borrowing) principles	15
Affordability	17
External debt	17

Authorised limit	17
Operational Boundary	17
Liability Benchmark	18
Capital expenditure	18
Treasury management	18
Maturity structure of borrowing	18
5. Non-treasury investments	18
6. End of year investment and capital financing report	19

Capital Strategy

1. Introduction

- 1.1. The update of CIPFA's Prudential Code in December 2021 and Capital Finance guidance notes in September 2018 introduced the need for Local Authorities to have a Capital Strategy from 2019/20. It is intended to provide a high-level overview of how capital expenditure; capital financing and treasury management contribute to the provision of services and how the risks of these activities are managed and what impact it may have for future financial sustainability.
- 1.2. The Capital Strategy will be renewed annually. Monitoring and approval of the strategy will remain with the Authority.
- 1.3. The Capital Strategy provides a link between The Broads Plan, Strategic Priorities, the Asset Management Strategy and the Financial Strategy.
- 1.4. The current Broads Plan covers the period of 2022-2027. It is a partnership strategy for the whole of the Broads and sets out guiding actions not just for the Authority but all partners. Its success very much depends on a common vision, strong partnership working and the best use of shared resources. The plan is available on the website [Broads Plan 2022 - 2027 \(broads-authority.gov.uk\)](https://broads-authority.gov.uk). This plan will be monitored through an annual meeting with key delivery partners and to maximise joint partnership working.
- 1.5. The Authority's Strategic priorities are set annually by the members in line with objectives in the Broads Plan. Progress against the Strategic priorities is reported regularly to the Broads Authority and details can also be found on the website.
- 1.6. The Asset Management Strategy sets out the Authority's practices and procedures which have been established to ensure that the Authority's land, property and other assets are managed and maintained as effectively as possible. It also sets out a series of key principles which will be adhered to in the management of the asset base and guidance on the procurement and disposal of land and property. A copy is also available on the website.
- 1.7. The annual Budget and Financial Strategy includes capital expenditure for the forthcoming year and the following two financial years. The earmarked reserves appendix identifies what capital expenditure will be funded in each year. Although the later years are based on the replacement programmes the last two financial years should be seen as estimates. These estimates maybe updated as a result of refining the costings during budget setting for those years.

2. Core principles

- 2.1. All capital expenditure and investment decisions will be affordable, proportionate, prudent and sustainable.
- 2.2. Decisions to invest or dispose of capital items will comply with the Authority's delegated powers, standing orders and financial regulations.
- 2.3. Capital expenditure will reflect the aspirations set out in the Broads Plan, Strategic Priorities and the authority's environmental and carbon policies.
- 2.4. New areas of major capital expenditure (£250,000 plus) will be supported by a fully costed appraisal over the lifetime of the scheme and incorporated into the annual budget. Risks will be fully considered, not just during initiation but over the lifetime of the asset including its potential disposal.

3. Capital expenditure

- 3.1. Whilst other Local Authorities have large capital expenditure programmes to fund housing and regeneration projects the Authority's expenditure remains modest and focuses on operational need. Items of major capital expenditure are identified through the Asset Management Strategy replacement programme and as part of the budget setting process. Items of expenditure over £5,000 that have a useful economic life of more than one financial year are classified as capital expenditure.
- 3.2. Capital Expenditure can be funded via a number of methods. These include revenue budgets, earmarked reserves, finance leases, long term borrowing and capital receipts. All capital expenditure on physical assets is held on the Balance Sheet under Property, Plant and Equipment. At the end of 2021/22 the value of these items was £4.6m, of which £43k was funded by finance leases.
- 3.3. Traditionally revenue budgets tend to fund the smaller items such as tools and equipment. However larger Navigation items can be funded through revenue as a result of tolls setting. For 2018/19 the level of tolls was increased to facilitate the purchase of Tree Shears. In 2017/18 the moorings maintenance programme was rescheduled to enable the purchase of Acle Bridge moorings from revenue. The ongoing maintenance of assets is funded by revenue budgets and is not capitalised. Cost estimates are made on the basis of forecast maintenance required to keep assets in operational use.
- 3.4. Through identification of the Asset Management Strategy annual contributions are made from the revenue budget to the earmarked reserves to cover the cost of future replacements. Balances are built up and then drawn down in future years. Expenditure from the earmarked reserves is considered annually alongside the revenue budget, with a forecast for the following two financial years. Replacement

costs are regularly monitored to ensure that the contributions remain appropriate to the earmarked reserves. Where adjustments are required this will be passed to the Authority as part of the annual budget setting process.

- 3.5. Although long term borrowing remains an option to the Authority it is not regularly utilised for capital expenditure. At the end of 2021/22 the balance sheet contained one long term loan which had an outstanding balance of £79.75k. Further details can be found in the Treasury Management Policy Statement on borrowing principles (section 2.3).
- 3.6. The Authority currently holds one capital receipt following the disposal of Ludham Fieldbase in August 2018. Capital receipts can be used to fund new capital expenditure or the repayment of debt. It is currently being held on the balance sheet with the Navigation share earmarked for the new toll system. New long-term capital projects will consider utilising the balance.

4. Short, medium and long term capital priorities

Short and medium term priorities (1-3 Years)

- 4.1. The Authority's short to medium term priorities is delivering the asset replacements detailed within the Asset Management Strategy and Earmarked reserves. The focus is on continued operations but with the potential to remain flexible as new opportunities for efficient working arise or if urgent items arise. Replacement items to be funded over the next three years include vehicles, excavators, wherries and Ranger launches. All of which will be funded from the Earmarked reserves.
- 4.2. It is expected that during the short to medium term that the potential options around Visitor Services and facilities will be explored. As options for improvements at existing site or new sites are developed these will be brought back to members with a business case. The key issue for new sites remains initial funding which will be explored through potential funding bids and partnership. As this progresses papers highlighting risks will be taken to the Authority for members to make the final decision.
- 4.3. The use of reserves other than earmarked reserves will require approval from the Authority. The impact of loss of investment income will need to be offset by the benefits of such a capital project.

Long term priorities (4 years plus)

- 4.4. The Authority's long-term priorities will be shaped by future funding agreements received from DEFRA in the form of National Park Grant and potential toll increases. Reductions to either forms of income could impact the potential to replace assets as they near the end of their useful lives and ongoing maintenance programmes. Long

term priorities, will need to ensure that they will generate income to fund their upkeep and any reduction in investment income.

- 4.5. Larger items of equipment such as the wherries and launches can be operational anywhere between 20 and 50 years. It is essential that their ongoing maintenance is incorporated into the revenue budget and the contributions to the earmarked reserves continue.
- 4.6. The moorings refurbishment programme remains a key area of maintenance to ensure that moorings remain safe to use by the public. Where the Authority is responsible for future piling and upkeep it will seek to own sites or minimise rental payments in recognition for this ongoing responsibility.

5. Risk appetite

- 5.1. The Authority's risk appetite towards capital expenditure remains low and will be based around the core principles. Funding of capital items will continue mainly through existing resources but on occasion finance leases or other borrowing maybe appropriate. Borrowing principles are set out in the Treasury Strategy (section 2.2) and the forecast of capital expenditure and borrowing limits is in the Investment Strategy (section 4).
- 5.2. The Authority recognises the importance of ensuring that all staff involved in the capital strategy are equipped to undertake the duties and responsibilities allocated to them. Recruitment of vacant posts will reflect this position and training opportunities will be identified through the annual appraisal.
- 5.3. It is recognised decisions surrounding land and buildings carry a higher degree of risk. Where opportunities arise of acquisition or disposal the Authority will make use of its property consultants and legal advisers to ensure these risks are fully understood.

Treasury strategy

1. Introduction

- 1.1. Both CIPFA's Treasury Management Code of Practice (2021 Edition) and the Prudential Code requires the Authority to produce a strategy which explains the Authority's borrowing and investment activities and the effective management and control of those risks. This strategy seeks to incorporate the best practice recommendations from this guidance whilst also bearing in mind the Guidance for Smaller Public Service Organisations (2014 Edition).

2. Treasury management policy statement

- 2.1. The Authority defines its treasury management activities as:

- The Management of the organisation's borrowing, investments and cash flows, including its banking, money market and capital market transactions; the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those.
- The Authority regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation, and any financial instruments entered into to manage these risks.
- The Authority acknowledges that effective treasury management will provide support towards the achievement of its strategic objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance management techniques, within the context of effective risk management.

Borrowing principles

- 2.2. The Authority intends to fund all of its capital expenditure from either its earmarked reserves, capital receipts or from its revenue accounts. However if any of those accounts hold insufficient funds borrowing maybe considered.
- 2.3. The Authority currently has one long term loan from the Public Works Loan Board (PWLb) that was utilised to purchase the dredging operation from May Gurney in November 2007 for £290,000. This is to be paid over a 20-year period at a fixed interest rate of 4.82%. Repayments are incorporated into the revenue budget. The Authority also has the option to enter into finance leases to purchase capital items. Typically this has included the purchase of large pieces of equipment such as the

JCB, the Doosan excavator and the concrete pump. International Financial Reporting Standards include these types of leases as borrowing due to the risk and reward of the asset transferring to the Authority. During 2020 the Authority took out a short-term loan from the PWLB for £105,000 to fund the purchase of a new excavator. This is to be repaid over 5 years at a fixed interest rate of 2%. This was considered the most cost-effective form of borrowing when compared to a finance lease.

- 2.4. If additional borrowing was deemed necessary following committee consultation then the Authority would need to minimise the costs to the revenue budgets including future year repayments and undertake new borrowing at the cheapest cost.

Investment principles

- 2.5. The Authority's main objective is the prudent investment of its treasury balances. Investments are made purely for treasury management purposes, not to support service and commercial purposes. The main priorities are the security of capital and the liquidity of its investments. It will be only after these have been satisfied that it will aim to achieve optimum return on its investments. The Authority will not engage in borrowing purely to invest or to on-lend to make a return. Such activity is considered unlawful.

Treasury management practices

Risk management

- 2.6. The Authority adopts a low risk appetite to its treasury management but is not totally risk averse. It will invest with other institutions with appropriate credit ratings rather than just making use of government deposits. If additional borrowing should be required it will seek to borrow on a fixed rate basis to build in assurance for future year liabilities.
- 2.7. As part of the Authority's corporate and directorate risk registers, risks are monitored and managed on a regular basis. This includes investment risks. Corporate risks are reported to every meeting of the Audit and Risk Committee. Responsible Officers review these throughout the year and are discussed at Directorate meetings.
- 2.8. Risks specific to treasury management include:
- **Credit and Counterparty:** The main objective of the Authority is to secure the principal sum it invests and therefore takes a prudent approach as to whom it invests funds with. This is limited to organisations who meet minimum criteria and is covered in more detail within the investment strategy. The Authority also faces this risk through the default of its debtors. Payment terms are limited to 30

days or where appropriate payment is asked for in advance. Corrective action is taken as required to secure outstanding debts. Bad debts are kept to a minimum.

- **Liquidity:** The Authority will maintain adequate but not excessive cash balances and borrowing arrangements to enable it to achieve its strategic objectives. The Authority will only borrow in advance of need where there is a clear business case to do so and will only do so for the current capital programme. Debt repayments are included in the annual revenue budget.
- **Interest rate:** The Authority will manage its exposure to fluctuations to interest rate risks in line with its budgets. It will achieve this through the prudent use of its approved instruments, methods and techniques to create stability and certainty of costs and revenues, whilst remaining sufficient flexibility to take advantage of unexpected changes to interest rates. The Authority will limit fixed term deposits to a period of no longer than one year to limit risks to liquidity.
- **Exchange rate:** The Authority will manage its exposure to fluctuations in exchange rates to minimise any impact on its budgeted income/expenditure levels. External advice will be sought to manage this in the most appropriate way as it could have a significant impact; this is particularly important in regards to EU grants.
- **Inflation:** The Authority will keep under review the sensitivity of its treasury assets and liabilities to inflation, and will seek to manage the risk accordingly in the context of the whole Authority's inflation exposures.
- **Re-financing:** If the Authority was in a position to re-finance its borrowing it will ensure that such arrangements are negotiated, structured and documented and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or re-financing. These will be competitive and as favourable to the organisation that can be reasonably achieved in the light of market conditions at the time. It will manage its relationships with its counterparties to secure this objective and will avoid the over reliance on any one source of funding if this might jeopardise achievement of the above.
- **Legal and regulatory:** The Authority will ensure all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. The Authority recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as reasonable to do so, will seek to minimise any adverse risks.

- **Operational risk, including fraud, error and corruption:** The Authority will ensure that it has identified the circumstances which may expose it to the risk of loss through inadequate or failed internal processes, people and systems or from external events. It will employ suitable systems and procedures to ensure segregation of duties, and will maintain effective contingency management arrangements to do so. In addition, the Authority holds Fidelity Guarantee Insurance with Zurich Municipal as part of its overall insurance management arrangements.
- **Price:** The Authority will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect itself from such fluctuations.

Performance measurement

- 2.9. Treasury management will be subject to regular review of its value for money and if other alternative methods of delivery will become more appropriate. The Audit and Risk Committee will receive reports twice a year detailing performance. It will also review the Treasury Strategy prior to the Authority meeting which remains responsible for its adoption. Further details of those performance measures are included within the Investment Strategy.

Decision making and analysis

- 2.10. The Authority will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions, both for the purposes of learning from the past, and for demonstrating that reasonable steps have been taken to ensure that all issues relevant to those decisions were taken into account at that time.

Approved instruments, methods and techniques

- 2.11. The Authority will undertake its treasury management activities by only employing those instruments, methods and techniques as detailed in the Investment Strategy. The Authority does not intend to use derivative instruments to manage risk. However if it chose to do so in the future it would seek proper advice and will consider that advice when entering into arrangements to use such products to ensure that it fully understands those products.

Organisation, clarity & segregation of responsibilities, and dealing arrangements

- 2.12. In order for there to be effective control and risk management it is essential that there is clear segregation of duties for the reduction of the risk of fraud and error and for the pursuit of optimum performance. This will be subject to regular review by Internal Audit as part of its key control test. If at any time there is a lack of resources that does not allow this, it will be reported to the Audit and Risk

Committee. Such duties are detailed in the Finance department's job descriptions and are reviewed annually.

- 2.13. The Director of Finance is responsible for the development of the strategy, whilst cash flow monitoring is undertaken by the Senior Finance Assistant and reviewed by the Senior Accountant. The Director of Finance will remain responsible for identifying appropriate counter parties in line with agreed criteria. Funds to be transferred will be carried out by the Senior Finance Assistant, Financial Accountant and Senior Accountant following approval by the Director of Finance. All funds will be automatically transferred back into the Authority's main bank account. The Director of Finance will ensure there is proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds.

Reporting requirements and management information

- 2.14. The Director of Finance will prepare regular reports for consideration on the implementation of its policies, the effects of decisions taken and transactions executed. The reports will also consider the impact of any changes on the budget or other regulatory, economic and market factors.
- 2.15. The Broads Authority will receive an annual report on the strategy and the plan for the coming year. The Audit and Risk Committee will review this strategy and receive a mid-year review and an annual report on activity over the last year. Any impact on investment income will be reported throughout the year to the Broads Authority as part of its Finance Performance and Direction reports.

Budgeting, accounting and audit arrangements

- 2.16. The Director of Finance will prepare the annual budget which will include the costs of the treasury function as well as the investment income as deemed by statute and regulation. The Director of Finance will be responsible for exercising control over these items and will report any changes as required as detailed above.

This Authority will account for its treasury management activities, decisions made and transactions executed, in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being.

Cash and cash flow management

- 2.17. The Director of Finance will be responsible for all monies in the hands of the Authority and will be reviewed for cash flow and investment management purposes. Cash flow projections will be prepared on a regular and timely basis to ensure that liquidity risk is monitored. This will be undertaken on a weekly basis by the Senior Finance Assistant and reviewed by the Senior Accountant. This weekly forecast will

also look at predictions for the current month. Annual cash flow predictions will be prepared by the Director of Finance following preparation of the annual budget.

Money laundering

- 2.18. The Authority is aware that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Further details can be found in the Authority's Counter Fraud, Bribery and Corruption policy and its Financial Regulations. Copies are available to all staff on the Intranet.

Training and qualifications

- 2.19. The Authority recognises the importance of ensuring that all staff involved in the treasury management are equipped to undertake the duties and responsibilities allocated to them. Recruitment of vacant posts will reflect this position and training opportunities will be identified through the annual appraisal.
- 2.20. The Director of Finance will ensure that the Audit and Risk Committee who have treasury management/scrutiny responsibilities have access to training relevant to their needs and responsibilities.
- 2.21. Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

Use of external providers

- 2.22. The Authority recognises that responsibility for treasury management decisions remain with the Authority at all times. It recognises that there may be value in employing external providers in order to access specialist skills and resources. However the use of external providers is not currently used based on the Authority's limited amount of surplus funds and the costs associated. If this position changed it would ensure a full evaluation had been undertaken as to the costs and benefits through the Authority's Standing Orders.

Corporate Governance

- 2.23. Treasury Management activities will be undertaken with openness and transparency, honesty, integrity and accountability. This together with the other arrangements detailed in the Investment Strategy are considered vital to the achievement of proper corporate governance in treasury management. The Director of Finance will monitor and report upon the effectiveness of these arrangements.

Management practices for non-treasury investments

- 2.24. The Authority recognises that investment in other financial assets and property primarily for financial return, taken for non-treasury management purposes, requires careful investment management. Such activity includes loans supporting service outcomes, investments in subsidiaries, and investment property portfolios.

2.25. The Authority will ensure that all investments are covered in the investment strategy, and will set out, where relevant, the Authority's risk appetite and specific policies and arrangements for non-treasury investments. It will be recognised that the risk appetite for these activities may differ from that for treasury management. Where the Authority holds non-treasury investments a schedule of these types of investments will be included.

Annual Investment Strategy 2023/24

This strategy builds on those principles and practices as laid out in the Treasury Management Strategy. It continues to give priority to the security of capital and liquidity before returns are considered.

The Authority will continue to invest in Sterling and will consider the bodies environmental, social and governance (ESG) practices.

1. Specified investment

1.1. These investments are made in Sterling and have a duration of 1 year or less.

Typically, these are low risk investments due to being made with high credit rating bodies, examples include:

- UK government or local authorities;
- UK/European banks and building societies
- Money Market funds (AAA rated by credit rating agency)
- Debt Management Agency deposit facility

1.2. This list is not exhaustive but highlights where the Authority is most likely to place its funds.

1.3. To mitigate against the risks of credit and counterparty the Authority will only seek investments with bodies that have at least a short-term rating of F-1 as stated by Fitch credit ratings.

1.4. The Authority will monitor these ratings monthly through online credit watches and use these to determine any new investments. This may mean those failing to meet the criteria will be removed from the list, whilst those new counterparties who do may be added. Other market information including the financial press will be monitored.

2. Non-specified investments

2.1. These investments tend to be any other type of permitted investment which have durations of more than a year. This also includes equity-type investments. At this point the Authority does not consider these types of investments as appropriate but may do so in the future if surplus funds permit.

2.2. Longer term investments will only be considered with those institutions that have a Fitch credit rating of A (+/-). In addition institutions ethical and environmental

activities will also be taken into consideration to compliment the Authority’s strategic objectives, including responding to climate change and sustainability.

- 2.3. The Authority will seek proper advice and will consider that advice when entering into arrangements on derivatives to ensure that it fully understands those products.

3. Liquidity

- 3.1. The Authority will seek to try and spread its investments to avoid over reliance on one institution. Funds held at Barclays are automatically swept each day into its Business Premium. This facility is instant access. Based on its cash flow forecasts the Authority anticipates that its cash balances will range between £5.5m and £8.5m.

Current Holdings as at 28/02/23

Counterparty	Holding/ Investment	Interest rate	Investment date	Maturity date
Barclays Notice Account	2,500,000	Base rate + 0.05%	n/a	95 days’ notice
Barclays Notice Account	511,000	Base rate – 0.05%	n/a	32 days’ notice
Debt Management Office (DMO)	1,000,000	3.94%	21/02/2023	21/08/2023
Debt Management Office (DMO)	1,000,000	3.82%	21/02/2023	21/03/2023
Barclays Premium Account	1,178,323	1.3%	n/a	Instant access

4. Capital financing (borrowing) principles

- 4.1. The following table shows the current forecast for capital expenditure for the next three years. Commentary is also provided below.

Prudential indicator 2023/24-2025/26

Prudential indicator	2023/24	2024/25	2025/26
Estimate of capital expenditure	£350,000	£710,000	£200,000
Authorised limit for external debt	£500,000	£500,000	£500,000
Operational Boundary	£400,000	£400,000	£400,000

- 4.2. The Capital Financing Requirement (CFR) is reported annually in the Authority’s statement of accounts. It measures the amount of capital spending that has not yet

been financed by capital receipts, capital grants or contributions from revenue income. The table below sets out the estimate CFR for the next three years.

Capital Financing Requirement

Movement	2023/24	2024/25	2025/26
Opening CFR 01/04	£127,140	£91,648	£55,734
Capital expenditure	£350,000	£710,000	£200,000
Capital expenditure funded from revenue	(£350,000)	(£710,000)	(£200,000)
Repayment of debt (MRP)	(£35,492)	(£35,914)	(£36,344)
Closing CFR 31/03	£91,648	£55,734	£19,390

- 4.3. Although the Authority's forecast level of debt is set to reduce over the next 3 years it is considered prudent to maintain the existing limits due to the introduction of IFRS 16. This new accounting standard will be adopted from 2024/25 and will impact on leases held by the Authority. The introduction will also increase the Capital Financing Requirement (CFR). Currently only Finance Lease liabilities (where the risk and reward are transferred to the Authority) are held on the balance sheet. Operating leases (where the risk and reward does not transfer to the Authority) are currently not included. The introduction of IFRS 16 removes the distinction between the two and is based on right of use. The most significant Operating Lease for the Authority is Yare House.
- 4.4. The use of reserves to finance capital expenditure will have an impact on level of investments. However budgeted contributions to earmarked reserves should mitigate this as well as the sale of assets. The table below shows estimates of year end balances for each resource.

Estimated year end reserves 2023/24-2025/26

Estimated Year-End reserves	2023/24	2024/25	2025/26
General and Navigation Reserves	£1,388,000	£1,369,000	£1,391,000
Earmarked Reserves	£2,469,000	£2,303,000	£2,551,000
Capital Receipts Reserve	£405,000	£405,000	£243,000
Total Investments 31 March	£4,262,000	£4,077,000	£4,185,000

Affordability

- 4.5. The prudential code indicator for affordability asks the Authority to estimate the ratio of financing costs to net revenue stream. The Authority's current borrowing consists of the Public Works Loan Board (PWLB) loans and Finance leases. The first PWLB Loan was to finance the acquisition of the dredging operation from May Gurney, the financing costs have a zero effect on the bottom line of navigation income and expenditure as the dredging operation (financing costs and ongoing running cost including any additional capital expenditure) are less than or equal to the cost paid to contract out to May Gurney in the past. Finance lease repayments are also charged directly to the revenue budget. Whilst both of these remain less than -0.9% of National Park Grant and Navigation income it is felt that this indicator is not appropriate for use by the Authority in this instance. Any increases to debt will require this indicator to be reviewed.

External debt

- 4.6. Prudential indicators in respect of external debt must be set and revised taking into account their affordability. It is through this means that the objective of ensuring that external debt is kept within sustainable, prudent limits is addressed year on year.
- 4.7. Therefore, the Authority will at this time only borrow long term to finance the capital expenditure incurred on the acquisition of the dredging operation from May Gurney.
- 4.8. Actual debt as at 31 March 2022 was £193,236 which consists of the PWLB loans and finance leases.

Authorised limit

- 4.9. The Authority will set for the forthcoming financial year and the following two financial years an authorised limit for its total external debt, separately identifying borrowing from other long-term liabilities (excluding pension liability and government grants deferred). It should be noted that the Authority does not have any other long-term liabilities at present or plans to have any in the future. This prudential indicator is referred to as the authorised limit and is shown in the table above.

Operational Boundary

- 4.10. The authority will set for the forthcoming financial year and the following two financial years an operational boundary for its total external debt. This Prudential indicator is referred to as the operational boundary and is shown in the table above. The operational boundary is based on the Authority's estimate of most likely, i.e. prudent, but not worst case, scenario.

Liability Benchmark

- 4.11. The revision of the code in 2021 included a liability benchmark. The benchmark compares the debt maturity profile of the Authority with the minimum revenue provision (MRP) and other cashflows which affect our future debt requirement. Whilst other local authorities have high value consisting of mixed debt profiles the Authority's debt is fixed term, relatively low value and repaid in full without the need to refinance. The loan relating to the purchase of the dredging operation will be repaid in full in 2027/28. This combined with the forecast level of investment balances means that the benchmark equals the existing level of debt. Levels of debt can be found in the capital financing requirement table. If the Authority's debt structure changed then the benchmark would be revisited.

Capital expenditure

- 4.12. The Authority will make reasonable estimates of the total of capital expenditure that it plans to incur during the forthcoming financial year and at least the following two financial years. This Prudential indicator will be referred to as estimate of capital expenditure and is included in the table above.

Treasury management

- 4.13. The Prudential Code requires authorities to set upper limits for its exposure to the effects of changes in interest rates. However, as explained above under paragraph 4.5, the current borrowing costs will not be an additional cost to the Authority. The Authority has borrowed at a fixed interest rate, thus reducing its exposure to changes in interest rates. This Prudential indicator is therefore not considered necessary in this instance.
- 4.14. There remains a small risk to the Authority in using fixed term deposits that interest rates may increase in the short term. This is minimised by the structuring of how investments are placed. By minimising fixed term deposits to a minimum of 1 year and staggering them it will allow the Authority to take advantage of any increase as funds become available for re-investment. Funds in instant access will be able to take advantage of any increase in rates.

Maturity structure of borrowing

- 4.15. The Prudential Code requires authorities to set upper and lower limits with respect to the maturity structure of its borrowing. However, as the Authority only has a single long-term loan this indicator is not considered relevant.

5. Non-treasury investments

- 5.1. Previously the Authority held one non-treasury investment in the form of an Investment Property (Ludham Fieldbase). This was disposed of in August 2018, the

proceeds of which are currently held in the Capital Receipts Reserve. There are currently no plans for additional non-treasury investments.

6. End of year investment and capital financing report

- 6.1. The Authority will provide a report on its investments and capital financing activity at the end of the financial year, as part of its final accounts reporting procedure.

Counter Fraud, Corruption and Bribery Strategy

Contents

Introduction to the Strategy	3
1. Statement of Intent	3
2. Objectives of the Strategy	3
3. Who does this Strategy apply to?	4
4. Why is the Strategy Needed?	4
5. Definitions	4
6. The Corporate Framework to Counter Fraud, Corruption and Bribery	6
The Authority’s Anti-fraud, Corruption and Bribery Culture	7
7. The Cultural Framework	7
8. Members	8
9. Employees	9 98
10. Partners, Suppliers, Contractors and Other Organisations that interact with the Authority	9
11. Members of the Public	109 109
Counter Fraud Prevention and Deterrence	109 109
12. The Internal Control Environment	109 109
13. Recruitment and Induction	10
14. Promotion of the counter fraud culture	114 1140
Detecting and Investigating Fraud, Corruption, Money Laundering and Bribery	11
15. Detecting Fraud that has Occurred	11
16. Investigation of Fraud that has Occurred	124 1244
Sanction and Redress in Respect of Fraud, Corruption, Money Laundering and Bribery	12
17. Taking Action where Required	12
18. Review	134 1342
Appendix 1 – Supporting Policies, Procedures and Practices.....	141 1413
Appendix 2 – Roles and Responsibilities of Officers.....	161 1615

Appendix 3 – Fraud, Corruption and Bribery Response Plan	<u>2120</u>
1. Introduction	<u>2120</u>
2. Reporting Concerns of Fraud, Corruption and Bribery	<u>2120</u>
3. Reacting to Reports of Fraud, Corruption and Bribery	<u>2120</u>
4. Conducting Investigations	<u>2221</u>
5. General Processes	<u>2422</u>

Introduction to the Strategy

1. Statement of Intent

1.1. The Broads Authority (The Authority) is committed to carrying out its business in a fair, ethical, honest and transparent manner. As such, the Authority has a zero-tolerance approach to those who seek to commit an act of fraud, corruption, money laundering or bribery towards, or against it.

1.1.1.2. The Authority takes its legal responsibilities very seriously. We will uphold all laws relevant to countering bribery and corruption, including the Bribery Act 2010, in respect of our conduct.

1.2.1.3. To safeguard itself against such activities, the Authority has developed a counter fraud culture, supported by a framework designed to encourage the prevention and detection of fraud, corruption and bribery in the event of allegations being received, and to establish appropriate arrangements for their investigation. All such provisions seek to minimise potential losses to the Authority in the event of it being subject to fraudulent or corrupt practices.

1.3.1.4. The Authority is committed to maintain, and to regularly monitor, review and update, appropriate processes and procedures which will minimise the risk of losses from fraud, corruption, money laundering or bribery, and to ensure that all members and members of staff are aware of their responsibilities to comply with these procedures at all times.

2. Objectives of the Strategy

2.1. The key objectives of this Strategy are to:

- increase staff and member awareness of the corporate counter fraud culture which the Authority actively supports and encourage individuals to promptly report suspicions of fraudulent and corrupt behaviour;
- communicate to partners, suppliers, contractors and other organisations that interact with the Authority that it expects them to maintain high standards aimed at minimising fraud and corruption in their dealings with the Authority;
- further embed and support the management of fraud risk within the Authority;
- demonstrate the arrangements that the Authority has in place to counter fraud, corruption, money laundering and bribery; and
- minimise the likelihood and extent of losses through fraud and corruption.

3. Who does this Strategy apply to?

3.1. This Strategy applies to all persons working for the Authority [or any group company] or on our behalf in any capacity, including employees at all levels, directors, officers, agency workers, seconded workers, volunteers, interns, agents, contractors, external consultants, third-party representatives and business partners, sponsors, or any other person associated with us, wherever located.

3.4. Why is the Strategy Needed?

3.1.4.1. The Broads Authority is reliant on its various funding sources in order to carry out its duties and deliver its key aims and objectives in the Broads Plan. As a public body it has a duty to promote effective stewardship and value for money in the use of its funds, to be accountable to its stakeholders in the use of that money and to ensure that procedures are put in place to minimise the risk of losses through fraud, corruption, money laundering or bribery.

3.2.4.2. As well as resulting in lost income, and reducing the funds available to be spent on key service delivery, instances of fraud, corruption, money laundering and bribery are likely to impact on the reputation of the Authority, and result in a loss of confidence that can be placed in the Authority and its procedures.

3.3.4.3. Historically, the Broads Authority has had relatively low levels of detected fraud activity in relation to its business operations. Where such activity has been identified, prompt action has been taken and sanctions imposed, as appropriate. However, even though fraud may not previously have been prevalent, it is important to remain vigilant, and to maintain, and regularly monitor, review and update, appropriate processes and procedures to ensure that any potential opportunities for fraud and corruption are minimised, in order that resources can be used for their intended purpose.

3.4.4.4. The Bribery Act 2010 places an expectation on organisations that they will have appropriate and adequate procedures in place to minimise the risk of bribery taking place. This Strategy seeks to reduce this risk, and to outline the Authority's anti-bribery approach.

4.5. Definitions of Fraud, Corruption, Money Laundering and Bribery

5.1. Bribery is offering, promising, giving or accepting any financial or other advantage, to induce the recipient or any other person to act improperly in the performance of their functions, or to reward them for acting improperly, or where the recipient would act improperly by accepting the advantage.

a) An advantage includes money, gifts, loans, fees, hospitality, services, discounts, the award of a contract or anything else of value.

b) A person acts improperly where they act illegally, unethically, or contrary to an expectation of good faith or impartiality, or where they abuse a position

of trust. The improper acts may be in relation to any business or professional activities, public functions, acts in the course of employment, or other activities by or on behalf of any organisation of any kind.

It is a criminal offence to offer, promise, give, request, or accept a bribe. Individuals found guilty can be punished by up to ten years' imprisonment and/or a fine and employers that fail to prevent bribery can face an unlimited fine, exclusion from tendering for public contracts, and damage to its reputation.

5.2. Corruption is the abuse of entrusted power or position for private gain.

Examples:

- a) Offering a bribe: You offer a potential client tickets to a major sporting event, but only if they agree to do business with the Authority. This would be an offence as you are making the offer to gain a commercial and contractual advantage. We may also be found to have committed an offence because the offer has been made to obtain business for us. It may also be an offence for the potential client to accept your offer.
- b) Receiving a bribe: A supplier gives your nephew a job, but makes it clear that in return they expect you to use your influence in the Authority to ensure we continue to do business with them. It is an offence for a supplier to make such an offer. It would be an offence for you to accept the offer as you would be doing so to gain a personal advantage.

5.3. Fraud is defined by three classes; false representation, failure to disclose information or by abuse of position.

- a) Fraud by false representation is where a person dishonestly makes a false representation, and intends, by making the representation to make a gain for himself or another, or to cause loss to another or to expose another to a risk of loss.
- b) Fraud by failure to disclose information is where a person dishonestly fails to disclose to another person information which he is under a legal duty to disclose, and intends, by failing to disclose the information to make a gain for himself or another, or to cause loss to another or to expose another to a risk of loss.
- c) Fraud by abuse of position is where a person occupies a position in which he is expected to safeguard, or not to act against, the financial interests of another person, dishonestly abuses that position, and intends, by means of the abuse of that position to make a gain for himself or another, or to cause loss to another or to expose another to a risk of loss.

~~4.1. The Fraud Act 2006 defines fraud by three classes; false representation, failure to disclose information or by abuse of position. In all three classes of fraud, it requires that for an offence to have occurred, the person must have acted dishonestly, and that they had to have acted with the intent of making a gain for themselves or anyone else, or inflicting a loss (or a risk of loss) on another.~~

Examples of fraud committed against the Authority might include the creation and submission of fake invoices for goods or services never received, false or inflated expense claims, under recording of cash receipts, misappropriation of stock assets or an application for a job falsely claiming to hold certain qualifications. As these examples demonstrate, fraud can occur in a number of ways, need not always be related to loss of money, and can involve staff, members or even people outside of the organisation.

~~4.2. Corruption has a number of definitions but can simply be defined as the abuse of entrusted power for private gain. It is often linked to Bribery.~~

5.4. CIPFA describes Money Laundering is described by CIPFA as disguising criminally sourced cash or property in order to give the appearance of legitimacy. This is done by mixing the criminal transactions with the legitimate transactions of businesses and is often linked to terrorism financing. This normally follows three stages:

- Placement: Funds derived from the crime are paid into a bank account or used to purchase an asset, e.g. property.
- Layering: To disguise the source of the funds they are moved through complex and frequent transactions. Money mules are a form of layering. Money muling occur when an individual receives money into their bank account (wittingly or unwittingly from a criminal) and transfers it elsewhere. The individual is often promised that they can keep a portion of the cash for facilitating the transaction.
- Integration: Once the funds are well disguised the funds are transferred into the financial system, thus making the money appear legitimate.

~~4.3. The Bribery Act 2010: Quick start guide defines bribery as ‘giving someone a financial or other advantage to encourage that person to perform their functions or activities improperly or to reward that person for having already done so. The Act includes two general offences covering the offering, promising or giving of an advantage, and the requesting, agreeing to receive or accepting of an advantage.~~

5.6. The Corporate Framework to Counter Fraud, Corruption and Bribery

5.4-6.1. The Authority has in place a number of policies, procedures and practices that are designed to support this Strategy in countering and preventing fraud occurring. These take account of legislation and expected standards in respect of

public life. A summary of the key arrangements in place is set out at Appendix 1, together with a list of the officers responsible for these arrangements.

5.2-6.2. In addition to these there are a number of officers who have direct and overarching responsibilities and roles in respect of countering fraud, corruption and bribery. These roles and responsibilities are set out at Appendix 2.

6.3. The Authority also has in place a Risk Management Policy, ~~and a Strategic Corporate Register and Directorate Risk Register~~. Overall responsibility for risk management lies with the ~~Management Team Solicitor and Monitoring Officer~~ who ~~is~~ are charged with ensuring that the risk of fraud and corruption is appropriately recognised within the risk framework, and managed accordingly. The Risk Management Policy is reviewed and where appropriate updated ~~at least annually~~ every two years, whilst the ~~Strategic Corporate Risk Register~~ is reviewed ~~bi-annually~~ by the Management ~~Forum Team and the~~ before every Financial Scrutiny and Audit ~~Audit and Risk~~ Committee. Nominated risk owners are responsible for individual risks, and these should be reviewed not less frequently than every ~~six~~ four months, or earlier where there is a significant change in circumstances.

6.4. The Authority also has an Audit and Risk Committee, which has oversight of risk management issues at the Authority. The Committee's remit includes the following duties:

- a) To scrutinise the Authority's accounts and finances to ensure that they are prepared in accordance with accounting policies and good practice.
- b) To take a strategic view on whether the resources allocated to the Authority are used effectively and efficiently in pursuit of its authorised purposes and objectives.
- a)c) To obtain assurances from a range of measures and reports that value for money is obtained in the use of these resources, and that risk and performance are actively managed to achieve best results.

The Authority's Anti-fraud, Corruption and Bribery Culture

6.7. The Cultural Framework

6.1-7.1. The Authority is ~~determined~~ committed to promoting ~~and maintaining~~ a culture of honesty, ~~and~~ integrity, ~~and opposition to where~~ fraud, corruption and bribery are strongly opposed by all. The prevention and detection of fraud, corruption and bribery is the responsibility of all members and members of staff.

7.2. To this end, the Authority has adopted a Code of Conduct for its members and a Code of Conduct for Employees which promote the standards of conduct and behaviour

expected when representing the Authority. Both of these documents are available on the Authority intranet [and are discussed in greater detail at Section 8 and 9 below](#).

[7.3.](#) The Authority has a Whistle Blowing Policy, which encourages employees, members and other parties to raise concerns, in the knowledge that they will not suffer victimisation or harassment as a result. [This is also available on the Authority intranet for employees and on the website for members.](#)

[6.2.7.4.](#) The Authority seeks to be as open and transparent as possible in the way it conducts its business and makes decisions. The Terms of Reference of Committees, and Scheme of Powers Delegated to [Chief Executive and other authorised](#) Officers, set out the decision-making framework within the Authority, and demonstrate where functions may be delegated. The Authority publishes details of all expenditure over £250 on its website, and will endeavour to [satisfy](#) all the [recommendations and requirements set down by the](#) Government in the Code of Recommended Practice for Local Authorities on Data Transparency¹.

[7.5.](#) [The Authority also has a suite of other governance documents available on our Constitution page on the website.](#)

[7.8.](#) Members

[7.1.8.1.](#) The Localism Act 2011 places a duty on the Authority to promote and maintain high standards of conduct by its members and co-opted members. Members are required to observe the Authority's Code of Conduct, which is intended to promote and maintain behaviour consistent with the Nolan Principles. They are also required to register and disclose certain interests, including pecuniary interests, both in a Register of Interests and, where appropriate, verbally at the commencement of all meetings.

[7.2.8.2.](#) The Authority has also developed arrangements for dealing with complaints that a member has failed to comply with the Code of Conduct, and has appointed two Independent Members, one of whom will be consulted before any standards complaints are determined.

[7.3.8.3.](#) Details of the Register of Interests, Code of Conduct and arrangements for dealing with standards allegations are all on the Authority's website and available for inspection by members of the public.

[7.4.8.4.](#) The ~~Financial Scrutiny and Audit~~[Audit and Risk](#) Committee is responsible to the Broads Authority for the Counter Fraud, Corruption and Bribery Strategy, including the adequacy and effectiveness of the arrangements for counter-fraud and whistle

¹ [Local government transparency code 2015 - GOV.UK \(www.gov.uk\)](#)

blowing, and maintaining an oversight of the systems for corporate governance and internal control.

8.9. Employees

8.1.9.1. A successful anti-fraud culture is one where acts of fraud and corruption are widely recognised as unacceptable behaviour and where whistle blowing is perceived as a public-spirited action. The Authority has put in place a number of policies, procedures and other actions to promote an anti-fraud culture to the Authority's officers, as detailed in Appendix 1.

8.2.9.2. All officers must abide by the Code of Conduct for Employees, which sets out the standards of behaviour and conduct expected of them. Professionally qualified officers are also expected to follow any Code of Conduct or Ethics as required by their professional institute.

8.3.9.3. The Authority has disciplinary procedures which are designed to ensure consistent and fair treatment of all staff in dealing with any breaches of conduct. Any breach of conduct will be dealt with under these procedures and may result in dismissal.

9.4. The Code of Conduct for Employees includes guidelines for the receipt of gifts and hospitality, and requires senior officers to declare certain personal interests which could be perceived to conflict with their professional impartiality.

9.5. The Authority's Monitoring Officer, Deputy Monitoring Officer and Senior Governance Officer have particular responsibility for oversight of standards and probity. The Head of HR is responsible for maintaining the officers' register of gifts and hospitality and the register of officers' interests.

9.10. Partners, Suppliers, Contractors and Other Organisations that interact with the Authority

9.1.10.1. The Authority expects the highest standards of conduct from all organisations that have dealings with it. Any partners, suppliers, contractors and other third parties funded by or in receipt of payments from the Authority are ~~–~~required to adopt or abide by the Authority's policies, procedures, protocols and codes of practice, where appropriate, in order to prevent and detect fraud, corruption, money laundering and bribery.

10.2. All transactions with suppliers and other organisations will be entered into in line with the Authority's Standing Orders Relating to Contracts Broads Authority Standing Orders Relating to Contracts February 2022 (broads-authority.gov.uk). These make appropriate provisions for declaring interests and the circumstances where such regulations may not apply, and set out rules regarding entering into contracts and

varying contract conditions. In addition, prior to entering into significant, ongoing transactions, due diligence checks are undertaken to ensure that suppliers have an appropriate financial and risk profile before transactions are entered into by the Authority.

11. Members of the Public

9.2.11.1. Members of the public have an important role to alert the Authority to any concerns about the potential for fraud, corruption or bribery that they may become aware of. They are encouraged to report their concerns, either through the Authority's complaint procedure or by contacting the relevant officers in Appendix 2.

Counter Fraud Prevention and Deterrence

10.12. The Internal Control Environment

10.1.12.1. The Authority's internal control environment plays a key role in ensuring that fraud can be prevented. Soundly designed systems, with adequate checks built into them, minimise the opportunities for untoward activities. This can be through automated controls, or through management oversight of transaction activity.

12.2. Managing the risk of fraud, corruption and bribery is the responsibility of Directors and Section Heads within individual Directorates and service areas, working within the overall framework developed by the Authority and the Management Team.

12.3. -Whilst managers retain responsibility for the oversight of the internal control environment within their specific service areas, internal and external inspections play an important role in ensuring that operational arrangements are working effectively.

12.4. -An Annual Audit Plan is developed by the Head of Internal Audit each year, in consultation with the Management Team and is approved by the Audit and Risk Committee. The Audit Plan is based founded on a risk-based approach and has swing regard to those areas where there is the greatest potential for fraud, corruption and bribery. It therefore, which provides a check on those services and systems (financial and non-financial) that are subject to the highest level of inherent risk.

10.2.12.5. -Furthermore, in the course of completing audit assignments, recommendations will be put forward aimed at strengthening systems of internal control which are designed to remove potential opportunities for fraud and corruption in the future.

11.13. Recruitment and Induction

11.1.13.1. A key preventative measure against the possibility of fraud, corruption and bribery is to have in place a robust recruitment process which establishes, as far as reasonably possible, the propriety and integrity of potential employees. This includes

extends to temporary and contract staff. Agencies providing temporary staff should be required to confirm that satisfactory references have been obtained and validated.

13.2. All recruitment should be in accordance with the Authority's standard recruitment procedures. Written references should be obtained for all potential employees and any relevant qualifications should be confirmed prior to appointment.

13.3. The Authority commits to promoting an anti-fraud culture through encouraging staff and members, as part of their induction programmes, to familiarise themselves with the relevant Code of Conduct, the Whistle Blowing Policy and this Strategy, to make them aware that the Authority will not tolerate improper behaviour.

12.14. Promotion of the counter fraud culture

12.1.14.1. The Authority undertakes to promote successful outcomes from counter fraud activities, particularly where this may deter others from undertaking dishonest activities.

~~12.2.14.2. In addition the Authority commits to promoting an anti-fraud culture through encouraging staff and members, as part of their induction programmes, to familiarise themselves with the relevant Code of Conduct, the Whistle Blowing Policy and this Strategy, to make them aware that the Authority will not tolerate improper behaviour.~~ The Authority requires staff to annually undertake refresher training through its online training platform.

Detecting and Investigating Fraud, Corruption, Money Laundering and Bribery

13.15. Detecting Fraud that has Occurred

13.1.15.1. The Authority has in place a number of measures designed to detect fraudulent activity. This is mainly through the segregation of duties and dual approval of payments.

13.2.15.2. The Authority therefore expects its senior managers to be vigilant regarding the possibility of fraud, corruption, money laundering or bribery and to report any suspicious activities to the Director of Finance.

13.3.15.3. Despite best efforts, fraudulent or corrupt activity can sometimes be discovered by chance or through a 'tip off' or whistle blowing incident. The Authority has developed appropriate arrangements to enable such matters to be handled through the Whistle Blowing Policy.

~~13.4.15.4.~~ 13.4.15.4. The Code of Conduct for Employees also requires employees to report to their immediate line manager, Head of Section or other Senior officer, any suspicions of impropriety, dishonesty or failure to follow legislation or policies and procedures by another employee.

~~13.5.15.5.~~ 13.5.15.5. In addition, the work of Internal Audit and the Authority's External Auditors may lead to the detection of fraud.

14.16. Investigation of Fraud that has Occurred

~~14.1.16.1.~~ 14.1.16.1. The Head of Internal Audit has overall responsibility for the progression of all fraud investigations, in consultation with the ~~Chief Financial Officer~~ Director of Finance. There are provisions in the Internal Audit Services contract to engage Counter Fraud trained auditors from TIAA Ltd, to work under the direction of the Head of Internal Audit, and in consultation with the ~~Chief Financial Officer~~ Director of Finance.

~~14.2.16.2.~~ 14.2.16.2. Appendix 3 sets out a Fraud, Corruption and Bribery Response Plan, detailing how the Authority will respond when a concern or an event has been raised, which ~~lead~~ sing to a suspicion of fraud or corruption and to whom it will be reported to. ~~In all cases the~~ The Head of Internal Audit should be consulted regarding all cases of potential ~~cases of~~ fraud and /or corruption, in order to maintain a corporate overview of incidents arising and to ensure that investigations are carried out by the appropriate personnel (e.g. TIAA Auditors, the Head of Internal Audit, the relevant Director, Head of Human Resources, depending on the nature of the case reported).

~~14.3.16.3.~~ 14.3.16.3. The ~~Solicitor and Monitoring Officer~~ Chief Executive is responsible for monitoring and ensuring the investigation of whistle blowing concerns received. Where such cases involve an instance of fraud and corruption, these will be jointly overseen by the ~~Solicitor and~~ Monitoring Officer and the Head of Internal Audit.

~~14.4.16.4.~~ 14.4.16.4. The Head of Internal Audit will notify External Audit promptly of all frauds occurring at the Authority which exceed £5,000, and any cases of corruption and any fraud cases of particular interest or complexity. Any such instances of fraud or suspected fraud will be discussed with external Audit at the annual Audit Planning Meeting.

Sanction and Redress in Respect of Fraud, Corruption, Money Laundering and Bribery

15.17. Taking Action where Required

~~15.1.17.1.~~ 15.1.17.1. Where it has been identified that fraud or corruption has occurred, the Authority is committed to ensuring that all appropriate ~~sanctions and~~ courses of redress are undertaken and sanctions are imposed where required.

~~15.2.17.2.~~ Although the Authority's primary means of sanction of employees is through its Disciplinary Procedures, this does not preclude the Authority from taking additional legal action should it consider this to be necessary.

~~15.3.17.3.~~ The Authority will seek to work closely with other parties, in particular the Police, where appropriate. It also has a public duty to seek financial redress, where feasible.

~~16.18.~~ Review

~~16.1.18.1.~~ This Strategy has been approved by the Management Team and by the ~~Financial Scrutiny and Audit~~Audit and Risk Committee. It will be reviewed and if necessary updated on a regular basis, at least ~~annually~~every three years, or more frequently where there are significant changes to legislation within which the Authority operates. ~~and a~~Any significant changes will be brought to the attention of the Management Team for their approval. Responsibility for ensuring that regular reviews are carried out lies with the ~~Chief Financial Officer~~Director of Finance.

Date of issue: March ~~2023~~2018

Next Review: March 2026

Appendix 1 – Supporting Policies, Procedures and Practices

Appendix 2 – Roles and Responsibilities of Officers

Appendix 3 – Fraud, Corruption and Bribery Response Plan

Appendix 1 – Supporting Policies, Procedures and Practices

Policy/Strategy	Purpose	Responsibility
Code of Conduct for Members	Under the provisions of the Localism Act 2011, the Broads Authority is required to adopt a code of conduct setting out the standards of behaviour expected of its members. The Authority has adopted the model code prepared by the Department for <u>Levelling Up, Housing and Communities</u> and Local Government (D <u>LUHC</u> LG). All new members to the Authority receive guidance and training on the implementation of the Code.	Solicitor and Monitoring Officer
Registration and Declaration of Interests	Members of the Authority are required to enter onto a Register of Interests any pecuniary or non-pecuniary interests which might relate to their public duty. <u>Members are,</u> and to declare these interests at all meetings of the Authority and its committees <u>where a matter relates to one of their registered interests</u> . The Register of Interests may be viewed by members of the public on request.	Solicitor and Monitoring Officer
Terms of Reference of Committees	These set out the powers reserved to the Broads Authority and to its various committees.	Solicitor and Monitoring Officer
Scheme of <u>Powers Delegated to Chief Executive and other authorised officers</u> Powers	These set out the powers which are delegated to the Chief Executive <u>and other authorised officers</u> , and the conditions under which these powers can be discharged. They are supplemented by Arrangements for the Exercise of Powers by Other Officers, setting out those officers who are authorised to exercise powers in the absence of the Chief Executive.	Solicitor and Monitoring Officer

Policy/Strategy	Purpose	Responsibility
Code of Conduct for Employees	All members of staff are required to comply with the Code of Conduct for Employees, and Planning Officers with the Code of Conduct for Planning Committee Members and Officers. The Code of Conduct includes guidelines for the receipt of gifts and hospitality, and requires senior officers to declare certain personal interests which could be perceived to conflict with their professional impartiality.	Head of Human Resources
Whistle Blowing Policy	The Whistle Blowing Policy sets out how employees <u>and members</u> can raise concerns within the organisation without fear of victimisation or harassment.	Solicitor and Monitoring Officer <u>Director of Finance</u>
Financial Regulations	Financial Regulations set the framework for the administration of the Authority's financial affairs, including all systems and transactions.	Chief Financial Officer <u>Director of Finance</u>
Standing Orders Relating to Contracts	These Standing Orders set out the rules and procedures which must be complied with when letting contracts for goods and services on behalf of the Authority. They endeavour to ensure fair competition between competing organisations.	Chief Financial Officer <u>Director of Finance</u>
Internal Financial Controls	Internal control systems are in place to ensure that the Authority's finances are managed in a safe and efficient manner. These include physical controls to ensure security of assets and restrict access, clear lines of accountability, supervisory controls, segregation of duties and authorisation/approval controls.	Chief Financial Officer <u>Director of Finance</u>
Internal Audit	The Authority is a member of a consortium of local authorities who jointly procure an internal audit service. The service is administered by the Head of	Chief Financial Officer <u>Director of Finance</u>

Policy/Strategy	Purpose	Responsibility
	Internal Audit, who is based at the offices of South Norfolk Council, and is currently contracted out to TIAA. An annual programme of audits is drawn up in conjunction with the Head of Internal Audit using a risk-based approach.	
Recruitment and Selection of Staff	A number of controls are in place relating to the recruitment and selection of staff, including completion of an application form, interviews, references and obtaining a 'defined document' to confirm that the employee is eligible to be employed in this country. Under certain circumstances other checks are made, for example relating to the prospective employee's medical condition and suitability to work with children and vulnerable adults.	Head of Human Resources

Appendix 2 – Roles and Responsibilities of Officers

Stakeholder	Roles and Responsibilities
Broads Authority	The Authority is ultimately responsible for the Authority's Counter Fraud, Corruption, Money Laundering and Bribery Strategy and other arrangements.
Individual Members	Members support and help to promote a strong counter fraud culture through: <ul style="list-style-type: none"> • promoting the Authority's lack of tolerance towards acts of fraud and corruption;

Stakeholder	Roles and Responsibilities
	<ul style="list-style-type: none"> ensuring that they comply with the Authority's Code of Conduct for Members, thus setting a strong public example; and raising matters of concern that they may have through the appropriate means.
Financial Scrutiny and Audit <u>Audit and Risk Committee</u>	Responsible to the Authority for the Counter Fraud, Corruption and Bribery Strategy, including the adequacy and effectiveness of the counter fraud and whistle blowing arrangements.
Chief Executive <u>- John Packman</u> <u>01603 756019</u> <u>John.packman@broads-authority.gov.uk</u>	The Chief Executive is ultimately responsible for the day to day arrangements to counter fraud, corruption and bribery.
Solicitor and Monitoring Officer <u>- Jonathan Goolden</u> <u>Monitoring.officer@broads-authority.gov.uk</u>	Responsible for the Authority's arrangements to manage risk, including the Risk Management Policy and Strategic Risk Register. The Monitoring Officer also provides support to members as required on matters of ethical and governance issues, and may receive concerns raised from members, the public and other stakeholders
<u>Management Team</u>	<u>Responsible for the Authority's arrangements to manage risk, including the Risk Management Policy and Strategic Risk Register.</u>

Stakeholder	Roles and Responsibilities
<p>Chief Financial Officer<u>Director of Finance</u>/ Section 17 Officer</p>	<p>The Section 17 Officer is responsible for ensuring that the Authority has in place arrangements for the proper administration of its financial affairs.</p>
<p>External Audit - <u>Ernst & Young LLP</u> <u>One Cambridge Business Park,</u> <u>Cowley Road, Cambridge CB4 0WZ, 01223 394400</u></p>	<p>The external auditors have a statutory duty to ensure that the Authority has in place adequate arrangements for the prevention and detection of fraud, corruption and theft.</p>
<p>Internal Audit</p>	<p>Internal auditors will be alert in all their work to risks and exposures that could allow fraud or corruption to occur. The auditors also and seek to strengthen systems of internal control to safeguard the Authority against such activities and <u>to</u> minimise losses arising from such actions.</p>
<p>Head of Internal Audit – <u>Faye Haywood</u> <u>01508 533873</u> <u>Faye.Haywood@southnorfolkandbroadland.gov.uk</u></p>	<p>The Head of Internal Audit is responsible for managing the Internal Audit service, including developing an Annual Audit Plan which includes counter fraud and corruption work. There is also a requirement to assist with special investigations (where cases of fraud and/or corruption are suspected) and provide reports to management, the Financial Scrutiny and Audit<u>Audit and Risk</u> Committee and External Audit regarding work carried out in this area.</p>
<p>Directors and Heads of Service</p>	<p>These officers are responsible for the management and prevention of theft, fraud, corruption and other irregularities within their area of responsibility. Each officer is expected to:</p>

Stakeholder	Roles and Responsibilities
	<ul style="list-style-type: none"> • identify, be familiar with and assess the types and risks of fraud or corruption that might occur within their area of responsibility; • promote and monitor sound working practices which minimise the likelihood of fraud and corruption occurring; • promote the Strategy where appropriate with any external organisations they may do business with; • be alert for any indication of fraud or corruption; and • be ready to take appropriate action in a timely way, should there be any suspicion of theft, fraud or corruption.
Members of Staff	<p>Staff should undertake their duties at all times in line with the Authority’s Code of Conduct for Employees. <u>Staff must also comply with all policies under their contracts of employment.</u> They have a responsibility to raise any concerns, should they become aware of any potential fraud, corruption or other wrongdoing, with an appropriate officer (who could be their line manager, Head of Section or Director, the Monitoring Officer, the Head of Internal Audit or any other senior officer).</p>
Partners, Contractors, Suppliers and other organisations that interact with the Authority	<p>These organisations should be aware of the need to uphold anti-fraud principles and be aware of the possibility of malpractice against the Authority, reporting any genuine concerns or suspicions promptly.</p>

Stakeholder	Roles and Responsibilities
Members of the Public	To notify the Authority of any genuine concerns or suspicions involving fraudulent or corrupt activities being committed against the Authority.

Appendix 3 – Fraud, Corruption and Bribery Response Plan

1. Introduction

- 1.1. The purpose of this Response Plan is to set out the action to be taken when a fraud is suspected or discovered. This Plan forms part of the Authority's overall approach to countering fraud, corruption and bribery.
- 1.2. Adhering to the Plan will enable the Authority to ensure that all incidents of fraud and corruption are handled in a consistent and responsible manner and that the relevant responsibilities when responding to an incident are clear.

2. Reporting Concerns of Fraud, Corruption and Bribery

- 2.1. Anyone who has a concern that a potential incident of fraud, corruption, money laundering or bribery has arisen should always seek to raise these concerns at the earliest opportunity with a Senior Officer. The Authority acknowledges that this can be a difficult and challenging action to take in some cases, and the Whistle Blowing Policy has been established to provide those raising concerns with a safe avenue with which to do so without fear of victimisation or bullying. It also offers sources of advice and guidance that they may turn to.
- 2.2. The Whistle Blowing Policy makes clear that the Authority will always respect the confidentiality of those who raise a concern. Wherever possible, it encourages the whistle blower not to remain anonymous, to ensure that ~~concerns can be set out in writing to ensure~~ that the facts of the situation ~~are~~ can be clarified in writing if the need arises.
- 2.3. Wherever the concern raised or identified relates to a matter of fraud, corruption, money laundering or bribery, the Director of Finance and/or the Head of Internal Audit should be notified in order that they can ensure appropriate investigatory measures are undertaken. Wherever possible, and whilst respecting confidentiality, the ~~Head of Internal Audit~~ investigating officer will work with other officers to ensure that appropriate members of staff and others are kept informed of developments. In particular it may be necessary to notify the ~~Section 17 Officer~~ Director of Finance and Management Team. The Director of Finance, Head of Internal Audit and ~~Solicitor and~~ Monitoring Officer should liaise to ensure that cases raised in respect of whistle blowing are appropriately addressed, and to ensure that the Head of Internal Audit is aware of all issues that may impact upon delivery of the Annual Audit Plan.

3. Reacting to Reports of Fraud, Corruption and Bribery

- 3.1. All reported cases will be handled in a fair and consistent manner. The Authority will remain mindful of the legislative framework governing the investigation of concerns, and in particular the :
 - Freedom of Information Act 2000;

- Data Protection Act ~~1998 (to be replaced by General Data Protection Regulations (GDPR) from May 2018)~~;
- Human Rights Act 1998;
- Fraud Act 2006;
- Terrorism Act 2000;
- UK Bribery Act 2010;
- Proceeds of Crime Act 2002 as amended by the Serious Crime Act 2015;
- The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017; and
- Police and Criminal Evidence Act 1984.

3.2. As the Whistle Blowing Policy identifies, if an individual raises a malicious allegation they know to be untrue, then the Authority will not investigate the case further. The Authority will also endeavour to be sensitive to the alleged wrongdoers, to ensure minimisation of damage if, subsequently, the allegations are found to be incorrect or cannot be substantiated.

4. Conducting Investigations

- 4.1. The Head of Internal Audit is responsible for overseeing the progress of fraud, corruption and bribery investigations to ensure they are undertaken in a consistent and appropriate manner, in accordance with legislative requirements and agreed procedures. If the concern directly affects the Head of Internal Audit, this role will be adopted by the ~~Solicitor and~~ Monitoring Officer.
- 4.2. The Head of Internal Audit will also remain responsible for liaising with the Chief Executive and other senior managers as appropriate regarding the incident raised and the progression of the investigation. In such cases the liaison officer will be the ~~Chief Financial Officer~~ Director of Finance, unless this officer is the subject of or is otherwise linked to the investigation, in which case the Chief Executive will nominate an alternative liaison officer. Should disputes arise during the course of an investigation, these will be referred to the appropriate liaison officer (and, if necessary, the Chief Executive) to assist resolution.
- 4.3. In the event that the Chief Executive is the subject of or otherwise linked to the allegation, the Head of Internal Audit will liaise with the Chair of the Authority.
- 4.4. A number of options will usually be considered when determining who will be responsible for undertaking investigative work, but for the most part the Head of Internal Audit, in conjunction with the ~~Chief Financial Officer~~ Director of Finance will agree the method and terms of reference for the investigation. Although it is

acknowledged that flexibility will be required depending on the nature of the case, it is expected that the following will need to be considered:

- who will conduct the investigation;
- the arrangements for collecting and documenting evidence;
- the estimated time span for the investigation;
- the need for direct referral to/liaison with other authorities (e.g. the Police);
- the mechanism for reporting progress and the final outcomes; and
- liaison with the Head of Human Resources regarding the need for potential suspension / transfer /disciplinary action relating to the alleged wrongdoers.

4.5. Where it is deemed necessary to refer cases to the Police, careful consideration will be given as to whether to proceed with an internal investigation. However it is expected that all staff, members and third parties will comply with both internal and Police investigations as appropriate, and wherever possible Authority and Police enquiries will be co-ordinated to maximise their effectiveness.

4.6. Upon completion of any investigation, a report will be produced highlighting the main findings. The report will be reviewed by the Head of Internal Audit, who will be responsible for identifying any further action which may be needed in consultation with other appropriate officers (e.g. the Head of Human Resources if disciplinary action may be required). Where it has been found that fraud, corruption or bribery has occurred, a summary of the findings will be presented to the Management Team, and in due course a summary report will be prepared for the ~~Financial Scrutiny and Audit~~Audit and Risk Committee, setting out what mitigating actions will be taken to avoid or minimise the possibility of a recurrence of the incident. Where fraud, corruption or bribery could not be proven, the findings will only be shared with those who have a genuine and legitimate need to know.

4.7. The Head of Internal Audit will keep the person raising the concern informed of the progress of the investigation, ~~but will not necessarily be able to share either the report or the conclusions of the investigation with that person or persons.~~ Where this relates to a whistle blowing case, the Head of Internal Audit will continue to work with the ~~Solicitor and~~ Monitoring Officer in this regard.

4.8. It is the responsibility of management to ensure that any losses arising from an investigation are recovered, provided that there are reasonable grounds for doing so. There are various methods of recovery the Authority can utilise, for example directly from the perpetrator, through the Authority's insurers, or through legal proceedings. The appropriate method of recovery will be considered on a case-by-case basis by the

Management Team, where appropriate on the advice of the Head of Internal Audit and/or ~~Solicitor and~~ Monitoring Officer.

5. General Processes

- 5.1. This Fraud, Corruption and Bribery Response Plan will be displayed on the Authority's Intranet, in order that it is available to all members of staff. It is acknowledged that circumstances will differ from case to case, and the Authority reserves the right, where it is in the best interests to do so, to carry out investigations in ways which are not entirely in accordance with this Plan. ~~However n~~Notwithstanding ~~that~~, the Authority will seek to ensure that, where possible, all investigations are carried out in a consistent manner.
- 5.2. The Head of Internal Audit will remain responsible for ensuring that records in respect of fraud cases are appropriately maintained, ~~and, in line with guidance issued by The National Archive, r~~Records relating to proven frauds will be maintained for at least six years.

Advertising and Sponsorship Policy

Contents

1.	Introduction.....	2
2.	Purpose.....	2
3.	Definitions	3
4.	Responsibilities.....	3
5.	Key principles.....	4
6.	Specific issues when considering sponsorship	5
7.	Criteria for identifying suitable advertisers and sponsors	6
	General criteria for considering suitability	6
	Positive Partners	6
	Neutral Partners	7
	Negative Partners	7
8.	National initiatives.....	7
9.	State Aid considerations in the provision of sponsorship by the Authority	8
10.	Dealing with complaints	8
11.	Review	9

1. Introduction

- 1.1. The Broads Authority recognises the significant potential for income generation through advertising and sponsorship, and will seek opportunities to maximise revenue from these sources where this does not conflict with strategic priorities and National Parks Partnerships LLP activities. This Policy sets out the parameters for advertising and sponsorship, and outlines the considerations the Authority will take into account when offering or assessing advertising and sponsorship opportunities.
- 1.2. The starting point for all advertising is that it conforms within the rules and guidelines laid out by the Advertising Standards Agency (ASA) and complies with the UK Code of Advertising and Direct & Promotional Marketing¹. The Code of Recommended Practice on Local Authority Publicity² contains additional guidance including restrictions on advertising in the run up to elections.
- 1.3. Advertising and sponsorship should be seen as two distinct areas of activity, although they are linked in terms of many of the skills, considerations and approaches required to maximise income for the Authority. Therefore except where explicitly stated, they can be considered to be interchangeable throughout this policy.
- 1.4. The Authority currently carries advertising within many of its general publications, and has [previously](#) accepted sponsorship of events such as the Broads Outdoor Festival. This Policy formalises the Authority's general approach to advertising and sponsorship issues, but is not intended to supersede any specific established arrangements which may already be in place.

2. Purpose

- 2.1. The purpose of this Policy is to:
 - establish the parameters of the Authority's advertising and sponsorship activities;
 - define a general framework for decisions about advertising and sponsorship opportunities;
 - explain how the Authority's advertising and sponsorship initiatives are coordinated with activity undertaken by National Parks UK, [National Parks Partnerships and other organisations](#); and

¹ <https://www.asa.org.uk/codes-and-rulings/advertising-codes.html>

² <https://www.gov.uk/government/publications/recommended-code-of-practice-for-local-authority-publicity>

- set out how the Authority’s activities comply with legislative and regulatory requirements.

3. Definitions

- 3.1. Advertising encompasses two elements, firstly how the Authority promotes and markets its own services and brand (and indeed the wider [Broads](#) National Park brand), and secondly the sale of advertising space by the Authority to third parties in order to raise revenue.
- 3.2. Sponsorship in contrast can be defined as the payment of a fee or payment in kind by a company in return for the rights to a public association with a Broads Authority activity, item, person or property for mutual commercial benefit.
- 3.3. Sponsorship generally represents a deeper relationship than the advertiser relationship, where the Authority may simply be acting as a platform for an advertiser. As such, a higher level of scrutiny should be applied to a sponsorship agreement due to the greater potential impact on the Authority’s own brand identity and reputation.

4. Responsibilities

- 4.1. Decisions about large scale³, or potentially controversial sponsorship will be referred to the Full Authority, for example in the case of potentially controversial partners, or where a significant or sensitive asset is identified for sponsorship.
- 4.2. Decisions about the acceptance of significant⁴ advertising and uncontroversial sponsorship opportunities will be taken by the Management Team, taking account of the criteria set out in this Policy. Care needs to be taken about the cumulative value and impact of individual sponsorship arrangements.
- 4.3. Day to day decisions about advertising will be taken by officers (generally within the Communications Team). The sale of advertising space in publications [and other material and/or on websites](#) may be outsourced to third parties, although ultimate editorial control will always be retained by the Authority.

³ For the purposes of this policy, “large scale” sponsorship is considered to include any sponsorship arrangement worth more than £100,000 annually.

⁴ For the purposes of this policy, “significant” sponsorship is considered to include any sponsorship arrangement worth more than £5,000 annually.

5. Key principles

5.1. The Authority will apply the following principles when making decisions about entering into advertising or sponsorship agreements:

- Advertising and sponsorship support should only be considered where it is expected to deliver a significant net benefit with no detriment to the Authority or wider public interest.
- Advertising and sponsorship opportunities should be offered or sought in an open and transparent manner. In particular, a chosen advertiser or sponsor's competitors should not be given grounds to complain that they were not given a fair chance to identify an opportunity or compete for one identified by the Authority. Consideration should also be given to whether the arrangement would give rise to a contract for supplies, works or services where the Authority's Standing Orders for Contracts would apply.
- The Authority will publicise any major sponsorship / advertising opportunities (net of VAT) that it identifies on its website [and contract finder](#), and bids received will be assessed to establish the proposal which offers the Authority the best value for money. However this is a developing area of activity and it is recognised that to start with, opportunities may arise on an ad-hoc basis. To avoid creating an overly bureaucratic system demanding significant resource input, requests will be considered on their own merits in line with the general principles set out in this Policy.
- The Authority will seek to demonstrably act with impartiality, honesty and integrity when entering into a sponsorship agreement.
- The Authority will seek to ensure that sponsors do not receive returns that are greater than is appropriate and that any sponsorship agreement is able to withstand public scrutiny. Some of the considerations which could be applied in identifying whether a sponsor is deriving "inappropriate" returns are set out in section six below.
- Advertising and sponsorship should not be accepted where it will dilute the Authority's brand, campaign or message or be visually detrimental to the natural or built environment.
- The Authority will not, and must not appear to, endorse the advertiser / sponsor, or their products, beyond the natural level of partnership implied by a sponsorship arrangement.

- 5.2. Any advertising or sponsorship agreement must be in writing, clearly setting out the expectations of both parties. Where a financial consideration is involved, it will be appropriate for the sponsorship agreement to be prepared as a contract.

6. Specific issues when considering sponsorship

- 6.1. Sponsorship represents a deeper relationship between the Authority and the sponsor than the simple carrying of ~~third-party~~third-party advertising. Therefore the level of sponsor involvement in the Authority's activities needs to be treated with a degree of caution. The role sponsors can play in the public sector is to assist in "extending" an organisation's message. Sponsors should not receive ownership rights and their support must always be seen as secondary to the aims of the Authority. Furthermore, sponsors should operate within clearly defined parameters, and behave with propriety at all times.
- 6.2. The recommended parameters for sponsor involvement in the public sector are that:
- sponsorship should be seen as adding significant benefit to an existing Authority service, message or campaign;
 - sponsors should not be permitted to use a communications campaign or Authority event as a direct sales channel for any products or services; and
 - key activities should not be dependent on sponsorship support for their funding (in other words sponsorship may add to, but should not replace, core funding for statutory functions).
- 6.3. The Authority will therefore only accept sponsorship of specific assets, publications, activities or events, and will not accept sponsorship which might place (or appear to place) any individual Members or Officers under an obligation to the sponsor. There must be no suggestion whatsoever that sponsors receive privileged access, or have any influence over the Authority's strategies and policies. Particular care needs to be taken when considering large amounts of individual sponsorship, or in the case of repeated sponsorship.
- 6.4. The Authority will not seek or accept sponsorship from organisations that are involved in significant commercial negotiations with it (whether or not these are linked to the event or activity to be sponsored). However, advertising from such organisations may be considered. Care needs to be exercised when accepting sponsorship from organisations which may be affected by the Authority's role in setting tolls or enforcing legislation to be clear that no influence on these processes is obtained through, or as a result of, the sponsorship arrangement.

7. Criteria for identifying suitable advertisers and sponsors

- 7.1. It is not possible to define strict criteria to categorise potential advertisers and sponsors, however the following general principles should be applied to identify partners which would have a positive, negative or neutral impact on the Authority's reputation. In all cases an individual assessment should be undertaken to take account of any specific circumstances surrounding a particular partner organisation.

General criteria for considering suitability

- Is there any potential for conflicts of interest, or any other perception of inappropriateness?
 - Is there a risk of adverse publicity arising from the relationship?
 - Is the partner financially viable?
 - Does the partner demonstrate appropriate business practices, policies and customer and media profiles?
 - Do the partner's messages demonstrate synergy with those of the Authority? Is there any risk of dilution of the Authority's key messages?
 - Is there any existing commercial relationship or negotiation between the Authority and the partner?
- 7.2. The list below provides an indication of the types of organisations which might be generally expected to fall within each category. This should not be seen as definitive.

Positive Partners

- Government / other Public Sector bodies;
- UK tourism and leisure promoters;
- Brands associated with "green" and environmentally friendly activities;
- Sustainable travel brands;
- Leisure and outdoor equipment brands, including boating;
- Promoters of cultural activities, festivals and similar;
- Local media; and
- Charities (although care needs to be taken in respect of lobbying / pressure groups and political activism).

Neutral Partners

- Science and Technology industry;
- Food and Agriculture industry (although local producers and healthy lifestyle, “green”, organic, and environmentally friendly brands are likely to be positive partners);
- National media; and
- General advertisers (cars, travel, retailers, supermarkets, utilities, insurance).

Negative Partners

- Political parties and campaigning, lobbying or pressure groups;
- Organisations with a reputation for environmentally damaging practices;
- Organisations with a reputation for poor corporate responsibility or unethical practices;
- Tobacco / alcohol;
- Payday loan providers / irresponsible lenders;
- “Adult” entertainment; and
- Gambling

8. National initiatives

- 8.1. National Parks are working collectively to develop a more commercial approach to income generation and sponsorship. National Parks Partnerships LLP (NPP) is a limited liability partnership set up by the UK’s 15 National Parks in order to create successful partnerships between the UK Parks and businesses. It has developed a Sponsorship Policy which sets out guidelines for sponsorship at national level and the process by which sponsorship offers will be assessed. ~~Recent s~~Success to date includes Columbia Sportswear, Sykes Holiday Cottages, ~~and~~ Forest Holidays, Estee Lauder (Revere), Palladium, BMW, Harper Collins and EPAM Systems.
- 8.2. NPP will be seeking further sponsorship and partners at national level to provide funding and other in-kind support across the National Park family. Care therefore needs to be taken to ensure that any local agreements do not negatively impact on existing or potential national negotiations. In particular, an assessment of any local sponsorship offer should be undertaken to determine whether the proposed sponsorship relates to an asset or event which could be better “marketed” at the national level, and if so, whether the current sponsorship proposal has the potential to be escalated to NPP. Advice and support in this area can be sought from the NPP.

9. State Aid Subsidy Control considerations in the provision of sponsorship by the Authority

- 9.1. Where the Authority is to be the provider of funding or sponsorship to a ~~third party~~third-party organisation, the issue of State Aid Subsidy Control must first be considered. State Aid Subsidy Control may arise where the Authority gives money to a commercial organisation and relates to state resources being used to provide assistance which gives organisations an advantage over others. Within the scope of the Authority's activities, this has the potential to occur in the provision of grant and other project funding, and also if the Authority were to establish any schemes to provide financial support or assistance or which were intended to stimulate growth in a target sector or region.
- 9.2. The initial considerations when determining whether funding represents State Aid Subsidy Control have been defined by the Department for Business, Innovation and Skills⁵ as follows:
1. Is the financial assistance ~~granted by the state or given, directly or indirectly, from public through state~~ resources by a public authority?
 2. Does the financial assistance ~~give confer~~ an economic advantage to one or more ~~undertakings over others~~enterprises?
 3. ~~Is the financial~~ ~~Does the~~ assistance specific? That is, has the economic advantage been provided to one (or more than one) enterprise, but not to others? distort, or have the potential to distort competition?
 4. ~~Does the assistance affect trade between EU Member States~~ Will the financial assistance have, or is it capable of having, an effect on competition or investment within the UK, or trade or investment between the UK and another country or territory??
- 9.3. In the event that sponsorship or funding is considered likely to be State Aid Subsidy Control, guidance should be sought from the Finance Team. The fact that a project constitutes State Aid Subsidy Control does not necessarily mean that it cannot be undertaken, but does mean that care needs to be taken to ensure that activities comply with State Aid Subsidy Control rules, and remain legal.

10. Dealing with complaints

- 10.1. In the event of any complaints regarding advertising or sponsorship, the Authority will adopt the following approach:

⁵State Aid: The Basics, UK subsidy control Department for Business, Innovation and Skills, 2022~~15~~.

- Complaints will be reported to Members as part of existing complaints monitoring processes, with any urgent or significant issues being reported on an ~~exceptions~~exception's basis.
- The Authority will be clear about the general rationale for accepting advertising and sponsorship, and in particular the need for the Authority to adopt a more commercial approach to income generation.
- Any concerns raised about a specific advert, advertiser or sponsor will be considered by the Authority's Management Team. If following review the advertising / sponsorship is considered appropriate, it will be continued with an explanation provided to the complainant. If the advertising / sponsorship is deemed to be harming, or potentially harming, the Authority's brand or reputation, then the advertising / sponsorship should be ended immediately (or as soon as reasonably practicable in the case of a sponsorship arrangement), with communications issued to explain the decision if necessary.

11. Review

11.1. This Policy will be reviewed every three years, or more frequently where there are significant changes in the environment within which the Authority operates.

Responsibility for ensuring that regular reviews are carried out lies with the ~~Chief Financial Officer~~Director of Finance.

~~February 2019~~March 2023

Broads Authority

17 March 2023

Agenda item number 11

Broads Peat- extension

Report by Environment Policy Adviser

Purpose

Updating Members on the progress of the Broads Peat project which is funded through the Peatland Discovery Grant.

Broads Plan context

A3 Agree carbon reduction targets for the Broads National Park and promote action to reduce emissions

B2 Promote best practice water capture and usage across the Broadland Rivers Catchment and reduce point and diffuse pollution into the floodplain and water courses

B3 Seek biodiversity net gain and nature-based solutions and enhance areas of fen, reed bed, grazing marsh, and wet woodland, to protect peatlands as carbon sinks

B5 Improve partnership coordination and communication of Broads biodiversity monitoring and research effort

D1 Protect and enhance local built and cultural features, archaeology, geodiversity and potential hidden heritage, including 'at risk' assets

F3 Provide and expand schools-based and outreach environmental education opportunities for young people, using the Broads as a learning resource

Recommended decisions

- i. Note the updates and;
- ii. Subject to the extension being funded by Natural England, approve waivers of Standing Orders relating to contracts, to commission additional activities (section 5.5).
- iii. Approve the officer's commencement of extension activities before the Control Change Notice is received, following Natural England's notification via email.

Contents

1. Introduction	2
2. Objective of the extension	3

3.	Process of extension approval	3
4.	Extension activities	3
5.	Extension activities - Procurement	5
6.	Paludiculture Exploration Fund	5
7.	Risk Management	6
8.	Financial implications	6

1. Introduction

- 1.1. The Broads Peat Project was awarded £785,668 in December 2021 from Defra, as part of the Nature for Climate Peatland Grants Scheme – Discovery Grant which is administered by Natural England. The project budget has been revised to £855,831 in December 2022. The project will be running until March 2023 to explore the opportunities for peatland restoration in the Broads.
- 1.2. The project outputs are:
 - Baseline surveys, including peat presence, depth and water needs, for specific sites.
 - Detailed restoration plans for selected sites including the necessary permissions.
 - Commercial models with the expected environmental outcomes the delivery and maintenance costs, and the sources of public and private funding.
 - Practical next steps for delivery.
- 1.3. A report about the Broads Peat Discovery project was presented to members at the January 2023 meeting, with an update on progress, and a request to approve waivers of Standing Orders relating to contracts, which was agreed and implemented. It was noted in that report that it would be possible to apply for an extension to the Discovery project.
- 1.4. Following discussion with Natural England, the Broads Authority have applied for an extension to the Broads Peat Discovery Project on 28 February 2023. If approved by Natural England, the extension period runs from 1 April to 31 August 2023.
- 1.5. At the date of writing the report, we don't know the outcome of the extension request. It is likely that the outcome won't be known on the date of the Broads Authority committee on 17 March, when a verbal update will be given. However due to the timing constraints for the extension work, should it be approved, an early decision from members is needed. If the extension is not approved by Natural England, the decision on the waivers would not be implemented. If the decision on the extension is known before the Broads Authority meeting and it is not approved, this item would be withdrawn from the agenda.

2. Objective of the extension

- 2.1. The objective of the extension is to address the issues highlighted by the project in terms of gaining permissions, complying with the emerging Peatland Code and developing restoration plans; to continue to build understanding of, and removing, barriers to peat restoration. It would also provide continuity of resources between the end of the Discovery project and the start of the potential Restoration project(s), due to start in September 2023.
- 2.2. The activities in the Discovery extension would include:
 - Development of consents and permissions
 - Additional consultations with regulators
 - Further landowner/tenant engagement for the development of restoration plans
 - Bid writing for the restoration grant

3. Process of extension approval

- 3.1. We understand that the Natural England Board will make the decision in Mid-March, with a formal Change Control Notice (CCN) in Mid-April.
- 3.2. There is an expectation from Natural England for projects submitting an extension will submit a Restoration Grant bid. Should a Restoration bid not be submitted, Natural England would review the early termination of a successful Discovery Grant extension. It is still uncertain at this stage if Restoration bids would be submitted.
- 3.3. In the event that the extension is awarded to the Broads Peat Project but no sites can progress to restoration and no NCPGS Restoration Grant is submitted, Natural England have however confirmed that they would not claw back any funding received as part of the extension.
- 3.4. The programme is extremely time-constrained, to be able to submit partnership restoration bids, by the end May/early June. Waiting for the CCN would delay the start of the extension activities. We recommend to commence the extension activities as soon as we receive Natural England's notification via email in Mid-March (if successful).

4. Extension activities

- 4.1. This section explains the budget lines included in the request for the extension.
- 4.2. Stantec were appointed through the SCAPE Framework (following the January 2022 Broads Authority decision). They are leading on multi-agency liaison to develop applications for licences. However, this is unexpectedly complex regarding licences and permissions, for flood risk and water transfer for example, In the extension, Stantec would develop the following activities:

- Permissions for each site, including planning permission and water abstraction licences, between April and August 2023.
 - Planning permissions for up to 5 sites (Beccles Farm, Heckingham Marshes, Buckenham Marshes, Leists Farm, Buttle Marsh/How Hill).
 - Flood Risk Assessment for up to 5 sites and consultations with upstream neighbouring landowners at Heckingham Marshes.
 - Team Coordinator (permissions and engineering design).
- 4.3. Exo-Environmental Consortium have collected the majority of the project's environmental survey data. To develop the site Restoration Plans, they would do the following activities, estimated at £25,900:
- Water level monitoring between April and August, on up to 5 sites, including installation of pressure sensors, monitoring, barometric logger and water quality monitoring, and additional dipwells (3 per site and fencing including installation).
 - Drafting the Restoration bid.
- 4.4. SWT Trading (overseeing a consortium of water vole experts), have developed baseline populations of water vole at each project site, using a new approach to assess water vole presence/absence and to estimate population size. Further specific surveys are required, and the development of the method statement for the licence application, estimated at £20,000. SWT Trading will also undertake protected species surveys (mainly reptiles) and completing HRAs estimated at £20,000.
- 4.5. Cranfield University assessed peat wastage (drying out and greenhouse gas emissions) from a novel assess of water table, using rust rods to monitor peat wastage. This report is currently being peer reviewed and, for the first time, provides a high-resolution spatial assessment of estimated greenhouse gas emissions from peat in the Broads, that takes account of land cover, water table depth and weather. Cranfield would do further work to test the water table measurements using rust rods.
- 4.6. Palladium, as a partner providing 'at cost' services for development of Natural Capital investment, would register the sites for the UKPCv2, in anticipation of being able to validate them.
- 4.7. A contractor will be procured to provide advice on stacking/bundling possibilities to assess the opportunities for private funding for the required 25% match funding in the Restoration phase.
- 4.8. Project management and governance costs need to be added to the activities detailed in the previous sections. The overall total for the extension is £270,500. This would be fully funded by Natural England, subject to the extension being approved.

5. Extension activities - Procurement

- 5.1. The majority of the work will be undertaken under the SCAPE framework contract, with Stantec, which does not require further procurement. Stantec have provided the fee estimates provided for the extension. A waiver is not required for the additional work for Cranfield University. The further activity cost of Palladium, as a partner providing 'at cost' services, is not subject to procurement.
- 5.2. For the remainder activities in the extension: the consortium led by Exo-Environmental which is already working on the peat project is willing to accept the additional works, and they have provided the fee estimates. The same applies to the consortium led by SWT Trading which is already working on the peat project.
- 5.3. The individuals involved in both consortiums have specialist knowledge of the sites, methods, existing data and understand access, conditions, and other potential constraints about the sites. By taking advantage of this existing knowledge, it is in the interests of the peat project to continue with the same team and provide best value for money. We have compared the costs of previous work to the fee estimates provided for the extension, and the amount is as expected.
- 5.4. The Broads Authority Standing Orders for contracts state that the Chief Executive cannot approve waivers for extensions to existing contracts if the variation is more than 10% of the original contract sum.
- 5.5. It is the case for Exo Environmental that the additional work represents more than 10% of the initial contract value, which was £178,362, (with an additional £16,033 approved under delegated powers on 7 November 2022 and £52,000 approved by the Board on 20 January 2023). Hence, the waiver for £25,900 for Exo Environmental requires Board approval. Similarly, the SWT Trading work represents more than 10% of the initial contract value, which was £51,171. Hence, the waiver for the total of £40,000 for SWT Trading also requires Board approval.

6. Paludiculture Exploration Fund

- 6.1. Of relevance, and for information, one of the legacies of the Peat project is about the Paludiculture Exploration Fund (PEF). The Broads Authority submitted a "FibreBroads" bid to the PEF on 1 March 2023 for £390,499.69. It would be 100% funded by Natural England.
- 6.2. If the bid is successful, the FibreBroads project would run from May 2023 until March 2025, and members would be updated. Natural England is due to announce the successful projects on 9 May 2023.
- 6.3. FibreBroads, a partnership within the Broads Catchment and Norfolk Fens, aims to develop different elements of paludiculture, including crop cultivation, water management issues and paludiculture product development. This will create knowledge

and networks, connecting growers with construction businesses, to encourage viable market chains supporting carbon neutrality and nature recovery.

- 6.4. Partners include the Environment Agency (EA), Water Management Alliance (WMA) and Broads IDB, critical players in the Broads, who will assist with technical expertise and permitting. Norfolk County Council (NCC) will support the development of a spatial mapping tool. Norfolk Farming and Wildlife Advisory Group (NFWAG) will engage with farmers and discuss land management options, including paludiculture and water management. Fenland Soil will help NFWAG with landowner contacts in Norfolk Fens. Hudson Architects (HA) and Norwich University of Arts (NUA) will work with the Authority to test paludi fibre products as a construction material and raise awareness about the opportunities. Palladium will continue to advise on private finance.

7. Risk Management

- 7.1. The Project Risk Register is reported and updated at the internal Project Board (every two weeks) and endorsed by the Peat Partnership Project Steering Group (every quarter). There are two key risks outstanding, as follows.
- 7.2. The delay by the International Union for Conservation of Nature (IUCN) to update the Peatland Code is a problem, as it has not been published yet. The updated version will include emissions factors, condition categories and eligibility criteria for fen habitats. The carbon credit calculations are based on early indication emission factors and they will need to be updated following the publication of the revised Peatland Code.
- 7.3. The Environment Agency has resource constraints for working on flood risk and water resource permissions. This is likely to result in delays to the permissions.
- 7.4. If the permitting processes and carbon accreditations are not finalised before the end date of the Broads Peat extension, these activities would be need to be continued into the Restoration phase.

8. Financial implications

- 8.1. The additional Broads Peat costs of £270,500 would be fully covered by the grant from Natural England, should the extension be approved.

Author: Andrea Kelly

Date of report: 03 March 2023

Background papers: [Broads Authority 28 January 2022 Agenda item number 8](#)

[Broads Plan](#) strategic objectives: A3, B2, B3, B5, D1, F3

Broads Authority

17 March 2023

Agenda item number 12

Oulton Neighbourhood Plan- adoption

Report by Planning Policy Officer

Purpose

The Oulton Neighbourhood Plan has been examined. The Examiner made some changes to the Plan. The Plan was subject to a referendum on 2 February 2023 and was supported (more than 50% of those who voted in the referendum voted 'yes').

Recommended decision

To make/adopt the Oulton Neighbourhood Plan.

1. Introduction

- 1.1. The submitted Oulton Neighbourhood Plan was approved by the Broads Authority's Planning Committee in April 2022. This was followed by a statutory publication period between 17 May and 24 June 2022, in which the Plan and its supporting documents were available to the public and consultation bodies online at the Authority and East Suffolk consultation webpages.
- 1.2. During the publication period, representations were received from a variety of organisations and individuals. The representations may be viewed [here](#).
- 1.3. These representations were submitted, along with the Neighbourhood Plan and supporting information, to the independent Examiner, Christopher Lockhart-Mummery. The examination was conducted via written representations during late summer 2022 (the Examiner deciding that a public hearing would not be required).
- 1.4. Legislation directs that an Examiner considers whether:
 - a) the draft plan meets the [basic conditions of a Neighbourhood Development Plan](#);
 - b) the draft plan complies with the definition of a Neighbourhood Development Plan and the provisions that can be made by such a plan;
 - c) the area for referendum should extend beyond the neighbourhood area; and
 - d) the draft plan is compatible with the Convention rights.
- 1.5. At their meeting on 3 March, the Planning Committee endorsed the Oulton Neighbourhood Plan and recommended to the Authority that it be made/adopted.

2. The Examiner’s Report

- 2.1. The [Examiner’s Report on the Oulton Neighbourhood Plan](#) concluded that, subject to amendments (as set out in the report), the Plan can proceed to referendum. The Examiner also concluded that the area of the referendum does not need to be extended beyond Oulton Parish.

3. Referendum

- 3.1. The referendum for the Oulton Neighbourhood Plan¹ was held on 2 February 2023.

- 3.2. The question in the referendum was:

Do you want the Broads Authority and East Suffolk Council to use the Neighbourhood Plan for Oulton to help them decide planning applications in the neighbourhood area?

- 3.3. The result of the votes cast is as follows:

Description	Votes
Number of votes accepted	535
Number cast in favour of “YES”	457
Number cast in favour of “NO”	78

The number of ballot papers rejected was as follows:	Number of ballot papers
(a) want of official mark	0
(b) voting for more answers than required	0
(c) writing or mark by which the voter could be identified	0
(d) being unmarked or wholly void for uncertainty	6
Total number of rejected votes	6

Electorate: 3,938

Ballot Papers Issued: 541

Turnout: 13.7 %

4. Next steps

- 4.1. If both the Broads Authority and East Suffolk Council make/adopt the Neighbourhood Plan, it becomes part of the Development Plan for the area. The policies have the same weight as Local Plan policies when making decisions.

Author: Natalie Beal

Date of report: 03 March 2023

¹ Referendum version of the Plan: [Oulton-Neighbourhood-Plan-Referendum-Version.pdf \(east Suffolk.gov.uk\)](#)

Broads Authority

17 March 2023

Agenda item number 13

Consultation on the County Deal for Norfolk

Report by Chief Executive

Purpose

This report sets out the proposed arrangements for a Norfolk Leadership Board and the principles underpinning the delivery of the County Deal for Norfolk.

Recommended decision

To consider:

- i. the 'joint working principles' that are proposed to underpin the implementation, planning and delivery of the Deal, and
 - ii. the proposal, including the draft Terms of Reference, to establish a Norfolk Leadership Board, which builds on the Norfolk Public Sector Leaders' Board.
-

Contents

1. Introduction	1
2. Joint Working Principles	2
3. Establishing a Norfolk Leadership Board	3
4. Financial implications	6
5. Risk implications	6

1. Introduction

- 1.1. Norfolk County Council is consulting residents and businesses on a proposed County Deal for Norfolk which would devolve additional responsibilities and funding from Central Government. Further information can be found at:
www.norfolk.gov.uk/norfolkcountydeal.

- 1.2. This report examines the arrangements that are proposed to underpin the Deal and the Broads Authority's role in them. It does not examine the contents and merits of the deal which is for the Government and the County Council to decide.
- 1.3. If the current Deal is implemented, there are two areas of potential benefit for the Broads Authority:
 - Firstly, the direct benefit would be the ability to influence direction and priorities, and, for those priorities related to the Broads Authority's functions, then the potential to access funding.
 - Secondly, the potential to influence further deals and policy.
- 1.4. Much of this report is taken from document prepared by Paul Cracknell, the Executive Director for Strategy and Transformation and Norfolk County Council for the Norfolk Public Leaders Board and my thanks go to him for his help.
- 1.5. The County Council is proposing that the delivery of the proposed Deal is facilitated by a cross-sector Norfolk Leadership Board, and that a set of joint working principles are 'hard wired' into the delivery of the Deal to promote strong strategic collaboration. The Broads Authority has been asked for its views on both of these aspects and they are set out below.

2. Joint Working Principles

- 2.1. The proposed principles are that:
 - We work together for what's in the best interest of Norfolk
 - We are ambitious for Norfolk
 - We build on our strong track record of respect, collaboration and delivery
 - We focus on improving outcomes for our residents and on reducing inequalities
 - We are evidence-based, intelligence-led, and build on good practice
 - We commit to mutual oversight to ensure the best outcomes are delivered
- 2.2. We agree that:
 - Statutory functions and responsibilities remain with current holders
 - We will support the principle of subsidiarity - with delivery at the most appropriate geography - and will take account of "place", recognising that there is no one-size fits-all, keeping it local and building in local insight, knowledge and engagement
 - We will work together to develop a model that supports the Directly Elected Leader with strategy and delivery, and work through any issues collaboratively

- Where there is appetite to do so, partners pool and share relevant functions, resources and funding to support delivery across the system
- We will focus on where the public sector adds most value and builds local capacity so that individuals/communities can be self-supporting
- We will ensure that the voice of business is heard and actively engaged in driving growth and value
- We will have governance that is transparent, simple, balances individual sovereignty, supports strong collaborative local leadership and fosters democratic accountability
- We use existing governance arrangements and partnerships wherever possible

3. Establishing a Norfolk Leadership Board

3.1. The Deal proposes that a cross-sector Norfolk Leadership Board builds on the foundations of the existing Norfolk Public Sector Leaders' Board (NPSLB).

3.2. The Deal sets out (in para 25):

Norfolk County Council considers the Norfolk Public Sector Leaders' Board an important vehicle through which city, district and borough councils together with other public, private and voluntary sector leaders can join in creating a renewed vision for Norfolk in the context of successful delivery of the devolution deal. Norfolk wishes to work across all sectors with a view to creating a non-statutory Norfolk Leadership Board, building on the Public Sector Leaders' Board, to contribute to the development of the County Deal strategy, and any subsequent deals, and oversee its implementation and delivery. Norfolk County Council also recognises the importance of a strong business voice in driving economic growth, and will continue to ensure they are fully represented through Business Boards, and reflected in the deal's implementation and oversight.

3.3. The Norfolk Public Sector Leaders' Board (NPSLB) was established in September 2020 to "implement more effective partnership working and whole system approaches to the challenges facing the County". The Deal for Norfolk brings with it new opportunities to catalyse this ambition, with devolved powers and funding to develop local solutions to our local challenges.

3.4. Appendix 1 sets out a draft term of reference for the Board, with the following points of note:

The role and remit of the Board

3.5. In addition to the role and remit previously agreed for the NPSLB, the Board will bring county and district council leaders, together with other public, private and voluntary sector leaders, to contribute to the development of the County Deal.

3.6. This will be an advisory Board on the County Deal for Norfolk to ensure that strong collaboration is embedded and stakeholder views are taken fully into account in

implementation (reflecting the commitment, set out in the Deal, to the pivotal role of partners in delivering the Deal and in recognition that working together will deliver the best outcomes for Norfolk).

- 3.7. The Board's role will be to work with Norfolk County Council, as the accountable body for the County Deal, to realise our ambitions for Norfolk. Functions and funding devolved through the Deal, will be exercisable by either the directly elected leader or by the Council, via the usual governance process, and where relevant, with the consent of the relevant planning authorities in whose area the function is being exercised.
- 3.8. The role of the Board will be twofold, to:
- Contribute to, and make recommendations on, the development of the County Deal strategy and implementation programme
 - Provide mutual oversight of the implementation and delivery of the Deal; holding each other to account for the delivering the best outcomes from the Deal. Noting that formal Scrutiny of the Deal will remain within the Council's normal Scrutiny processes.
- 3.9. This will include:
- creating a single, unified strategic vision and outcomes for Norfolk, in the context of the devolution deal (reinvigorating and delivering the original ambition of the NPSLB)
 - making recommendations around the strategic prioritisation of key pipelines, such as the Norfolk Investment Fund, the mechanisms for which will be developed as part of more detailed implementation planning
 - contributing to the Deal implementation plan and work programmes
 - securing the co-operation of partners to deliver the Deal, where relevant
 - providing leadership, mutual oversight and external monitoring of the delivery of the Deal in line with any published government "accountability framework", with the Directly Elected Leader bringing an annual report to the Board
 - identifying opportunities for, and contributing to, any subsequent deals
- 3.10. The intention was that NPSLB, as it matured, would move to meetings held in public. It is proposed that the Board move to being in the public domain within one year of being established so that it operates in an open and transparent environment and is visible to the public.

Membership of Board

- 3.11. The Board must be small enough to operate but take in the breadth of leadership bodies to effectively represent the Deal for Norfolk and the ambitions for the County.

- 3.12. The draft Terms of Reference propose that the membership of the NPSLB is retained with a small number of new members added to reflect the scope of the Deal, including:
- Business sector: Chair of the Business Board
 - Skills sector: Chair of the Skills Advisory Board or relevant partnership following the LEP integration, and Pro Vice-Chancellor of the University of East Anglia (or their nominated representative)
- 3.13. Wherever possible, members of the Board should provide broader representation of, and links back to, their sector.

Wider Partnership Leaders' Summit

- 3.14. It is proposed that the Board convene an annual Leaders' Summit to engage wider relevant partners in addressing the challenges and meeting the ambitions for Norfolk, and to support the Board in shaping its strategic priorities to inform its future work programme. The Summit will be an opportunity to support thought leadership, cross-sector collaboration and develop shared solutions to some of the big challenges facing the County.
- 3.15. The theme(s) for the annual Summit will be identified by the Board, and the event supported by Norfolk County Council.

Senior officer support arrangements

- 3.16. The NPSLB has links to the Norfolk Chief Executives (NCEXs) and Norfolk Leaders' Group, with topics and priorities cascaded from both groups. It has not, however, had a formal senior officer group charged with developing a work programme to drive its activity. In establishing the Board, we would formally establish this function within the existing NCEXs Group, to:
- provide joined up strategic management of the Board and oversee its work programme
 - report and make recommendations to the Board on key strategic issues impacting the economic, social and environmental potential of the County
 - respond to recommendations of the Board and ensuring that appropriate action is taken within organisations to progress matters agreed by the Board
 - establish task and finish groups where appropriate and to oversee the activity of those groups
- 3.17. The NCEXs may invite officers from other organisations to participate in these meetings, as relevant.

4. Financial implications

- 4.1. At this stage it is not possible to identify any costs to the Authority of the proposed County Deal. However, as identified above it could open the door to sources of additional funds to aid the Authority deliver its statutory purposes.
- 4.2. Under the proposed Deal, Norfolk would receive a £20 million investment fund, every year for 30 years. There would also be specific funding for integrated transport, brownfield development (£7 million), adult education, and infrastructure (£5.9 million for housing, regeneration and development, during this Spending Review period). Experience from secured devolution deals a few years ago shows that initial deals can open the door to receiving further powers and money.

5. Risk implications

- 5.1. There are no significant risks to the Authority of this proposal other than if the Authority doesn't play an active part it won't be in the position to argue the case for the Broads and its stakeholders.

Author: John Packman

Date of report: 03 March 2023

Background papers: County Deal information on Norfolk County Council's website

[Broads Plan](#) strategic objectives: N/A

Appendix 1 – Draft Norfolk Leadership Board Terms of Reference

Appendix 1: DRAFT Norfolk Leadership Board Terms of Reference

Purpose

The Norfolk Leadership Board brings together public, private and voluntary sector organisations in Norfolk to consider issues of strategic importance to Norfolk, and collectively shape and drive our strategic agenda locally, and with central government.

The Board acts as an advisory board ensuring views are taken fully into account.

Specifically, the Board will:

- provide strong and visible collective leadership of Norfolk to realise the full economic, social and environmental potential of the region
- develop a single, unified strategic vision and outcomes for Norfolk and to ensure alignment of this vision across constituent organisations' strategic plans and partnership plans
- It will make recommendations around the development of the County Deal strategy and oversee its implementation and delivery, including to:
 - o contribute to Deal implementation plans and work programmes
 - o make recommendations on the strategic prioritisation of key pipelines, where relevant
 - o secure the co-operation of partners to deliver the Deal
 - o provide mutual oversight and monitoring of the implementation of the deal in line with any published government "accountability framework" and the five-year gateway process for the investment fund, and receive an annual report from the Directly Elected Leader¹
 - o Support the Directly Elected Leader in identifying opportunities for, and contributing to, any subsequent deals
- contribute to the formulation and expression of joint views (of those organisations represented upon the Board) to central government and other bodies and organisations in respect of legislation, proposed legislation and other matters of common interest, concern or relevance to Norfolk
- seek to align resources jointly to reduce duplication and deliver better outcomes at less cost and
- promote shared understanding and analysis of needs across public services, and respond in a coordinated way
- support and oversee, where appropriate, the other key partnerships in the county.

Membership (voting members)

Councillor, Leader of Norfolk County Council

Councillor, Leader of Breckland Council

Councillor, Leader of Broadland District Council

Councillor, Leader of Great Yarmouth Borough Council

Councillor, Leader of Kings Lynn and West Norfolk Borough Council

Councillor, Leader of North Norfolk District Council

Councillor, Leader of Norwich City Council

Councillor, Leader of South Norfolk Council

Chairman of the Broads Authority

Chair of the Norfolk and Waveney Integrated Care Board

¹ Noting that Norfolk County Council will be formally scrutinised and held to account for the devolution deal by the Council's Scrutiny Committee

Chair of the Norfolk and Waveney Integrated Care Partnership
Chair of the New Anglia Local Enterprise Partnership (until such time as it is integrated into the county council)
Norfolk Police and Crime Commissioner
Chief Constable, Norfolk Constabulary
Chair of Norfolk Community Foundation
Chair of the Norfolk Business Board
President of the Norfolk Chambers of Commerce
Chair of the Skills Advisory Panel
Pro Vice-Chancellor of the University of East Anglia (or their nominated representative)

Senior Officers (non-voting members)

Head of Paid Services Norfolk County Council
CEX of Breckland Council
MD of Broadland and South Norfolk Councils
CEX Great Yarmouth Borough Council
CEX Kings Lynn and West Norfolk Borough Council
CEX North Norfolk District Council
CEX of Norwich City Council
CEX of the Broads Authority
CEX, Norfolk and Waveney ICB
CEX Norfolk Police and Crime Commissioner
CEX New Anglia Local Enterprise Partnership (until such time as it is integrated into the county council)
CEX Norfolk Community Foundation
CEX Norfolk Chambers of Commerce

Terms of reference

The Norfolk Leadership Board is a voluntary meeting of organisations seeking collective and individual benefits from working together:

- It is not a formal part of the statutory local governance framework and is accountable to the member organisations that are represented on it primarily via those representatives.
- The Board will seek to reach a 'Norfolk Leadership Board' view on agenda items – but not be a formal 'joint committee'; decision-making rests with the individual constituent organisations / accountable body(s).'
- The Board's role on the County Deal for Norfolk is to work with Norfolk County Council, as the accountable body, in an advisory capacity to ensure views are taken into account.

Chair and Vice Chair

Prior to the election of the Directly Elected Leader, the Norfolk Leadership Board will appoint the leader of the County Council as the chair. Once elected, the Directly Elected Leader will be the appointed chair of the Board.

The vice chair will be appointed on an annual basis from the Board's membership.

Meetings

The Norfolk Public Sector Leaders Board shall meet a minimum of 5 times per year. The dates of these meetings will be published in advance.

Any constituent organisation may place items on the agenda. Minutes of each meeting will be circulated to all constituent members.

The quorum for meetings will be 50% of the 'voting' membership. Substitutes will represent members of the Board if their lead representative is not available.

Meetings of the Board will be held in private initially, with the intention that meetings will move into the public domain within one year.

Voting

Whilst the Board has no delegated powers to make decisions on behalf of member organisations, where a collective view is required the Board will act collaboratively and reach conclusions by consensus, wherever possible. Where a vote is required, there will be a straight vote of one per voting member, with a simple majority to carry a decision. In the event of a tied vote the Chair may have a second or casting vote.

Wider Partnership Summit

The Norfolk Leadership Board will convene an annual Summit to engage wider relevant partners.

Secretariat and Executive Support

Secretariat will be provided by Norfolk County Council.

The work of the Norfolk Leadership Board will be supported by the Norfolk Chief Executive Group, as an advisory group to the Board, to:

- provide joined up strategic management of the Board and oversee its work programme
- report and make recommendations to the Board on key strategic issues impacting the economic, social and environmental potential of the County
- respond to recommendations of the Board and ensuring that appropriate action is taken within organisations to progress matters agreed by the Board
- establish task and finish groups where appropriate and to oversee the activity of those groups

Working Together

The following principles apply to our partnerships:

- **Mutuality:** understanding our common purpose and holding ourselves collectively to account with mutual benefit for each partner
- **Commitment:** We will commit resources to the mutual endeavour
- **Clarity:** We are clear about what we are doing and who is doing it
- **Openness:** we will support mutual oversight and are prepared to raise issues concerning the quality of the working relationship
- **Added value:** we can quantify the added value of doing this together rather than doing it alone
- **Fairness:** we will not seek to profit at one another's expense

Broads Authority

17 March 2023

Agenda item number 14

Appointments to Navigation Committee

Report by Christine Lee, Chair of the selection panel and Sara Utting, Senior Governance Officer

Purpose

The report outlines the appointment process for the Navigation Committee, conducted in accordance with Section 9 of the Norfolk and Suffolk Broads Act 1988, and recommends the appointment of co-opted members to the Navigation Committee with effect from 1 April 2023.

Broads Plan context

Theme C – “Maintaining and enhancing the navigation”. The role of the Navigation Committee is to advise the Authority on matters relating to strategic management of the waterways.

Recommended decision

To accept the recommendations of the selection panel, endorsed by the Navigation Committee, and appoint the individuals named in paragraph 4.1 as co-opted members to the Navigation Committee.

Contents

1.	Introduction	2
2.	Appointment Process	2
3.	Consultation	3
4.	Recommendations	3
5.	Other areas for consideration	4
6.	Risk implications	4
7.	Conclusion	4

1. Introduction

- 1.1. The appointment process for the co-opted members of the Navigation Committee is conducted on a four yearly basis and as additionally necessary to fill any casual vacancies on the committee. Terms of appointment are for four years with a maximum aggregated term of eight years.
- 1.2. The membership of the current co-opted members is due to end on 30 March 2023, therefore the recruitment process for the forthcoming eight vacancies has been carried out.

2. Appointment Process

- 2.1. Details of the vacancies were advertised on the Broads Authority's website, on the Navigation Committee page and the jobs page. They were also advertised on the Eastern Daily Press jobs page, Facebook, Twitter and LinkedIn, in the September issue of the Broads Briefing and in the Harnser Magazine. The closing date for applications was 12 October, which was then extended to 19 October due to having received a low number of applications.
- 2.2. In total, 12 applications were received by the closing date; these were subsequently shortlisted to 11 candidates by the selection panel. One applicant was not asked to interview due to the fact that they were based outside of the UK and it was considered that this would preclude them from participating in committee meetings, briefings and workshops, attending site visits etc, all of which were vital to being an effective member.
- 2.3. The panel comprised:
 - Christine Lee – Panel Chair (one of the Authority's two Independent Persons)
 - Richard Card – President, Norfolk and Suffolk Boating Association
 - Lesley Robinson – Chief Executive, British Marine Federation
 - Bill Dickson – Chair, Broads Authority
- 2.4. The 11 shortlisted candidates were interviewed on either 3 November or 10 November. They were advised that, as part of the interview, they would be required to give a short presentation to the panel on the topic: "What do you consider to be the main strategic challenges confronting the Broads navigation, and how would you address them?"
- 2.5. Candidates were assessed and scored on the following criteria:
 - Understanding of the navigation area and relevant issues
 - Good knowledge of the varied recreational uses of the Broads Authority
 - Independence of thought
 - Ability to see more than one side to every argument and take a balanced view

- Experience of equality, diversity and inclusion issues, and the relevance of these in the Broads context.

2.6. Each candidate was assessed on the above criteria with an A-D marking system (A = strong evidence, B = good evidence, C = weak evidence, D = no evidence).

3. Consultation

3.1. As part of the appointment process, 27 organisations were contacted for their inclusion in the consultation process in accordance with paragraph 9 of the Norfolk and Suffolk Broads Act. A list of these organisations can be found in Appendix 1.

3.2. Each organisation was provided with a list of the short-listed candidates and advised that they could request further information on each candidate, if they wished, before submitting their comments. A total of 11 organisations responded and their comments were forwarded to the panel for its consideration.

3.3. The panel met again to review the feedback received, and subsequently re-affirmed its list of eight recommended candidates.

4. Recommendations

4.1. The panel has agreed to recommend that the following candidates be appointed to the Navigation Committee wef 1 April 2023. All appointments are for a four-year term, with the exception of Simon Sparrow who is recommended for a two-year term, making a total of eight years¹.

Categories:

Category A - such bodies appearing to the Authority to represent the owners of pleasure craft available for hire or reward as it considers appropriate:

Daniel Thwaites

Simon Sparrow

Category B - such bodies appearing to it to represent nationally the owners of private pleasure craft as it considers appropriate:

Peter Dixon

Category C - such bodies appearing to it to represent the owners of private pleasure craft which use any part of the Broads as it considers appropriate:

Mark Collins

¹ Simon was first appointed in 2017 (2-year term) and subsequently reappointed in 2019

Category D - such bodies appearing to it to represent persons who are likely to be required to pay ship, passenger or goods dues imposed by it as it considers appropriate:

Bob Neate

Paul Thomas

Category E - such bodies appearing to it to represent other users of the navigation area as it considers appropriate;

Remus Sawyer

Category F - after consultation with the Great Yarmouth Port Authority.

Alan Goodchild

5. Other areas for consideration

- 5.1. The panel also took the opportunity to review the recruitment process as a whole, including the timetable; content and medium for future advertising campaigns and how to attract a more diverse range of applicants.
- 5.2. In addition, the panel was of the view that participating in the annual member review process was an important part of a member's continual professional development as a member of the Navigation Committee. Therefore, it is recommending that the terms of appointment for all newly appointed members should include the requirement to have an annual review, carried out by the Chair of the Navigation Committee, and this will be taken into account as part of any future re-appointment to the committee. This recommendation was also endorsed by the Navigation Committee.

6. Risk implications

- 6.1. The Act requires the Authority to appoint eight members from among persons who are not members of the Authority. If any of the recommended candidates are not appointed at this meeting, a further recruitment exercise will need to be undertaken.

7. Conclusion

- 7.1. The shortlisting and interview processes were thorough, and designed to ensure that all the candidates were given equal opportunity. This was enhanced by the panel members, three of whom are external to the Broads Authority.

Author: Christine Lee/Sara Utting

Date of report: 16 February 2023

[Broads Plan](#) strategic objectives: C1-4

Appendix 1 – List of organisations consulted

Appendix 1: List of organisations consulted on the appointments to the Navigation Committee and the relevant paragraph under Section 9 of the 1988 Norfolk and Suffolk Broads Act

Angling Trust	E)
British Marine	A, D)
British Rowing	B)
British Stand Up Paddle Association	E)
British Waterski	B)
Broads Angling Services Group	E)
Broads Canoe Hire Association	A)
Broads Hire Boat Federation	A, D)
Broads Reed and Sedge Cutters Association	D, E)
British Canoeing	B, E)
Chamber of Shipping	D)
East Anglian Waterways Association	C)
Eastern Region Rowing Council	C, D)
Eastern Rivers Ski Club	C, D)
Great Yarmouth Port Authority	F)
Great Yarmouth Port Users Association	D)
Hickling Windsurfers	E)
Inland Waterways Association	B)
Inland Waterways Association – Eastern Region	C, D)
National Association of Boat Owners	B)
Norfolk and Suffolk Boating Association	C, D)
Passenger Boat Association	D)
Royal Yachting Association	B)
RYA – Eastern Region	D)
Sport England	E)
Swim England	E)
UK Windsurf Association	E)

<p>Categories:</p> <p>A = such bodies appearing to the Authority to represent the owners of pleasure craft available for hire or reward as it considers appropriate;</p> <p>B = such bodies appearing to it to represent nationally the owners of private pleasure craft as it considers appropriate;</p> <p>C= such bodies appearing to it to represent the owners of private pleasure craft which use any part of the Broads as it considers appropriate;</p> <p>D = such bodies appearing to it to represent persons who are likely to be required to pay ship, passenger or goods dues imposed by it as it considers appropriate;</p> <p>E = such bodies appearing to it to represent other users of the navigation area as it considers appropriate; and</p> <p>F = after consultation with the Great Yarmouth Port Authority.</p>
--

Broads Authority

17 March 2023

Agenda item number 15

Committee calendar 2023/24

Report by Senior Governance Officer

Purpose

To consider the committee calendar for the Broads Authority meetings for the period August 2023 to July 2024, to take account of the deadline for the preparation and approval of accounts.

Recommended decision

To approve the committee calendar in Appendix 1, subject to consultation with the Navigation Committee

1. Introduction

- 1.1. At this time of year, members consider the proposed calendar of meetings for the following committee year. This report sets out a draft committee calendar for 2023/24, as attached at Appendix 1. Meetings are already set until and including July 2023.
- 1.2. The new calendar runs until the annual meeting in July 2024. It takes account of the dates for public holidays and financial regulations, including approval of the Statement of Accounts. However, it should be noted that the Authority is also reliant on the ability of the external auditors to carry out their task.
- 1.3. The draft calendar takes account of the particular factors relating to each committee to facilitate meetings of the Broads Authority (6), Planning Committee (13) plus provisional Planning Committee site visits, Navigation Committee (5), Audit and Risk Committee (3), and Broads Local Access Forum (4). The need to schedule a Planning Committee every four weeks, and to schedule a meeting of the Authority to consider the end of year accounts and the appointment of the Chair and Vice-Chair and members to committees, provides a rhythm with which the other meeting dates need to conform. The meeting dates are set to enable comments on matters to be incorporated into reports to the Authority. The Navigation Committee will have the opportunity to review the dates at its April meeting.

2. Meeting location

- 2.1. It is highly likely that all committee meetings will need to be held off site, as a result of the reduction in office space. There is the option for the Navigation Committee and

Audit and Risk Committee to meet remotely, subject to consultation with the Chairs of those committees. This was resolved by members at the 19 November 2021 Broads Authority meeting.

3. Statement of accounts deadline

- 3.1. In March 2021 new regulations extended the 2020/21 deadline for the preparation and publishing of audited local authority accounts to 31 July and 30 September respectively. Due to the backlog of delayed 2020/21 audits and other pressures, the Department for Levelling Up, Housing and Communities (previously the Ministry of Housing, Communities and Local Government) has introduced secondary legislation to extend the deadline for publishing accounts to 30 November 2022 for the 2021/22 accounts. For the 2022/23 accounts, this date is set as 30 September.
- 3.2. The 2023/24 meeting dates for the Audit and Risk Committee include a November meeting to coincide with the provisional audit dates. This is scheduled for 21 November 2023; the statement of accounts would subsequently be presented for approval and adoption by the Broads Authority at the 24 November 2023 meeting.
- 3.3. The Accounts and Audit (Amendment) Regulations 2022 mean the deadline for the preparation of the draft accounts revert to 31 May for the 2022/23 accounts and onwards.

4. Member development training days

- 4.1. In line with the financial timetable, the Member training on Finance and the Statement of Accounts is scheduled on 18 July 2023, prior to the Annual Meeting on 28 July 2023.
- 4.2. The Annual Site Visit for all Members is scheduled for 6 July 2023.
- 4.3. The Planning Design Quality Tour took place on 30 September 2022 (the first once since before the Covid pandemic). As this is a biennial event, the next one is scheduled for 2024.
- 4.4. As reported to the Audit & Risk Committee, the Monitoring Officer will work with the Chief Executive, Chair of the Authority and Chair of new Standards Committee to review training, and provide refresher training and other training about interests/declarations/Code of Conduct etc.
- 4.5. Other training/briefing events will be organised during the year as necessary.

5. Conclusion

- 5.1. Members are asked to approve the 2023/24 committee calendar at Appendix 1. It should be noted that meeting dates and times may be subject to change. The Navigation Committee will be consulted on the proposed Navigation Committee dates for 2023/24 at the 13 April 2023 meeting.

Author: Sara Utting

Date of report: 10 February 2023

Appendix 1 – Committee calendar 2023-2024.docx

Broads Authority committee calendar 2023/2024

Committee meetings	Day	Time	Jul 2023	Aug 2023	Sep 2023	Oct 2023	Nov 2023	Dec 2023	Jan 2024	Feb 2024	Mar 2024	Apr 2024	May 2024	Jun 2024	Jul 2024
Audit and Risk Committee	Tue	10am	25				21				12				23
Broads Authority	Fri	10am	28		22		24		26		15		10		26
Member annual site visit	Thu		6												4
Broads Local Access Forum	Wed	10am		30			29				6			5	
Navigation Committee	Thu	10am			7		2		11			11		6	
Planning Committee	Fri	10am	21	18	15	13	10	8	5	2	1 22	26	24	21	19
Planning Committee site visit (provisional dates if required)	Fri	10am	7		1 29	27	24*		19	16		12		7	5
Heritage Asset Review Group (member group)	Fri	10am			8			15			8			14	
Bank holidays				28				25 26	1		29	1	6 27		

*will be rescheduled if needed

Created 24.01.23

Broads Authority

17 March 2023

Agenda item number 16

Member report on outside bodies - Norfolk and Suffolk Broads Charitable Trust

Report by Paul Hayden

Purpose

Members appointed by the Authority to outside bodies are required to submit a written report on the organisation's work and activities.

Recommended decision

To note the report.

1. Function and purpose of the Norfolk & Suffolk Broads Charitable Trust

- 1.1. The Norfolk & Suffolk Broads Charitable Trust, more commonly known simply as 'The Broads Trust', was established in 2008 to support Broads-based bodies, including the Broads Authority. As a registered charity the primary role of the Broads Trust is to act as an enabling body to access charitable fund-raising and grant aided support to promote the conservation of the Broads and the well-being of the people who live in, work in, or visit this unique area.
- 1.2. In accordance with its charitable objectives, projects supported by the Broads Trust will be expected to contribute to one or more of the following aims:
 - protect biodiversity
 - conserve and enhance the natural environment, including its wildlife
 - provide appropriate facilities for residents and visitors
 - maintain and improve the navigable waterways of the Broads
 - promote the responsible use of land and water resources
 - interpret the unique ecosystem that is the Broads
 - create educational resources to promote better understanding
 - inform and engage the interest of young people

- sustain community life in the Broads area
 - maintain the cultural heritage of the Broads area
 - address the local consequences of climate change
- 1.3. The Broads Trust raises funds to distribute to appropriate projects within the area, including projects brought forward by the Broads Society, and other Non-Government Organisations (NGOs). Funding for public bodies or private entities, including the Broads Authority, is only provided for added value projects that assist in delivery of our charitable aims, and not for work towards delivery of their statutory duties. All projects, including those carried out on private land, will be required to demonstrate public benefit.

2. Current Operations and Projects

Visitor Giving Scheme – Love the Broads

- 2.1. The Broads Trust recognises that our unique Broads wetlands, their wonderful wildlife, and around 125 miles of waterways draw millions of visitors every year and support a diverse tourism economy. However, those visitors also impact on the environment and facilities upon which tourism businesses rely. In an effort to mitigate the impact of tourism on the local environment, and to improve access for visitors, the Broads Trust established a visitor giving scheme under the branding of “Love the Broads” ([Love the Broads](#)).
- 2.2. This visitor giving scheme encourages voluntary donations from visitors and local businesses who feel inspired to make a collective contribution to looking after the places they love. The money raised through the Love the Broads giving scheme goes towards supporting projects across the Broads which are delivered by many committed organisations which are working hard to protect and support our beautiful landscape, our local communities and our traditional heritage. Since 2013 nearly £100,000 has been raised which has helped to provide grants to 54 projects to help wildlife, the environment and education on the Broads.

Large Scale Projects – Discovery Hubs

- 2.3. Responsibility for protecting and enhancing the unique and special environment of the Suffolk and Norfolk Broads rests with multiple public authorities, organisations, communities and businesses. Both public authorities and private businesses have their own funding streams that can be used to assist in delivery of projects that benefit the environment of the Broads and to enhance visitor access and experiences. However, it can be difficult for those organisations to access other forms of funding such as sponsorship, grants, and charitable donations. One of the original intentions in establishing the Broads Trust was to create an appropriate vehicle that could be used to address this funding gap, working with partners to deliver our charitable objectives by

drawing down funding that may not be available to Public Authorities or private businesses. The Discovery Hub Project is a current case in point.

- 2.4. The idea of establishing a network of Discovery Hubs around the whole Broads area was conceived early in 2019 and was made public during the Trust's 10th anniversary meeting. The concept of these Hubs was described as:

"A Discovery Hub could be a destination in itself, a starting point for exploration and a point on the network of boating, walking and cycling routes. It would be a physical structure in keeping with the landscape with sensitive branding which would provide views of the surrounding landscape, information about the locality, historical and cultural information and space for relaxation. It might or might not have road or vehicular access. Where-ever possible it would have wi-fi or data connections."

- 2.5. The concept has received unanimous endorsement from many quarters and the design of the three types of Hub, small, medium and large, is now well defined. Agreements have already been made for locations of the Beccles Discovery Hub at Beccles Staithe, and the Great Yarmouth Seafront Discovery Hub adjacent to the Sea Life centre. The Salhouse hub is fully funded and is currently under construction. Hubs at Beccles and Gt. Yarmouth will not be far behind. Work is ongoing to secure locations and funding for additional hubs in various locations across the Broads Area.

3. Future Business Development

- 3.1. The 2019 Broads Trust Business Plan set out the challenges of raising funds through the visitor giving scheme, and reflected on the fact that despite best efforts since 2012, incomes had plateaued at around £25k per annum. It was recognised that at this level of income, the Trust was barely sustainable as the fixed costs of managing the scheme were around £10,000, meaning that the cost to income ratio was not acceptable at over 40%. The key performance indicators in the 2019 Business Plan were for income to grow to a minimum of £50k per year, with administration costs being no more than 20% of income. With the impact of COVID, this target has not been achieved through the core activities of the Broads Trust and its visitor giving scheme. Fortunately, the additional funding received for the Discovery Hubs Project means that these fixed overheads are now at a much more manageable ratio.
- 3.2. Notwithstanding the success of the Discovery Hub project, Trustees have determined that due to the impact of the COVID 19 emergency on the visitor giving scheme, and the current economic downturn, mean that the 2019 business plan requires fundamental review. Trustees and volunteers have commenced that review, with a workshop convened in December 2022 to discuss and consider the Broads Trust and its operating environment, with written inputs provided by Trustees and members unable to attend. During that workshop, facilitated discussions included a self-evaluation of the Trusts activities using the well-established S.W.A.T Analysis format.

This structure explores in turn:

- i. Strengths
 - ii. Weaknesses
 - iii. Opportunities, and
 - iv. Threats
- 3.3. The outcomes and discussion points from that S.W.A.T Analysis have been used to inform an updated business plan that will go to Trustees for adoption in Summer 2023. Whilst it is currently in draft form only, current indications are that the new plan will concentrate future business development aligned to the Broads Trust’s original prospectus that had identified the gap in the “Broads Landscape” for an organisation that could act as an “umbrella organisation” beneath which a range of partners could work to draw down grants and sponsorships that may be available to a charitable vehicle, but are not available to other public bodies or private enterprises. The updated business plan will also seek to address identified organisational gaps and challenges, these include:
1. Growing and diversifying the member, volunteer, and supporter base and putting in place succession planning for key positions.
 2. Continue to build on the success of the visitor giving and Discovery Hub Projects, maximising the income and impact of each operation.
 3. Identify and then secure grant funding for at least one further major operation or project within the 5-year planning period.

4. Conclusion

- 4.1. Broads Authority Members are asked to consider ways in which they might wish to support the Broads Trust ongoing development, either as members or volunteers. Broads Trust would also welcome the opportunity to work with partners to identify and draw down funding for delivery of projects that deliver mutual benefits and align with our charitable objectives. Broads Authority Members can assist the Broads Trust by communicating this message and offer of support to any partner organisations with which they are associated.

Author: Paul Hayden, appointed by the Broads Authority

Date of report: 08 March 2023