

# Broads Authority

22 May 2020

Agenda item number 10

## Annual Governance Statement 2019/20 and Code of Corporate Governance 2020

Report by Head of Governance

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### Purpose

Every year the Broads Authority reviews its governance and internal control systems, including risk management, and publishes an Annual Governance Statement, supported by a Code of Corporate Governance, to show how it is complying with the principles of good governance.

### Recommended decision

To approve the Annual Governance Statement 2019/20 and note that, subject to the implementation of improvements identified in the Action Plan for 2020/21, the Authority's governance and internal control systems are considered to be adequate and effective.

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## 1. Annual Governance Statement 2019/20

- 1.1. As a public body, the Broads Authority is responsible for making sure it has strong and up-to-date governance and internal control systems that comply with the principles of 'good governance'. Under the Accounts and Audit Regulations 2015, we must publish an Annual Governance Statement (Appendix 1) on the effectiveness of our systems during the past year, and an action plan for the forthcoming year to address any identified weaknesses.
- 1.2. The Statement is guided by the 'Delivering Good Governance in Local Government: Framework', which includes principles on integrity, ethical values and the rule of law; stakeholder engagement; sustainable economic, social and environmental benefits; leadership and resources; risk and performance; and transparency, reporting and review. Our internal and external audit, internal review and other reports, and the Code of Corporate Governance all provide evidence for the Statement.
- 1.3. The Assurance Review of Corporate Governance and Risk Management audit opinion 2019/20 concluded that the Authority's framework of governance, risk management and controls is 'Reasonable'. The opinion is derived as a result of one 'important' and one 'needs attention' recommendations. The audit also raised five 'operational effectiveness matters', where there may be opportunities to enhance operational

efficiency and value for money. The previous audit also concluded in a 'Reasonable' assurance opinion.

## 2. Code of Corporate Governance 2020

- 2.1. The Code of Corporate Governance (Appendix 2) helps us to develop our governance framework based on best practice and external guidance. The Code is updated annually, with significant changes reported in the Annual Governance Statement and any actions included in the Action Plan. The Code is signed by the Chair and Chief Executive and published on the Broads Authority website on the [how we work](#) page.

Author: Maria Conti

Date of report: 7 May 2020

[Broads Plan](#) objectives: None

Appendix 1 – Draft Annual Governance Statement 2019/20

Appendix 2 – Code of Corporate Governance 2020

## Appendix 1

# (Draft) Annual Governance Statement 2019/20 and Action Plan 2020/21, and (draft) Code of Corporate Governance 2020

Published May 2020

## Contents

About this Statement	2
1 Our governance framework	2
1.1. Purposes and duties	2
1.2. Strategy and policy	3
2 External factors influencing our governance arrangements	3
2.1. Coronavirus (COVID-19) pandemic	3
2.2. Brexit	4
2.3. Landscapes Review	4
2.4. Peer Review	4
3 Our committees and executive	4
3.1. Committees	4
3.2. Officers	5
3.3. Financial arrangements	6
4 Decision making and openness	6
5 Ethics and integrity	7
Our Core Values	7
6 Engaging with stakeholders	7
7 Managing risk and performance	8
8 Internal and external audit	8
9 Action Plans	9
Appendix 1a - Broads Authority Annual Governance Statement	11
Audit recommendations - Action Plan 2020/21	11
Appendix 1b Broads Authority Annual Governance Statement	13
Audit recommendations – progress against Action Plan 2019/20	13

## About this Statement

As a public body, the Broads Authority is responsible for making sure its governance and internal control systems are robust, up-to-date and in line with the principles of good governance. This is about conducting our business in accordance with the law and with proper standards, using public money wisely and efficiently, and having the right arrangements in place to protect our assets and meet our strategic aims. It is also about our staff and Members representing the shared values and culture of the organisation.

To show how we are complying with good governance, we prepare an **Annual Governance Statement**<sup>1</sup> and publish it alongside our annual Statement of Accounts. The Statement is guided by '[Delivering Good Governance in Local Government](#)', which includes principles on integrity, ethical values and the rule of law; stakeholder engagement; sustainable economic, social and environmental benefits; leadership and resources; risk and performance; and transparency, reporting and review.

The Statement includes an annual action plan to address any weaknesses identified by internal and external audit, self-assessment and other reporting including our [Code of Corporate Governance](#) (Appendix 2).

This Annual Governance Statement was adopted in May 2020. Our action plan for 2020/21 and a review of last year's action plan are at Appendices 1(a) and 1(b).

## 1 Our governance framework

### 1.1. Purposes and duties

The Broads Authority is a statutory body with similar responsibilities to those of the English, Welsh and Scottish National Park Authorities<sup>2</sup>. It is the local planning authority, and a harbour and navigation authority. It has a duty to manage the Broads to conserve and enhance its natural beauty, wildlife and cultural heritage, to promote opportunities for the public to understand and enjoy its special qualities, and to protect the interests of navigation.

In managing the area, the Authority must have regard to the national importance of the Broads for its natural beauty and opportunities for open-air recreation, the desirability of protecting its natural resources from damage, and the needs of agriculture and forestry and economic and social interests of those who live or work in the area. The Authority also has

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<sup>1</sup> Regulation 6(1)(a) and (b) of the Accounts and Audit Regulations 2015

<sup>2</sup> The Broads Authority was established under the Norfolk and Suffolk Broads Act 1988.

Further provisions for the management of the area were made through the Broads Authority Act 2009.

the duty to maintain the navigation area to such standard as appears to be reasonably required and to develop and improve it as it thinks fit.

## 1.2. Strategy and policy

The [Broads Plan](#) is the key partnership strategy for the Broads, setting out a long-term vision and short-term objectives to benefit of the environment, local communities and visitors. The current Plan was adopted in March 2017 and we publish 6-monthly [progress updates](#) in May and November.

The [Broads Local Plan](#) adopted in 2019 sets out the policies used in determining planning applications for the plan period up to 2036. We are also producing supporting supplementary planning documents and guidance to help with the interpretation and implementation of some policies.

Sitting under the Broads Plan are more detailed [guiding strategies](#), generally focusing on a single theme and covering a short-term period. In the last year we reviewed and updated the Broads Integrated Access Strategy and the Broads Biodiversity & Water Strategy.

Our [Annual Business Plan](#) outlines our work priorities for the coming year and summarises last year's progress. The Plan is a link between the strategies for the Broads and our Directorate work plans. The Plan for 2020/21 is deferred until we have more information on the financial impact to the Authority as a result of the COVID-19 lockdown (see section 3).

Each year we also identify a small set 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. This helps us target our resources and make the most of partnership working and external funding opportunities. We report on their progress at each Broads Authority meeting.

## 2 External factors influencing our governance arrangements

### 2.1. Coronavirus (COVID-19) pandemic

Government measures put in place at the end of 2019/20 in response to the coronavirus (COVID-19) outbreak are significantly affecting the Broads Authority's operations, including its governance processes. Under the provisions of the [Coronavirus Act 2020](#), temporary standing orders for remote meeting procedure rules will be in place to May 2021. Some scheduled meetings were cancelled pending the remote meeting rules being in place.

The main impact to the Authority at the time of writing is the loss of income from tolls, especially from the hire boat industry. The Authority is liaising with the Government to seek support from Defra towards this loss, as well as support for the local tourism industry.

We may need to update this Annual Governance Statement with any further significant governance issues arising from the COVID-19 outbreak later in the year.

## 2.2. Brexit

Leaving the European Union has been overshadowed by the COVID-19 crisis. However, it remains a significant change for the country and will impact on the Authority, such as closing off a source of funding for joint projects with European partners. The timescale for CANAPE, our current EU-funded project, has been extended.

## 2.3. Landscapes Review

The [Landscapes Review Final Report](#) was published in September 2019, setting out 27 proposals to protect and improve England's protected landscapes. We await the Government's full response to the report, but have started to identify what we can do within our existing resources.

## 2.4. Peer Review

In May 2018, we implemented changes to our governance processes in response to the recommendations of a commissioned **Peer Review**. In 2019/20 a desk-based review of the effectiveness of the changes was carried out by a Lead Member and a Managing Director from two of the Norfolk local authorities. Their report made a number of suggestions, including the following:

- (a) The Authority's Chair and Chief Executive would attend the Norfolk Leaders and Chief Executives meeting every six months to give an update on progress and to hear challenges or concerns;
- (b) The Authority's Chief Executive would attend the Norfolk Chief Executives' meeting on a quarterly basis to update on areas of concern, discuss any proposal issues impacting or within the potential to impact on other Local Authorities;
- (c) The monthly Broads Briefing from the Authority's Chief Executive would be circulated to all Local Authorities and Parish Councils.
- (d) The Authority had engaged the support of the LGA and the Regional Peer (Cllr William Nunn) to support the leadership of the Authority in its relationship with the Local Authorities. This work includes:
  - Helping Authority members, particularly Local Authority appointees, to better understand their roles and responsibilities;
  - Supporting improved ways of working between the Local Authorities and understanding each other's values; and,
  - Supporting the Authority in operating within a complex political environment both locally and nationally.

# 3 Our committees and executive

## 3.1. Committees

The **Broads Authority** has unique governance arrangements, reflecting the interests of both national and local stakeholders. Of its 21 Members, ten are appointed by the Secretary of

State and the other nine are locally elected County and District Councillors. Other than Planning Committee and those matters specifically delegated to the Chief Executive, all matters are dealt with by the full Broads Authority as the prime decision maker. Routine decision making is delegated by Members to Officers of the Authority through the Scheme of Delegated Powers.

As mentioned above, the COVID-19 pandemic will impact our governance processes on a temporary basis. Committee meetings will be held remotely through video-conferencing, with live streaming for the public. Times of meetings may differ to those shown on the committee timetable for 2020/21.

Normally, the Broads Authority meets six times a year. Two of the scheduled meeting dates are allocated for site visits or workshops, to give Members more time to interact informally outside the main business meetings, and to see what is happening out in the Broads. There is a transparent process for the annual appointment of Chairs and Vice-Chairs, committee membership and appointments to outside bodies, which allows Members to express their preferences for serving on Committees and outside bodies. The Chairs' Group gives all Chairs and Vice-Chairs an active role in maintaining an overview of the work of the various committees, and supporting the Chair and Chief Executive.

The **Audit and Risk Committee (ARC)** is an advisory committee meeting three times a year. It is responsible for examining our governance, internal control and risk management framework, and taking a strategic view on whether our allocated resources are being used effectively.

Our functions as a [Local Planning Authority](#) are carried out by the **Planning Committee**, with powers delegated to Officers in line with national legislation. It is a decision-making committee and normally meets every four weeks. Planning decisions, whether made at Committee or through delegated powers, are published on our Planning website.

The **Navigation Committee** advises the Authority's on significant matters affecting the navigation area. While it does not make decisions, if the Authority does not accept the Committee's recommendations it must give reasons. There are five meetings a year, and members are also invited to the Authority's site visits and workshops.

The **Broads Local Access Forum** is a semi-independent body that advises the Authority on improving public access to land within the Broads executive area. It meets at least twice a year.

The Authority has two **Independent Persons**, appointed for a 4-year period, who are regularly consulted to help the Authority achieve high ethical standards. The current postholders were appointed in July 2016. Any new appointments may be on hold until the COVID-19 lockdown restrictions are eased.

### 3.2. Officers

The Authority has 132 full-time equivalent staff. There are four **statutory officers** who carry out specific duties. They are the Head of Paid Service (Chief Executive), Section 17 Officer

(Chief Financial Officer), Navigation Officer (Head of Ranger Services) and Monitoring Officer. The Chief Executive, Chief Financial Officer, Director of Strategic Services and Director of Operations make up our Management Team. We are also required to have a Data Protection Officer, and this role is currently held by the Director of Operations as a qualified Data Practitioner.

### 3.3. Financial arrangements

It is considered that the Authority's financial management arrangements conform with CIPFA's [Statement on the Role of the Chief Financial Officer in Local Government](#) (2016). As a key member of the Management Team, the Chief Financial Officer is actively involved in material business decisions to help the Authority develop, resource and implement its strategic plans sustainably and in the public interest.

We have a number of procedures in place to make sure we obtain best value for money in all we do, and we review them all on a regular basis. The Financial Regulations, reviewed in March 2018, were updated to reflect that the Section 17 Officer and Treasury is now managed in-house. Our Counter Fraud, Corruption and Bribery Strategy was updated in March 2018 and our Standing Orders Relating to Contracts in May 2018. We also reviewed our Vehicle Procurement Strategy in October 2019 and our Capital, Treasury and Investment Strategy in March 2020. Work is underway to update the Procurement Strategy and Standing Orders Relating to Contracts following recommendations from the Procurement Audit.

We monitor the effectiveness of our internal financial control systems through the consideration of regular internal audits, performance management and budget monitoring reports, and through ARC reports.

## 4 Decision making and openness

Our arrangements for decision making are set out in publicly available documents. These include Standing Orders, Scheme of Delegated Powers and a Protocol on Member and Officer Relations. In 2019/2020 we commissioned Birketts LLP to carry out a review of our constitutional and governance documents to make sure they are fit for purpose, in line with best practice and legislation, and easy to understand. This work is not completed. As mentioned above, we may be required to make temporary revisions to processes under the Coronavirus Act 2020.

Our committees each have distinct terms of reference. Meetings are held in public, apart from agenda items that are exempt under legislative guidance, and members of the public may ask questions. Our committee meetings are audio recorded and the public may request a copy of the recording.

Staff roles and responsibilities are defined through job descriptions and regularly updated policies and procedures, including an officer code of conduct and annual performance appraisals. In 2019/2020 we started to use the Best Companies Employee Survey. Our first Best Companies Index score was classed as 'good', which in terms of accreditation means

we are ‘one to watch’. We plan to run the next survey at the end of 2021, funding permitting, and aim to improve our baseline score.

The Freedom of Information Act (FOIA) and the Environmental Information Regulations (EIR) give rights of public access to information held by public authorities, including the Broads Authority. Our [Publication Scheme](#) highlights the information we publish, how we make it available, and our charging policy. Our commitment to protecting people’s privacy and processing personal data in accordance with data protection legislation is set out within our [Data Protection Policy](#).

## 5 Ethics and integrity

Under the Localism Act 2011 we have the duty to promote and maintain high standards, and we work to embed this throughout our governance and internal control systems. The seven principles of public life (known as the Nolan Principles) are incorporated in the **Members’ Code of Conduct**. Our Independent Persons provide external scrutiny of our standards processes.

We also have our own set of corporate **core values** which we promote to our staff and Members through posters and screen savers, codes of conduct and protocols, recruitment and appraisal processes, and development programmes.

### Our Core Values

**We show commitment** - Working together for a common purpose; Showing flexibility, trust and enthusiasm; Delivering on our promises

**We are caring** - Setting realistic and properly resourced workloads; Supporting each other to get things done; Giving praise and daring to challenge

**We are exemplary** – Being visible, approachable and professional; Making sound judgements on strong evidence; Aiming higher, smarter and always inspiring

**We are open and honest** – Being fair and consistent in our words and actions; Always willing to ask, listen and respond; Doing what’s right and being accountable

**We are sustainable** – Looking after our resources wisely; Understanding the impact of our choices; Doing work that adds real value

## 6 Engaging with stakeholders

We encourage our partners, interest and user groups and local communities to engage with us in various ways. This includes drop in events such as partnership working groups and Parish Forums, direct contact such as officers or members attending user group meetings, public events, digital and social media, and formal written consultations. We also seek public opinion through surveys and the user analysis of our website and Facebook and Twitter feeds.

[Broads Engage](#) brings together many of the ways people can hear about and have a say on the use and management of the Broads. Due to the COVID-19 social distancing requirements, we are developing ways to engage with stakeholders through remote means.

## 7 Managing risk and performance

The Audit and Risk Committee's (ARC) responsibilities include gaining assurances from a range of measures and reports that the Authority is obtaining value for money in the use of its resources, and that risk and performance are being actively managed to achieve best results. Actions in this year's Action Plan to strengthen our risk management processes have been completed. We updated our Corporate Risk Register (previously called the Strategic Risk Register) and Directorate Risk Registers in 2019 and they are monitored every six months by ARC and by Management Team.

In 2019/20, we tested our **IT Disaster Recovery Infrastructure** and are updating our **Business Continuity and Emergency Response Plan**, which has been put into practice in response to the current COVID-19 situation.

We have **internal financial controls** to reflect good practice and make sure our finances are managed securely to minimise risk. These include approved budgets, separation of duties and authorised signatures. We also maintain a database of all our land and property assets and an Asset Management Strategy that includes an asset disposal policy, to help us plan our maintenance and replacement programme and reduce the risk of unexpected costs.

Our **performance** across our operations is assessed at regular Management Team meetings, with financial reports and budgets considered monthly and reports provided to Members at each Authority meeting.

There is a **whistleblowing policy** for our staff, and the Monitoring Officer has a duty to write a report if the Authority or any of its committees proposes action that would be unlawful or amount to maladministration.

## 8 Internal and external audit

Our **internal and external auditors** are the main independent sources of assurance on the operation of our governance framework and the Statement of Accounts.

An external provider reviews the effectiveness of our **internal control systems**, which includes our **internal audit function**. This helps to emphasise audit's key role and its connection to governance, risk management and internal control. The broad categories for internal audit are annual opinion, corporate governance, fundamental financial systems, service area audits and significant computer systems. The Head of Internal Audit (HIA) develops an annual **strategic audit plan** using a risk-based approach. The annual opinion is given on the overall adequacy and effectiveness of the Authority's internal control environment, highlighting significant issues.

The Management Team responds to each recommendation in the internal audit report, stating whether it is agreed and what action will be taken. The ARC receives a summary of internal audit work during the year and progress on implementing the audit recommendations. Any significant concerns are reported up to the Broads Authority. The Authority is also informed of the work of the appointed External Auditors, including the Annual Audit letter from the External Auditors.

The **Assurance Review of Corporate Governance and Risk Management audit opinion 2019/20** concluded that the Authority's framework of governance, risk management and controls is 'Reasonable'. This opinion was derived as a result of one 'important' and one 'needs attention' recommendations. The audit also raised five 'operational effectiveness matters', where there may be opportunities to enhance operational efficiency and value for money. The previous audit concluded in a 'Reasonable' assurance opinion, having raised two 'important' and five 'needs attention' recommendations. The auditors' opinion is that this indicates a positive direction of travel.

## 9 Action Plans

Our Annual Governance Statement Action Plan for 2020/21 and a summary of progress against last year's plan are in Appendices 1a and 1b.

This year's Action Plan focuses on performance monitoring and further refinements to our risk management policy and corporate risk register. We are satisfied that the Action Plan will address the identified weaknesses, and will report back on its implementation as part of our next Statement.

Broads Authority

Annual Governance Statement 2020/21

Signed .....

Chair of the Authority

Date .....2020

Signed.....

Chief Executive

Date .....2020

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## Appendix 1a - Broads Authority Annual Governance Statement

### Audit recommendations - Action Plan 2020/21

Audit recommendations	Lead Officers	Target date
<b>Accountability and monitoring of performance</b>		
<p>Performance indicators:</p> <p>Report annual National Park Authority 'family' indicators composite data to Management Team to compare and address any adverse areas of performance. Review how indicators align to Broads Plan and Annual Business Plan priorities and whether meaningful targets can be set for each indicator. Publish annual NPA family indicator outturn data relating to Broads Authority on BA website.</p> <p>Clarify how DEFRA uses and publicises family indicator data.</p> <p>Consider whether State of the Park indicators (where BA is data source) can be collected annually and reported in annual business planning process.</p>	Head of Governance	By 31/08/20
Complete Operations Directorate Risk Register as part of Individual Performance Review process.	Director of Operations	By 31/05/20
<b>Risk Management</b>		
<p>Define specific risk appetite statement within Risk Management Policy to complement risk tolerance levels, to provide more definite basis over level of risk BA is prepared to accept and which risks require additional action/mitigation.</p> <p>Assign target risk score to show risk level BA is aiming for. Report any risks sitting over tolerance/risk appetite and monitor until mitigated below tolerance levels.</p>	Head of Governance	Risk appetite statement updated in Risk Management Policy. No further action.

Ensure links to BA website pages in Annual Business Plans (ABP) are correct and update where necessary.	Head of Governance	Updated in this year's ABP
<b>Procurement</b>		
Review procurement strategy and Standing Orders Relating to Contracts to ensure both documents are up to date whilst reflecting current practices and revised job titles. In addition, the procurement strategy provides guidance on high risk/high value contracts and additional risks associated with such contracts.  Refresher training to be rolled out to all relevant staff.	Chief Financial Officer	By 31/08/20
Review standard terms and conditions for contracts (goods and services) to provide template for all contracts over £5,000 in conjunction with the Authority's legal provider.	Chief Financial Officer	By 31/07/20
<b>Communications and branding</b>		
Continue updating of BA Communications Policy and guidance, and roll out of associated member and officer training.	Head of Comms	Work in progress (carried forward from 2019/20 action plan)
<b>Governance</b>		
Adopt revised constitutional documents following external review by Birketts LLP.	Chief Executive	Work delayed by COVID-19 crisis. Restart after Authority meetings are held in person.
<b>Human Resources</b>		
Continue preparation of report on equality assessment of employment policies and practices (Equalities Working Group)	Head of HR	By 31/3/21

# Appendix 1b Broads Authority Annual Governance Statement

## Audit recommendations – progress against Action Plan 2019/20

Actions	Lead Officers	Target date	Progress
<b>Governance</b>			
Commission external team to assess effectiveness of Peer Review Action Plan a year after its implementation	Chief Executive	31/07/19	Completed. Reviewed by Trevor Holden (CEO for Broadland District Council and South Norfolk Council) and Steve Blatch (CEO for North Norfolk District Council)
Commission Birketts LLP to review BA's constitutional documents to make sure they are fit for purpose, represent best practice, are in line with up-to-date legislation and are simpler to understand.	Chief Executive	Report to BA in Nov 2019	Consultant delays – work in progress (c/f to 2020/21 action plan)
<b>Legal services</b>			
Review performance of current legal services contractor and consider future arrangements, including potentially tendering for the work	Chief Financial Officer	6-month review in Sept 2019	Completed. Exempt report to BA 31/01/20
<b>Risk management</b>			
Update Risk Management Policy to reflect governance arrangements and responsibilities for risk, including those assigned to Audit & Risk Committee (ARC). Following Authority approval, publish policy on BA intranet.	Management Team	29/11/19	Completed
a. Review Strategic Risk Register (SRR) to identify which risks are strategic and which are operational/service level. Score all strategic risks and state which strategic objective they relate to, with colour coding clarifying 'risk appetite'.	Management Team	01/11/19	Completed. Strategic Risk Register is now called 'Corporate Risk Register'

Actions	Lead Officers	Target date	Progress
<p>Define scoring criteria for high/medium/low (H/M/L) risk in relation to severity/impact (for categories such as financial, reputation and service provision) and to likelihood.</p> <p>b. Explain changes from previous SRR in reports to ARC.</p>		12/11/19	Completed
<p>Update Risk Management page on BA intranet, incorporating revised documents and how risks are managed. Identify training needs across Authority.</p>	Head of Governance	29/11/19	Completed
<p>Introduce standard risk implications section on committee report template.</p>	Head of Governance	31/01/20	'Risk implications' included on committee report templates and reported if required.
<ul style="list-style-type: none"> <li>• Make sure senior managers are aware that Business Continuity recovery timelines of up to 24 hours may not be achievable if such recovery has to be undertaken using tape backups stored at Dockyard. Formally document staff acceptance (or otherwise) to support this.</li> <li>• Look at options to enhance Data Replication (DR) service so it covers priority services such as Finance and Tolls.</li> <li>• Formally document all DR testing in test reports to relevant senior managers and use lessons learned to inform updating of DR plans.</li> <li>• Update relevant project management processes to include work to understand DR requirements for new or changed infrastructure.</li> <li>• Move server rack containing DR infrastructure from Dockyard to more appropriate location.</li> </ul>	Head of IT & Collector of Tolls	31/07/19	All actions completed

<b>Communications and branding</b>			
Update Communications Team workplan to include completion of Broads National Park branding strategy and work in relation to audit recommendations including training, updating intranet communications page and issuing internal guidance on use of BA and Broads National Park logos.	Head of Comms	05/07/19	Completed
<ul style="list-style-type: none"> <li>• Following approval of NPA branding guidelines, update BA Communications Policy to include roles and responsibilities for overseeing management of correct branding, and include in separate branding section of policy.</li> <li>• Include information on role of Communications Team and on updated branding policy within BA induction checklist.</li> <li>• Produce guidance for staff on criteria for applying either BA or Broads National Park logo (or both) including reference to partnership/project work and to Broads National Park brand standards and branding strategy.</li> <li>• Revise and relaunch Communications page on BA intranet, to include strategy and associated documents, Communications Team details, and provision of staff and member training on branding.</li> </ul>	Head of Comms	31/10/19	Work in progress (c/f to 2020/21 action plan)
<b>Human Resources</b>			
Continue preparation of report on equality assessment of employment policies and practices (Equalities Working Group)	Head of HR	31/03/20	Work in progress (c/f to 2020/21 action plan)
Complete Phase 2 of updating internal HR policies and procedures	Head of HR	31/03/20	Process ongoing; key policies and procedures updated.



# Code of Corporate Governance 2020

The Code of Corporate Governance helps the Broads Authority, as a public body, to develop its governance framework based on good practice and external guidance, and to demonstrate compliance with the principles of good governance.

Good governance is about making sure we do the right things, in the right way and for the right people in a timely, inclusive, open, honest and accountable manner. It is the systems and processes, and the values and principles, which direct and control what we do and how we relate to our communities. A key focus for good governance within the public sector is to achieve sustainable results that benefit the economy, the environment and society.

Our Code of Corporate Governance is based on the core principles in the CIPFA/SOLACE Framework [Delivering Good Governance in Local Government](#). We also have our own set of core values to underpin the behaviour of our Members and staff, who all share responsibility for good governance.

We review and update the Code every year through consultation with senior staff, the Head of Internal Audit and the Chair of the Audit and Risk Committee. Any significant areas of concern raised in the review are referred to our Management Team or to the appropriate committee for comment or decision.

The Chief Executive is delegated to make necessary changes to the Code as a result of the review to keep it up-to-date. Significant changes to the Code are reported to the Authority in July as part of the Annual Governance Statement, and any new or outstanding actions are included in the Statement's Action Plan for the following year. The Code is approved by the Authority and signed by the Chair and Chief Executive.

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Chair of the Authority

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Chief Executive

Date: May 2020 (Review date April 2021)

Broads Authority, Yare House, 62-64 Thorpe Road, Norwich NR1 1RY

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# Broads Authority Code of Corporate Governance: Schedule (May 2020)

This schedule represents what we do, or intend to with immediate effect, to demonstrate our compliance with the principles of good governance in local government. The core principles and sub-principles are taken from the CIPFA/ SOLACE Framework [Delivering Good Governance in Local Government](#) (2016). We will review our performance against the Code during 2020/21 and report the results to the Authority meeting in July 2020 as part of the Annual Governance Statement.

## **Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

Sub-principles	Our evidence to support this principle
<p>Behaving with integrity</p> <ul style="list-style-type: none"> <li>➤ Behaving with integrity and leading a culture where acting in the public interest is visibly and consistently demonstrated, thereby protecting the reputation of the organisation</li> <li>➤ Establishing and communicating specific standard operating principles or values for the organisation and its staff, building on the Seven Principles of Public Life (the Nolan Principles)</li> <li>➤ Leading by example, embedding the above principles in effective, up-to-date policies and processes and using them as a framework for decision making and other actions</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement and Action Plan</li> <li>• Appointment of Independent Persons</li> <li>• Audit and Risk Committee oversight</li> <li>• Codes of Conduct for Employees (HR Policy 2), Members and Planning Committee Members</li> <li>• Members Counter Fraud, Corruption and Bribery Strategy &amp; Response Plan</li> <li>• Declaration of Gifts and Hospitality for Members and Officers</li> <li>• Disciplinary Procedures for Officers (HR Policy 11)</li> <li>• Financial Regulations, Contract Standing Orders and Procurement Strategy</li> <li>• Internal and External Audit</li> <li>• Local Protocol on Member and Officer Relations</li> <li>• Member and Officer induction and annual appraisal programmes</li> <li>• BA Core Values</li> <li>• Register of Interests for Members and declarations of interests made at meetings and recorded in minutes</li> <li>• Safeguarding Policy (HR Policy 22)</li> <li>• Standing Orders Relating to Contracts</li> <li>• Standing Orders for the regulation of Authority proceedings</li> <li>• Terms of Reference of Committees</li> <li>• Whistleblowing Policy for Officers (HR Policy 15)</li> </ul>
<p>Demonstrating strong commitment to ethical values</p> <ul style="list-style-type: none"> <li>➤ Establishing, monitoring and maintaining the organisation's ethical standards and performance</li> </ul>	<ul style="list-style-type: none"> <li>• Annual performance appraisal for Members and Officers</li> <li>• BA Core Values</li> <li>• Codes of Conduct for Employees (HR Policy 2), Members and Planning Committee Members</li> <li>• Equality Policy (HR Policy 1)</li> </ul>

<ul style="list-style-type: none"> <li>➤ Underpinning personal behaviour with ethical values that permeate all aspects of the organisation's culture and operation</li> <li>➤ Developing and maintaining robust policies and procedures that place emphasis on agreed ethical values</li> <li>➤ Making sure external providers of services on behalf of the organisation act with integrity and in compliance with ethical standards expected by the organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Best Companies Index employee survey</li> <li>• Procurement Strategy and procedures</li> <li>• Recruitment &amp; Selection Policy (HR Policy 16) and procedures</li> <li>• Use of Independent Persons in complaints procedures</li> <li>• Whistleblowing Policy for Officers (HR Policy 15)</li> </ul>
<p>Respecting the rule of law</p> <ul style="list-style-type: none"> <li>➤ Demonstrating a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</li> <li>➤ Making sure statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements</li> <li>➤ Making the best use of the full powers available for the benefit of citizens, communities and other stakeholders</li> <li>➤ Dealing effectively with breaches of legal and regulatory provisions</li> <li>➤ Dealing effectively with corruption and misuse of power</li> </ul>	<ul style="list-style-type: none"> <li>• Codes of Conduct for Employees (HR Policy 2), for Members, and for Planning Committee Members and Officers</li> <li>• Committee structure in place with Terms of Reference, including powers reserved to the BA</li> <li>• Compliance with CIPFA's statement on the role of the Chief Finance Officer in Local Govt (CIPFA 2015)</li> <li>• Counter Fraud, Corruption and Bribery Strategy and Response Plan</li> <li>• Disciplinary Procedures for Officers (HR Policy 11)</li> <li>• Financial Regulations, Contract Standing Orders and Procurement Strategy</li> <li>• Internal and external audit</li> <li>• Job descriptions and recruitment process for officers</li> <li>• Member induction programme and development protocol</li> <li>• Monitoring Officer appointed by BA</li> <li>• Provision of legal advice to Members and Officers</li> <li>• Register of Member and Officer interests and related party interests</li> <li>• Role descriptions for Members</li> <li>• Scheme of Powers Delegated to Officers</li> <li>• Statutory Officers appointed by the Authority</li> <li>• Whistleblowing Policy for Officers (HR Policy 15)</li> </ul>

## Principle B: Ensuring openness and comprehensive stakeholder engagement

Sub-principles	Our evidence to support this principle
<p>Ensuring openness</p> <ul style="list-style-type: none"> <li>➤ Demonstrating, documenting and communicating the organisation's commitment to openness</li> <li>➤ Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness - if that is not the case, a justification for the reasoning for keeping a decision confidential is provided</li> <li>➤ Providing clear reasoning and evidence for decisions, in both public records and explanations to stakeholders, being explicit about the criteria, rationale and considerations used. In due course, making sure the impact and outcomes of those decisions are clear</li> <li>➤ Using formal and informal consultation and engagement to determine the most appropriate and effective interventions or courses of action</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement</li> <li>• BA Core Values</li> <li>• BA website (includes public information about Members and their roles, Officer roles, and how the public can input to and influence BA decisions)</li> <li>• Broads Engage stakeholder events and promotion</li> <li>• Broads Local Plan - formal consultation stages (set out in Statement of Community Involvement)</li> <li>• Chairman's briefings</li> <li>• Committee meetings held in public and audio recordings of meetings available to public on request</li> <li>• Fair and transparent data processing through privacy notices</li> <li>• Financial Regulations and Standing Orders Relating to Contracts</li> <li>• Financial statements</li> <li>• Information published in respect of expenditure over £250</li> <li>• Member Allowance Scheme</li> <li>• Public consultation processes for strategic plan reviews (e.g. Broads Plan, guiding strategies)</li> <li>• Public question time at committee meetings</li> <li>• Publication of agendas and reports in line with Local Government Act 1972 requirements</li> <li>• Record of decisions in committee minutes</li> <li>• Corporate Partnerships Register</li> <li>• Use of Transparency Regulations 2015</li> </ul>
<p>Comprehensive stakeholder engagement</p> <ul style="list-style-type: none"> <li>➤ Engaging effectively with all stakeholders, making sure the purpose and aims for each stakeholder relationship are clear so outcomes are successful and sustainable</li> <li>➤ Developing formal and informal partnerships to encourage more efficient use</li> </ul>	<ul style="list-style-type: none"> <li>- Annual Business Plan, Annual Report and visitor publications (e.g. Broadcaster), social media accounts</li> <li>- Appointment process to Navigation Committee and Broads Local Access Forum</li> <li>- Broads Briefing monthly newsletter from CEO</li> <li>- Broads Engage stakeholder events (e.g. workshops, Parish Forums), feedback processes and promotion</li> <li>- Broads Local Access Forum</li> <li>- Broads Local Plan - formal consultation stages (set out in Statement of Community Involvement)</li> <li>- Broads Plan 6-monthly progress update report (and continual progress monitoring on e-system)</li> </ul>

<p>of resources and more effective outcomes</p> <ul style="list-style-type: none"> <li>➤ Basing partnerships on trust, shared commitment to change, culture that promotes and accepts challenge among partners, and clear awareness of the added value of partnership working</li> <li>➤ Establishing a clear policy on the type of issues the organisation will meaningfully consult on or involve communities, individuals, service users and other stakeholders to make sure the service (or other) provision is contributing towards intended outcomes</li> <li>➤ Having effective communication methods and making sure members and officers are clear on their roles in community engagement</li> <li>➤ Encouraging, collecting and evaluating the views and experiences of stakeholders of different backgrounds, including reference to future needs</li> <li>➤ Implementing effective feedback mechanisms to show how stakeholder views have been considered</li> <li>➤ Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity</li> <li>➤ Taking account of the impact of decisions on future generations of tax payers and service users</li> </ul>	<ul style="list-style-type: none"> <li>- Broadsheet (toll payer newsletter)</li> <li>- KPI annual reporting as part of NPA monitoring process to Defra</li> <li>- Learning resources on BA website, including Broads Curriculum materials for schools</li> <li>- Navigation Committee</li> <li>- Notices to Mariners</li> <li>- Public questions time at committee meetings</li> <li>- Regular meetings between Chairs and CEOs of BA and constituent local authorities</li> <li>- Regular officer level liaison with partner organisations</li> <li>- Visitor and user surveys</li> </ul>
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**Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits**

Sub-principles	Our evidence to support this principle
<p>Defining outcomes</p> <ul style="list-style-type: none"> <li>➤ Having a clear vision statement of the organisation's purpose and intended outcomes, with performance indicators, that provide the basis for its overall strategy, planning and other decisions</li> <li>➤ Specifying the intended impact on/ changes for stakeholders in the short and longer term</li> <li>➤ Delivering defined outcomes sustainably basis within available resources</li> <li>➤ Identifying and managing risks to achieving outcomes</li> <li>➤ Managing service user expectations with regard to setting priorities and making the best use of available resources</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Business Plan</li> <li>• BA guiding level strategies (e.g. Integrated Access, Sediment Management, Education, Biodiversity)</li> <li>• Broads Local Plan (spatial planning policy)</li> <li>• Broads Plan (key partnership strategy for the Broads, reviewed on 5-yearly cycle)</li> <li>• Norfolk &amp; Suffolk Broads Act 1998 (BA statutory purposes)</li> <li>• Corporate and Directorate Risk Registers</li> <li>• Corporate Partnerships Register</li> </ul>
<p>Considering social, economic and environmental benefits</p> <ul style="list-style-type: none"> <li>➤ Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision</li> <li>➤ Taking a longer-term view in decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints</li> </ul>	<ul style="list-style-type: none"> <li>• Broads Local Plan</li> <li>• Broads Plan and guiding level strategies</li> <li>• Equalities Working Group</li> <li>• Norfolk &amp; Suffolk Broads Act 1998 (BA statutory purposes)</li> <li>• Project Development Group procedures</li> <li>• Public consultation for strategic plan reviews</li> </ul>

<ul style="list-style-type: none"> <li>➤ Determining the wider public interest associated with balancing conflicting interests in achieving the various economic, social and environmental benefits, through consultation where possible, to ensure appropriate trade-offs</li> <li>➤ Ensuring fair access to services</li> </ul>	
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**Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes**

<b>Sub-principles</b>	<b>Our evidence to support this principle</b>
<p>Determining interventions</p> <ul style="list-style-type: none"> <li>➤ Making sure decision makers receive objective and rigorous analyses of various options showing how intended outcomes would be achieved and associated risks, to achieve best value.</li> <li>➤ Considering stakeholder feedback when making decisions about service improvements, or where services are no longer required, to prioritise competing demands and limited resources such as people, skills and land, and bearing in mind future impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• BA and partner/stakeholder working groups</li> <li>• Budget setting process</li> <li>• Chairman's briefing sessions</li> <li>• Chairs' Group</li> <li>• Financial Regulations and Standing Orders Relating to Contracts</li> <li>• Member working groups</li> <li>• Project boards for large partnership projects (e.g. CANAPE and Water, Mills &amp; Marshes)</li> <li>• Public consultation responses informing strategic plan and policy reviews (e.g. Broads Plan, Broads Local Plan)</li> </ul>
<p>Planning interventions</p> <ul style="list-style-type: none"> <li>➤ Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</li> <li>➤ Engaging with internal and external stakeholders in determining how services and</li> </ul>	<ul style="list-style-type: none"> <li>• Annual budget processes approved by BA with consultation by Navigation Committee</li> <li>• Financial Monitor</li> <li>• Financial Strategy</li> <li>• Key Performance Indicator (KPI) annual reporting as part of National Park Authority monitoring process to Defra</li> <li>• Performance reporting to Committees</li> </ul>

<p>other courses of action should be planned and delivered</p> <ul style="list-style-type: none"> <li>➤ Considering and monitoring risks facing each partner when working collaboratively, including shared risks</li> <li>➤ Having flexible and agile arrangements so mechanisms for delivering goods and services can adapt to changing circumstances</li> <li>➤ Establishing appropriate key performance indicators (KPIs) as part of the planning process to identify how the performance of services and projects is to be measured</li> <li>➤ Ensuring capacity exists to generate the information required to review service quality regularly</li> <li>➤ Preparing budgets in accordance with objectives, strategies and the medium-term financial plan</li> <li>➤ Informing medium- and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure, aimed at developing a sustainable funding strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Regular monitoring undertaken by budget holders and Management Team and reported to committee</li> <li>• Review cycles for Broads Plan, guiding strategies (e.g. Integrated Access Strategy, Biodiversity &amp; Water Strategy) and Broads Local Plan</li> <li>• Risk management (see principle F)</li> <li>• Corporate Risk Register review by Audit &amp; Risk Committee</li> </ul>
<p>Optimising achievement of outcomes</p> <ul style="list-style-type: none"> <li>➤ Ensuring the medium-term financial strategy integrates and balances service priorities, affordability and other resource constraints</li> <li>➤ Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</li> <li>➤ Ensuring the medium-term financial strategy sets the context for ongoing decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Annual setting of tolls in consultation with Navigation Committee and Member Working Group</li> <li>• Asset Management Strategy</li> <li>• Budget and 3-year Financial Strategy agreed by BA</li> <li>• Budget reports, management procedures and training</li> <li>• Budgets monitored by Audit &amp; Risk Committee and BA</li> <li>• Capital, Treasury and Investment Strategy</li> <li>• Procurement Strategy and reference guide</li> <li>• Standing Orders Relating to Contracts</li> </ul>

<p>on significant delivery issues, or responses to changes in the external environment that may arise during the budgetary period, to achieve outcomes while optimising resource use</p> <p>➤ Ensuring 'social value' through service planning and commissioning</p>	
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**Principle E: Developing the Authority's capacity, including the capacity of its leadership and the individuals within it**

<b>Sub-principles</b>	<b>Our evidence to support this principle</b>
<p>Developing capacity</p> <p>➤ Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness</p> <p>➤ Improving resource use through techniques such as benchmarking</p> <p>➤ Recognising the benefits of partnerships and collaborative working where added value can be achieved</p> <p>➤ Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</p>	<ul style="list-style-type: none"> <li>• Annual presentation to BA on major partnerships</li> <li>• Health and Safety policies and procedures</li> <li>• ICT Corporate Group review of ICT performance</li> <li>• Management Team decision in recruitment processes</li> <li>• Member and Officer induction and appraisal programmes</li> <li>• Strategic Risk Register review</li> <li>• Whistleblowing Policy for Officers (HR Policy 15)</li> </ul>
<p>Developing leadership capacity</p> <p>➤ Developing protocols to ensure elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship, and that a shared understanding of roles and objectives is maintained</p> <p>➤ Publishing a statement that specifies the types of</p>	<ul style="list-style-type: none"> <li>• Chief Finance Officer compliance with CIPFA Statement on the Role of the Chief Finance Officer in Local Government</li> <li>• Conditions of employment and HR policies</li> <li>• Contract management in respect of externally provided services</li> <li>• Data Protection Officer in place</li> <li>• Financial Regulations and Standing Orders</li> <li>• Member and Officer appraisal programmes, Member Development Protocol</li> <li>• Member workshops on key issues</li> <li>• Monitoring Officer appointed by BA</li> </ul>

<p>decisions that are delegated and those reserved for the collective decision making of the governing body</p> <ul style="list-style-type: none"> <li>➤ Ensuring the Chair and Chief Executive Officer have clearly defined and distinctive leadership roles within a structure whereby the CEO leads in implementing strategy and managing the delivery of services and other outputs set by members, and each provides a check and a balance for each other's authority</li> <li>➤ Developing the capabilities of members and senior management to achieve effective leadership, and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks</li> <li>➤ Having structures in place to encourage public participation</li> <li>➤ Considering the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections</li> <li>➤ Holding staff to account through regular performance reviews that take account of training or development needs</li> <li>➤ Maintaining the health and wellbeing of the workforce and helping individuals to maintain their own physical and mental wellbeing</li> </ul>	<ul style="list-style-type: none"> <li>• Scheme of Powers Delegated to Officers</li> <li>• Standing Orders for the Regulation of Authority Proceedings</li> <li>• Terms of Reference for Committees</li> </ul>
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**Principle F: Managing risks and performance through robust internal controls and strong public finance management**

Sub-principles	Our evidence to support this principle
<p>Managing risk</p> <ul style="list-style-type: none"> <li>➤ Recognising risk management is integral to all activities and must be considered in all aspects of decision making</li> <li>➤ Implementing robust and integrated risk management arrangements and making sure they work effectively</li> <li>➤ Allocating clear responsibilities for managing individual risks</li> </ul>	<ul style="list-style-type: none"> <li>• Business Continuity Plan and Disaster Recovery Plan</li> <li>• Counter Fraud, Corruption and Bribery Strategy and Response Plan</li> <li>• Risk analysis in BA reports</li> <li>• Risk Management Policy</li> <li>• Corporate Risk Register (reviewed every 6 months and reported to Audit and Risk Committee)</li> </ul>
<p>Managing performance</p> <ul style="list-style-type: none"> <li>➤ Effectively monitor service delivery including planning, specification, execution and independent post implementation review</li> <li>➤ Making decisions based on relevant, clear objective analysis and advice, pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook</li> <li>➤ Ensuring an effective scrutiny or oversight function is in place that provides constructive challenge and debate on policies and objectives before, during and after decisions are made. This will help enhance the performance of the organisation and any other organisation (or committee system) for which it is responsible</li> <li>➤ Effectively and constructively challenging and policies and</li> </ul>	<ul style="list-style-type: none"> <li>• Audit and Risk Committee</li> <li>• Capital, Treasury and Investment Policy</li> <li>• Chairs' Group</li> <li>• Financial Monitor</li> <li>• Financial Regulations and procedures</li> <li>• Management Team and Section Head reviews of Directorate work plans and budgets</li> <li>• Procurement Strategy</li> <li>• Regular finance reports to BA, Audit &amp; Risk Committee and Navigation Committee</li> <li>• Risk and financial implications in reports to BA</li> <li>• Standing Orders Relating to Contracts</li> <li>• Statement of Accounts follows budget headings</li> <li>• Terms of Reference for Committees</li> </ul>

<p>objectives to support balanced and effective decision making</p> <ul style="list-style-type: none"> <li>➤ Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</li> <li>➤ Ensuring consistency between specification stages (such as budgets) and post implementation reporting (such as financial statements)</li> </ul>	
<p>Developing robust internal control</p> <ul style="list-style-type: none"> <li>➤ Aligning the risk management strategy and policies on internal control with achieving objectives</li> <li>➤ Regularly evaluating and monitoring risk management and internal control</li> <li>➤ Having effective counter fraud and anti-corruption arrangements in place</li> <li>➤ Making sure that additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</li> <li>➤ Having an audit committee or equivalent group/function, independent of the executive and accountable to the governing body</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement and Action Plan</li> <li>• Annual Internal Audit plans include key control and corporate governance</li> <li>• Annual Report and Opinion provided by Head of Internal Audit with ref to governance, risk management and internal control arrangements</li> <li>• Codes of Conduct for Employees (HR Policy 2), for Members, and for Planning Committee Members</li> <li>• Standing Orders Relating to Contracts</li> <li>• Procurement Strategy</li> <li>• Counter Fraud, Corruption and Bribery Strategy and Response Plan</li> <li>• Disciplinary Procedures for Officers (HR Policy 11)</li> <li>• Effective internal audit function resourced and maintained</li> <li>• Financial Regulations, Contract Standing Orders and Procurement Strategy</li> <li>• Audit and Risk Committee</li> <li>• Best Companies Index employee survey</li> <li>• Internal and external annual audit processes</li> <li>• Local Protocol on Member and Officer Relations</li> <li>• Publication of reports and meeting minutes showing declarations of interest made</li> <li>• Risk Owners (e.g. reporting to Corporate Risk Register)</li> <li>• Scheme of Delegation of Powers to Officers</li> <li>• Standing Orders Relating to Contracts</li> <li>• Training for Members</li> <li>• Treasury and Investment Strategy</li> </ul>
<p>Managing data</p> <ul style="list-style-type: none"> <li>➤ Having effective arrangements in place for the</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement</li> <li>• Data and Information Retention Policy</li> <li>• Data Asset Register, privacy notices and Protection policy</li> </ul>

<p>safe collection, storage, use and sharing of data, including processes to safeguard personal data</p> <ul style="list-style-type: none"> <li>➤ Having effective arrangements in place and operating when sharing data with other bodies</li> <li>➤ Regularly reviewing and auditing the quality and accuracy of data used in decision making and performance monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Data Protection Officer (qualified Data Practitioner), data protection training to Members and Officers</li> <li>• Encryption of portable devices</li> <li>• IT security arrangements</li> <li>• Review of contracts to ensure data security provisions are incorporated</li> <li>• Statement of Accounts narrative report</li> </ul>
<p>Having strong public financial management</p> <ul style="list-style-type: none"> <li>➤ Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance</li> <li>➤ Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</li> </ul>	<ul style="list-style-type: none"> <li>• 3-year Financial Strategy</li> <li>• Annual budget and budget management procedures</li> <li>• Annual Business Plan</li> <li>• Annual Statement of Accounts</li> <li>• Asset Management Strategy</li> <li>• Chief Finance Officer compliance with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government</li> <li>• Earmarked reserves for long-term replacement of assets</li> <li>• External Audit reports</li> <li>• Financial Regulations and procedures</li> <li>• Financial statements</li> <li>• Reports to BA include financial and risk considerations</li> <li>• Treasury and Investment Strategy</li> </ul>

**Principle G: Implement good practice in transparency, reporting and audit to deliver effective accountability**

Sub-principles	Our evidence to support this principle
<p>Implementing good practice in transparency</p> <ul style="list-style-type: none"> <li>➤ Writing and communicating reports for public and other stakeholders in fair, balanced and understandable style, appropriate to the intended audience and easy to access and interrogate</li> <li>➤ Striking a balance between providing the right amount of</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement and Action Plan</li> <li>• Information published in respect of expenditure over £250</li> <li>• Monthly data published on BA website in line with Local Government Transparency Code</li> <li>• Record of delegated decisions</li> <li>• Scheme of Delegation of Powers to Officers</li> </ul>

information to satisfy transparency demands and enhance public scrutiny, while not being too onerous to provide or for users to understand	
<p>Implementing good practice in reporting</p> <ul style="list-style-type: none"> <li>➤ Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way</li> <li>➤ Ensuring members and senior management own the results reported</li> <li>➤ Ensuring robust arrangements for assessing the extent to which principles in this Framework have been applied, and publishing the results on this assessment, including action plan for improvement and evidence to demonstrate good governance (AGS)</li> <li>➤ Apply Framework to jointly managed or shared service organisations as appropriate</li> <li>➤ Ensure performance information that accompanies the financial statements on a consistent and timely basis and the statements allow for comparison with other, similar organisations</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement and Action Plan</li> <li>• Broads Plan 6-monthly progress reports</li> <li>• S17 officer reporting requirements</li> <li>• Statements of Accounts narrative report</li> <li>• Strategic Direction reports (BA annual strategic priorities)</li> </ul>
<p>Developing assurance and effective accountability</p> <ul style="list-style-type: none"> <li>➤ Acting upon recommendations for corrective action made by external audit</li> <li>➤ Ensuring an effective internal audit service with direct access to members is in place,</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Governance Statement and Action Plan</li> <li>• Attendance of internal and external auditors at Audit and Risk Committee (ARC)</li> <li>• Audit actions formally logged, followed up and reported to ARC</li> <li>• Follow up of internal audit recommendations by Chief Finance Officer and periodically reported to ARC</li> </ul>

<p>providing assurance with regard to governance arrangements, and acting upon recommendations</p> <ul style="list-style-type: none"> <li>➤ Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</li> <li>➤ Gaining assurance on risks associated with delivering services through third parties and evidencing this in the AGS</li> <li>➤ When working in partnership, make sure arrangements for accountability are clear and the need for wider public accountability is recognised and met.</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Internal Audit compliance with CIPFA Statement on the Role of the Head of Internal Audit</li> <li>• Internal audit function delivered by contract and meets PSIAS requirements</li> <li>• Best Companies Index employee survey</li> <li>• Peer Review (2017) and Action Plan (reviewed 2019/20)</li> <li>• Corporate and Directorate Risk Registers</li> </ul>
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