

Broads Authority

Agenda 10 May 2024

10.00am

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

John Packman, Chief Executive – Thursday, 02 May 2024

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. **Appointment of two co-opted members from the Navigation Committee to the Broads Authority** (Pages 3 - 4)
Report by Senior Governance Officer
4. Introduction of members and declarations of interest
5. To note whether any items have been proposed as matters of urgent business
6. Public question time – to note whether any questions have been raised by members of the public
7. **To receive and confirm the minutes of the Broads Authority meeting held on 15 March 2024** (Pages 5 - 18)
8. **Summary of actions and outstanding issues following decisions at previous meetings – to note the schedule** (Pages 19 - 26)

Strategy and policy

9. **National Park Grant and Outcomes Framework** (Pages 17 - 42)
Report by Chief Executive
10. **Strategic priorities - update** (Pages 43 - 47)
Report by Senior Governance Officer

11. **Financial Performance and Direction** (Pages 48 - 69)
Report by Director of Finance
12. **Reviewed Safety Management System (SMS)** (Pages 70 - 146)
Report by Director of Operations

Governance

13. **Annual summary of formal complaints** (Pages 147 - 152)
Report by Senior Governance Officer
14. **Standing Orders relating to contracts** (Pages 153 - 158)
Report by Director of Finance
15. **Appointment of Independent Persons** (Pages 159 - 160)
Report by Senior Governance Officer
16. **Annual report of the Standards Committee** (Pages 161 - 163)
Report by Senior Governance Officer

Reports for information

17. **Member report on outside bodies - How Hill Trust** (Pages 164 - 165)
Report by Tim Jickells
18. 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

19. To receive the minutes of the following meetings:
[11 January 2024 – Navigation Committee](#)
[1 March 2024 – Planning Committee](#)
20. 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
21. To answer any formal questions of which due notice has been given
22. To note the date of the next meeting/workshop – **Friday 26 July 2024** at 10.00am (venue to be advised).

For further information about this meeting please contact the [Governance team](#)

Broads Authority

10 May 2024

Agenda item number 3

Appointment of two co-opted members to the Broads Authority

Report by Senior Governance Officer

Purpose

The appointment of two co-opted members from the Navigation Committee to the Broads Authority.

Broads Plan context

This is a legislative requirement.

Recommended decision

In line with the recommendation of the Navigation Committee, to appoint Peter Dixon and Alan Goodchild to the Broads Authority for one year to 9 May 2025.

1. Introduction

- 1.1. As set out in [Section 1 of the Broads Act 1988](#), the membership of the Broads Authority includes “two members appointed by the Authority from those members of its Navigation Committee (established under section 9 of this Act) who are not already members of the Authority.”
- 1.2. At its meeting on 20 March 2015, the Authority agreed that the term of appointment of the two co-opted members of the Navigation Committee to the Broads Authority should be on an annual basis. The current appointments expire on 10 May 2024.
- 1.3. In accordance with [Schedule 4 section 4\(3\)](#), “The (Navigation) Committee shall elect a chairman from among those of its members who are members of the Authority and may, if it thinks fit, appoint one of its members to be vice-chairman.”

2. Co-opted members to be appointed

- 2.1. At its meeting on 11 April 2024, the Navigation Committee appointed Alan Goodchild as Chair of the Navigation Committee and Peter Dixon as Vice-Chair. The Navigation Committee also recommended that both these members be appointed as the two co-opted members to the Broads Authority for one year, until 9 May 2025.

Author: Sara Utting

Date of report: 16 April 2024

Background papers: none

[Broads Plan](#) strategic objectives: n/a

Broads Authority

Minutes of the meeting held on 15 March 2024

Contents

1.	Welcome and apologies	3
	Openness of Local Government Bodies Regulations 2014	3
	Apologies	3
2.	Chairman’s announcements	3
3.	Introduction of members and declarations of interest	3
4.	Items of urgent business	3
5.	Public question time	4
6.	Minutes of last meeting	4
7.	Summary of actions and outstanding issues	4
8.	Capital Programme 2024/25	4
9.	Strategic direction – draft Annual Business Plan 2024/25 and Strategic priorities update for 2023/24	7
10.	Financial performance and direction	9
11.	IFRS16 – New accounting policy from 2024/25	9
12.	Capital, Treasury and Investment Strategy	9
13.	Integrated Access Strategy	10
14.	Local Plan consultation	11
15.	Risk Management policy	12
16.	Committee timetable of meetings 2024/25	12
17.	Items of business raised by the Designated Person in respect of the Port Marine Safety Code 12	
18.	Minutes to be received	13
19.	Other items of business	13
20.	Formal questions	13
21.	Date of next meeting	13

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

DRAFT

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

Present

Bill Dickson – in the Chair, Harry Blathwayt, Stephen Bolt, Peter Dixon, Alan Goodchild, Tony Grayling, Paul Hayden, Tristram Hilborn, Martyn Hooton, Tim Jickells, Sian Limpenny, Kevin Maguire, Leslie Mogford, Michael Scott, Matthew Shardlow, Vic Thomson

In attendance

Natalie Beal – Planning Policy Officer (item 14), Emma Krelle – Director of Finance, John Packman – Chief Executive, Rob Rogers – Director of Operations, Lorraine Taylor – Governance Officer, Jo Thompson – Waterways and Recreation Officer (item 13), and Sara Utting – Senior Governance Officer.

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 James Harvey, Keith Patience, Greg Munford, Melanie Vigo di Gallodoro, and Fran Whymark

2. Chairman's announcements

The Chair confirmed that there was no change to the order of the agenda items.

The Chair reminded Members that they had been sent an email from the Finance Team asking them to complete their annual related party declarations. He added that the declarations formed an important part of the Statement of Accounts and it was therefore important that they were returned on time. Any queries should be directed to the Director of Finance.

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.

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

5. Public question time

No public questions had been received.

6. Minutes of last meeting

The minutes of the meeting held on 26 January 2024 were approved as a correct record, subject to the correction of 'Kevin Patience' to 'Keith Patience' and were 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. The Chief Executive (CE) provided three updates to the report, the first being a correction to the Wherryman's Way item. The report stated that planning permission had been granted, however, this was not the case as planning permission had been applied for and the application would be considered at the April meeting of the Planning Committee.

The second was in relation to the Responding to Climate Change Emergency item. The CE said that the Authority had the opportunity to submit a bid to the Rural Transport Accelerator – Connected Places Catapult, run by the Department of Transport, to install three pods for charging electric bicycles. The Authority's part of this project would be very small and would cost £3,500 to build three concrete pads for the pods to sit on. The CE reported that he was pleased to announce that the bid was successful.

The third update was in relation to the tender for the installation of solar panels at the Dockyard. The CE confirmed that there was progress being made on this project and that, although there was a small hitch, things were moving forward.

A Member commented that the Wherryman's Way project was coming up to its fifth year and noted that there was some progress, however, asked whether the Authority was parallel tracking the funding application with planning. The CE replied that this was with the County Council and there was some uncertainty about the funding, however, that was a County Council matter which they were dealing with. The Local Authority Member from Norfolk County Council said that he would look into this matter and report back to the Members at the next meeting.

The report was noted.

8. Capital Programme 2024/25

Members received the report from the Chief Executive (CE) and the Director of Finance (DF). The CE said that the report followed on from the paper on Funding the Waterways of the Broads National Park, unanimously supported by Members at the last Broads Authority meeting in January 2024. This had highlighted that funding the management of the waterways had become increasingly difficult, through climate change and a number of other factors, and the presumption that the Authority would be able to undertake all of the work that toll payers wanted from the income received from tolls was looking more and more unlikely. The CE commented that in 1947 when Sir Arthur Hobhouse wrote his report recommending that the

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

Broads should be one of the first National Parks in Britain, he wrote that “the Broads had a special claim to selection as a National Park quite apart from their natural beauty, by reason of their holiday and recreational value and the interest of their plant and animal life.” The CE highlighted that the Norfolk & Suffolk Broads Act restricted the way that income received from tolls was used.

The CE added that the bid for National Park capital funding, submitted in December last year, included the purchase of a number of items where the main use was for the maintenance of the waterways. Since 1989, when the commercial coasters stopped coming to the port of Norwich, the entire use of the waterways was for recreational use and there was no commercial use.

National Parks were founded on two principles, the first to look after the natural resource and second, to encourage and welcome people to use that resource responsibly. The Authority had justified the use of National Park capital funding for the purchase of equipment to support the maintenance of the waterways on the grounds that that the current recreational use of the waterways was consistent with the Authority’s second National Park purpose of “promoting opportunities for the understanding and enjoyment of the special qualities of the Broads by the public”.

The CE said that while the Authority was unsuccessful in the bid that was put forward in December, there was now the potential for National Park capital funding of £500,000 for 2024/25. The CE said that in discussions with DEFRA officials in December, it had been indicated that National Park capital funding could be used where there was a co-benefit for navigation as long as the basis for funding was primarily used to deliver National Park purposes. He added that the role of the Broads Authority was managing the Broads as a whole in an integrated way, and from a National Park perspective it was for example important that the Ranger launches were well-maintained and the rivers dredged for the benefit of those who enjoyed the waterways. If the additional capital funding was forthcoming, the money would be treated as National Park income and expenditure, and there would be a significant benefit for those boating and sailing on the Broads.

The Chair added that the principle in the report was consistent with the funding paper he had sent to the DEFRA Minister responsible for National Parks and which had been adopted unanimously at the last Broads Authority meeting.

A Member commented that this was a difficult argument to make in current circumstances and asked whether the proposed expenditure was a legal issue and had the argument been tested through legal experts. The CE replied that the report had been sent to the Monitoring Officer and no adverse comments had been received.

A Member commented that this report highlighted the challenges involved in the separate reporting on accounts for navigation and National Park. He added that it was clear how the funding was managed, but given the public interest in funding, it was important to ensure that the message was clear how the funding would be allocated and that the money was managed appropriately. The CE said that maintaining the waterways was for the benefit of the public as

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

a whole and that the Authority was audited by two separate sets of external auditors and the accounts were transparent.

A Member asked if lessons could be learned from the previous unsuccessful bid. The CE replied he understood that last year, the Broads was the only National Park to receive capital money. It was, therefore, perhaps not surprising that the December bid had not been successful when all forty-four Protected Areas were competing for a relatively small pot of capital funding.

A Member asked whether the proposals for the development and construction of a new Rangers' launch replacements would be discussed at the Navigation Committee as there was a lot of expertise at that committee. The CE said that he intended to include details of the potential capital expenditure in a report to the next Navigation Committee meeting.

A Member commented that it was clear from the Norfolk & Suffolk Broads Act that navigation should not be funded from National Park income and asked whether everything would now be viewed as falling outside of navigation expenditure or were there still things that were navigation expenditure only. The CE replied that there was no proposal to redefine what navigation expenditure was, but to make the case about what was legitimate expenditure of a National Park grant. He thought that DEFRA officials recognised and understood the overlap in the Authority's functions.

A Member asked whether this position had been legally checked and commented that the Authority needed to make certain of the legal position. The CE replied that the body that would be most interested in how this money would be used would be DEFRA. A Member commented that it was clear that everything had been done transparently and if the Minister and DEFRA were happy, he did not think that seeking further legal advice was necessary and could only create potential problems by doing so. A Member said that he would be very much against taking a legal opinion as the last thing that was needed was further expenditure on legal opinions.

The DF confirmed that there was a precedent for using National Park capital funding in this way. The funds received in 2022/23, had been treated as a National Park grant and a number of items that were purchased from that grant had benefited navigation.

A Member asked whether it could be made clearer that navigation income was not being used for the benefit National Park projects. The CE confirmed that this point was clearly stated at the last Broads Authority meeting and reiterated that the Authority was only using its navigation income to fund navigation expenditure.

Michael Scott proposed, seconded by Stephen Bolt.

It was resolved unanimously to:

- i. Explicitly adopt the principle that National Park Grant, capital and revenue, could be used on items where there was a co-benefit for navigation as long as the funding was primarily used to deliver National Park purposes. This was on the basis that the current recreational use of the waterways was consistent with the Authority's**

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

second National Park purpose of “promoting opportunities for the understanding and enjoyment of the special qualities of the Broads by the public”.

- ii. Subject to Defra’s confirmation of a capital grant of £500,000 the Authority implements the capital expenditure set out in Table 1 of the Capital Programme 2024/25 report. The income and expenditure would be treated as National Park income and expenditure even though there was a co-benefit to the maintenance of the waterways.**
- iii. Delegate authority to the Management Team to amend the list of items to ensure that the funding was spent before 31 March 2025.**

9. Strategic direction – draft Annual Business Plan 2024/25 and Strategic priorities update for 2023/24

Members received the report of the Senior Governance Officer. The Chief Executive (CE) said that he would like to highlight that the strategic priorities for 2023/24 were not easy to achieve. He was really pleased as to how well the Authority had done and thanked all the staff involved.

In terms of the replacement of the IT system for tolls, the Authority had spent around £80,000 of National Park money in 2006 to develop an online system to collect toll payments. This system now presented the Authority with a considerable risk as the underpinning software was no longer maintained. Bill Housden, the Head of ICT/Collector of Tolls and Steve Linford, the IT Project Officer had found a solution. They were now in the process of contracting a company to update the software that would make the tolls system more robust at a cost of around £23,000. He added that, this was a good example of how the Authority’s highly skilled staff could deliver cost-efficient solutions.

The CE said that the Water, Mills and Marshes project was coming to an end and wanted to acknowledge the tremendous work that Andrew Farrell, the Partnership & External Funding Manager, had done on that project. The CE thanked Natalie Beal, Planning Policy Officer, for all her hard work on putting together the Local Plan and said that those working on the Farming in Protected Landscapes (FiPL) project were doing a brilliant job.

The CE said that he wanted to recognise the huge amount of skill and talent the Authority had and the hard work that staff put into these projects.

A Member asked whether work was continuing with farmers regarding field run-off onto roads and into the waterways. The CE confirmed that work was still ongoing with partners and said that he chaired the Land Management Board and there were new innovations coming to the market, such as modern equipment that enabled direct drilling of potatoes which reduced field run-off.

A Member echoed the CE’s thanks for completing an interesting range of projects. They commented that it was remarkable that the Authority could deliver such a range of projects and programmes over the last financial year given the scale of resources available and said

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

that the CE should pass on the Members' thanks to all Broads Authority staff for these achievements.

A Member asked whether the delays in the refurbishment of Yare House affected the budget. The Director of Finance (DF) replied that it would not impact this year's budget but would impact the budget for 2024/25. When the budget was set, the assumption was made that occupancy of Yare House would be in the smaller space by April 2024. The DF said that all the leases and documents had yet to be signed and that they were with the solicitors but hoped that the lease would be received next week, and then the work could be turned around quite quickly.

A Member commented that the strategic priorities for 2024/25 did not explicitly mention the Nature Recovery Strategy and asked whether that was an accidental omission and would the Authority continue to seek to influence the plans and could the strategy be added as a specific reference in the strategic priorities. The CE replied that the Broads Authority took the view that, when developing the Nature Recovery Strategy, the Broads were really important. The two county councils involved had difficulties in terms of staffing and the Authority was disappointed with the progress that had been made. The Authority was supporting and helping the councils in this regard and were pushing as hard as was possible to encourage progress. This was an important project for the future and the CE confirmed that the Environmental Policy Officer was on the case.

A Member commented that he was concerned that the report did not cover everything that the Broads Authority was doing on both the Climate Change and Biodiversity crisis response items and asked whether all things that the Authority was doing could be reported. He added that he would like to see updates on how the Authority had engaged across the Broads area with external partners to drive change, as well as updates on the progress of dealing with the three main invasive species of mink, giant hogweed and floating pennywort. The CE replied that the programme to control mink had been very successful and this was an area where the Authority had been a key player in working with other organisations. In terms of floating pennywort, the Authority was working closely with the Environment Agency and volunteers. Floating pennywort was a big problem and the Authority continued to work really hard to eradicate it, and the Rangers were always on the lookout for any signs of the plant.

A Member commented that he was pleased to see that maintaining navigation access was included in the strategic priorities, but would like to see a renewed focus on this priority as he believed that at present, the Broads navigation was being compromised by bridge access. The CE replied that bridges were a problem area and the Authority would continue to work with Members and others to push forward the case that bridges were essential, and that they were able to, and did, open.

Alan Goodchild proposed, seconded by Tony Grayling.

It was resolved unanimously to adopt the Annual Business Plan 2024/25 and to note the final 2023/24 strategic priorities update.

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

10. Financial performance and direction

Members received the report of the Director of Finance (DF). The Chair advised Members that this report was considered by the Risk, Audit and Governance Committee on 12 March 2024 and was recommended for approval. The DF reported that she was unable to give an update to Members on February's figures because of a small technical issue, however, she would send an update to Members via email following the meeting.¹

The DF referred Members to the updated Earmarked Reserve Strategy set out in Appendix 3 of the report and reiterated that the amendments to the reserves since the Members saw the budget in January, did not affect the overall income and expenditure position.

Paul Hayden proposed, seconded by Sian Limpenny.

It was resolved unanimously to:

- i. Note the income and expenditure figures and the prudential indicators in paragraph 6.1 of the Financial performance and direction report.**
- ii. Adopt the updated earmarked reserves strategy for 2024/25 to 2026/27.**

11. IFRS16 – New accounting policy from 2024/25

Members received the report of the Director of Finance (DF). The Chair said that this report was considered by the Risk, Audit and Governance Committee on 12 March and was recommended for approval by the Board. The DF said that IFRS16 was a new accounting standard that those in the public sector needed to adopt.

The Chair of the Risk, Audit and Governance Committee commented that this policy was hugely complicated. The DF and the finance team had done a remarkable job to bring clarity to something that was very difficult and said that the team needed to be commended.

Matthew Shardlow proposed, seconded by Alan Goodchild.

It was resolved unanimously to:

- i. Note the progress on implementation.**
- ii. Approve the new IFRS16 accounting policy from 1 April 2024**

12. Capital, Treasury and Investment Strategy

Members received the report of the Director of Finance (DF). The Chair said that this report was considered by the Risk, Audit and Governance Committee on 12 March and was recommended for approval by the Board. The DF said that this was an annual strategy that was put before Members for approval before the start of each financial year. The operational boundary debt had increased due to the implementation of the Right of Use assets (IFRS 16),

¹ The Director of Finance provided Members with an update via email on 18 March 2024.

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

and also had an impact on the capital finance as set out in the report. The DF wanted to reassure Members that the increase in debt was in recognition of the lease liability.

The Chair of the Risk, Audit and Governance Committee commented that, as noted in the report, the Risk, Audit and Governance Committee had agreed to look at treasury management over the next twelve months, as this was important in terms of the reserves that were being held. They would also be looking at the investment position in relation to investments that the Broads Authority might hold, and therefore there would be ethical considerations brought into that.

Tim Jickells proposed, seconded by Michael Scott.

It was resolved unanimously to adopt the Capital, Treasury and Investment Strategy.

13. Integrated Access Strategy

Members received the report of the Waterways and Recreation Officer (WRO). The WRO said that Appendix 1 to the report was the framework that had been put together for access to the Broads. The strategy included the mooring and demasting provision on the Broads Waterways which made it a more rounded strategy for access. The WRO said that this was a 2-stage consultation, the first stage was consulting with statutory and major stakeholder organisations, and the second was an open public consultation which received a well-rounded response. Those responses were taken on board which enabled framework document to be put together for projects coming up in the next three years.

A Member commented that this was a good piece of work and congratulated the WRO. He asked how the objective of increasing the diversity of people using the Broads would be measured. The WRO replied that the document was a framework which set out what the Authority wanted to achieve and the next piece of work would be the implementation stage and this would set out how the objectives would be achieved and how they would be reported.

A Member asked what metrics would be used and whether there was a baseline to look at before any objectives were implemented. The WRO said that the Authority had a contract with Active Exchange which worked on anonymised mobile data and the baseline data would be entered, starting with this year. The data would then be used going forward to see how many people visit, where they visit and times.

A Member asked whether there would be a provision for moving pontoons on the Lower Bure for demasting. The current pontoon was too far away from Great Yarmouth and asked whether moving that pontoon to a more suitable area for demasting could be considered. The Director of Operations (DO) replied that the Strategy was the framework, but on specifics the Authority did know that the demasting provisions needed to be improved near Great Yarmouth, however, the Authority was constrained by a number of things. He added that the Authority continued to strive to improve things and the mooring was being looked at to see if it could be moved up.

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

A Member commented that when metrics were included, they were often prescribed and narrowly focused and asked that when measurements and observations were made, that the Authority was open to things that were not expected.

A Member asked whether there was an opportunity to use AI techniques to look at insights that perhaps would not be gained from ordinarily observing the data. The WRO said that the plan was to utilise a range of systems to ensure that a greater picture of who was using the Broads and why, and thought that AI would be a good choice for that.

The Chair thanked the WRO on behalf of all the Members for the work done on the Strategy.

Martyn Hooton proposed, seconded by Stephen Bolt.

It was resolved unanimously to adopt the Integrated Access Strategy.

14. Local Plan consultation

Members received the report and the Local Plan consultation document from the Planning Policy Officer (PPO). The Chair commented that the Local Plan was considered by the Planning Committee on 1 March and it was recommended that the documents were issued for public consultation.

The PPO said that at the Planning Committee meeting on 1 March, Members asked for a slight change to the Stokesby Policy which had now been made in the final version of the Local Plan. The two policies highlighted yellow in the paper received by Members and the changes to the Biodiversity Net Gain policy had also endorsed at the Planning Committee on 1 March.

If approved by the Broads Authority, the consultation on the Local Plan would commence on 25 March 2024 for eight weeks and there would be three drop-in events which were detailed in the report. It was hoped that there would be an interactive map available during the consultation.

The Chair of the Planning Committee commented that he would urge Members to approve the plan for public consultation at the meeting and said that it was a vital part of a long path taken to arrive at this point. He thanked both previous and current Members of the Planning Committee who had all taken part in the long process of the PPO's bite-sized pieces. He added that he could not speak highly enough of the PPO's skill and tenacity and thanked her for all of her work on the project.

A Member commented that the Habitats Regulations Assessment (HRA) had been delayed and asked whether this had to be consulted at the same time as the Local Plan. The PPO replied that it was important to note that all of the bite-sized pieces had first gone to a Habitats Regulation consultant and the HRA had now been completed as per recommendations from the consultants and was endorsed by the Chair of Planning and the Head of Planning. The HRA was in place and was ready to go out to public consultation.

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

A Member commented that this was a phenomenal piece of work and agreed with everything that the Chair of the Planning Committee said and would urge Members to approve for consultation purposes.

A Member said that, as an additional piece of information, the Greater Norwich Local Plan would be fully passed by the end of the week.

Martyn Hooton proposed, seconded by Alan Goodchild.

It was resolved unanimously to:

- i. To endorse the Preferred Options version of the Local Plan, Sustainability Appraisal and Habitats Regulations Assessment (HRA) for public consultation.**
- ii. Delegate any typos, formatting, or minor improvements to the Planning Policy Officer.**

15. Risk Management Policy

Members received the report of the Senior Governance Officer (SGO). The Chair said that this was a regular update which had been considered by the Risk, Audit and Governance Committee on 12 March, and was recommended for approval by the Board. The SGO said that this was a scheduled review of the policy and the changes that were proposed were minor.

The Chair of the Risk, Audit and Governance Committee commented that the committee was happy with the changes.

Stephen Bolt proposed, seconded by Harry Blathwayt.

It was resolved unanimously to adopt the Risk Management policy.

16. Committee timetable of meetings 2024/25

Members received the report of the Senior Governance Officer (SGO). The Chair confirmed that the draft calendar was circulated to Members a few weeks ago.

A Member said that the Standards Committee should meet at least one time per year, however, on the calendar it mentioned that the committee would meet as and when necessary and asked whether a date should be pencilled in. The SGO said that it was not clear when the next meeting of the Standards Committee would be held, therefore, it was suggested that this be agreed at a later date once the work schedule had been decided.

Matt Shardlow proposed, seconded by Paul Hayden.

It was resolved unanimously to approve the committee calendar for 2024/25.

17. 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.

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

18. Minutes to be received

Members received the minutes of the following meetings:

21 July 2023 – Risk, Audit and Governance

29 November 2023 – Broads Local Access Forum

5 January 2024 – Planning Committee

2 February 2024 - Planning Committee

19. Other items of business

There were no other items of business.

20. Formal questions

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

21. Date of next meeting

The next meeting of the Authority would be held on Friday 10 May 2024 at 10.00am at The King's Centre, 63-75 Kings Street, Norwich, NR1 1PH.

The meeting ended at 11:27am

Signed by

Chairman

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

Appendix 1 – Declaration of interests: Broads Authority, 15 March 2024

Member	Agenda/minute	Nature of interest
Matthew Shardlow	9	Chief Executive of Buglife, the Invertebrate Conservation Trust. The Member Code of Conduct allowed for this Member to participate and vote.

DRAFT

Broads Authority

10 May 2024

Agenda item number 8

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>Updates before July 2023 have been archived and are available to read on Summary of Action reports from previous committee meetings.</p> <p>July 23: The Community Infrastructure Levy funding application was unsuccessful. The project team are scoping options for proceeding with the £216,000 currently available from the previous funding application. Norfolk County Council (NCC) are meeting with GNGB to establish the feasibility of a reapplication for funding. NCC are also actively looking for alternative funding to support the project.</p> <p>At the Hardley Flood site - there are three major ecological considerations (European protected species) Otters by footpath line - commissioned consultant to report. Water vole - a Norfolk Biodiversity Info report has been requested. Desmoulin's Whorl Snails – very specialist species – awaiting report.</p> <p>Once the ecological reports are completed talks will be held with Natural England regarding next steps. NCC have met with NP Law for advice on statutory duties and legislation for priority for Public Rights of Way or Ecology.</p> <p>At the Bramerton Site – the Broads Authority are working with engineering consultants on a gabion basket and rock roll design for the bank restoration.</p> <p>August 2023: No further update.</p> <p>November 2023: Work still ongoing and habitat assessments are being carried out.</p>	31/12/2021

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>January 2024: The January 11 meeting of the Wherryman's Way stakeholder group was cancelled as there were no new updates, but: Hardley Flood planning application is being prepared by NCC and it is hope it will be submitted by the end of January 2024. Bramerton Planning Application is being finalised by NCC and again it is hoped it will be submitted late January 2024.</p> <p>If both applications are sucessful the partnership work is expected to be completed by May 2024.</p> <p>February 2024: Planning applications (BA2024/0053/FUL) has been received to make repairs to two footbridges and access ramps on footpath 4, south-west of Hardley Flood.</p> <p>April 2024: A planning application will go before the Planning Committee on 26 April. A vole survey is planned for the site on 15 April. At a recent site visit the dredged material (placed two years ago) was observed to have heavily eroded and in places the current path is less than a metre wide and dropping into the river. Meetings with Norfolk County Council are planned to discuss this narrowing of the path and potential remedies and the overall safety of the path</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 Work toward making the Broads Authority 'carbon neutral' by 2030, with further objective of reducing all carbon emissions to zero by 2040. Establish base line for CO2 emissions using a common methodology with NPAs and develop an Action Plan and Monitoring system. Work with constituent local authorities to reduce emissions from domestic, travel and other sources in the Broads across the two counties. 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>Updates before July 2023 have been archived and are available to read on Summary of Action reports from previous committee meetings.</p> <p>September 2022: A member workshop was held on 25 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> <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 22 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</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
			<p>Work with boating and tourism organisations to continue promoting and developing environmentally friendly boating and sustainable tourism; and Aspire to offsetting carbon emissions locally within the Broads by a Broads offsetting scheme.</p>	<p>will hear in early January the outcome of the bids to the Pioneer Places fund and the Norfolk Investment Framework. 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. June 2023: We have had discussions with the Canal & Rivers Trust and Environment Agency to see what joint work can be done on boating electrification. Round 4 of the Clean Maritime Demonstration Competition is expected to open in July 2023, we will reach out to partners to determine if we can submit a bid. We are drafting a tender for the installation of solar panels at the Dockyard. We have launched a consultation with Visit The Broads members to identify opportunities to use funding from the Norfolk investment Framework to support sustainable tourism. September 2023: We are continuing to work with Norfolk County Council on developing a bid under the Norfolk Investment Framework for Sustainable tourism. Unfortunately the Clean Maritime Demonstration Competition Round 4 has not proved suitable for the Electrifying the Broads project as it does not allow for capital expenditure. The Dockyard solar tender is currently open and will close on 15 September. April 2024: No further update.</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). The project budget was revised to £1,125,831 in April 2023 (the formal Change Control Notice was received from Natural England on 20 April 2023). Broads Peat was initially expected to close in March 2023 - an extension until 31 August 2023 has been granted. Following the Discovery phase, a restoration grant was awarded for Buttle Marsh on 26 August 2023.</p>	<p>Updates before July 2023 have been archived and are available to read on Summary of Action reports from previous committee meetings. March 2023: 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. April 2023: The peat project extension to 31 August was approved, with a revised budget of £1,125,831; the formal Change Control Notice was received from Natural England on 20 April 2023. A restoration bid is being prepared for Buttle Marsh, and discussions have taken place for other sites. Field-by-field assessment of carbon emissions in the Broads was presented to the Lowland Peatland Conference</p>	31/03/2023

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>in Ely 17-18 April. SWT secondment ended at the end of March. The Carbon Reduction Project Manager is providing additional support to the project.</p> <p>June 2023: The restoration bid was submitted for Buttle Marsh. Paludiculture Exploration Fund project 'FibreBroads' successful, led by Broads Authority, with Norfolk FWAG, Norfolk County Council, NUA, Wetland Products Foundation and Hudson Architects. with support from EA, Broads IDB, Fenland Soil.</p> <p>September 2023: The Broads Peat Discovery project closed at the end of August, and preparation for the final reporting is underway. The Nature for Climate Peatland Restoration Grant has been awarded to Buttle Marsh in August 2023, with co-funding secured from Anglian Water. Peatlands set to be restored to help tackle climate change - GOV.UK (www.gov.uk)</p> <p>The other Nature for Climate partnership project led by the Broads Authority, 'FibreBroads', ~£500 funded by the Paludiculture Exploration Fund has also started. New investment in peat in fight against climate change - GOV.UK (www.gov.uk). It hosted Minister Pow on 11 & 12 August. Minister Spencer visited the FibreBroads stand at the Royal Norfolk Show. The project featured in eight media articles since the launch of the project in June 2023.</p> <p>November 2023: Reporting on Broads Peat Project complete.</p> <p>Buttle Marsh Peat Restoration project is securing permissions for water transfer, eels, planning and water voles and reviewing project costs for delivery in 2024, subject to permissions.</p> <p>FibreBroads, a partnership led by the Broads Authority to grow wetland crops, engage with farmers, regulators and fibre product developers is on track. Wetland plants are growing well and many wading birds benefit from the shallow water and damp conditions. Farmer one to ones and workshops in planning stage and 50 NUA students engaged in product awareness.</p> <p>Two further Nature for Climate partnership bids involving the Broads Authority totalling ~£260k have been applied for focusing on water management and farmer collaboration.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>January 2024: Buttle Marsh Peat Restoration project gained planning permission and continues work on securing permissions for water transfer, eels and water voles and reviewing project costs to add in a water storage reservoir for delivery in 2024, subject to permissions. Discussing new wind pump design to comply with eel regulations. FibreBroads remains on track. Presented at Defra lowland agriculture workshop in December and hosted the Defra Peat Team. Presenting at January Paludiculture Conference in Manchester. Planning novel acoustic monitoring of wading birds at wetland demonstration site. 12 Farmer one to ones completed and farm adviser workshops in planning stage. Fenland Soil farmers are visiting the Broads for a Farmer's Dialogue visit to the Wet Farming Trials at Horsey on 16 January 2024. Wetland plants are growing well. Awaiting notification of the two further Nature for Climate partnership bids involving the Broads Authority totalling ~£260k have been applied for focusing on water management and farmer collaboration.</p> <p>February 2024: Buttle Marsh Peat Restoration project continues work on securing permissions for water transfer, eels and water voles and designing water storage reservoir for delivery in 2024, subject to permissions. FibreBroads remains on track. Will be presented at Norfolk Show and hosted Fenland Soil Farmers as well as preparing to host partners from the Great Fen in April. Novel wildlife acoustic monitoring will be set out in March at wetland demonstration site, which is also being adjusted to optimise water filtration. The project team are putting on a farm advisers training day for peat restoration and green finance. Hudsons Architects are presenting at Future Build. Secured two further Nature for Climate: Lowland Agricultural Peat partnership grants involving the Broads Authority totalling ~£260k focusing on water management and farmer collaboration.</p> <p>April 2024: Scientific publication being prepared on our assessment of current and future GHG emissions from peat soils in the Broads National Park with Cranfield University.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>LAPSIP grant has enabled the install of a further 10 peat level cameras with farmers with UKCEH, making the Broads the most significant area for peat level monitoring in the UK. LPAWDP is starting work with BAWAG and partners to engage with farmers across 4 areas of the Broads. Advisers training on peatland and watertable management very well recieved. The water permissions and BNG support was particularly useful. FibreBroads will be in the Innovation Hub at the Norfolk Show again in June.</p>	
Reduction in office space at Yare House	28/07/2023	Emma Krelle	Reduce occupation to cut overhead costs and reduce carbon emissions.	<p>September 2023: Revised plans for reduced occupation submitted for landlord approval.</p> <p>October 2023: Plans approved by landlord. Prequalification stage of works tender complete with tender packs being finalised to be issued in November.</p> <p>November 2023: Tenders issued on 8 November 2023 and the closing date was 15 December 2023. It is hoped that the work will start early in the New Year.</p> <p>January 2024: Tender responses reviewed 15 December and we are in the final stages of finalising our preferred contractor. Building Control Plans have been submitted with the view to the new lease being agreed and works commencing last week of January.</p> <p>February 2024: Delays in January with responses from the Landlord means the lease is still not agreed. The Authority's solicitor is helping to move along outstanding queries for the lease to be agreed as soon as possible.</p> <p>March 2024: The Broads Authority signed the lease and supporting documents on 26 March 2024. Landord is due to sign by 19 April 2024.</p> <p>April 2024: Licence for surrender and alterations signed by Landlord 19 April 2024. Seven days notice to start works issued to landlord and tenants. Contractor due to start on site 29 April 2024.</p>	
Funding the waterways of the Broads National Park	26/01/2024	John Packman	To track the progress on making the case for central Government funding to support the maintenance of the Broads waterways.	<p>January 2024: The Board unanimously endorsed the paper and supported the Chairman in writing to the Secretary of State for the Environment.</p> <p>February 2024: Chairman has written to the Minister and local MPs.</p>	

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				April 2024: Response received from Defra Minister 18 March 2024. See Appendix to report on National Park Grant (agenda item 9).	
Appeal under S31 Harbours Act 1964		John Packman	Broads Hire Boat Federation lodged an appeal with the Department for Transport on 11 October 2023, 10 months after Broads Authority decision in January 2023 regarding navigation charges for 2023/24.	22 November 2023: Broads Hire Boat Federation published notice in Eastern Daily Press 23 February 2024: Broads Authority submits response March 2024: Decision by Department for Transport expected. April 2024: Awaiting decision.	
Capital Programme 2024/25	15/03/2024	John Packman	At the meeting on 15 March 2024 it was reported that a third tranche of capital funding was likely to become available in the form of a further £10 million for the 44 Protected Landscapes in England, £5 million for the AONBs and £5 million for the National Parks, divided equally between them. A bid was submitted to DEFRA for the purchase of five items: the development and build a replacement Ranger launch; a new concrete pump; replacement of four Hilux (Rangers and CME); a Dipper Arm Extension and Weed Bucket for Fen Excavator; and a Steel Welfare Unit.	March 2024: The Board approved that, subject to Defra's confirmation of a capital grant of £500,000, the Authority implemented the capital expenditure set out in Table 1 of the Capital Programme 2024/25 report of 15 March 2024. April 2024: See report on National Park Grant for update (agenda item 9).	
Flood Risk		Dan Hoare	Follow up to public meeting in Horning on 2 Feb 2024 to investigate whether further dredging of the Lower Bure would have any benefit in reducing flood risk further up in the catchment	April 2024: Through the Broadland Futures Initiative (BFI) a new fluvial/tidal hydrological model of the Broads river system has been built to be used during strategy development to understand the implications of climate change and sea level rise on flood risk and to test the effectiveness of different possible flood risk management actions. In addition, the model outputs will be used by the Environment Agency's local Partnership and Strategic Overview team during their day-to-day work. As part of the review and calibration of the new model we are keen to share outputs based on past events. While we have a good calibration of the model against the gauged data, such discussion will help add further confidence to the modelling. It is proposed to have a virtual workshop session (using MS Teams) where we will use GIS software to review the modelled flood extents of the following calibration events: On top of this planned stage of the model development, the specific ask from the Broads Authority is now fully included	31/08/2024

Title	Meeting date	Lead officer	Summary of actions	Progress so far	Target date
				<p>in the contract from EA to Jacob's. The additional work will generate model runs with modified channel bed levels (below the current bathymetry) for two capital dredging scenario's along the Bure Loop (Removal of all sediment to -2.5 m below ODN. This is roughly half a metre below the Authority's current Waterways Specification depth) Removal of all sediment to -3.0 m below ODN. This is roughly one metre below the Authority's current Waterways Specification depth)</p> <p>From these model runs, the total volume of sediment to achieve these river depths can be calculated. The wider application of this modelling will be to understand the impact of climate change on the proposed dredging regime and what impact such capital dredging may have on water levels higher up in the northern river system.</p>	
Haven Bridge	02/04/2024	John Packman	The Great Yarmouth Ports Leisure Users meeting on 2 April had a long discussion regarding the problems with the Haven Bridge. There is a dispute between Peel Ports and Norfolk County Council regarding opening the bridge which is having an adverse impact on commercial and private boat owners based in the Broads.	April 2024: Chief Executive has contacted Norfolk County Council and has been asked to brief the local MP. Awaiting outcome of discussions between Peel Ports and Norfolk County Council.	

Date of report: 25 April 2024

Broads Authority

10 May 2024

Agenda item number 9

National Park Grant and Outcomes Framework

Report by Chief Executive and Director of Finance

Purpose

The report updates the Authority on recent decisions by Defra on National Park funding.

Broads Plan context

All strategic actions within the plan.

Recommended decision

Support the draft plans for the expenditure of the additional National Park funding.

Contents

1.	National Park Grant	1
2.	Protected Landscapes Targets and Outcomes Framework	3
3.	Funding for Waterways in the Broads National Park	4
4.	Financial implications	4
5.	Risk implications	4
6.	Conclusion	4

1. National Park Grant

- 1.1. On 28 March 2024 Defra informed the Authority of its Grant Funding for 2024/25. The total annual grant award of £3,996,929 is allocated as follows:

Core Grant Funding	£3,414,078
Core 24/25 Uplift Capital Funding	£ 250,000
Core 24/25 Uplift Revenue Funding	£ 250,000
Access for All Capital Funding	£ 82,851

- 1.2. This allocation will be formally confirmed via a Change Control Notice (CCN) which at the time of writing we are still awaiting.

1.3. In addition, the Authority has been allocated £480,320 for the Farming in Protected Landscapes Programme in the following manner.

Table 1

Broads Authority FiPL Allocation 2024/25

Area	Revenue	Capital	Total	% of Total Allocation
Project Delivery minimum allowance (£)	£260,705	£120,080	£380,785	79.3%
Advice & Guidance max allowance (£)	£62,670	-	£62,670	13.0%
Admin max allowance (£)	£36,865	-	£36,865	7.7%
Total Allocation	£360,240	£120,080	£480,320	-

1.4. At the last meeting, the Authority agreed a list of capital items subject to Defra’s confirmation of a capital grant of £500,000 delegating authority to the Management Team to amend the list of items to ensure that the funding is spent before 31 March 2025. Half of the additional £500,000 funding is revenue as opposed to capital which provides more flexibility on the projects that can be funded.

1.5. It is critical that the capital funding is spent before the 31 March 2025 and therefore subject to the contents of Change Control Notice (CCN) items from the list that can be readily purchased have been identified and are shown in Table 2.

Table 2

Draft Capital Programme 2024/25

Item	Description	Cost	Lead Officer
Concrete pump	A concrete pump is an integral part of the Authority’s dredging operation and needs replacement. While there will be biodiversity and water quality benefits from the deployment of the concrete pump, there is a significant benefit in improved public access through the maintenance of the waterways.	£173,000	Head of Construction, Maintenance & Ecology
Two replacement Hilux	Replacement of vehicles at the end of their life for Rangers and Construction, Maintenance and Ecology staff	£60,000	Head of Construction, Maintenance & Ecology & Head of

Item	Description	Cost	Lead Officer
			Ranger Services
Dipper Arm Extension and Weed Bucket for Fen Excavator	These would facilitate on-going fen management on the Authority's own land and sites managed for third parties	£16,000	Head of Construction, Maintenance & Ecology
Steel welfare unit	To replace a previous wooden welfare hut and upgrade facilities for staff welfare working in remote locations in the Broads.	£8,000	Head of Construction, Maintenance & Ecology
Total		c.£257,000	

- 1.6. Members may recall that as part of the budget decision for 2024/25 it was agreed not to make contributions to the earmarked reserves following the capital grant received in 2022/23 to minimise the impact on the tolls increases. It is proposed to put the additional £250,000 National Park revenue funding in the earmarked reserves to support the purchase of the other items: the research, development and delivery of a replacement Ranger launch and the additional replacement vehicles previously identified. Other potential items for use of this funding are a finance system and costs associated with the downsizing of the Authority's occupation of Yare House. The purchase of the launch and the finance system will be subject to tender, and it will only be then that definitive costs will be known. Updates on progress will be provided by The Finance, Performance and Direction report.
- 1.7. The Access for All Capital Funding is earmarked for the redesign of the footpaths at Hoveton Riverside Park and the tenders for the piling will be significant in identifying how much of that proposal can be implemented. It is proposed that the balance of any access funding will be used to improve the path at Acle from the moorings to the village.

2. Protected Landscapes Targets and Outcomes Framework

- 2.1. On 31 January Defra published a [Protected Landscapes Targets and Outcomes Framework - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/protected-landscapes-targets-and-outcomes-framework). This sets out 10 targets for National Parks and National Landscapes (formerly known as AONBs) linked to Defra's [Environmental Improvement Plan 2023 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/environmental-improvement-plan-2023).
- 2.2. *"The Protected Landscape targets are non-statutory and create a shared ambition for all 44 of England's Protected Landscapes. The targets are for the Protected Landscapes as places (the geographic area covered by the designation). Action will be coordinated by Protected Landscape bodies through their statutory management plan. It will be the*

responsibility of all stakeholders, partners and land managers in the area to support their delivery.”

- 2.3. On 18 April Natural England circulated a *Protected Landscapes Targets and Outcomes Framework Baseline Data Release 2024 - Guidance Note*. This provides details of the statistics that will be used to monitor the progress against the Framework. A copy is included in Appendix 1 for the Authority’s information. These targets and indicators are likely to become more significant as we go forward.

3. Funding for Waterways in the Broads National Park

- 3.1. A response has been received from Rebecca Pow MP, the Defra Minister with responsibility for National Parks regarding the funding of waterways in the Broads National Park (See Appendix 2)

4. Financial implications

- 4.1. Despite the Authority not receiving the CCN DEFRA has confirmed that the additional revenue can be spent as deemed necessary to deliver national park purposes. As long as that is on eligible expenditure within the funded activities of the grant agreement.
- 4.2. In the budget it was the intention that all these items (except two additional vehicles) would be funded from the earmarked reserves. Historically the Authority has not received capital grants and has funded capital purchases by making revenue contributions to the earmarked reserves. The impact of this additional funding it is likely that the earmarked reserve balances will be greater than originally predicted.

5. Risk implications

- 5.1. The risk of not spending the capital funding by 31 March 2025 is now significantly reduced as half the additional funding is revenue rather than capital. Selecting items that can be readily purchased reduces that risk.

6. Conclusion

- 6.1. Additional funding is always welcome, and it is hoped that in the future it can be built into our base line funding.

Author: John Packman, Emma Krelle

Date of report: 23 April 2024

Background papers: Letter from Defra dated 28 March 2024 and correspondence from Natural England dates 18 April 2024

Appendix 1 – Target indicators and supporting statistics for the Protected Landscapes Targets and Outcomes Framework

Appendix 2 – Response from Defra Minister

Appendix 1 – Target indicators and supporting statistics for the Protected Landscapes Targets and Outcomes Framework



Protected Landscapes Targets and Outcomes Framework Baseline Data Release 2024 - Guidance Note

1.0 Introduction

1.1 Purpose

This paper provides an overview of the baseline data (in the form of statistics) that Natural England is supplying under the [Protected Landscapes Targets and Outcomes Framework](#) (PLTOF) in 2024. It explains the background to the Framework; the relationship between outcomes, targets, indicators and statistics; and lists the statistics that are being supplied.

1.2 Background to the Framework

To support Protected Landscapes in meeting their huge potential for nature, climate, people and place, the Government has established ambitious targets for National Parks and National Landscapes. These targets will promote the actions that are most needed to achieve positive changes. They set the ambition for how Protected Landscapes are expected to achieve three outcomes (or goals) from the [Environmental Improvement Plan \(EIP\) 2023](#):

- Goal 1: Thriving plants and wildlife.
- Goal 7: Mitigating and adapting to climate change.
- Goal 10: Enhancing beauty, heritage and engagement with the natural environment.

The PLTOF defines the contribution that Protected Landscapes (as areas) should make to national targets and the above EIP outcomes to guide local decision-making and prioritisation. This is a landmark step in achieving the Government's global goal to protect 30% of land for nature by 2030.

The Framework provides a mechanism for measuring progress and delivery towards the above outcomes. It will demonstrate the vital role that Protected Landscapes can play in tackling some of the most important challenges faced by society, whilst continuing to support their rural economies and local communities.

1.3 Targets, indicators and statistics

The Framework contains 10 targets. Each target is accompanied by an indicator which will measure progress towards it and its related outcome, as set out in **Annex 1**. The indicator is supported by statistics generated from nationally available data. For example, for Target 2: *Bring 80% of SSSIs within Protected Landscapes into favourable condition by 2042*, the links are shown as follows:

EIP Outcome	PLTOF Target	Target Indicator	Statistic
Goal 1 Thriving plants and wildlife	2. Bring 80% of SSSIs within Protected Landscapes into favourable condition by 2042	2. Percentage of SSSIs within Protected Landscapes in favourable condition	TI_2* Percentage of SSSI features within Protected Landscapes in favourable condition

*This is the statistic code – see 2.2 for further information.

Natural England has collated national statistics from a range of data providers (where available) to establish the baseline for the Framework’s indicators. Data owners include Natural England, Defra, the Forestry Commission and Historic England.

1.4 Additional statistics

There are no national EIP targets for landscape (including natural beauty) or the historic environment¹. This is partly because these aspects are currently difficult to monitor through consistent nationally available data. However, this does not mean that they are not important, particularly as National Parks and National Landscapes share the first purpose of conserving and enhancing natural beauty (and National Parks’ first purpose includes cultural heritage). In recognition of this, Natural England has identified and collated a wider set of additional statistics relevant to the statutory purposes of Protected Landscapes. These statistics are listed in **Annex 2**. We also know that Protected Landscape bodies find this information helpful for ‘State of’ reporting in support of management planning, as has been the case through the previous MEOPL (Monitoring Environmental Outcomes in Protected Landscapes) data releases.

2.0 The Framework statistics

2.1 Lists of statistics

Annex 1 lists the baseline (2024) statistics that Natural England will share with Protected Landscape bodies, Defra and the Protected Landscape Partnership and when. It also sets out the provider and the license that applies and the intended reporting cycle. **Annex 2** provides the same information for the additional statistics.

2.2 Naming convention

A statistic that supports a Target Indicator is named as follows:

TI_[number]_pltof_[description]_data_[month of release]_[year of release]

For example: ‘TI_2_pltof_sssi_condition_data_april_2024’

The naming of additional statistics follows the same pattern:

Stat [number]_pltof_[description]_data_[month of release]_[year of release]

For example: ‘Stat_1_pltof_priority_habitats_data_april_2024’

¹ Although there is no specific EIP target for heritage, the Framework includes a target relating to nationally designated heritage assets at risk. This is because nationally consistent data is available which allows an important aspect of heritage to be monitored. It also aligns with one of the EIP indicators used to monitor national progress towards the ‘Enhancing beauty, heritage and engagement with the natural environment’ goal.

Each Target Indicator is prefaced by the associated statistic code (for example, 'TI_1, TI_2' etc) in Annex 1, rather than listing the full name of the statistic. This is to avoid repetition.

2.3 Information accompanying the statistics

Each set of statistics has a cover note that includes important information, including a brief description of the data and contact details for questions.

Most of the statistics are accompanied by two documents:

- a) A combined metadata document that provides information about the data, such as its lineage.
- b) A combined Technical Summary document that explains the methods used to produce all the statistics.

The exceptions are:

- The greenhouse gas emissions statistics for National Landscapes, which the Department for Energy Security and Net Zero (DESNZ) is due to publish online in June 2024.
- The carbon storage statistics, which Natural England is also due to release in June 2024.

3.0 Ongoing work to provide statistics and monitor progress

3.1 Review of Framework

Defra will review the Framework at least every five years, linked to refreshes of the [EIP](#). Defra will adjust the targets, indicators and supporting statistics in the interim (as needed) to ensure they remain relevant and functional. Natural England will support this process and will collate and provide annual updates of statistics (where available) each April to the Protected Landscapes Partnership, Defra and Protected Landscape bodies.

3.2 Monitoring of progress

Natural England will evaluate progress towards the targets and outcomes in the Framework. This will be informed by analysing trends from the annual statistics against the targets. We will produce an overall annual progress report containing headline narratives and an analysis of trends. The first report is due in summer 2025 to tie-in with the EIP annual progress report.

4.0 Contacts

For further information about the individual statistics, please contact the relevant data holder - see the contact details on the cover note of each set of statistics.

For general queries on the PLTOF, contact protectedlandscapes-tof@naturalengland.org.uk or the Working Group representatives for your organisation:

Defra: Catherine Brabner-Evans Catherine.Brabner-Evans@defra.gov.uk or Alastair Locke Alastair.Locke@defra.gov.uk

National Parks England: Gary Smith (Gary.Smith@yorkshiredales.org.uk) or Tom Hind (t.hind@northyorkmoors.org.uk)

National Landscapes: Tim Youngs (tim.youngs@devon.gov.uk), Simon Smith (simon.smith@cotswolds-nl.org.uk) and Bruce Winney (Bruce.Winney@national-landscapes.org.uk)

Protected Landscapes Partnership: Harriet Knafler (Harriet.knafler@naturalengland.org.uk)

Annex 1: Target indicators and supporting statistics

EIP Outcome	PLTOF Target	Target Indicator (prefaced by statistic code)	Provider	Release date	Licensing	Reporting cycle	Notes
Goal 1 Thriving plants and wildlife	1. Restore or create more than 250,000 hectares of a range of wildlife-rich habitats within Protected Landscapes, outside protected sites by 2042 (from a 2022 baseline).	TI_1 Extent of wildlife rich habitat created or restored within Protected Landscapes, outside of protected sites	Natural England	April 2025 (tbc)	Tbc	Annual	Indicator is in development.
Goal 1 Thriving plants and wildlife	2. Bring 80% of SSSIs within Protected Landscapes into favourable condition by 2042	TI_2 Percentage of SSSIs within Protected Landscapes in favourable condition	Natural England	April 2024	Open Government Licence	Annual	
Goal 1 Thriving plants and wildlife	3. For 60% of SSSIs within Protected Landscapes assessed as having 'actions on track' to achieve favourable condition by 31 January 2028.	TI_3 Percentage of SSSIs within Protected Landscapes assessed as having 'actions on track' to achieve favourable condition	Natural England	April 2024	Open Government Licence	Annual	
Goal 1 Thriving plants and wildlife	4. Continuing favourable management of all existing priority habitat already in favourable condition outside of SSSIs (from a 2022 baseline) and increasing to include all newly restored or created habitat through agri-environment schemes by 2042.	TI_4 Extent of priority habitat within Protected Landscapes, outside of protected sites, in favourable management through agri-environment schemes	Defra	April 2025	Tbc	Annual	Indicator is in development.
Goal 1 Thriving plants and wildlife	5. Ensuring at least 65% to 80% of land managers adopt nature friendly farming on at least 10% to 15% of their land by 2030.	TI_5 Percentage of land managers adopting nature-friendly farming on a percentage of their land	Defra	April 2025	Tbc	Annual	Indicator is in development.
Goal 7 Mitigating and adapting to climate change	6. Reduce net greenhouse gas emissions in Protected Landscapes to net zero by 2050 relative to 1990 levels.	TI_6 Level of greenhouse gas emissions within Protected Landscapes	DESNZ	June 2024	Tbc	Annual	Data for National Parks released here . DESNZ are due to publish statistics for National Landscapes in June 2024.

EIP Outcome	PLTOF Target	Target Indicator (prefaced by statistic code)	Provider	Release date	Licensing	Reporting cycle	Notes
Goal 7 Mitigating and adapting to climate change	7. Restore approximately 130,000 hectares of peat in Protected Landscapes by 2050.	TI_7 Extent of peat under restoration in Protected Landscapes	Natural England	April 2024	Open Government Licence	Annual	
Goal 7 Mitigating and adapting to climate change	8. Increase tree canopy and woodland cover (combined) by 3% of total land area in Protected Landscapes by 2050 (from 2022 baseline).	TI_8 Extent of tree canopy and woodland cover in Protected Landscapes	Forestry Commission	April 2024	Open Government Licence	Annual	Indicator is in development. Interim statistics provided for woodland cover. Statistics on extent of tree canopy to be released when available.
Goal 10 Enhancing beauty, heritage and engagement with the natural environment	9. Improve and promote accessibility to and engagement with Protected Landscapes for all using existing metrics in our Access for All programme.	<p>TI_9 Improve and promote accessibility to and engagement with Protected Landscapes for all using existing metrics in our Access for All programme:</p> <ul style="list-style-type: none"> • TI_9a Metres of accessible path as a % of total path • TI_9b Number of accessible toilets and rest stops • TI_9c Number of disability accessible parking spaces • TI_9d Number of accessible gates and gaps • TI_9e Number of visits and volunteer days facilitated by new equipment • TI_9f Number of schools engaged (primary and secondary) both inside and outside the Protected Landscape boundary 	Protected Landscape bodies	Tbc	Tbc	Annual	Defra will request this information from Protected Landscapes bodies in spring 2024, as part of the annual Farming in Protected Landscapes and 'Access for All' monitoring survey/ commission.

EIP Outcome	PLTOF Target	Target Indicator (prefaced by statistic code)	Provider	Release date	Licensing	Reporting cycle	Notes
		<ul style="list-style-type: none"> • TI_9g Number of volunteer days • TI_9h Number of accessible or easy access routes for which wayfinding has been created or improved • TI_9i Policies in place to ensure Protected Landscapes are taking positive action to widen the diversity of their staff, boards and volunteers 					
Goal 10 Enhancing beauty, heritage and engagement with the natural environment	10. Decrease the number of nationally designated heritage assets at risk in Protected Landscapes.	TI_10 Number and percentage of nationally designated heritage assets in Protected Landscapes to be deemed at risk	Historic England	April 2024	Open Government Licence	Annual	Covers the categories of scheduled monuments, registered parks and gardens, registered battlefields, listed buildings (grade I or II*) and protected wreck sites.

Annex 2: Additional statistics to be made available to Protected Landscapes in 2024

Additional statistic	Provider	Release date	Licensing	Reporting cycle	Notes
Stat_1 Extent of priority habitat and other habitats within Protected Landscapes	Natural England	April 2024 (interim measure)	Open Government Licence	Annual	Statistics on 'other habitats' available in April 2025, based on updated Living England data.
Stat_2 Area of land within Protected Landscapes designated at international, national and local level for nature conservation	Natural England	April 2024	Open Government Licence	Annual	
Stat_3 Area of woodland within Protected Landscapes under sustainable management	Forestry Commission	April 2024	Open Government Licence	Annual	
Stat_4 Extent of ancient woodland within Protected Landscapes	Natural England	April 2024	Open Government Licence	Annual	
Stat_5 Ecological status of watercourses and water bodies within Protected Landscapes	Environment Agency	April 2024	Open Government Licence	Every three years	
Stat_6 Area, depth and percentage cover of peatland within Protected Landscapes	Natural England	April 2024 (interim measure)	Non-Commercial Government Licence	See notes	Updated evidence on the extent, depth and condition of peat will be available in April 2025. This will be based on the England Peat Map which is due to be published at the end of March 2025.
Stat_7 Estimate of the amount of carbon stored and sequestered by habitats within Protected Landscapes	Natural England	See notes	Aiming to release under Open Government Licence.	Every five years	Statistics due June 2024.
Stat_8 Length of National Trails within Protected Landscapes	Natural England	April 2024	Open Government Licence	Annual	
Stat_9 Number of nationally designated heritage assets in Protected Landscapes	Historic England	April 2024	Open Government Licence	Annual	
Stat_10 National Character Areas which contain Protected Landscape(s), where changes to landscape and waterscape character is assessed as improving/no change/declining	Natural England	April 2025	Tbc	Every five years	
Stat_11 Length of hedgerows and other traditional field boundaries (drystone walls) within Protected Landscapes	Defra	April 2024 (Interim measure)	Open Government Licence	Annual	Initial figures are for the length of hedgerow. Figures will be added for the length of dry-stone walls and shared in April 2025.

Additional statistic	Provider	Release date	Licensing	Reporting cycle	Notes
Stat_12 Total area of land managed under agri-environment schemes and total value of schemes within Protected Landscapes	Defra	April 2024	Open Government Licence	Annual	
Stat_13 Area of land under different agricultural land uses within Protected Landscapes and number of livestock	Defra	Already released	Published on-line	Publication of next updates: Spring 2025, spring 2028 (tbc) and 2031.	See Structure of the agricultural industry in England and the UK at June - GOV.UK (www.gov.uk)
Stat_14 Area and distribution of main landcover types within Protected landscapes	Natural England	April 2025	Open Government Licence	Tbc	Derived from Living England data
Stat_15 Number of geological and geomorphological SSSI unit features and percentage in favourable or recovering condition	Natural England	April 2024	Open Government Licence	Annual	
Stat_16 Extent of agricultural businesses within Protected Landscapes (number and size of holdings, number of agricultural workers)	Defra	Already released	Published on-line	Publication of next updates: Spring 2025, spring 2028 (tbc) and 2031.	See Structure of the agricultural industry in England and the UK at June - GOV.UK (www.gov.uk)
Stat_17 Population estimates for Protected Landscapes	Defra	April 2024	Open Government Licence	Every 10 years	These are refined population estimates, following the draft estimates provided by the Office for National Statistics in 2023.
Stat_18 Average age of the population living in Protected Landscapes	Defra	April 2024	Open Government Licence	Every 10 years	
Stat_19 Proportion of the population within each ethnic group in Protected Landscapes	Defra	April 2024	Open Government Licence	Every 10 years	
Stat_20 Median earnings in Protected Landscapes	Defra	April 2024	Open Government Licence	Annual	
Stat_21 House price affordability ratios in Protected Landscapes	Defra	April 2024	Open Government Licence	Tbc - dependent on availability of refined data on estimated incomes	

Additional statistic	Provider	Release date	Licensing	Reporting cycle	Notes
Stat_22 Registered businesses by size and type in Protected Landscapes	Defra	April 2024	Open Government Licence	Annual	
Stat_23 Proportion of the population living in each decile of deprivation in Protected Landscapes	Defra	April 2024	Open Government Licence	No regular reporting cycle; potential update 2026 (tbc)	
Stat_24 Number of pupils on the school roll (against total capacity) in Protected Landscapes	Defra	April 2024	Open Government Licence	Annual	

Appendix 2 – Response from Defra Minister



Department
for Environment
Food & Rural Affairs

Rebecca Pow MP
Minister for Nature

Seacole Building
2 Marsham Street
London
SW1P 4DF

T: +44 (0) 3459 335577
E: correspondence.section@defra.gov.uk
W: gov.uk/defra

Bill Dickson
Chair
Broads Authority
Bill.Dickson@broads-authority.gov.uk

Your ref: BD/EG
Our ref: PO2024/04263/MK

18 March 2024

Dear Bill,

Thank you for your letter of 20 February about public funding for the maintenance of the waterways of the Broads National Park.

Thank you for your paper on funding the waterways of the Broads. I understand that all Protected Landscapes organisations are currently facing challenging financial circumstances and we are committed to working with them to address these issues, for example through the additional £10 million announced in November last year, and by building capacity to attract green and private finance.

I read with interest the unique challenges faced by the Broads Authority. As you mention in your paper, we do recognise the need to re-examine the long-term funding model. We are actively considering how the grant funding model can be reformed and we will be working with Protected Landscapes organisations, including the Broads Authority, to progress this important work. Officials will consider your paper as part of their efforts to explore all opportunities to increase the scale and diversity of funding resources available to our Protected Landscapes.

Please be assured, the Government remains committed to supporting the vital role Protected Landscapes play in protecting our precious wildlife, and the importance they have for tourism, the regional economy, and public access. I am optimistic that we can develop a more sustainable funding model for our Protected Landscapes and this remains a priority for me.

Defra looks forward to continuing working with you to deliver on that goal.

Thank you once again for taking the time to contact me about this important issue.

REBECCA POW MP

Broads Authority

10 May 2024

Agenda item number 10

Strategic priorities- update

Report by Senior Governance Officer

Purpose

This report sets out the latest progress in implementing the Authority’s annual strategic priorities for 2024/25.

Broads Plan context

The Broads Plan is a key part of the Authority’s strategic framework.

Recommended decision

To note the progress in implementing the 2024/25 priorities.

1. Introduction

- 1.1. Each year the Broads Authority identifies a small set of strategic priorities, which focus on projects that have high resource needs or a very large impact on the Broads, or that are politically sensitive. Setting these priorities helps target the Authority’s resources and make the most of partnership working and external funding opportunities. Priorities are set each financial year, although some large-scale projects carry across several years.
- 1.2. In addition, Defra has introduced a new requirement for National Park Authorities and the Broads Authority to provide quarterly updates on deliverables against the Business Plan, as part of its grant funding agreement. These update reports on our strategic priorities will assist officers in compiling the information necessary to comply with that requirement.
- 1.3. The first update on our agreed strategic priorities for 2024/25 is in Table 1.

Table 1

Strategic priorities 2024/25 – progress update

Themes, aims and milestones	Progress	Lead officer
1. Responding to climate change (Broadland Futures Initiative)	Status: On track	Director of Strategic Services

Themes, aims and milestones	Progress	Lead officer
<p>Aim: To implement the next steps of the Broadland Futures Initiative.</p> <p>Milestones:</p> <ul style="list-style-type: none"> (i) Publish at least two editions of the Broadland Futures Initiative BFI newsletter, by March 2025. (ii) Hold at least two meetings of the BFI Elected Members Forum, by March 2025. (iii) Various technical deliverables from BFI consultant including the new hydraulic model expected mid-2024. (iv) Engagement activities, including consultation as required. 	<ul style="list-style-type: none"> (i) BFI Newsletter (April 2024) has been sent out to the subscriber list, which has been updated to include all Parish Councils in the Broads area (ii) April 2024 Elected Members Forum meeting was held (iii) Updates on Product delivery from the EA/Jacobs team have been presented at steering group meetings and Elected Member Forum. All on track (iv) BFI core team are presenting a workshop activity at April 2024 Upper Thurne Working Group meeting. Focus is on community engagement on options if the current coastal line of flood protection is retired. 	
<p>2. Biodiversity crisis response</p> <p>Aim: Co-ordinate and implement with partners the development of strategies and projects, including the three Nature for Climate projects.</p> <p>Milestones:</p> <ul style="list-style-type: none"> (i) Endorsement of Norfolk & Suffolk Nature Recovery Strategies – timings to be confirmed by responsible authorities. (ii) To complete the “Broads Authority consideration” of 	<p>Status: on track</p> <ul style="list-style-type: none"> (i) Attended steering group and one of the 6 themed working groups being held in April/May. Timing for draft LNRS is likely to be December 2024. (ii) Completed 	<p>Environment Policy Advisor</p>

Themes, aims and milestones	Progress	Lead officer
<p>biodiversity actions by 1 January 2024. This is the first requirement of the enhanced Biodiversity Duty introduced in the 2021 Environment Act for local authorities and will consider action to take by the Broads Authority to comply with the duty.</p> <p>(iii) To review and refresh the Broads Biodiversity and Water Strategy with partners by March 2025.</p> <p>(iv) To implement Nature for Climate Peat restoration project at Buttle Marsh within agreed budget ~£300k and timeline by March 2025.</p> <p>(v) To implement Nature for Climate Paludiculture Exploration Fund 'FibreBroads' project within agreed budget ~£500k and timeline by March 2025.</p>	<p>(iii) Held a series of three meetings with the Broads Biodiversity Partners to feed into the Broads Nature Recovery Strategy.</p> <p>(iv) Awaiting additional funding award decision from NE, expected 9th May. Board meeting set on 20th May to review workplan.</p> <p>(v) All FibreBroads work packages on track, including running a successful training event for farm advisers guiding them on water permissions and private and public finance, engagement visits and gaining a place in the Innovation Hub again at the Norfolk Show with our partners NUA and Hudson Architects. The wetland farming and water filtration demonstrator is preparing for a final stage of planting in May with volunteer helpers.</p> <p>The BA is partner to two new Lowland Agricultural Peatland Grants for 2024, assessing water table management and forecasting the water storage needs to deliver land-based carbon targets in the Broads peatland.</p>	

Themes, aims and milestones	Progress	Lead officer
<p>3. Local Plan for the Broads</p> <p>Aim: To produce an updated Local Plan for the Broads.</p> <p>Milestones:</p> <p>(i) Preferred Options consultation: March 2024.</p> <p>(ii) Publication consultation: December 2024.</p> <p>(iii) Submission: By end of June 2025.</p> <p>(iv) Adoption: By end of 2026.</p>	<p>Status: On track</p> <p>Consultation ongoing with deadline for comments being 4pm 17 May 2024. Publication version of the Local Plan in production.</p>	<p>Planning Policy Officer</p>
<p>4. Farming in Protected Landscapes (FiPL)</p> <p>Aim: To run the FiPL programme and allocate Broads grants to farmers and landowners, and support the Broads and Norfolk Coast Land Management Board to allocate their funding.</p> <p>Milestones:</p> <p>(i) Hold six Land Management Board meetings, by March 2025.</p> <p>(ii) Allocate all grant funding to projects, by December 2024.</p> <p>(iii) Engagement activities to promote and showcase FiPL, by March 2025.</p>	<p>Status: On track</p> <p>(i) All meetings for 24/25 have been set up. The first FiPL Board meeting of this financial year will be held on 29 April.</p> <p>(ii) £68,924.59 of grant funds for 24/25 have been allocated to projects already out of a total grant budget of £380,785</p> <p>(iii) The FiPL Officer has produced leaflets to advertise the programme and is planning event attendance for the year.</p>	<p>Catchment & Farming Officer</p>

Themes, aims and milestones	Progress	Lead officer
<p>5. Navigation IT Aim: To replace current tolls system and provide improved online functionality.</p> <p>Milestones:</p> <p>(i) Develop timetable and tender document by June 2024 for amendments to core system and a replacement web interface.</p> <p>(ii) Publish and then review tender responses by end of September 2024.</p> <p>(iii) Award contract (depending on affordability) and agree timescales with contractor.</p>	<p>Status: On track</p> <p>(i) Work has commenced on upgrading the internal tolls system to the latest software version.</p> <p>Once that is complete a further piece of work will be undertaken to upgrade the application to Universal Theme (a responsive, versatile, and customizable user interface) to accommodate a new look and navigation.</p> <p>(ii) The online application will be totally rewritten. The initial application will provide the key functionality required to renew a toll online. It will utilise the latest security technologies such as one-time passcodes for logon thereby simplifying the current process.</p> <p>(iii) We are planning for the above works to be completed in time for the 2025/26 tolls season.</p>	<p>Head of ICT/Collector of Tolls</p>

2. Financial risks

2.1. If the Authority fails to comply with any of its obligations in the Grant Funding Agreement, DEFRA may, at its discretion, reduce, suspend, or terminate payments of grant, or require any part or all of the grant to be repaid.

Author: Sara Utting

Date of report: 29 April 2024

[Broads Plan](#) strategic objectives: all

Broads Authority

10 May 2024

Agenda item number 11

Financial performance and direction

Report by Director of Finance

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 income and expenditure figures, prudential indicators in 6.1 and the draft year end position.
 - ii. That the recommended carry forward request in 9.2 be approved and added to the 2024/25 budget as additional expenditure.
-

Contents

1.	Introduction	2
2.	Overview of actual income and expenditure	2
3.	Latest available budget	4
4.	Overview of forecast outturn 2023/24	5
5.	Reserves	5
6.	Prudential Indicators	6
7.	Summary	7
8.	Statement of Accounts	7
9.	Carry Forward Requests	8
	Appendix 1 – Consolidated actual income and expenditure charts to 31 March 2024	11
	Appendix 2 – Financial monitor: Consolidated income and expenditure 2023/24	13

1. Introduction

1.1. This report covers three items, the draft Consolidated Income and Expenditure from 1 April 2023 – 31 March 2024, the quarter four prudential indicators for 2023/24 and the recommended carry forward request.

2. Overview of actual income and expenditure

Table 1

Actual consolidated income and expenditure by directorate to 31 March 2024

Directorate	Profiled latest available budget £	Actual income and expenditure £	Actual variance £
Income	(7,803,688)	(8,047,540)	+ 243,852
Operations	4,896,385	4,511,343	+ 385,042
Strategic Services	1,765,646	1,745,233	+ 20,413
Chief Executive	2,301,576	2,298,690	+ 2,886
Projects, Corporate Items and Contributions from Earmarked Reserves	(1,141,697)	(440,701)	- 700,996
Net (Surplus) / Deficit	18,222	67,025	- 48,803

2.1. Core income is above the budget at the end of month twelve. The overall position as at 31 March 2024 is an adverse variance of £48,803 difference from the profiled LAB. This is principally due to:

- An overall favourable variance of £243,852 within income:
 - National Park Grant income is £150,000 above the budget due to the previous capital grant unapplied for the purchase of Hulver Ground has been released to fund the purchase.
 - Hire Craft Tolls is £8,307 below the budget.
 - Private Craft Tolls is £71,047 below the budget.
 - Short visit and other toll income is £5,308 above the budget.
 - Investment income is £167,898 above the budget.
- An underspend within Operations relating to:

- Equipment, Vehicles & Vessels is under the budget by £37,586 due to urgent repairs on the concrete pump and an overspend on fuel. This is partially offset by the delays in expenditure from earmarked reserves and income from sales.
- Water Management is under the budget by £12,955 due to a change in timings on some of the dredging projects.
- Practical Maintenance is under the budget by £259,265 due to electricity charges and usage not being as high as predicted and delays in expenditure from earmarked reserves. Work at Hoveton Riverside Park has been deferred until 2024/25 and would have been funded from the earmarked reserve. High water has also caused delays in works at mooring sites. See table six for more information.
- Ranger Services is over the budget by £15,947 due to an underspend in Salaries.
- Premises is under the budget by £75,014 due to the delays in expenditure at the Dockyard from the earmarked reserves. This is offset by overspends in contractor services for electrical vehicle charging at Beccles and repairs/replacements to the alarm systems at Horning and Buttles Barn.
- An underspend within Strategic Services relating to:
 - Development Management is under the budget by £18,055 due to higher income from planning applications.
 - Strategy and Projects Salaries is under the budget by £50,077 due to underspends in externally funded projects and increased staff recharges to these projects.
 - Biodiversity Strategy is over the budget by £10,692 due to the staff recharges being spent from this budget.
 - Communications is under the budget by £19,804 due to receiving additional grant income from Forest Holidays, Green Pathways and Rails, Trails and Sails.
 - Visitor Services is over the budget by £66,517 due to the decrease in mooring income being less than budgeted and the lease at Reedham Quay not being finalised so charging this season could not commence.
- An underspend within Finance and Support Services relating to:
 - National Park is over the budget by £150,000 due to the delayed purchase of Hulver Ground, this is offset by the additional National Park Grant income.
 - Legal Services is over the budget by £89,661 due to increased costs for lease negotiations (Reedham Quay and Yare House), Monitoring Officer recharges and planning enforcement.

- Asset Management is under the budget by £39,239 due to expenditure from earmarked reserves on How Hill boatshed and electric charging points in the Upper Thurne not taking place in 2023/24.
- Premises Head Office is under the budget by £182,233 due to delays on the Yare House reduction of office space. This was due to be funded by the earmarked reserves. See table 6 for more information.
- Finance and Insurance is over the budget by £10,979 due to an increase in insurance costs.
- ICT is under the budget by £13,429 due to the delayed tolls project, this is offset by the overspend in salary costs following the higher than budgeted pay award.
- An adverse variance within reserves relating to:
 - Premises is under the budget due to delays on Dockyard expenditure.
 - Property is under the budget to works at Hoveton Riverside Park being transferred to 2024/25.
 - Plant, Vessels and Equipment is under the budget due to delays in vehicle replacements and additional income being received from vehicle replacements, sale of old equipment and scrap.
 - Upper Thurne is under the budget due to the electric charging points not being installed in 2023/24.
 - UK Communications is under the budget due to the additional income received for the extension.
 - Computer Software is under the budget due to the delays in the tolls project. This has been transferred to 2024/25.
 - Medium Term Planning is under the budget due to the delay in the Yare House downsizing taking place.

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

3. Latest available budget

3.1. The Authority's income and expenditure is monitored against the latest available budget (LAB) for 2023/24. 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 2023/24 – deficit	Broads Authority 20/01/23 Agenda item number 11	18,222
LAB as at 31 March 2024	n/a	18,222

4. Overview of forecast outturn 2023/24

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

Table 3

Adjustments to Forecast Outturn

Item	Amount £
Forecast outturn deficit per LAB	18,222
Previously reported 15/03/24	21,537
Increase to Hire Craft Tolls	(746)
Decrease to Private Craft Tolls	2,258
Increase to Other Toll Income	(4,862)
Forecast outturn deficit as at 31 March 2024	36,409

5. Reserves

- 5.1. 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 March where expenditure has not taken place. It was anticipated that these would reduce as planned purchases took place throughout the year but some of this work will happen in 2024/25 instead.
- 5.2. Items funded from the Property Reserve include the replacement hut at Reedham Quay less the income from land rental at Oulton Broad. The Plant, Vessels and Equipment reserve has funded six new vehicles, deposit for a further six vehicles, second hand crane, HAVS monitoring system and a livestock trailer. The Premises Reserve has funded the architect and QS fees for the Yare House alterations, deposit for the Dockyard solar panels and design work for Dockyard piling project. The Heritage Lottery Fund, Catchment Project, CANAPE, UK Communications and Match Funding contains the income and expenditure relating to those projects. The Medium-Term Planning

reserve has funded the additional expenditure for the delayed reconfiguration of Yare House and External Funding & Partnership working.

- 5.3. Now that the CANAPE and EXPERIENCE projects have been completed both reserves will be closed as part of the year end process and transferred to the National Park and Navigation reserves. When the CANAPE reserve was set up this received a loan of £91,000 from the Property, Plant, Vessels and Equipment and Premises earmarked reserves. This will be repaid back to these earmarked reserves before the balance is distributed 50/50 between National Park and Navigation. Table 4 below shows the balances after the reallocation of interest but prior to closing these two reserves.

Table 4
Consolidated earmarked reserves

Reserve name	Balance at 1 April 2023 £	In-year movements £	Current reserve balance £
Property	(932,466)	(185,332)	(1,117,798)
Plant, Vessels and Equipment	(635,888)	28,862	(607,026)
Premises	(376,318)	(22,336)	(398,655)
Planning Delivery Grant	(261,213)	(15,906)	(277,119)
Upper Thurne Enhancement	(213,536)	(36,270)	(249,806)
Heritage Lottery Fund	(170,862)	158,199	(12,663)
Catchment Partnership	(84,889)	14,706	(70,183)
CANAPE	(463,393)	(7,499)	(470,892)
Computer Software	(152,594)	(30,510)	(183,104)
UK Communications	(4,821)	895	(3,926)
Match Funding (EXPERIENCE)	(17,466)	15,777	(1,690)
Medium Term Planning	(449,631)	(45,366)	(494,996)
Total	(3,763,078)	(124,779)	(3,887,857)

- 5.4. £1,645,709 of the current reserve balance above relates to Navigation reserves.

6. Prudential Indicators

- 6.1. The Capital, Treasury and Investment Strategy 2023/24, approved 17 March 2023, included 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 are set out in table 5 below.

Table 5

Prudential Indicators 2023/24

Prudential Indicator	Opening 01/04/23 £	Estimate 31/03/24 £	Q4 YTD Actual £
Capital expenditure	0	350,000	444,935
Authorised limit for external debt	500,000	500,000	500,000
Operational Boundary	400,000	400,000	400,000
Capital Financing Requirement	127,140	91,648	91,648
Debt balance	129,499	94,008	94,008

- 6.2. Members will notice from the table that capital expenditure at the end of quarter four has exceeded the estimate included in the 2023/24 strategy. This is caused by the land purchase of Hulver Ground which was expected to be completed in 2022/23 when the strategy was drafted. As the purchase has been funded by the capital grant received from Defra this no impact on the debt limits or financing requirement.

7. Summary

- 7.1. The figures above will be the basis of the draft Statement of Accounts and includes the year-end adjustments for stock and accruals. However, the figures above are subject to any further adjustments for accruals being picked up as invoices come in.
- 7.2. The current surplus on the National Park side is £59,536 and the deficit of £126,561 on Navigation, resulting in a consolidated deficit of £67,025 which has been balanced through the use of Navigation reserves. At this point in time, subject to any further adjustments identified above, the National Park reserve is £750,293 and Navigation reserve is £486,548. These balances are based on the CANAPE and Match Funding earmarked reserve being closed and transferred into the National Park and Navigation reserves. A verbal update will be provided at the meeting on any further adjustments.

8. Statement of Accounts

- 8.1. The timetable for the preparation of the Authority's Statement of Accounts (SoA) is dictated by the requirements of The Accounts and Audit (Amendment) Regulations 2022. The regulations amended the 2015 regulations and provides the reporting deadlines for the audited SoA. For the financial years beginning 2022, 2023, 2024, 2025,

2026 and 2027 this date is set as 30 September. The 2022 regulations have not amended the deadline for the draft SoA, this has reverted to 31 May. Prior to Covid-19 the deadline for the audited accounts was 31 July.

8.2. Members will be aware that there have been significant pressures within the local government auditing sector resulting in backlog of audits across the country. Following a consultation in March by the Department for Levelling Up, Housing and Communities on how to reset the system it is expected that these regulations will be further amended in 2024. The results of the consultation remain outstanding, and a verbal update will be provided at the meeting. Based on the expectation that the regulations will be amended, this year’s timetable is provisionally as follows:

- Director of Finance to sign off the draft Statement of Accounts by 31 May 2024. The regulations allow for 30-day public inspection to include the first 10 days of June 2024.
- External Audit (Ernst and Young) to start the audit on 3 June 2024.
- Risk, Audit and Governance Committee to scrutinise the accounts on 26 November 2024 (subject to audit having been substantially completed), and to recommend them for approval to the Broads Authority, subject to any suggested amendments.
- Broads Authority to consider and formally adopt the audited accounts at its meeting on 29 November 2024 (subject to audit having been substantially completed).

9. Carry Forward Requests

9.1. Budget holders who have not fully spent their individual budget allocations can request that any underspends are carried forward and added to their 2024/25 budget allocation. These requests are reviewed by Management Team prior to requesting member approval. Requests to Management Team must relate to either:

- Projects already underway, that have been delayed by external events; or
- Ring-fenced income that has been provided by third parties and is earmarked for specific purposes.

9.2. Details of the 2023/24 carry forward request is set out in the table 6 below.

Table 6

Carry Forward Requests

Budget Line	National Park £	Navigation £	Total	Reason for carry forward
Practical Maintenance	0	3,837	3,837	Works at Ranworth delayed due to high water levels.

Budget Line	National Park £	Navigation £	Total	Reason for carry forward
Practical Maintenance	0	23,243	23,243	Works delayed at Womack Island due to high water levels
Premises Head Office	283,889	0	283,889	Delays in finalising the new lease has meant works have been unable to start.
Earmarked Reserves	(283,889)	0	(283,889)	Transfer of earmarked reserve funding from 23/24 for building works.
Total	0	27,080	27,080	n/a

9.3. If members agree the carry forwards the 2024/25 Latest Available Budget (LAB) will be as shown in Table 7.

Table 7
2024/25 LAB

Directorate	National Park £	Navigation £	Consolidated £
Income	(3,504,078)	(4,624,930)	(8,129,008)
Operations	1,531,562	3,408,924	4,940,486
Strategic Services	1,434,554	482,086	1,916,640
Finance & Support Services	1,269,941	1,137,763	2,407,704
Projects, Corporate Items and Contributions from Earmarked Reserves	(746,730)	(491,057)	(1,237,787)
Net (Surplus) / Deficit	(14,751)	(87,214)	(101,965)
Opening reserves	(750,293)	(486,548)	(1,236,841)
(Surplus) / Deficit	(14,751)	(87,214)	(101,965)
Interest transferred to earmarked reserves	54,000	54,000	108,000
Contribution to National Park Reserve (General)	(50,000)	50,000	0
Closure of HLF reserve	(151,602)	0	(151,602)
Closing reserves	(912,646)	(469,762)	(1,382,408)

Directorate	National Park £	Navigation £	Consolidated £
Reserves as a % of next expenditure	26.2%	10.4%	17.2%

Author: Emma Krelle

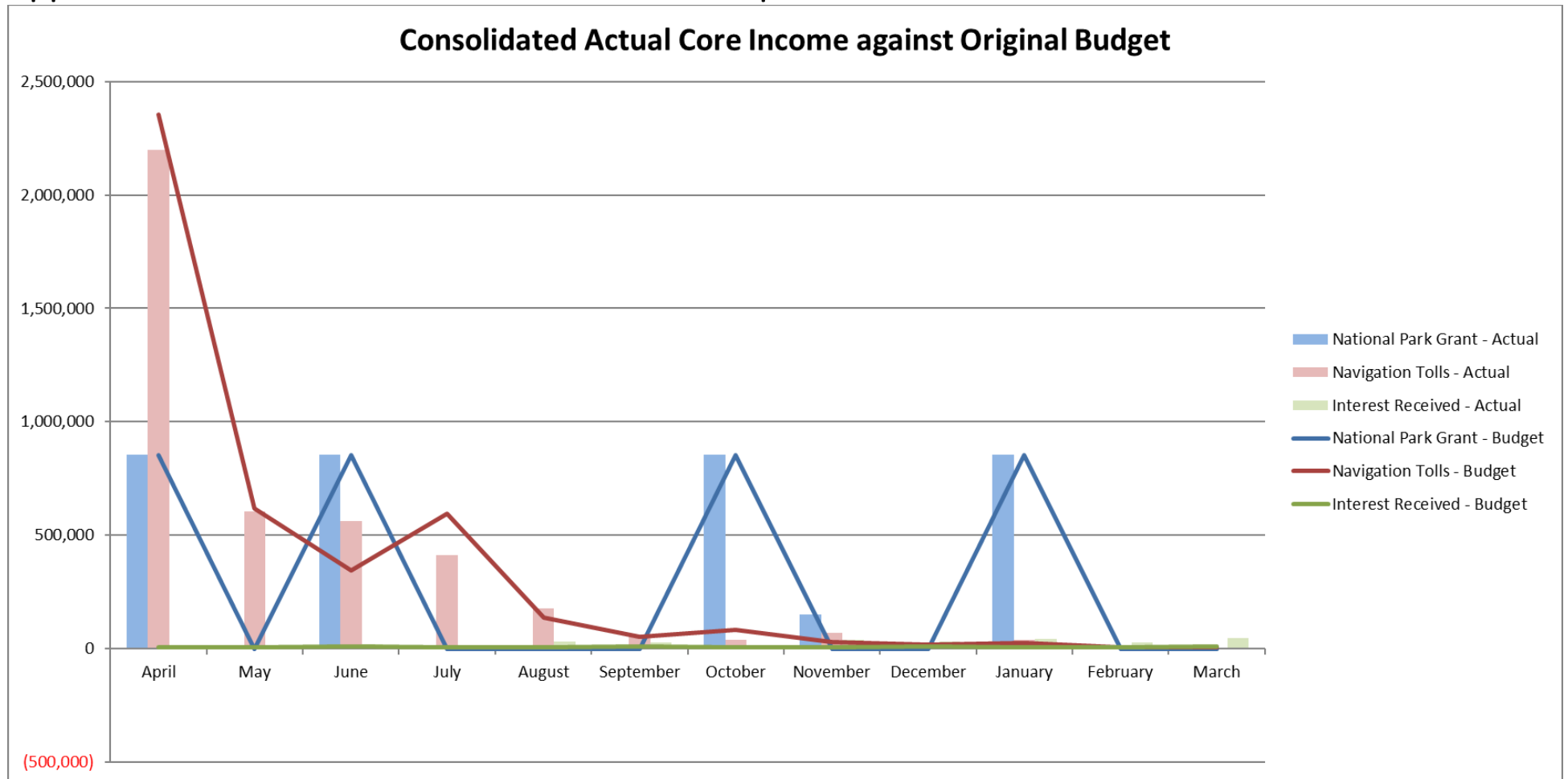
Date of report: 29 April 2024

[Broads Plan](#) strategic objectives: All

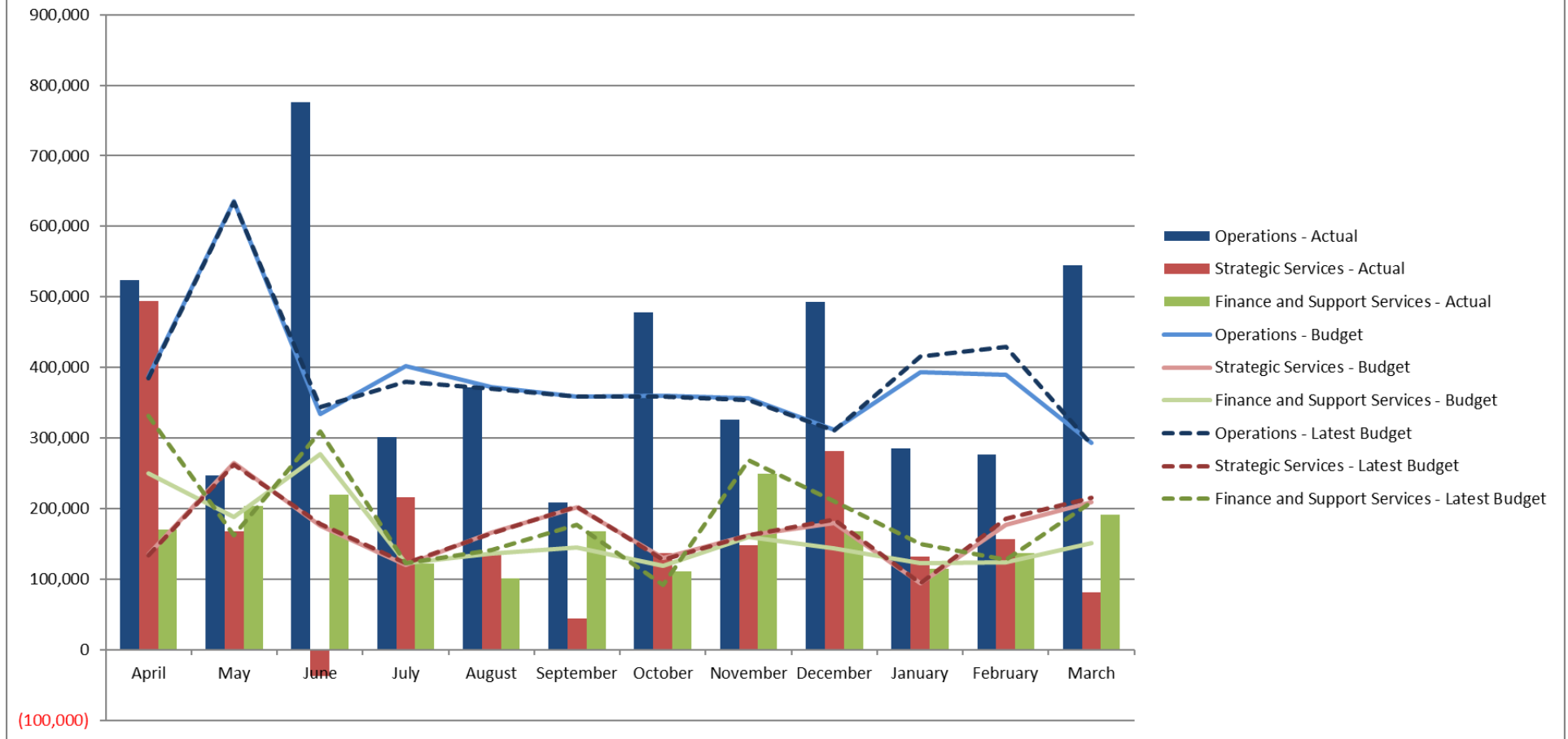
Appendix 1 – Consolidated actual income and expenditure charts to 31 March 2024

Appendix 2 – Financial monitor: Consolidated income and expenditure 2023/24

Appendix 1 – Consolidated actual income and expenditure charts to 31 March 2024



Consolidated Net Actual Expenditure against Original and Latest Budget



Appendix 2 – Financial monitor: Consolidated income and expenditure 2023/24

Table 1
Income

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Total Income	(7,803,688)	0	(7,803,688)	(8,033,937)	230,249
National Park Grant	(3,414,078)	0	(3,414,078)	(3,564,078)	150,000
Hire Craft Tolls	(1,333,000)	0	(1,333,000)	(1,324,693)	-8,307
Private Craft Tolls	(2,844,000)	0	(2,844,000)	(2,772,694)	-71,306
Short Visit Tolls	(55,000)	0	(55,000)	(55,000)	0
Other Toll Income	(32,610)	0	(32,610)	(37,472)	4,862
Interest	(125,000)	0	(125,000)	(280,000)	155,000

Table 2
Operations

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Total Operations	4,861,285	35,100	4,896,385	4,660,194	236,191
Construction and Maintenance Salaries	1,549,230	0	1,549,230	1,570,557	-21,327
Salaries	1,549,230	0	1,549,230	1,574,610	-25,380
Expenditure	0	0	0	(4,053)	4,053
Equipment, Vehicles & Vessels	769,670	0	769,670	729,172	40,498
Income	(1,000)	0	(1,000)	(1,000)	0
Expenditure	770,670	0	770,670	730,172	40,498
Water Management	88,700	0	88,700	88,700	0
Expenditure	88,700	0	88,700	88,700	0
Land Management	(31,145)	0	(31,145)	(32,145)	1,000
Income	(87,500)	0	(87,500)	(87,500)	0
Expenditure	56,355	0	56,355	55,355	1,000
Practical Maintenance	592,475	0	592,475	442,475	150,000
Income	(56,185)	0	(56,185)	(56,185)	0
Expenditure	648,660	0	648,660	498,660	150,000
Waterways and Recreation Strategy	55,920	0	55,920	54,380	1,540

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Income	0	0	0	0	0
Salaries	47,920	0	47,920	46,380	1,540
Expenditure	8,000	0	8,000	8,000	0
Ranger Services	1,117,940	32,050	1,149,990	1,165,800	-15,810
Income	0	0	0	0	0
Salaries	986,990	0	986,990	1,002,800	-15,810
Expenditure	130,700	32,050	162,750	162,750	0
Pension Payments	250	0	250	250	0
Safety	143,315	3,050	146,365	146,385	-20
Income	(500)	0	(500)	(500)	0
Salaries	87,870	0	87,870	87,890	-20
Expenditure	55,945	3,050	58,995	58,995	0
Premises	294,450	0	294,450	214,450	80,000
Income	(2,600)	0	(2,600)	(2,600)	0
Expenditure	297,050	0	297,050	217,050	80,000
Project Funding	130,600	0	130,600	130,600	0
Expenditure	118,100	0	118,100	118,100	0
Pension Payments	12,500	0	12,500	12,500	0

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast outturn variance (Consolidated) £
Operations Management and Administration	150,130	0	150,130	149,820	310
Salaries	144,030	0	144,030	143,720	310
Expenditure	6,100	0	6,100	6,100	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	1,722,479	43,167	1,765,646	1,773,158	-7,512
Development Management	419,510	14,000	433,510	434,830	-1,320
Income	(87,500)	0	(87,500)	(90,500)	3,000
Salaries	459,380	0	459,380	471,920	-12,540
Expenditure	42,930	14,000	56,930	48,710	8,220
Pension Payments	4,700	0	4,700	4,700	0
Strategy and Projects Salaries	264,590	7,478	272,068	243,393	28,675
Income	(209,000)	0	(209,000)	(401,833)	192,833
Salaries	215,230	21,478	236,708	301,650	-64,942
Expenditure	258,360	(14,000)	244,360	343,576	-99,216
Strategy and Projects	0	0	0	0	0
Expenditure	0	0	0	0	0
Biodiversity Strategy	9,300	0	9,300	20,988	-11,688
Income	0	0	0	0	0
Expenditure	9,300	0	9,300	20,988	-11,688
Human Resources	161,810	(3,050)	158,760	158,900	-140

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Income	0	0	0	0	0
Salaries	102,110	0	102,110	102,250	-140
Expenditure	59,700	(3,050)	56,650	56,650	0
Volunteers	75,360	0	75,360	75,950	-590
Salaries	61,860	0	61,860	62,450	-590
Expenditure	13,500	0	13,500	13,500	0
Communications	393,974	0	393,974	427,154	-33,180
Income	(250)	0	(250)	(49,895)	49,645
Salaries	312,910	0	312,910	346,090	-33,180
Expenditure	81,314	0	81,314	130,959	-49,645
Visitor Centres and Yacht Stations	265,175	24,739	289,914	284,704	5,210
Income	(306,550)	0	(306,550)	(306,550)	0
Salaries	444,070	0	444,070	438,860	5,210
Expenditure	127,655	24,739	152,394	152,394	0
Strategic Services Management and Administration	132,760	0	132,760	127,239	5,521
Salaries	130,260	0	130,260	129,960	300
Expenditure	2,500	0	2,500	(2,721)	5,221

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	1,937,520	364,056	2,301,576	2,503,174	-201,598
National Park Grant	0	0	0	150,000	-150,000
Expenditure	0	0	0	150,000	-150,000
Legal	104,000	0	104,000	164,000	-60,000
Income	(6,000)	0	(6,000)	(6,000)	0
Expenditure	110,000	0	110,000	170,000	-60,000
Governance	245,350	0	245,350	241,250	4,100
Salaries	185,750	0	185,750	185,450	300
Expenditure	59,600	0	59,600	55,800	3,800
Chief Executive	133,060	0	133,060	130,786	2,274
Salaries	132,060	0	132,060	130,600	1,460
Expenditure	1,000	0	1,000	186	814
Asset Management	153,880	0	153,880	146,100	7,780
Income	(24,300)	0	(24,300)	(24,300)	0
Salaries	53,320	0	53,320	53,740	-420
Expenditure	124,860	0	124,860	116,660	8,200

Row labels	Original budget (Consolidated) £	Budget adjustments (Consolidated) £	Latest available budget (Consolidated) £	Forecast outturn (Consolidated) £	Forecast Outturn Variance (Consolidated) £
Premises - Head Office	161,940	364,056	525,996	525,996	0
Income	0	0	0	0	0
Expenditure	161,940	364,056	525,996	525,996	0
Finance and Insurance	495,510	0	495,510	507,850	-12,340
Income	0	0	0	(10,000)	10,000
Salaries	268,010	0	268,010	268,200	-190
Expenditure	227,500	0	227,500	249,650	-22,150
Collection of Tolls	208,680	0	208,680	210,930	-2,250
Salaries	198,080	0	198,080	200,330	-2,250
Expenditure	10,600	0	10,600	10,600	0
ICT	435,100	0	435,100	426,262	8,838
Salaries	224,000	0	224,000	235,520	-11,520
Expenditure	211,100	0	211,100	190,742	20,358

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	28,625	0	28,625	18,405	10,220
Partnerships / HLF	21,925	0	21,925	11,705	10,220
Income	(91,535)	0	(91,535)	(91,535)	0
Salaries	96,460	0	96,460	86,240	10,220
Expenditure	17,000	0	17,000	17,000	0
Corporate Items	6,700	0	6,700	6,700	0
Expenditure	6,700	0	6,700	6,700	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	(727,999)	(442,323)	(1,170,322)	(884,584)	-285,738
Earmarked Reserves	(727,999)	(442,323)	(1,170,322)	(884,584)	-285,738
Expenditure	(727,999)	(442,323)	(1,170,322)	(884,584)	-285,738

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	18,222	0	18,222	36,409	-18,187

Broads Authority

10 May 2024

Agenda item number 12

Reviewed Safety Management System (SMS)

Report by Director of Operations

Purpose

The revised Safety Management System was reported to the Navigation Committee on 11 April and no comments were raised by members. The SMS is now reported to the Broads Authority who are asked to endorse the management system and accept version 8 of the SMS as the current document.

Broads Plan context

C4 – Maintain and improve safety and security and users' behaviour on the waterways.

Recommended decision

Endorse version 8 of the Safety Management System (SMS) as the current document.

1. Introduction

- 1.1. The Port Marine Safety Code is a nationally agreed standard for UK ports, harbours and marinas. Compliance with the PMSC is mandatory. The Code requires that all harbour authorities base their powers, policies, plans, and processes on a Formal Safety Assessment (FSA) and that they maintain a Safety Management System (SMS).
- 1.2. The Broads Authority under (Pilotage Powers) Order 1991 is designated as a 'Competent Harbour Authority' and as such the Authority falls under the PMSC requirements.
- 1.3. The PMSC provides the agreed national standards, and the Safety Management System details the arrangements put in place by the Broads Authority to explain how we meet those standards.
- 1.4. The PMSC and Safety Management System was audited during the 2023/24 audit programme and achieved a 'Reasonable Assurance'.

2. Safety Management System - Amendments

- 2.1. The PMSC and SMS is regularly selected under the audit programme for review and in addition to this the Safety Team and senior management within the Operations Directorate also carry out a regular review to ensure our systems are fit for purpose,

consider legislative changes as well as responding to incidents and accidents, a key aspect of a risk-based system.

- 2.2. As recommended by the PMSC, in October 2023 the Authority carried out the three-yearly review of the Formal Safety Assessment using the expertise of the Boat Safety Management Group. The BSMG reviewed 49 identified hazards and recommendations have been included within the latest version of the SMS. Please note that part of this review process is to identify new hazards which may need to be added, and at the October 2023 review, foil boarding, underwater drones and recreational/commercial diving were added.
- 2.3. A key aspect of our latest internal review of the SMS is the updated risk assessment carried out by Marico Marine, on the pilotage requirements for the Authority. ([Finding reported to the Broads Authority on 26 January 2024](#)). Following Marico Marine's report and the decision by the Broads Authority, the pilotage requirements within the SMS have been updated to reflect the case-by-case assessment now in place for commercial vessels over 24m.
- 2.4. The SMS is an overarching document which links to the plethora of policies, legislation, guidance and processes which make up the Broads Authority safety system. In the previous SMS (Version 7) the links to these supporting documents were contained within an appendix to the document. Now in version 8, these links are electronically added so the user can simply click and be taken to the latest and most up-to-date version. Embedded links mean the management system can easily be reviewed and new or updated links added.
- 2.5. Responsibility for risks is another key item within the SMS and one that has been picked out and specifically praised by the auditors; it is within the section titled Executive Structure. This section sets out how corporate responsibility for safety within the Authority works, providing details of a top-down approach and identifying key roles that have responsibility for safety and how they link back to the corporate structure. This includes the Chief Executive, Director of Operations, Head of Safety Management, Head of Ranger Services and the link back to Broads Authority Board members and the 'golden thread' throughout the organisation.

3. Financial implications

- 3.1. The risks of getting safety wrong, and not following established processes and procedures have far-reaching ramifications, with financial issues being just one. Therefore, safety and the effects of accidents and incidents upon the Authority are included on the Broads Authority Corporate Risk Register, carrying a risk rating of medium. A key mitigation factor to reduce these risks is adherence to the SMS.

4. Conclusion

- 4.1. Health and Safety does not sit in isolation within the Broads Authority, and as our risks are diverse and ripple throughout the Authority's work, we:

1. Have PMSC and SMS as an overarching active document to guide our safety practice.
 2. The PMSC is a standing item on the Broads Authority agenda.
 3. We support and assist the Boat Safety Management Group, which advises the Navigation Committee on marine safety.
 4. We maintain and regularly review the Safety Management System and its supporting documentation to ensure compliance with the PMSC, legislation and good practice.
 5. The Health & Safety Committee (Broads Authority staff) regularly meets to review incidents and near misses to identify trends and recommends improvements and mitigation to the Management Team to reduce accidents.
 6. Broads Control maintains incident logs (of those that are reported to the Authority) so we can build a picture of incidents plan safety campaigns and target key areas of improvement.
 7. We operate a 'near miss' system where all staff and volunteers are encouraged to share health and safety mishaps that could have been more serious in different circumstances, so the Authority can respond before an accident happens.
 8. Staff are well trained and maintain skills and competencies on a raft of plant and equipment so only properly qualified and experienced staff have access to and use our kit.
 9. We regularly carry out reviews (by the risk owners) on our Risk Assessments and method statements and we have Safe Systems of Work. These are updated as and when required. We carry out health surveillance for noise and hand-arm vibration to benchmark and keep staff safe and in good health.
 10. We operate a 'don't walk by' and 'lead by example' process so at every level our staff feel able to highlight and report health and safety issues via our senior or line management structures.
- 4.2. The fundamental contents of the Broads Authority Safety Management System are unchanged; the approach to pilotage has been updated to reflect how will manage commercial vessels over 24m entering the system. The formatting and inclusion of embedded links to key supporting documentation will assist when the SMS is reviewed, and any changes are required. Via audit and our internal review processes, I hope members are assured of the Authority's commitment to our health and safety systems and our culture of continuous improvement.

Author: Rob Rogers

Date of report: 12 April 2024

Background papers: Broads Authority – Pilotage Review, January 11 2024

[Broads Plan](#) strategic objectives: Strategic objectives: C4

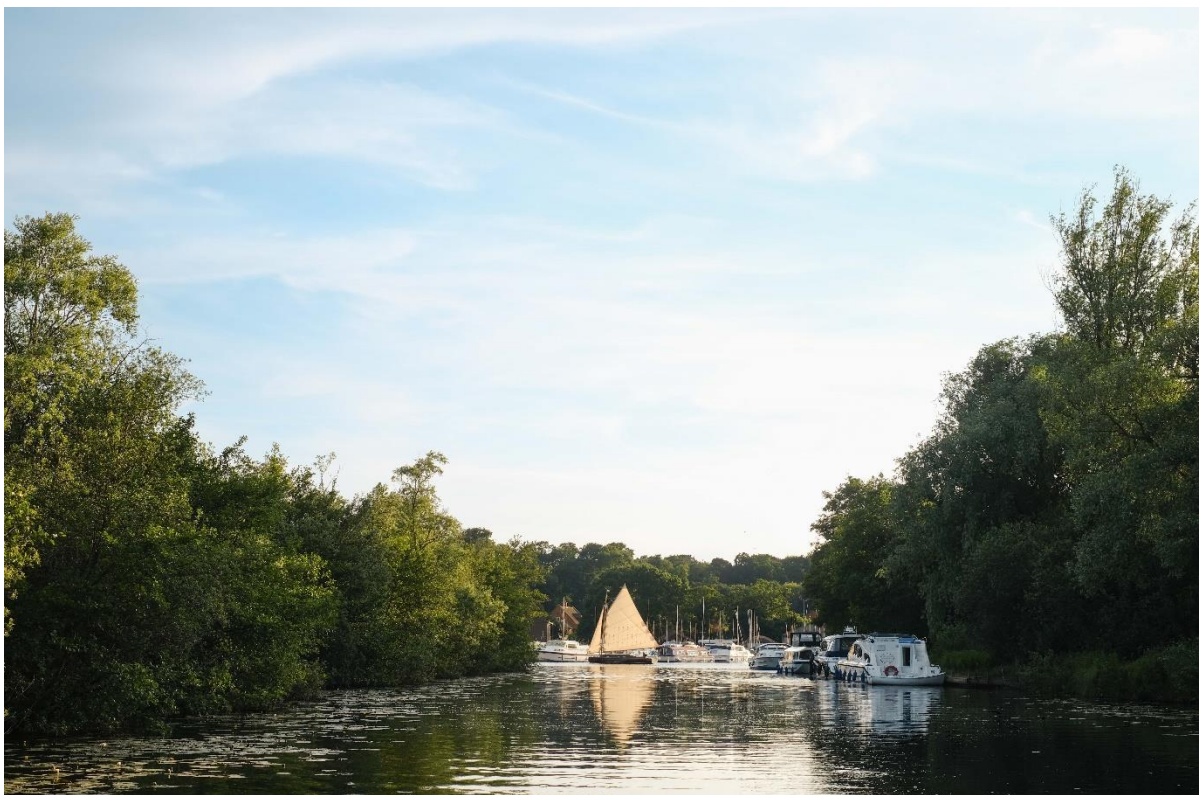
Appendix 1 – Safety Management System, Version 8

Appendix 1 - Safety Management System, Version 8



Safety Management System

Version 8.0



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

Contents

Appendix 1 - Safety Management System, Version 8	5
Administration record	10
Report authorisation	11
Executive summary	11
1 Introduction	12
1.1 Background	12
1.2 The Port Marine Safety Code	12
1.3 Purpose and scope of the Safety Management System	13
1.4 Interfaces	14
1.5 Legislative Duties and Powers of the Broads Authority	14
1.6 Other Relevant Legislation	15
1.7 Navigation Safety Policy	16
2 Roles and Responsibilities	17
2.1 The Broads Authority	17
2.2 Executive structure	19
2.3 The Director of Operations	20
2.4 Job descriptions	23
2.5 Training cycle	26
2.6 Planning and implementing	27
3 Navigation area overview	28
3.1 Introduction	28
3.2 The navigation area	28
3.3 Principal uses	29
3.4 Meteorological data	30
3.5 Navigation channels and berths	31
3.6 Traffic monitoring	32
3.7 Environmentally sensitive sites within the Broads	32
4 Consultation	35
4.1 Introduction	35
4.2 Navigation Committee	35
4.3 Boating Safety Management Group	35

4.4	Broads Local Access Forum	36
4.5.	SMS stakeholders	36
5	Conservancy	37
5.1	Introduction	37
5.2	Responsibilities	37
5.3	Management of Hydrography	37
5.4	Tidal heights and streams	38
5.5	Management of Channel Markers and Aids to Navigation (ATON)	39
5.6	Marking Hazards	40
5.7	Management of trees and scrub	40
6	Management of the Navigation	41
6.1	Introduction	41
6.2	Responsibilities	41
6.3	Byelaws	42
6.4	Directions	42
6.5	Harbour patrols	43
6.6	Policies	44
6.7	Notice to Mariners	44
6.8	Publications promoting boat safety.	44
6.9	Permits	45
6.10	Procedures	45
6.11	Licensing	46
7	Pilotage	48
7.1	Introduction	48
7.2	Responsibilities	48
7.3	Requirements for pilot and pilotage directions	49
7.4	Authorisation of pilots	49
7.6	Pilotage exemption	50
8	Marine services	50
8.1	Introduction	50
8.2	Responsibilities	50
8.3	Moorings	50

8.4	Workboats and launches	51
8.5	Towing	52
8.6	Management of contractors	53
8.7	Passenger craft	54
8.8	Lifebuys and personal rescue equipment	54
8.9	Bridges	55
9	Hazards	60
9.1	Introduction	60
9.2	Responsibilities	60
9.3	Formal risk assessment	60
9.4	Discussion of the existing hazard log	60
9.5	Hazard identification	61
10	Risk assessment	61
10.1	Introduction	61
10.2	The ALARP principle	61
10.3	Risk classification system	61
10.4	Management of hazards and risk	65
10.5	Risk assessment	67
10.6	Boat Safety Scheme	67
11	Emergency response	68
11.1	Introduction	68
11.2	Responsibilities	68
11.3	Reporting of an emergency	68
11.4	Incident reporting system	69
11.5	Assessment of the situation	69
11.6	Response to a minor emergency	69
11.7	Oil spills	69
11.8	Communications	70
11.9	Emergency Response Exercise	70
12	Monitoring and auditing	70
12.1	Introduction	70
12.2	Proactive monitoring	70

12.3	Reactive monitoring	71
12.4	System auditing	72
13	Recommendations	73
14	Abbreviations and glossary	75
14.1	Abbreviations	75
14.2	Glossary	76

Administration record

Issue	Modification	Approved
A	Early Draft for customer comment at Boating Safety Management Group	N/A
B	Developing Draft for Navigation Committee	N/A
C	Final Draft for customer comment	N/A
1	Formal issue	
1.1	Updated to include corrections	LIE
1.2	Updated for external consultation	LIE
1.3	Updated to include section 12 and updated hazard log	LIE
2.0	Updated to restructure document and Broads Authority Act 2009	LIE
3.0	Revised following re-organisation, implementation of BA Act, update to PMSC and the guide and updated hazard log	LIE
4.0	Revised to incorporate 2013 Marine hazard review and section added to cover land-based safety management	LIE
5.0	Revised to incorporate 2014 integrated hazard log	LIE
6.0	Revised to incorporate 2015/16 integrated hazard log update	LIE
7.0	Revised to reflect changes in the Code, implementation of external Audit findings, issue of the new Broads Plan 2017	LIE
8.0	Revised to reflect outcome of stakeholder hazard review, update on audit recommendations and progress against Broads Plan.	LIE

Report authorisation

Author: Linda Ibbitson-Elks (Head of Safety Management)

Checked: Rob Rogers (Director of Operations)

Executive summary

The Port Marine Safety Code (PMSC) [Port Marine Safety Code](#) was published by the Government in December 2012 and updated in November 2016. The Code establishes an agreed national standard for port marine safety and formalises the duties and responsibilities for safety and environmental protection within UK ports and harbours. The Code is applicable to all harbour authorities, and compliance is mandatory.

The Code requires that all harbour authorities base their powers, policies, plans and procedures on a Formal Safety Assessment (FSA), and that they maintain a Safety Management System (SMS) to control the risks that are identified to a level which is as low as reasonably practicable (ALARP).

The Broads Authority (Pilotage Powers) Order 1991 [The Broads Authority \(Pilotage Powers\) Order 1991 \(legislation.gov.uk\)](#) confirms that the Broads Authority is a “Competent Harbour Authority” as defined by the Pilotage Act 1987, and as such the Authority falls under the requirements of the Port Marine Safety Code.

Unlike a port, the Broads Authority is designated a “Special Statutory Authority”, affording the same level of protection as National Park status, but with tailor-made legislation relating to navigation. The Authority therefore balances the navigational duties and powers of a harbour authority with the conservation and recreational duties and powers of a National Park Authority. These duties and powers are principally set out in the Norfolk and Suffolk Broads Act 1988.

This Safety Management System (SMS) document details the arrangements put in place by the Broads Authority to ensure, as far as is reasonably practicable, the safety of those working on, visiting or using the Broads.

1 Introduction

1.1 Background

The Broads is Britain's largest nationally protected wetland, comprising rivers, broads, marshes, fens and carr woodland. There are over 200km of navigable waterways and over 25% of the area has a European designation, Special Area of Conservation or Special Protection Area, incorporating many National and Local Nature Reserves and Sites of Special Scientific Interest. The Broads is listed under the Ramsar Convention on Wetlands of International Importance and is home to a diverse variety of rare birds, animals and plants.

The Broads Authority was formalised as a statutory authority by the Norfolk and Suffolk Broads Act 1988 ([Norfolk and Suffolk Broads Act 1988 \(legislation.gov.uk\)](#)), and began operating as such in 1989, for the purpose of conserving and enhancing the natural beauty of the Broads, promoting the enjoyment of the Broads by the public, and protecting the interests of navigation.

The Authority is designated a "Special Statutory Authority", affording the same level of protection as National Park status, but with tailor-made legislation relating to navigation. The Authority therefore balances the duties and powers of a harbour authority with those of a National Park authority.

The Authority is funded by central government through National Park grant, as well as tolls paid by boat owners who use the Broads.

1.2 The Port Marine Safety Code

General Duties and Powers: For the purpose of this code, the duty holder should ensure that the harbour authority discharges its responsibilities to:

- **Safe and efficient port marine operations:** Having regard to the efficiency, economy, and safety of operation of the services and facilities provided as well as ensuring that appropriate resources are made available for discharging their marine safety obligations.
- **Open Port Duty:** Taking reasonable care, so long as the harbour or facility is open for public use, that all who may choose to navigate in it may do so without danger to their lives or property.
- **Conservancy duty:** Conserving the harbour or facility so that it is fit for use; this duty also includes providing users with adequate information about conditions in the harbour or facility.
- **Revising duties and powers:** The harbour authority should keep its powers and jurisdiction under review and take account of the various mechanisms, such as harbour orders, which are available to amend statutory powers in an authority's local legislation.
- **Environmental duty:** Exercise its applicable functions regarding nature conservation and other environmental considerations.

- **Civil Contingencies duty:** Take account of the organisation’s responsibilities under the Civil Contingencies Act 2004 including planning, preparing and co-ordinating responses to emergencies which threaten serious damage to human welfare, the environment or security.
- **Harbour authority powers:** Harbour authorities must be aware of their statutory powers and responsibilities under both primary and secondary legislation.

The Port Marine Safety Code ([Port marine safety code - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/228241/port-marine-safety-code-2012.pdf)) was published by the Government in December 2012 and updated in November 2016. The Code establishes an agreed national standard for port marine safety and formalises the duties and responsibilities for safety and environmental protection within UK ports and harbours. The Code requires that all harbour authorities base their powers, policies, plans and procedures on a Formal Safety Assessment (FSA), and that they maintain a Safety Management System to control the risks that are identified to a level which is as low as reasonably practicable (ALARP).

The Port Marine Safety Code is supplemented by a Guide to Good Practice on Port Marine Operations ([MCGA-Port Marine Guide to Good Practice NEW-links.pdf \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/228241/mcga-port-marine-guide-to-good-practice-new-links.pdf)) providing further supporting information and advice.

1.3 Purpose and scope of the Safety Management System

The purpose of this Safety Management System (SMS) is to document the arrangements put in place by the Broads Authority to ensure, as far as reasonably practicable, the safety of those using or working on the Broads.

The Broads Authority, as Duty Holder for the Broads, has developed this SMS in accordance with the requirements of the Port Marine Safety Code, taking cognisance of the advice in the Guide to Good Practice on Port Marine Operations (Noting the status of the Authority as a Special Statutory Authority, a pragmatic approach has been taken to the application of the Port Marine Safety Code.

As the SMS develops, a wide variety of stakeholders will be consulted with the aim of achieving a SMS, which is practical, workable, and supported. The Port Marine Safety Code relates to “marine operations”, which are defined in the Guide to Good Practice on Port Marine Operations Glossary as “marine operations have been taken to mean the moving, berthing and unberthing of ships and other marine craft within the limits and approaches of a harbour authority.” The code does not apply to areas already regulated by another body, such as the Health and Safety Executive (HSE), or the Maritime and Coastguard Agency (MCA).

This SMS not only relates to marine and navigational safety but also to safety relating to the land assets that the Broads Authority manages, typically footpaths and areas where the public have access. It does not address health & safety issues for Broads Authority premises.

The SMS covers members of the public using hired or privately-owned craft, as well as Broads Authority employees when working on the water.

1.4 Interfaces

The Broads Authority's area of jurisdiction has boundaries with two other authorities, as described below. The details of each boundary are discussed in section 3.

- a) **Great Yarmouth Port Company Ltd:** Peel Ports Marine Safety Management System MSM/001 Aug 2018 ([Marine Information | Great Yarmouth | Peel Ports](#)) describes their response to the PMSC.
- b) **Associated British Ports Lowestoft:** Associated British Ports - Marine Policy 2018 ([Associated British Ports | Lowestoft \(abports.co.uk\)](#)) describes their response to the PMSC.

1.5 Legislative Duties and Powers of the Broads Authority

The duties and powers of the Broads Authority are derived principally from the provisions of three Acts of Parliament.

Norfolk and Suffolk Broads Act 1988

The Norfolk and Suffolk Broads Act 1988 (c.4) ([Norfolk and Suffolk Broads Act 1988 \(legislation.gov.uk\)](#)) established the Broads Authority as the statutory harbour and navigation authority for the navigation area, as well as the planning authority for the area. It gave the Broads Authority the duty to manage the Broads for the purpose of:

- a) Conserving and enhancing the natural beauty of the Broads;
- b) Promoting the enjoyment of the Broads by the public;
- c) Maintain the navigation area for the purposes of navigation to such standard as appear to it to be reasonably required; and
- d) Take such steps to improve and develop it as it thinks fit.

It also gives the Authority power to “do anything which is necessary or expedient for the purpose of enabling it to carry out its functions.” Specifically, the Authority have the power to raise tolls for the use of the Broads by members of the public and by commercial shipping. The Authority also has the power to raise Byelaws, subject to a process of consultation and parliamentary approval. The Act does not give the Authority power to exclude a boat or person from the public waterways, providing their toll has been paid.

The Act also defined the composition of the Broads Authority, at the time this consisted of 35 members. This was later revised by the Alteration of Constitution of the Broads Authority Order 2005 ([The Norfolk and Suffolk Broads Act 1988 \(Alteration of Constitution of the Broads Authority\) Order 2005 \(legislation.gov.uk\)](#)), reducing membership from 35 to 21, in accordance with Department for Environment, Food and Rural Affairs (Defra) recommendations. The current composition of the Authority is described in Section 2.1.

Pilotage Act 1987

The Pilotage Act 1987 ([Pilotage Act 1987 \(legislation.gov.uk\)](#)) describes the duties and powers of a “competent harbour authority” with respect to the provision and authorisation of pilots. The Act states that a competent harbour authority is required to keep under consideration what pilotage services should be provided to ensure the safety of ships navigating in the harbour, and whether such pilotage should be made compulsory.

The Broads Authority (Pilotage Powers) Order 1991 ([The Broads Authority \(Pilotage Powers\) Order 1991 \(legislation.gov.uk\)](#)) confirms the Broads Authority’s status as a “competent harbour authority”.

Broads Authority Act 2009

The Broads Authority Act 2009 ([Broads Authority Act 2009 \(legislation.gov.uk\)](#)) received Royal assent in August 2009, the Act grants the Authority additional powers including:

- e) Giving of general directions to vessels.
- f) Giving of special directions to particular vessels.
- g) Impose a compulsory third-party insurance requirement on vessels registered with the Authority.
- h) Impose construction and equipment standards on vessels for the purposes of safety management.
- i) Regulate and give directions to water skiers.
- j) Removal of vegetation.
- k) Application of the public Health Acts Amendments Act 1907.
- l) Take responsibility for the Breydon Water and Lower Bure areas.

1.6 Other Relevant Legislation

Natural Environment and Rural Communities Act

The Natural Environment and Rural Communities (NERC) Act 2006 ([Natural Environment and Rural Communities Act 2006 \(legislation.gov.uk\)](#)) establishes a body known as Natural England, to replace the Countryside Agency and English Nature.

The Act modifies the first two purposes of the Broads Authority as follows (the modification is in bold):

- a) Conserving and enhancing the natural beauty, **wildlife** and **cultural heritage** of the Broads.
- b) Promoting **opportunities for the understanding and** enjoyment of the special qualities of the Broads by the public.

Health and Safety at Work Act

Under the Health and Safety at Work etc. Act 1974 ([Health and Safety at Work etc. Act 1974 \(legislation.gov.uk\)](#)), employers have a duty to ensure, so far as is reasonably practicable, the health and safety of its workers and other persons who may be affected by the Authority's undertakings.

In addition, the Management of Health and Safety at Work Regulations (1999) ([The Management of Health and Safety at Work Regulations 1999 \(legislation.gov.uk\)](#)) requires every employer to make a suitable and sufficient assessment of all the risks to the health and safety of workers and others arising at or from a work activity.

Byelaws

The Broads Act gives the Broads Authority the power to make Byelaws [Norfolk and Suffolk Broads Act 1988 \(legislation.gov.uk\)](#) in respect of areas which are owned by the Authority, or to which the general public have a right of access. The Authority is required to obtain the approval of the Secretary of State to make Byelaws and must consult with Natural England for Byelaws relating to the use of land.

Five sets of Byelaws have been made, covering Navigation, Vessel Registration, Vessel Dimensions, Speed Limits, and Boat Safety Standards. However, the Boat Safety Standards Byelaws has been revoked following the implementation of the Construction Standards provision in the Broads Authority Act 2009.

A byelaw was made by the East Suffolk and Norfolk River Authority in 1967 relating to control of pollution in the Broads by sanitary appliances on boats. In 1989, with the formation of the Broads Authority and the establishment of the Water Act, the continuing authority of this byelaw was confirmed by Statutory Instrument [The Rivers \(Prevention of Pollution\) Act 1951 \(Continuation of Byelaws\) Order 1989, Statutory Instrument, 1989 No. 1378](#) .

1.7 Navigation Safety Policy

The Broads Authority is the Competent Harbour Authority for the Norfolk and Suffolk Broads and serves to highlight the responsibilities that are allied to being a Harbour Authority and establishes a requirement for all Harbour Authorities to formalise their procedures.

The Broads Authority is committed to compliance with the Port Marine Safety Code and has developed a Waterways Code [Waterways codes \(broads-authority.gov.uk\)](#) outlining the steps the Authority will take to facilitate the safe and responsible operation of our harbour and demonstrate compliance with the Code.

As part of its commitment to facilitating the safe navigation and operation of vessels within the Broads, the Broads Authority has developed a Broads Safety Policy. It is the Broads Authority policy that it shall:

1. Develop and maintain an effective Safety Management System (SMS) to enable the Broads to undertake and regulate navigation operations in a way that safeguards the Broads, its users, the public and the environment.

2. Use risk assessment techniques to identify hazards and risks within the Broads and put in place suitable risk control measures to ensure that the risks identified are 'As Low as Reasonably Practicable' (ALARP) and that the appropriate emergency plans are in place and are practiced.
3. Monitor and manage the navigation of all craft and vessels within the Broads Limits.
4. Consult widely with the employees, Broads users and other relevant stakeholders in respect of navigational safety issues.
5. Ensure that an efficient, safe and appropriate level of Pilotage is available in accordance with the Pilotage Act 1987.
6. Undertake hydrographical surveys and maintenance dredging to ensure that the hydrographic regime is protected.
7. Place and maintain navigational marks where they will be of best advantage to vessels.
8. Disseminate any relevant navigational safety information to Broads users.
9. Regularly review the effectiveness of the Broads Authority's legal powers, byelaws and directions in respect of navigational safety.
10. Evaluate the safety performance of the Broads Authority through reporting systems contained within the Safety Management System.
11. Employ suitably qualified personnel and provide the necessary training to ensure that they are competent within the roles they are required to perform.
12. Ensure sufficient resources to implement procedures and systems effectively; and
13. Ensure the craft used by the Broads Authority have the required certification and are fit for purpose and the crews are appropriately trained and qualified for the tasks they are likely to perform.

This policy will be regularly reviewed with due consideration given to any changes to the operating environment, the organisation and legislation.

2 Roles and Responsibilities

2.1 The Broads Authority

The Broads Authority is composed of 21 appointed Members, in accordance with the Norfolk and Suffolk Broads Act 1988 ([Norfolk and Suffolk Broads Act 1988 \(legislation.gov.uk\)](https://legislation.gov.uk)), including representatives from local councils and Defra appointees. One Member is nominated as the Chairperson, and they are supported by a vice-chair. Collectively and individually, the Board has responsibility as "**Duty Holder**" as defined by the Port Marine Safety Code.

Although the Duty Holders delegate the operation of the harbour, including implementation of the SMS, to appropriate professional personnel, they may not delegate or abdicate their accountability for marine safety under the Port Marine Safety Code.

Table 2.1

Composition of the Broads Authority

Body to be represented	Members
Defra (Secretary of State Appointed)	10
Norfolk County Council	2
North Norfolk District Council	1
East Suffolk Council	1
South Norfolk Council	1
Broadland District Council	1
Norwich City Council	1
Suffolk County Council	1
Great Yarmouth Borough Council	1
Appointed from Navigation Committee	2

Members also sit on one or more of three Committees, which report directly to the Broads Authority. See section 4.2 for more details of the Committees.

Table 2.2

Membership of committees

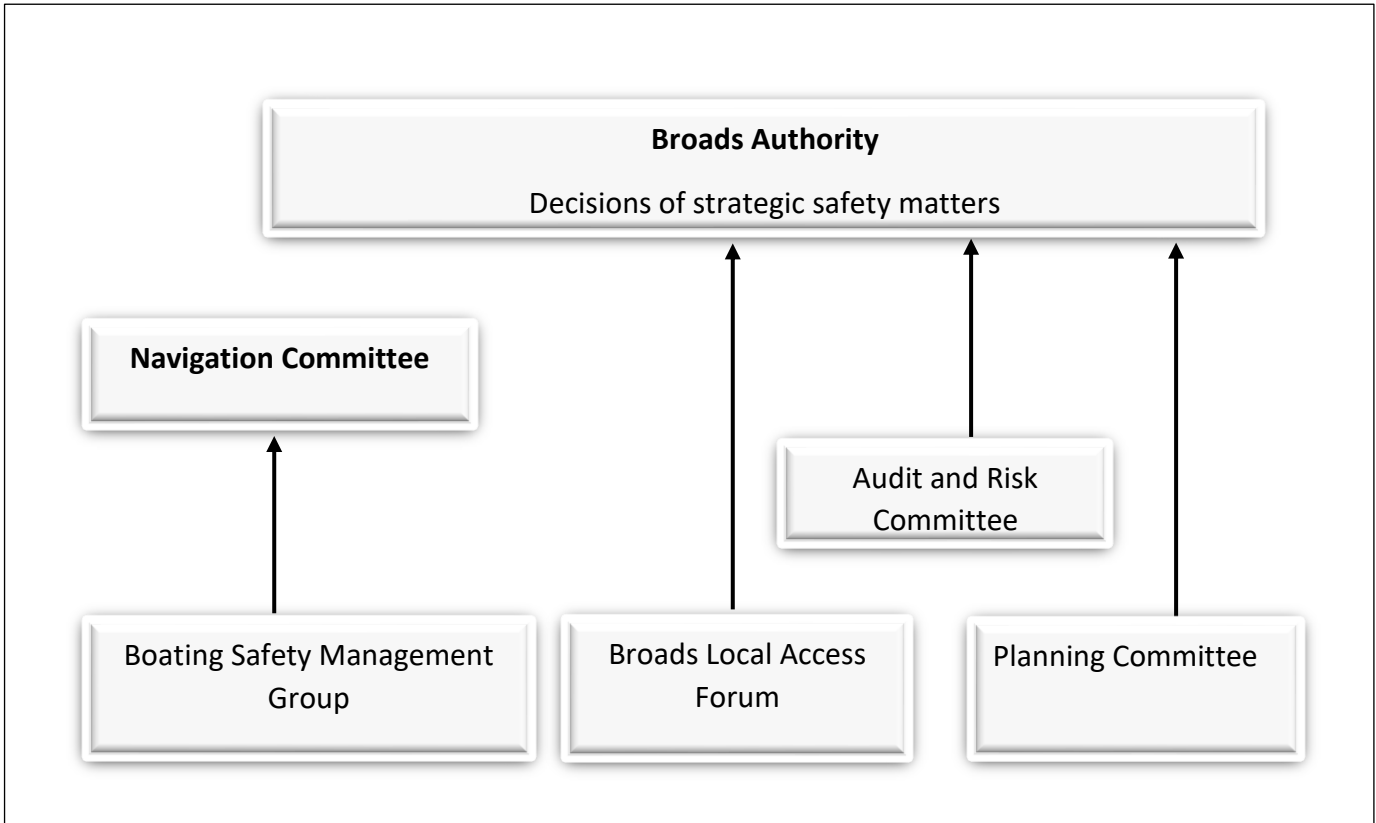
Committee	Authority Members	Appointed Members
Navigation	5	8
Planning	11	0
Audit & Risk	9	2

The Navigation Committee has a consultancy role and gives advice on waterways management and navigation issues, including safety. The eight appointed members represent relevant interests such as hire boat owners, private owners, and passenger boat owners.

The relationship between these committees, and other groups, is shown in 2.3 below.

Figure 2.3

Broads Authority Committee Structure



2.2 Executive structure

The Chief Executive (CE) has overall responsibility for operational matters following the strategic direction set by the Members of the Broads Authority. The CE is supported by the Management Team (three Directors), Governance Officers and the Monitoring Officer.

Chief Executive:

- To advise the Broads Authority on all matters relating to the Broads Authority’s responsibilities.
- To implement the Broads Authority policies and decisions.
- Responsible to the Broads Authority for the overall safety of operations and staff and for promoting a safety culture within the Broads.
- To ensure that adequate staff and resources are deployed to meet safety requirements within the Broads and to make recommendations to the members in this regard where necessary.
- To ensure that responsibility is properly assigned, accepted, and discharged at all levels.

- To ensure that matters concerning safety are properly and sufficiently communicated both internally and externally.
- To maintain and improve standards of operational training.
- To actively participate in audits of the Norfolk and Suffolk Broads Safety Management System.

2.3 The Director of Operations

The Director of Operations has responsibility for navigational safety across the Broads. The Director is supported by the Head of Safety Management, The Head of Construction, Maintenance & Ecology, and the Head of Ranger Services who is appointed as required by the Broads Act 1988 Part 2 Section 10(7), whose functions are set out in Schedule 5 Part 2 Sections 17, 18 and 19. [Norfolk and Suffolk Broads Act 1988 \(legislation.gov.uk\)](https://legislation.gov.uk)

The Duty Holder has appointed the Head of Safety Management to act as the “Designated Person” as defined by the Port Marine Safety Code. This person’s main responsibility is to determine, through assessment and audit, the effectiveness of the marine safety management system ensuring compliance with the code. The nomination as Designated Person is formalised in the post holders Job Description.

The Director of Operations is also responsible for the Dockyard operation, Maintenance and Construction teams, Ranger services, the Environment and Design Supervisor and the Rivers Engineer, all of whom have an impact on safety.

Director of Operations

To manage to work of the Operations Directorate in delivering the following:

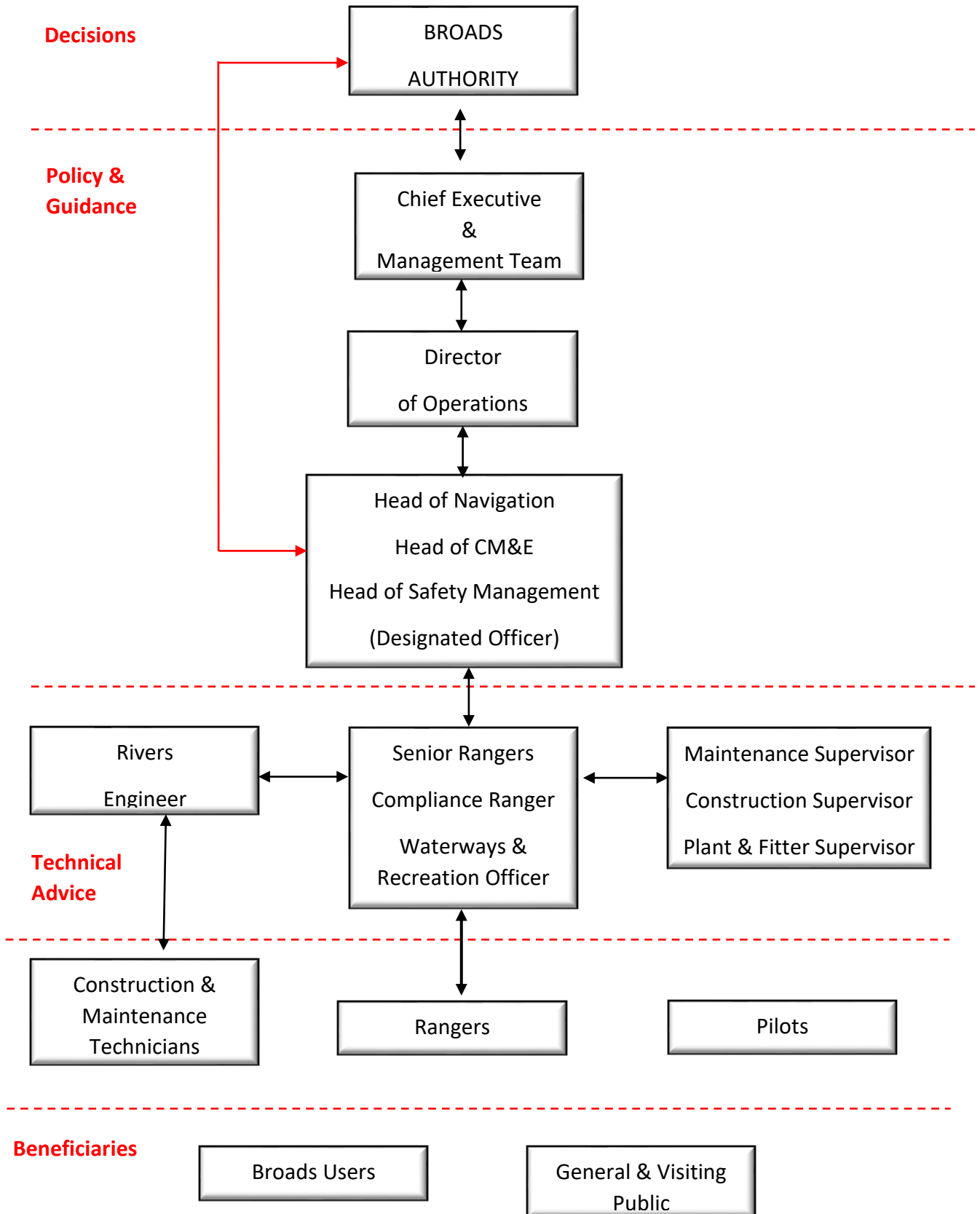
- The management of the safety of navigation within the Broads Authority’s executive area.
- To manage the operation of the Broads Control and that staff are appropriately trained to carry out the required duties.
- To develop and implement the Broads Emergency Plan including emergency exercises.
- The Health and Safety of the Pilots.
- To ensure that any safety reports received are investigated to an appropriate level and any resulting actions are implemented.
- The authorisation of Pilots.
- To ensure that byelaws, general directions and standing orders relating to navigational safety are kept under regular review.
- To provide advice to the Chief Executive and the Broads Authority on appropriate navigational safety issues as well as training of Broads Authority personnel.

- To disseminate safety information including Notice to Mariners to all Broads users and Broads Authority personnel in a timely manner.
- To ensure staff are aware of their duties and responsibilities placed upon them with due regard to the Safety Management System and to ensure they are trained appropriately to undertake their duties.
- To ensure that the Safety Management System is functioning as required through regular reviews of the system.
- To liaise and consult with external organisations, users and any other interested parties in relation to navigational safety issues.
- To ensure that staff are consulted and involved in any risk assessments being carried out.
- To modify operational procedures in a controlled manner.
- To implement Oil Spill Response Plans in conjunction with Navigation staff and ensure appropriate training.
- To ensure conservancy is maintained within the Norfolk and Suffolk Broads.
- To ensure Broads Authority vessels operating within the Broads have the required certification and the operators are appropriately trained and properly qualified for the tasks they are likely to perform about Health and Safety issues.
- To ensure that all moorings occupied by the Broads Authority are maintained and are in a safe condition.
- To actively participate in audits of the Norfolk and Suffolk Broads Safety Management System.
- To disseminate Health and Safety Information and legislation relating to navigation to all Broads Authority staff in a timely manner.

Figure 2.4

Organisational Roles and Responsibilities

The following chart presents the organisational structure relating to the Safety Management System.



2.4 Job descriptions

The following paragraphs provide the safety-related aspects of the job descriptions of the personnel defined above, including allocation of responsibilities under the Port Marine Safety Code.

Director of Operations

- a) As a member of the Management Team provide advice and guidance to the Chief Executive, other members of the Management Team and members of the Authority on all operational matters.
- b) Support, lead, facilitate, and manage the performance and development of all staff in the Operations Directorate so that they are effective in delivering the Authority's Business Plan and annual priorities.
- c) Provide guidance and advice to the Broads Authority and its committees and working groups on the implementation of all the Authority's plans and projects.
- d) Oversee and manage all the practical work of the Authority including dredging the navigation area and isolated broads, management of fens and sites of nature conservation importance, and sites and facilities which promote the enjoyment and understanding of the Broads.
- e) Programme the practical work of the Authority to make the best use of resources and deliver quality outcomes on time and within budget to deliver the Authority's objectives and plans.
- f) Support and guide the work of Ranger Services in patrolling, enforcing the Authority's byelaws, inspecting, and maintaining sites and facilities and providing guidance to the public.
- g) As a key contributor to the Harbour Master role and responsible for navigational safety of the Broads the post holder will direct and develop an approach to safety management that minimises risks to as low as reasonably practical across all the Authority's activities.

Head of Safety Management

- a) As the Authority's Health and Safety Advisor to be responsible for the introduction of regulation or best practice guidance, to coordinate and advise on all health and safety at work matters, to provide advice and guidance at the Authority's Safety Committee and to ensure, in conjunction with staff safety representatives, that the Authority complies with relevant health and safety legislation and that working practices and systems are safe and in accordance with good practice and regulation.
- b) Investigate, report and, where appropriate, make recommendations to the Authority on Occupational Health and Safety accidents and incidents in the Broads which relate to safety, including boat fires, explosions, personal injuries or accidents on or around

boats, serious navigational incidents and drowning or injuries sustained on Broads Authority property. To deal with the media in respect of incidents.

- c) Undertake the role of PMSC Designated Person with responsibility to provide independent assurance, directly reporting to the Authority that the marine safety management system is working effectively through the continued development and regular audit of a Marine Safety Management System for the Broads, pursuant to the Port Marine Safety Code.
- d) Work with private users and commercial concerns to ensure sustainable and safe use of the Broads as far as is reasonably practicable.
- e) Responsible for the development and regular review of an Oil Spill Contingency Plan for the Broads including involvement in the deployment and operation of oil spill clean-up equipment and materials.
- f) Responsible for the introduction of regulation or best practice guidance appropriate to Broads recreation which includes developing and providing advice and assistance to interested parties.
- g) Responsible for the assessment and licensing of Hire Boats and Small Passenger Boats on the Broads.
- h) Responsible for policy development, organising, planning, implementation monitoring, review, and audit of corporate Health & Safety Systems.
- i) Conduct external consultations on statutory requirements relating to waterways safety management issues and implementation of Broads Authority legislation.
- j) Responsible for staff training records and to ensure that all staff are adequately trained to discharge the Authority's duties under health and safety legislation, including the delivery of in house and external training and to train staff where appropriate.
- k) Liaise with other organisations/individuals concerned with the safe use of the Broads including the waterways, particularly in connection with technical, operational, and general safety matters.
- l) Maintain awareness of current and evolving health and safety, port, waterways and environment legislation, regulations and best practice and ensure that the Authority fully and properly discharges its responsibilities in the context of its Health and Safety, marine operations, and its other regulatory functions.

Head of Ranger Services

- a) Oversee the work of the Ranger Team and volunteers providing formal line management to the Senior Rangers, direction on training, and guidance on the Team's day to day management. To ensure that conditions are present for the safe, orderly, and environmentally sustainable use of the Broads for recreational purposes and that

the Authority's byelaws and regulations are observed and where appropriate enforced. Liaise with the Rivers Engineer to ensure that contractors or others seeking to undertake works in or affecting the navigation area are advised of the Authority's requirements concerning navigation and river safety.

- b) Develop and monitor a programme of work to record the condition of sites and visitor facilities in the Broads and ensure Rangers carry out minor works to improve access, biodiversity, and public safety, such as tree and scrub management, maintenance and minor improvements to ensure the locations are kept in good order.
- c) Undertake the duties and responsibilities of Navigation Officer as defined in the Norfolk and Suffolk Broads Act 1988. Give navigational directions to vessels as appropriate, including for towing. Grant permissions for events and regattas under schedule 5 of the Norfolk and Suffolk Broads Act 1988. [Note: This consists of the ability to give directions to specific vessels in relation to navigation, mooring, loading/unloading, etc. Broads Act, Schedule 5, Paragraph 18]; The duties include inclusion on the roster as required, and provision of out of hours emergency cover.
- d) Progress prosecutions where appropriate, maintain the required records and discharge the functions of Officer in Charge for the purposes of Criminal Procedure and Investigations Act 1996. Ensure that the Ranger Team is properly trained in the processes of prosecutions and evidence gathering. Investigate and record reported incidents, liaising with the Head of Safety Management concerning the investigation of incidents, particularly those of a technical nature.
- e) Ensure that operational bases, vehicles, vessels, and other equipment are kept secure, in good and safe repair and that defects are promptly rectified. Ensure that Authority assets including signage, countryside furniture and moorings are kept in good and safe condition and that defects are noted and reported, and that prompt action is taken in accordance with asset management systems to mark hazards and obstructions. Ensure that sites operated by the Authority are used in accordance with the Authority's policies and that instances of unlawful use are promptly dealt with, and that abandoned and sunken vessels are dealt with according to the Authority's powers and procedures.
- f) Liaise with the Police, Coastguard, and other emergency services to ensure that the Authority's personnel and resources are appropriately used in emergency situations. Take part in emergency exercises ensuring that the Authority takes a proper role in exercises and emergency response training. Prepare emergency/major incident plans. Assume the role of designated person under the Oil Pollution Preparedness, Response and Co-operation (OPRC) regulations [Note: This is not to be confused with the "Designated Person" identified by the Port Marine Safety Code] Provide leadership and assume responsibility in incident or emergency situations including oil spill incidents. As appropriate, to be included in the emergency call-out list provided to police, coastguard, and emergency services and, in the event of an incident, to attend and help mobilise the Authority's response.

- g) Liaise with a wide variety of external organisations, where necessary representing the Broads Authority at meetings.
- h) Negotiate and supervise the Broads Beat annual agreement to ensure optimum specialist policing liaison, support the work of the Local Access Fora (Norfolk and Suffolk) by undertaking agreed priority route management, and maintain close links with other partners as required.
- i) Ensure that health and safety best practice is followed by the Ranger Team and their volunteers including the routine and monitored production of risk assessments.
- j) Ensure that volunteers working with the ranger team are trained and supported so that they can contribute effectively to the Authority's aims and objectives and that their health and safety is protected and receive a worthwhile experience.
- k) In order to promote a greater understanding of the special qualities of the Broads and raise awareness about safety matters arrange with the Communications Team appropriate attendance and support at events and schools, in accordance with corporate priorities and the agreed annual programme of events.

2.5 Training cycle

The Port Marine Safety Code refers to the National Occupational Standards for Port Marine Operations Port [Operations National Occupational Standards \(NOS\) | Port Skills and Safety](#), and states that the training and competence of officers with safety duties should be in compliant with these standards, or demonstrably equivalent to them.

The Authority has a Training and Development Policy, **Learning and Development Policy** which demonstrates the Authority's commitment to identifying and providing an appropriate level of training and development for all staff employed by the Authority.

The Authority has a Marine Operations Training Policy [Annex L Port Marine Operations Training Policy](#) which details training needs following a formal skills matrix analysis of both safety management personnel, field personnel and those personnel with direct responsibility from their collective roles as Harbourmaster. This policy allows for the review of compliance and equivalence qualifications or experience with the National Occupational Standards for Port Marine Operations.

The Authority has also published a [Health and Safety Policy](#).

Its objective is as follows:

"The Broads Authority ("the Authority") recognises and accepts its responsibility as an employer for providing a safe and healthy workplace and working environments for all its employees and volunteers and others affected by its undertakings.

The Authority will take such steps as are reasonably practicable to meet this responsibility, including the provision of funds and resources, paying responsibility to the provision and maintenance of:

- a) plant, equipment and systems of work that are safe and without risk to health.
- b) safe arrangements for the use, handling, storage and transport of articles and substances.
- c) sufficient information, instruction, training and supervision to ensure that all employees are aware of the hazards to their own health and safety at work, and of the necessary measures which should be taken to protect against these hazards, and which would contribute positively to their own health and safety at work.
- d) a safe place of work, and safe access to and egress from it.
- e) a healthy working environment.
- f) adequate welfare facilities and arrangements; and
- g) a review and monitoring procedure to ensure the effective management of health and safety across the Authority.”

The following minimum standards are set for those working in the field:

- a) all staff working in the field are expected to undertake appropriate first aid training and manual handling training.
- b) all Broads Authority staff who are required to operate boats (including workboats, launches and public trip boats) must hold a RYA (Royal Yachting Association) Level 2 Power Boat qualification at a minimum or an MCA Boatmaster licence.
- c) officers responsible for fire safety and emergency procedures must have undertaken fire safety awareness training.

The Authority has also formed a Safety Committee, the role of which is to ensure that the Authority’s safety policy is implemented effectively, that safety standards are maintained and to provide a forum whereby matters relating to health and safety at work can be discussed.

2.6 Planning and implementing

As required by the Norfolk and Suffolk Broads Act 1988, the Authority has produced a five-year plan, known as the “Broads Plan” [Broads Plan 2022 - 2027 \(broads-authority.gov.uk\)](https://broads-authority.gov.uk).

The Broads Plan is a plan for the Broads, not a Plan for the Broads Authority.

The Broads Plan is the key management plan for the Broads. It sets out a long-term vision and guiding actions for the benefit of the natural and cultural environment, local communities', and visitors. The plan is reviewed and updated every 5-7 years. The current Broads Plan was adopted in 2022 and covers the period 2022-2027. While the Broads Authority is responsible for its production, it is a partnership plan for the Broads, and its success very much depends on a common vision, strong partnership working and the best use of shared resources.

Theme C4 of the current Plan ([Theme C: Maintaining and enhancing the navigation \(broads-authority.gov.uk\)](https://broads-authority.gov.uk)) identifies several objectives related to safety management. These objectives are broken down into sub-objectives which are set out in the plan.

3 Navigation area overview

3.1 Introduction

This section of the SMS defines the geographical boundaries of the navigation area and the limits of jurisdiction of the Broads Authority, identifies channels and berths within the area, describes meteorological data relevant to the navigation area, and identifies sites subject to various environmental designations.

3.2 The navigation area

The navigation area under the responsibility of the Broads Authority is defined in Section 8 of the Norfolk and Suffolk Broads Act 1988. [Norfolk and Suffolk Broads Act 1988](#)

The Broads Act defines the navigation area as all navigable stretches of the rivers Bure, Yare and Waveney and their tributaries (rivers Ant, Thurne and Chet), including Oulton Broad, Haddiscoe New Cut, and the navigable part of the river Wensum in Norwich upstream of its confluence with the Yare.

Interface with Great Yarmouth

The Broads Act excludes those areas which are the responsibility of the Great Yarmouth Port Authority under the Great Yarmouth Port and Haven Acts and Orders 1866 to 1986.

The navigational responsibilities for Breydon Water and the lower reaches of the Yare, Bure and Waveney have been transferred from Great Yarmouth Port Authority to the Broads Authority in June 2012 and therefore this SMS now includes this area.

Interface with Lowestoft

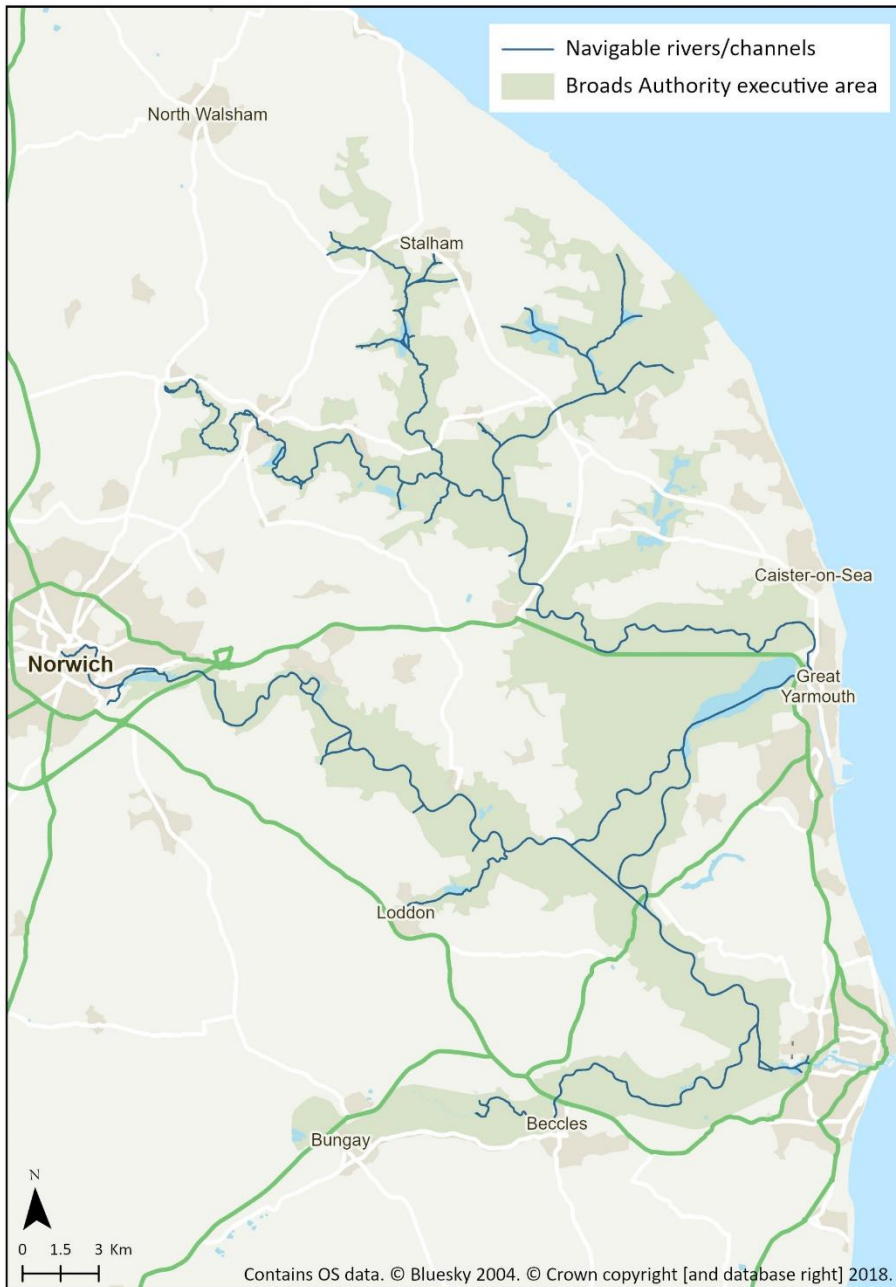
At Lowestoft, Mutford Lock, at the eastern end of Oulton Broad, marks the boundary with Associated British Ports Lowestoft. Mutford Lock had historically been in the ownership of Associated British Ports Lowestoft (ABP).

A harbour revision order [Transfer of Mutford Lock Harbour Revision Order 2021 \(legislation.gov.uk\)](#) transferred the ownership and management responsibility of Mutford Lock from ABP to the Broads Authority in February 2021.

Mutford Lock is operated by East Suffolk Council on behalf of the Broads Authority. The lock is used almost exclusively by private craft – there is little commercial traffic, and hire craft are not permitted to pass through the lock.

Figure 3.1

Map showing the Broads Navigation Area



3.3 Principal uses

Unlike a commercial port, the Broads is home to a wide variety of river traffic. Commercial freight traffic is almost non-existent. The following represents the principal uses of the Broads:

- a) Day hire craft (self-drive).
- b) Larger motorised hire craft, typically hired out for a week (self-drive).
- c) Guided tour boats - approximately 8 MCA-certified passenger craft offering guided excursions.

- d) Small passenger boats (less than twelve passengers).
- e) Private motor boating.
- f) Sailing - including hire self-drive, private and tuition.
- g) Water skiing - in specific areas and at specific times as designated under the 2009 Act.
- h) Rowing, Canoeing and stand-up paddle boarding.
- i) Power Boat racing (Oulton Broad only).
- j) Angling, either from the bank or from a moored craft.

These activities are mostly seasonal, with most activity taking place between April and October; however there remains a lower level of activity over the winter months.

3.4 Meteorological data

The Guide to Good Practice on Marine Port Operations recommends that the authorities should make available information about current and forecast meteorological conditions. Although the effects of the weather are likely to be less significant on an inland waterway than a port, there can be an impact, especially on large bodies of water such as Breydon Water.

Some harbour authorities have dedicated weather stations or purchase customised weather information from the Met Office. Given the sheltered inland nature of the Broads and the geographic spread of the area, it is suggested that this level of detail would be inappropriate for the Broads.

Publication of forecast tidal information is currently carried out by the Authority (annually in a booklet and a visitor newspaper, and weekly on the Broads Authority website).

The Authority has developed a weather forecast service page (Norfolk) weather - Met Office

Figure 3.2

Broads Authority Weather Forecast Policy

Broads Authority Weather Forecast Policy

In accordance with the Port Marine Safety Code, the Broads Authority has a duty to make available timely information on prevailing and forecast meteorological conditions.

It is the Authority's policy that it will:

- a) Maintain a link to a nationally recognised weather forecasting agency, from the Broads Authority website, the forecast from the link will include general weather conditions, wind speed and direction including weather warnings for the local area.
- b) Maintain forecast weather data information at Broads Authority yacht stations and visitor centres and through Rangers.
- c) Promote the Environment Agency flood alert system on the website.
- d) Ahead of forecast weather warnings or flood events, send out information on social media alerting boaters to some of the precautions to take, such as not mooring under trees in high winds and checking moored vessels after heavy rainfall.
- e) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System Action Plan.
- f) Act in an appropriate and timely manner to address and perceived shortfalls in this policy.

3.5 Navigation channels and berths

Several areas are currently marked, either by posts or buoys which define the navigable channels in accordance with the Waterways Specification, including across shallow Broads, examples being Rockland Broad, Hickling Broad and Breydon Water. The marks are checked by the Rangers and a report is issued when works are required. The works are programmed, either using the Broads Authority maintenance team or contractors as appropriate.

The only commercial berth within the navigation area is the quay at the sugar beet factory at Cantley. This quay is owned and managed by British Sugar; however, it has been over 10 years since a vessel has used this berth. There are many staithes around the Broads system, the historic use of these staithes was for loading and unloading of goods to service local communities, however very few of these staithes are now used for this purpose.

The Broads Authority Act 2009 includes a provision for the Authority to designate areas for the loading and unloading of any goods.

There are many public and private moorings throughout the Broads. Moorings are discussed under section 8.3.

3.6 Traffic monitoring

Given the large and geographically dispersed nature of the Broads, there is no Vessel Traffic System (VTS) or similar traffic monitoring system. Traffic is monitored daily by the Head of Ranger Services and a team of Rangers, who maintain regular patrols across the area, using Broads Authority launches.

Some private vessels and the larger trip boats communicate by VHF radio. Hire boats and small vessels do not have VHF radios. Hirers will generally call on mobile phone, if necessary, e.g., for bridge opening, problems with their boat, or to contact the emergency services.

3.7 Environmentally sensitive sites within the Broads

The Broads is one of Europe's finest and most important wetlands for nature conservation. It includes designated sites for nature conservation, consisting of 28 Sites of Special Scientific Interest (SSSIs), which cover 24% of the Broads executive area. One-third of SSSIs are also designated as National Nature Reserves (NNRs). Virtually all SSSIs also form part of the National Site Network; the network of European sites within the UK (Conservation of Habitats & Species Regulations 2017 (as amended)) [Conservation of Habitats & Species Regulations 2017 \(legislation.gov.uk\)](#).

The Broads, apart from having many designated sites for nature conservation, is also important for wildlife throughout its area, with land and water managed for both biodiversity and landscape. The whole area forms an inter-connected wetland system and hydrological connections between the waterways, fens and grazing marsh dykes can often mean that pollution and other impacts in one part of the wetland affects a much wider area.

Link to [Broads Biodiversity and Water Strategy](#)

Figure 3.2

Network of National Nature Reserves (NNRs) and Special Site of Scientific Interest (SSSIs) in the Broads

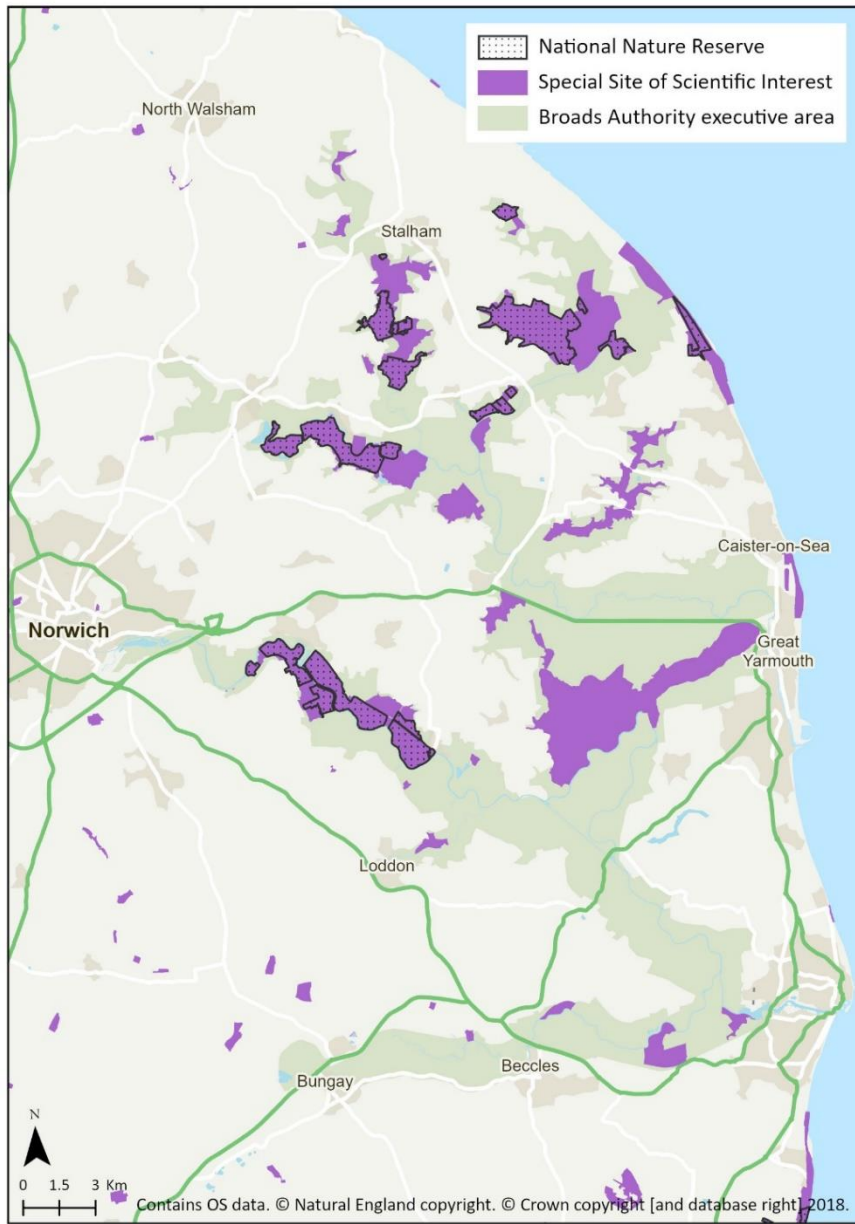
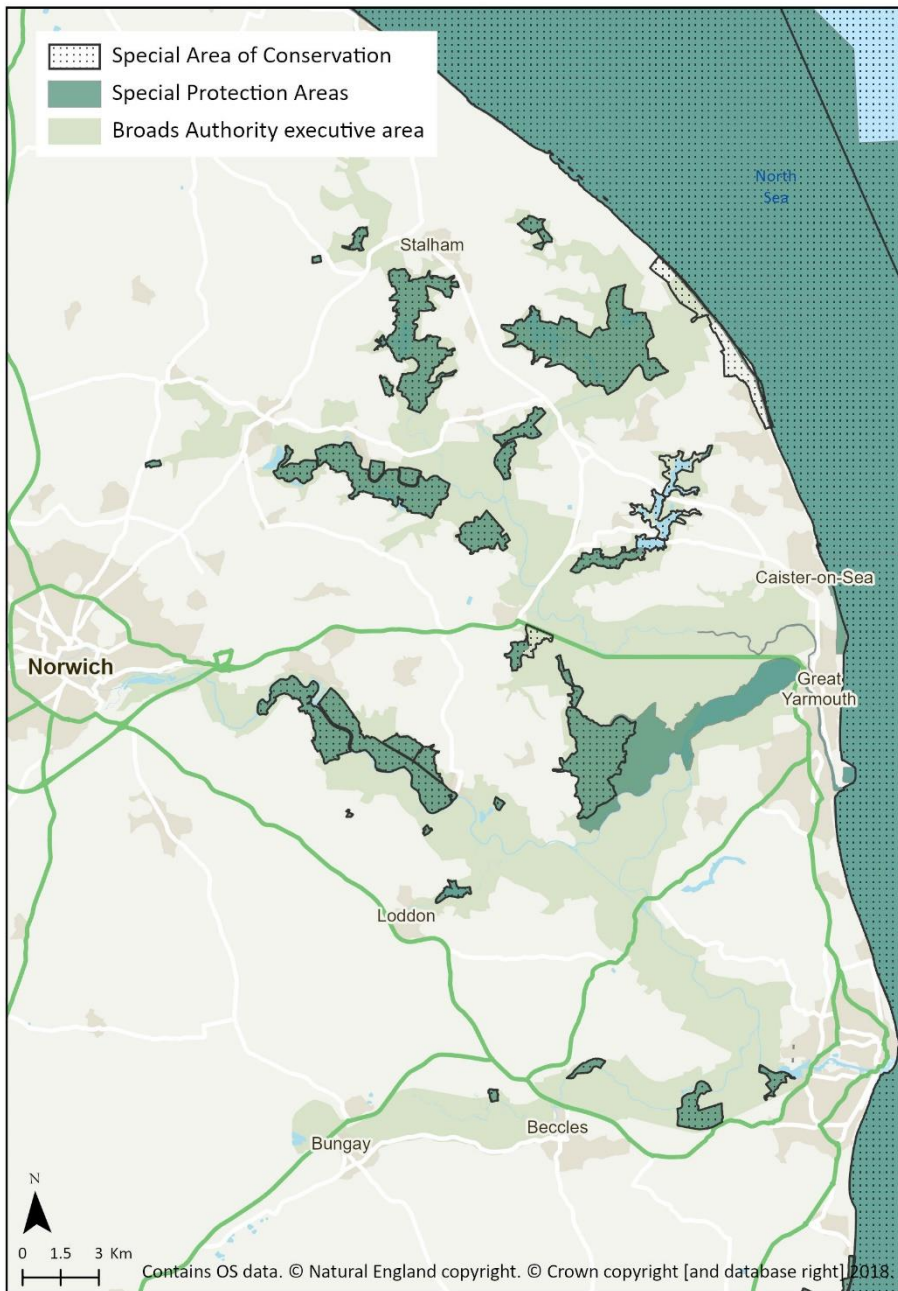


Figure 3.3

SSSIs that are also of European Importance



4 Consultation

4.1 Introduction

The implementation of the Safety Management System will affect a wide variety of stakeholders.

This section of the SMS describes the mechanisms in place for consultation, and how consultation will be handled for this SMS.

4.2 Navigation Committee

The role of the Navigation Committee is to reflect the position as set out in the Broads Act. Its purpose is to comment on and advise the Authority on matters relating to the strategic management of the waterways. The Navigation Committee is the consultation forum for issues relating to protecting the interests of navigation, which includes safety issues.

Members of the public can attend and give notice to raise questions at meetings of the Navigation Committee, or at any of the Authority's formal committee meetings (see 2.1).

The membership of the Navigation Committee is defined in the Broads Act, and consists of thirteen members as follows:

- a) Five members of the full Authority.
- b) Two persons representing the interests of hire boat owners.
- c) One person representing the national interests of private boat owners.
- d) One person representing the local interests of private boat owners.
- e) Two persons representing the interests of passenger and goods shipping.
- f) One person representing other interests.
- g) One person appointed by the Great Yarmouth Port Authority.

The Committee receives advice from officers of the Authority who also attend.

4.3 Boating Safety Management Group

The Boating Safety Management Group was established to evolve in detail the policy and processes on which the SMS is to be based.

The Group is chaired by a member of the Authority (as a representative of the Duty Holders), with membership including the Director of Operations, the Head of Safety Management ("Designated Person"), and Head of Ranger Services, the membership of the Group also includes representatives from the Navigation Committee and outside bodies with a particular interest and involvement in boating safety issues.

The Group reports directly to both the Full Authority and the Navigation Committee on a regular basis.

The Terms of Reference for the Group were reviewed in 2012 and have been approved by the Authority. The terms of reference provide the formal nomination of the “Designated Person”.

The Group has a supervisory role, in consultation with relevant interests, for the implementation and maintenance of this Safety Management System.

4.4 Broads Local Access Forum

The Broads Local Access Forum is a statutory advisory body to provide guidance and advice to relevant authorities on the improvement of public access to the countryside of the Broads Executive Area and to contribute to opportunities for the enjoyment of the area. The Forum also acts as a reference group to offer advice and comment on the Broads Authority's work relating to access land, exclusions, restrictions, and the appointment of access wardens on land where new rights of access exist.

4.5. SMS stakeholders

Below is a list of stakeholders who should be consulted about various elements of the SMS.

Other Harbour Authorities

- Great Yarmouth Port Company
- AB Ports – Lowestoft

Statutory/legislative bodies

- Environment Agency
- Defra
- Natural England
- Maritime and Coastguard Agency
- Association of Inland Navigation Authorities

Special interest groups

- Broads Hire Boat Federation
- British Water Ski and Wakeboard
- British Marine
- Inland Waterways Association
- Association of Pleasure Craft Owners
- Norfolk and Suffolk Boating Association
- Royal Yachting Association
- British Canoe Union
- British Rowing

Local councils

- Norfolk County Council
- Suffolk County Council
- North Norfolk District Council
- East Suffolk Council
- Broadland District Council

- Great Yarmouth Borough Council
- South Norfolk Council

5 Conservancy

5.1 Introduction

This section of the SMS describes the issues relating to conservancy of the navigation area of the Broads and describes the Authority's approach to managing these issues.

5.2 Responsibilities

The Port Marine Safety Code states that the harbour authority has a duty to conserve the harbour so that it is fit for use.

The Broads Act gives the Authority the duty to maintain the navigation area for the purposes of navigation to such standard as appears to it to be reasonably required and take such steps to improve and develop it as it thinks fit.

5.3 Management of Hydrography

Comprehensive and repeated hydrographic surveying has been carried out since 2005. This monitoring covers all areas of the public navigation managed by the Broads Authority and is repeated no less than every five years.

The Authority is duty bound to provide hydrographic information to its port users. However, the United Kingdom Hydrographic Office (UKHO), the organisation who prepare admiralty charts, do not require the Authority to publish the data to them. UKHO do not prepare charts for inland areas which have such infrequent commercial traffic and where the harbour authority would provide a mud pilot in such rare events.

The Authority publishes up to date hydrographic data for the whole of the Broads area on its website, this data includes notes on navigating each area of the Broads network.

A Waterways Specification has been drawn up identifying the recommended channel depths (depth below mean low water) for all areas of the Broads. The various depths and mapping of the Waterways Specifications are described in the Waterways Management Strategy ([Waterways Management Strategy \(broads-authority.gov.uk\)](https://broads-authority.gov.uk)). This strategy and associated action plan also sets out the dredging and waterways maintenance regime across the Broads.

The Broads Plan 2022-27 sets out objectives to reduce the sediment input into the Broads river system at a catchment wide level. The objective also seeks to sustainably re-use or dispose of dredged material. The Authority is working with local landowners and farmers on management techniques to reduce run-off from fields. And in recent years has pioneered the reuse of sediment for bank re-creation and conservation benefit.

The Rangers respond to specific instances of sedimentation or shoaling reported by users of the Broads and will mark shallow areas with buoys or posts.

The Authority has developed a Hydrographic Policy see figure 5.1.

Figure 5.1

Broads Authority Hydrographic Policy

Broads Authority Hydrographic Policy

In accordance with the Port Marine Safety Code, the Broads Authority has a duty to maintain safe navigable channels throughout its area of operation.

It is the Authority's policy that it will:

- a) Maintain a 5-year programme of hydrographic surveys, conducted in accordance with Broads Authority specification, of the navigation area, covering the navigable extents of the Broads.
- b) Use the outcome of the surveys to prioritise and inform the dredging programme detailed in the Sediment Management Strategy Action Plan, in accordance with the waterway's specification.
- c) Mark safe channels in areas of danger, but with due regard for conservation of the natural beauty of the area.
- d) Ensure that those conducting hydrographic surveys, whether Broads Authority employees or third-party contractors, are appropriately equipped, trained and competent to undertake the work.
- e) Maintain forecast tidal data information via the Broads Authority website, and at yacht stations and visitor centres.
- f) Publish Hydrographic survey data on the Broads Authority website and in cruising notes.
- g) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System Action Plan.
- h) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

5.4 Tidal heights and streams

The Rivers Yare, Bure and Waveney empty directly into the sea at Great Yarmouth and are strongly tidal. At Great Yarmouth itself, the difference between high and low tide can be as much as 2.2m, with strong tidal currents flowing.

The strong tidal flow introduces hazards for navigation, for example on the approach to obstacles such as bridges, especially for inexperienced people at the helm. The tidal range means that certain areas are only navigable at certain states of tide. Areas such as the mud flats of Breydon Water are under water at high tide, but not safe to navigate at any time, due to the high risk of grounding.

To mitigate this risk, the Broads Authority maintains channel markings in certain areas. Examples are Rockland Broad, Barton Broad and Hickling Broad, as well as the lower reaches of the rivers Yare and Bure and Breydon Water.

The Authority also publishes tide tables, in the form of an annually published booklet, and monthly tide tables are placed on the Broads Authority website.

Information is also published, both online and in “The Broadcaster” visitor newspaper, providing advice on navigating the strongly tidal area upstream of Great Yarmouth.

Safety issues and advice relating to crossing Breydon water this information is replicated in the free visitor publication “The Broadcaster” [Broadcaster 2023 by Countrywide Publications](#)

5.5 Management of Channel Markers and Aids to Navigation (ATON)

Several areas of the navigation are marked, either by posts or buoys, to clearly define the safe navigable channels in accordance with the Waterways Management Strategy. This includes marking the maintained channels across shallow Broads, examples being Rockland Broad, Hickling Broad and Breydon Water.

There are 3 different categories of channel markers:

- Channel markers recognised by Trinity House. These are the channels posts on Breydon water, which was formerly under the Great Yarmouth Port jurisdiction, transferred to the Authority in 2012.
- Channel markers to mark new flood defence works, installed on behalf of the Environment Agency to protect these areas.
- Other channel markers, including those marking navigable channels on narrow Broads, not inspected by Trinity House.

The Broads Authority has developed a Geographic Information System (GIS) based Asset Management System to regulate the management of navigation channels. The system will flag up planned regular inspections and maintenance as it becomes due and allows Rangers to record observed problems with navigation channel markings. If an issue is reported against an ATON which falls under the responsibility of Trinity House an email is generated to the Head of Ranger Services who is then responsible for adding the defect to the Trinity House defect reporting system, LARS .

When assessing which type of mark is suitable at each location the Authority takes into consideration the category of water, likely conditions on the stretch of water, distance marks need to be seen from and type and amount of river traffic. Usually, posts are installed in preference to buoys. This is because buoys can often be pulled out of position by wind, tide or by vessels.

Posts on Breydon historically had caps with white tops. Some of the older posts, which have not yet been replaced still have the caps on. The caps are being phased out as new posts are installed. This is because the new metal posts are easier to maintain without the caps which

have been lifted by high tides in the past. The Authority and Trinity House have a list of the posts with and without the caps. These lists are updated as the posts are replaced.

Cable and Gas crossing signs are also included as ATON. All the cable crossing signs are listed with Trinity house and checked annually as part of this. The signs are the responsibility of the organisation who are responsible for the hazard, so for electrical cable crossings these are the responsibility of UKPN.

It is the Broads Authority Policy that it will:

- Carry out annual visual checks on each channel marker and cable and gas crossing signs, as well as recording defects seen as part of routine patrolling by the Ranger team. Issues will be recorded, and the defect rectified or controlled (such as a temporary replacement) within the defined timescales.
- For those ATON which fall under the responsibility of Trinity House, keep an up-to-date record of these ATONs (Aids to Navigation) and report any defects to Trinity House using their defect reporting system, LARS .
- Ensure ATON availability targets as set by Trinity house are met.
- Keep the Channel markers and ATON under review if defects occur and as part of a five-year review to determine if the amount and type of marks is sufficient or if any can be removed if no longer required.

5.6 Marking Hazards

The Broads Authority has a duty to mark hazards within the navigation. On the Broads the locally recognised method of doing this is via a yellow post or buoy. The type of mark is determined by the conditions in which it is being deployed and the length of time it is anticipated it will need to remain in place. Hazards can include sunken vessels, trees fallen in the river and hazardous piling. In areas where the hazard has a significant impact on the channel, orange flashing lights may also be deployed to ensure anyone navigating after dark is able to clearly see it (as set out in the works licence guidance).

Rangers undertake checks on the marks as part of routine patrolling to ensure they are in position until the hazard has been removed.

5.7 Management of trees and scrub

There are many trees on land adjacent to the navigation area which pose safety hazards directly through their growth out into the channels restricting the navigable space, or from falling limbs or whole trees. The overwhelming majority of riverside trees are on third party land, with the Authority is only directly responsible for individual tree safety on land that it has responsibility for (for example freehold, leasehold, or other management agreements with the landowner). A process for the management of riverside trees (Waterways Management Strategy (Waterways Management Strategy (broads-authority.gov.uk)) has been developed which sets out intervention regimes based on navigational safety priorities. In addition, Rangers carry out regular site inspections and checks on trees to identify any

potential faults and arrange for corrective action to be taken. Trees on Broads Authority managed land are checked following an “amber warning for wind” issue by the metrological office.

The Authority has a published policy and objectives for trees and scrub, setting out standards for the management of trees adjacent to the river corridor. (Waterways Management Strategy (broads-authority.gov.uk)) and a 5-year management plan has been published detailing priority areas for interventions.) and a 5-year management plan has been published detailing priority areas for interventions.

6 Management of the Navigation

6.1 Introduction

This section of the SMS describes the Broads Authority’s approach to the management of navigation. This includes the use of legally granted powers, byelaws, policies, procedures, codes of practice and guidance.

6.2 Responsibilities

Under the Broads Act, the Broads Authority is the navigation authority for the Broads navigation area. The Pilotage Act also designates the authority as a “competent harbour authority”, with the power to make Pilotage Directions.

The Broads Authority Act 2009 Broads Authority Act 2009 (legislation.gov.uk) granted extra responsibilities relating to the management of safety on the Broads including the following provisions relating:

- a) The power to give general directions to all vessels, or classes of vessels, for example to designate safe navigation routes, directions to regulate mooring within the Authority’s navigation jurisdiction, directions to regulate the towing of vessels.
- b) The giving of special, i.e., one off, directions to vessels in one off cases. This will extend the existing powers in the 1988 Act to deal with safety issues where the existing provisions have proved ineffective.
- c) The power to designate construction and equipment standards for vessels allowing for the continuation of application The Boat Safety Scheme previously introduced into the Broads in 2007 by byelaws.
- d) The power to introduce compulsory third-party insurance for vessels.
- e) Powers to require the licensing of pleasure boats let for hire to the public.
- f) Powers to better regulate water skiing and wakeboarding in the Broads.
- g) Powers to deal with overhanging vegetation that poses a hazard to navigation.
- h) The removal of the requirement to have a separate navigation account dealing purely with navigation income and expenditure.

- i) The Authority also has many other responsibilities including promoting the enjoyment of the Broads by the public. The Authority aims to strike a balance between these responsibilities.

6.3 Byelaws

In accordance with the Broads Act, Byelaws relating to the use of land are made in consultation with the Natural England, and all Byelaws are confirmed by the Secretary of State for the Environment.

The Broads Authority has made five sets of Byelaws relating to the use of the Broads, under the provisions of the Broads Act. They are as follows:

- a) Navigation Byelaws, 1995 [Navigation Byelaws 1995 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These are general byelaws covering Steering & Navigation, Lighting, Signals, Mooring & Anchoring etc.
- b) Vessel Dimension Byelaws, 1995 [Vessel Dimensions Byelaws 1995 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk). These specify the maximum length and beam of vessels which are permitted to navigate within the Broads. These dimensions vary for different areas of the Broads.
- c) Speed Limit Byelaws, 1992 [Speed Limit Byelaws Booklet 1997 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These specify the maximum speed limits applicable within the Broads. The speed limit varies between 3 and 6 miles per hour and was introduced principally to limit the effect of wash on other vessels, and reduce erosion of the banks, however the limits also enhance safety. The Byelaws also identify zones where commercial boat testing may take place, during which activity the speed limits may be legally exceeded.
- d) Vessel Registration Byelaws, 1997 [Vessel Registration Byelaws 1997 \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk) These byelaws govern the registration of vessels, and the payment of dues to the Broads Authority.

Boat Safety Standards Byelaws 2006. These byelaws formalised the requirement to comply with the national Boat Safety Scheme within the Broads. However, these byelaws have been revoked following the introduction of the Boat Safety Scheme requirements via the Construction Standards provision in the Broads Authority Act 2009.

A byelaw was made by the East Suffolk and Norfolk River Authority in 1969 relating to control of pollution in the Broads by sanitary appliances on boats. Pollution, enforcement, and management is an Environment Agency statutory duty for inland waters.

6.4 Directions

Special Directions

The Authority has the power to make Special Directions to a particular vessel, for the purpose of ensuring the ease, convenience or safety of the navigation or the safety of persons or property in the navigation area.

The Broads Authority Act 2009 sets out that special directions can only be given by the Authority's Navigation officer, the Authority has appointed the Head of Ranger Services as Navigation officer.

A procedure for the issue of Special directions is set out in operational procedure OP-6-4-2.

General Directions

The Authority has the power to make General Directions to all vessels, or classes of vessels, in respect of vessels in, or proposing to enter, or leaving, the navigation area for the purpose of promoting or securing conditions conducive to the ease, convenience or safety of navigation and the safety of persons and property in the navigation area. A detailed procedure for the consultation, issue and publication of such direction is set out in the Broads Authority Act 2009 Schedule 1. The Authority has set out a policy relating to General Directions this policy is captured in an operating procedure OP-6-4-1.

6.5 Harbour patrols

The Broads Authority has a team of Rangers who provide the harbour patrol function in 8 patrol vessels. The Rangers main duties include:

- providing advice and guidance to users
- maintaining a visual presence in the port area, and in so doing representing the Navigation Officer on the water.
- enforcing byelaws and Directions.
- collecting evidence following an incident and conducting preliminary investigations.
- conducting spot checks on vessel navigational documentation.
- assisting craft in difficulty and responding to other emergencies.
- supporting Emergency Services/On-Scene Commander respectively during port emergencies and SAR incidents.
- escorting vessels as required (e.g., vessels restricted in their ability to manoeuvre).
- control and directing vessel traffic (e.g., during partial port closures).
- monitoring craft licensed by the Broads authority.
- monitoring channel marker and other navigation lights and aids; and conducting routine surveillance of licensed works and moorings.

Best Value targets have been set in consultation with the Navigation Committee relating to the number and frequency of patrols made in each area of the Broads network. Patrol frequency is monitored to ensure compliance with the agreed standards. Rangers also provide a patrol service to the land-based sites that the Authority manages.

6.6 Policies

- The Authority has set out a formal Navigation Safety Policy, which has been endorsed by the members of the Authority. This policy is given in full in section 1.7 of this SMS.
- The Broads Authority has a policy regarding the bringing of prosecutions against offenders when it is appropriate to do so.
- The Broads Authority has a policy regarding the towing of vessels. The policy is given in full in section 8.5.
- The Broads Authority has a policy regarding the publication of weather forecasts and weather warnings and is given in full in section 3.4.
- The Broads Authority has a policy for pilotage which is given in full in section 7.1.
- The Broads Authority has a policy for the training of marine operational and management personnel; the policy is referenced in 2.5.
- A policy for hydrographic surveys is published by the Authority and is given in full in section 5.3. A discussion of survey arrangements can be found at section 5.3.
- A Moorings Safety Policy has been defined and is included in the Mooring Strategy (Reference 34). The policy is discussed at section 8.3 of this SMS.
- A Bridges policy for the installation of gauge height boards and the provision of de-masting moorings has been defined. This policy is given in full in section 8.9 of this SMS.
- A Blue light policy relating to the use of blue flashing lights by rescue and emergency organisations has been defined. This policy is given in full in section 8.10 of this SMS.

6.7 Notice to Mariners

Broads Act 1988 requires that Notices to Mariners are published whenever navigation is restricted or suspended for any reason - principally due to maintenance works. Notices are published in the local press, and on the Broads Authority's website, email and by social media 35 days in advance of the date of the works.

The Navigation Area Works Guidance requires contractors to apply for publication of a Notice to Mariners for works that significantly affect navigation - e.g., severe height or width restrictions, or river closure. Because of the busy nature of the Broads, closures are not permitted unless unavoidable.

6.8 Publications promoting boat safety.

The Broadcaster

The Broadcaster is a free visitor guide published annually around Easter by the Broads Authority. It is a free newspaper containing articles of interest relating to the Broads (e.g., recent conservation work), essential boat safety advice including emergency arrangements, tide tables as well as guides on things to do, places to eat, etc.

The Broadcaster is made widely available to visitors to the Broads, including placing copies at all boatyards and in local shops, restaurants etc. A copy can also be requested online.

Safety Awareness videos

The 'how to' boating videos are intended for hirers and private boat owners to watch before their visit, to help them get the most out of their time on the Broads. Hirers will be emailed a link to the videos before their holiday, to complement the safety handover they receive when they hire a boat. It is hoped that the videos will help to acquaint visitors with their boats and improve handling skills. [2023 Broads Boating Essentials](#)

6.9 Permits

Water skiing is permitted in certain areas at certain times on the Broads; The Authority has a permit scheme (Reference 3) to regulate water skiing and wakeboarding on the Broads. These permits are granted following compliance with rigorous requirements and the permits themselves set several conditions to regulate the activity.

Underwater diving

Recreational diving

Recreational diving is not encouraged due to the shallow nature of the Broads, prevalence of water plants, strong current in the lower reaches and high levels of boating traffic.

Diving as part of an organised event

Diving as an organised group requires permission from the Authority, the authority can set conditions to help ensure the safety of participants and river users. This usually involves event organisers producing a risk assessment to cover the key risks involved with the activity. Under byelaw 86 of the Navigation Byelaws 1995, it is an offence not to notify the Authority of any such event [Organising events in the Broads \(broads-authority.gov.uk\)](https://broads-authority.gov.uk)

Commercial diving or diving as part of works requiring a works licence.

Undertaking diving related to a work activity, within or beside the navigation area, with the potential to interfere with navigation, requires a Works Licence. The works licence document sets out the requirement to notify the Authority of diving operations taking place on the Broads in relation to works. If commercial diving operations take place on the broads, then the Diving at Work Regulations 1997 will apply, and you will have duties under the Regulations. [Navigating the Broads - Underwater diving](#)

6.10 Procedures

Standing Orders have been produced for the Mud Pilot (Reference 36), for the passage of commercial traffic to Cantley.

Navigation Area Works Guidance

The Navigation Area Works Guidance ([Guidance Notes for Conducting Works within the Navigation Area](#)) has been published to advise anyone wishing to carry out work within the

Broads area of legislative requirements, provide practical health and safety advice, and highlight other possible considerations.

Although titled as “guidance”, this document in fact contains mandatory procedures for the issuing of Works Licences. The Broads Act 1988 gives the Authority the power to require a Works Licence to be applied for prior to any work being undertaken, and to determine whether such a Licence should be granted.

It defines the general requirements that contractors must comply with, along with specific requirements for certain types of work, e.g., diving, towing etc.

Other procedures

A Management plan has been developed jointly with the Lowestoft and Oulton Broads Motorboat Club (Reference 38) regarding the regulation of navigation on Oulton Broad during power boat races. The management plan will be reviewed on an annual basis.

A Code of practice (reference 40) has been developed relating to the use of coaching vessels used by the Norwich rowing clubs to reduce potential conflict with other river users.

Procedures for Broads Authority workboats and launches have been developed and for vessels and equipment including, Generic Risk Assessments, vessel operating procedures, daily and weekly check lists.

Procedures relating to the implementation of provisions of the Broads Authority Act 2009 have been developed in consultation with the Navigation Committee. Including:

- Special Directions
- Entry and Inspection of Vessels (Hazardous Boat Checks)
- Removal of unsafe Vessels
- Removal of Vegetation
- Requests for information
- Entry onto Land
- Construction Standards (Boat Safety Scheme)
- Hire Boat Licensing
- Compulsory third-party insurance cover

6.11 Licensing

The arrangements for registration of boats with the Broads Authority do not contain any element of licensing. The issue of a registration number merely indicates that the vessel has been registered and does not imply that the vessel has been inspected or approved.

The Licensing of motorised vessels which are let for hire to the public came into force in 2010 and were based on the Code for Design, Construction and Operation of Hire Boats version 1:

2009. The Hire Boat Code had been produced jointly by the Association of Inland Navigation and British Marine with support from the Maritime and Coastguard Agency. It provides the framework for continued safe business operations of hire boats on inland waterways and clarifies the responsibilities of hire boat operators, navigation authorities and users. It also helps operators by the application of licensing and registration requirements in inland waterways in the UK - [Hire boat licensing \(broads-authority.gov.uk\)](https://www.broads-authority.gov.uk). The License requires hire boat operators to have successfully demonstrated via a stability test or calculation that their vessels can carry the number of persons that they are licensed to carry.

A revised Code for the Design, Construction and Operations and came into force on 1 January 2022 - [Hire Boat Code 2021](#)

Following an investigation by the Marine Accident Investigation Branch (MAIB) into the tragic death on a Hire Boat in 2020. The MAIB made recommendations to make the Hire Boat Code mandatory for Navigation Authorities. The Broads Authority implemented the Hire Boat Code into its Business Licensing Terms and Conditions on 1 April 2022.

On the 18 March 2023, the Broads Authority adopted the Hire Boat Code in full into its licensing conditions and included the requirement in the conditions that all hire boat operators are accredited under the British Marine Quality Accredited Boatyard Scheme (QAB) to ensure the operator is achieving the required safety standards.

The Quality Accredited Boatyard scheme (QAB) is a mandatory licensing requirement for any operator who has a craft available (powered or sail) for others to use, this includes operators who let holiday homes with the use of watercraft as part of the rental package.

The Broads Authority have also introduced licensing requirements for unpowered hire craft.

The licensing of commercial paddle craft (canoes, kayaks, stand-up paddle boards and paddle craft) was implemented from 1 April 2023.

The authority, in conjunction with the Association of Inland Navigation Authorities (AINA) and local authorities shall continue to monitor and assess the risks from Houseboats, vessels used for Airbnb and any other non-powered craft.

The introduction of licensing of non-powered hire craft removed the Broads Authority Paddling Scheme (BAPS) for commercial operators. Voluntary organisations and clubs are still able to licence their vessels under the scheme.

Small Passenger boats are operated on the Broads and the Authority introduced a licensing scheme in 2012 for vessels carrying no more than 12 passengers from April 2012. [Broads Authority Small Passenger-Boat Operator Licence](#)

Licensing conditions are based on the requirements of the [Inland Waters Small Passenger Boat Code COP13](#).

7 Pilotage

7.1 Introduction

This section of the SMS describes the Broads Authority's responsibilities with regards to pilotage and identifies the controls and guidance in place to ensure safe passage of vessels.

The navigation area of the Broads is unusual compared to a commercial port, in that the area is large, there is little commercial traffic, and most traffic remains within the navigation area. This contrasts with a port where vessels are continually arriving, loading and leaving on strict timetables.

Nevertheless, the Authority recognises its responsibility with regards to pilotage, provides appropriate measures and has developed a Pilotage policy figure 7.1 below.

Figure 7.1

Broads Authority Pilotage Policy

Broads Authority Pilotage Policy

The Broads Authority (BA) is a Competent Harbour Authority (CHA) within the meaning of the Broads Authority (Pilotage Powers) Order 1991. There are currently no circumstances in which pilotage has been declared compulsory under the terms of the Pilotage Act and a General Direction is in place to control vessels wishing to enter the Broads that would require pilotage.

It is the Authority's policy that it will:

- a. Review the need for pilotage ahead of any relevant vessel movement or at least every three years. This will include reviewing the need for Pilotage Directions and will take into account any changes in the status quo with regard to large commercial vessels' usage of the Broads.
- b. If the operation of a Pilotage service becomes necessary due to future changes to commercial traffic requirement, to ensure that the operation of the pilotage service is compliant with national regulations, guidelines and competency standards.
- c. Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System.
- d. Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

7.2 Responsibilities

The Broads Authority (Pilotage Powers) Order 1991 confirms the Authority's status as a "competent harbour authority" as defined under the Pilotage Act 1987. As such, it has a duty to determine whether any and, if so, what pilotage services need to be provided to secure the

safety of ships navigating in or in the approaches to its harbour; and whether such pilotage should be compulsory.

This duty is reinforced in the Port Marine Safety Code, which goes on to state that authorities should exercise control over the provision of pilots by means of controlling recruitment, examination and authorisation of pilots.

7.3 Requirements for pilot and pilotage directions

There are no pilotage directions in place on the Broads. Historically there has been one circumstance in which pilotage has been provided by the Broads Authority which was for the Coaster vessels travelling from Great Yarmouth up to the sugar beet factory at Cantley. The pilotage was strongly recommended for these vessels but was not made compulsory by means of a pilotage direction. It has been over 15 years since these vessels came into the Broads and the sugar beet factory no longer have the infrastructure required to bring in such vessels.

Bridge Pilots

There are also two bridges where 'pilotage' is available. The Broads Authority believes that pilotage is not necessary for experienced helmsmen to safely navigate these bridges. However, it is accepted that the majority of hire vessels are helmed by novices. As such, the hire boat operators provided these services to protect their own assets and to assist their customers. These services are neither required by, nor authorised by, the Broads Authority and do not operate under the provisions of the Pilotage Act.

Works pontoons/Vessels

The Navigation Area Works Guidance sets out the requirements for the movement and use of vessels used for carrying out works on the Broads. These vessels are usually escorted by Broads Authority launches as set out in the guidance document. The launches operate to their own published procedures (see section 6.5). Currently there are no vessels carrying out works on the Broads that would require a pilot. Any larger vessels wishing to enter the Broads for this purpose would be covered by the General direction and appropriate controls would need to be put in place if the vessel was to enter the system.

7.4 Authorisation of pilots

There are currently no authorised pilots operating on the Broads area. A General Direction will be put in place to control vessels coming onto the Broads which may require a pilot to allow a risk assessment to be carried out to determine the need for a pilot. If the assessment identifies a vessel requires a pilot, the process for reinstating a pilot will be investigated before permission to enter the Broads will be given.

7.5 Pilotage procedures

There are no current procedures in place. Should a vessel wishing to enter the Broads require a pilot the historic standing orders would be reviewed and updated before the vessel was allowed to undertake its journey.

7.6 Pilotage exemption

No pilotage exemption certificates have been awarded by the Authority. Because there are no formal pilotage directions, there has been no requirement to consider exemption. A procedure for the issue of pilotage exemption certificates will be developed by the Authority in the event that such an activity appears likely to occur.

8 Marine services

8.1 Introduction

This section of the SMS covers the provision of Marine Services by the Authority. Marine services are defined as support services available in a harbour, such as tugs, workboats, pilot launches and moorings.

8.2 Responsibilities

The Authority has a responsibility under the Broads Act to protect the interests of navigation. In support of this, it has the power to provide and maintain moorings throughout the navigation area.

The Authority also has a duty under the Pilotage Act and the Health and Safety at Work Act 1974 to ensure that workboats are maintained in good order and to ensure that personnel operating them have received appropriate training.

8.3 Moorings

The Broads Authority has published an Integrated Access Strategy which outlines the Authority's approach to the provision of moorings and sets out several principles when looking to obtain and manage moorings. Currently the Authority manages around 60 moorings with a stay of up to 24 hours.

The Authority also provides, where possible, moorings for the purpose of raising and lowering sails and mast in the immediate vicinity of the bridges around the Broads system see section 8.9 of this SMS.

There is a short stay mooring at Mutford Lock, provided to enable boats to moor whilst waiting for the lock, which is provided by the Broads Authority, but is outside of the Authority's navigational area. This mooring has no access to land and is managed by the operators of Mutford Lock on behalf of the Broads Authority.

There are also many private moorings and staites, which are not maintained by the Authority.

Risk assessments have been completed for all the Broads Authority managed moorings, quantifying the risk of falling into the water, and noting the controls in place at each mooring and public rescue equipment (e.g., ladders, chains/ropes, etc.)

The moorings are inspected by the Rangers on a fortnightly (summer) or monthly (winter) basis. Inspections are conducted using an electronic check facility based on the Authority's GIS system. This system then forwards any deficiencies (issues) to those staff responsible for repair and maintenance. Once repairs are complete the Rangers close the "issue" when they next inspect the facility.

Moorings Safety Policy

It is the Authority's policy that it will:

- a) Manage all 24-hour, demasting and emergency moorings to an agreed set of standards.
- b) Carry out regular checks, fortnightly in the summer months (Easter to October) and fortnightly in the winter months and report any defects on the electronic site check system.
- c) React to reports of defects from members of the public as soon as possible in line with the severity of the defect reported.
- d) Where issues are detected, the moorings or sections of the moorings to be closed if it is not possible to make safe before leaving site.
- e) Any required maintenance to moorings will be prioritised and a system for repair set up in line with this priority system.
- f) All moorings to receive a structural safety check no more than every 5 years or more frequently if required as part of a risk assessment for the site.
- g) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System.
- h) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

8.4 Workboats and launches

The Broads Authority owns and operates several small workboats, as below. Passenger craft are dealt with separately at section 8.7.

- a) Eight Broads Authority launches and one RIB, for the purpose of patrolling, escorting, offering assistance and enforcement.
- b) Three self-propelled workboats, one with a small hydraulic crane arm.
- c) Two welfare and support barges.
- d) Three water plant harvesters.

- e) Four sets Link float pontoons with excavators.
- f) Six Powered Wherries.
- g) Three Tugs.
- h) A small number of dinghies.

8.5 Towing

The Broads Authority does not operate any tugs for the purpose of towing third parties. Broads Authority launches are occasionally used for towing duties (e.g., assisting marine casualties to a safe mooring).

The Broads Authority has published a policy for towing, please see figure 8.1.

Figure 8.1

Broads Authority Towing Policy

Broads Authority Towing Policy

In accordance with the Port Marine Safety Code, the Broads Authority needs to lay down guidance for towing within the navigation area.

It is the Authority's policy that it will:

- a) Respond to emergencies for recreational vessels if BA vessels are available providing that prevailing conditions are favourable.
- b) In cases of emergency, tow vessels to a safe mooring or safe situation or recover passengers and crew.
- c) Maintain towing capability for recreational vessels in an emergency or access to such capability through a register of competent operators, for situations reasonably expected to be encountered on the Broads, and keep this capability under review.
- d) Develop and maintain risk assessments of towing activities for various types of boats (e.g. day boats, yachts, etc) in various circumstances (e.g. propulsion failure etc.).
- e) Ensure that Authority personnel involved in towing have appropriate equipment for the task, are suitably trained, and are competent.
- f) Ensure that any third parties employed by the Authority for towing activities have suitable equipment and are trained and competent to the same extent, in accordance with the BA towing specification.
- g) Share information about towing movements which would affect other boat users or authorities via relevant forums.
- h) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System.
- i) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.
- j) Require that towing of commercial vessel is in line with the requirements laid down in the Navigation Works Guidance.

8.6 Management of contractors

Contractors operating in compliance with the SMS include Hydrographic survey providers, salvage operators, Tier 2 Oil spill response company and piling contractors. These contractors have their own safety management system and are subject to compliance monitoring, submission of risk assessments and method statements, periodic spot inspections and licensing by the Broads Authority where relevant.

The Broads Authority will ensure that all contractors are aware of:

- The importance of compliance with the safety policy and objectives, and their individual roles and responsibilities in achieving it.
- The hazards and risks of marine operations, and the controls and recovery measures that have been established.
- Potential consequences of departure from agreed procedures, i.e. from breaching established controls and recovery measures.
- The mechanisms for suggesting improvement in the procedures.

Any such contractors are required to comply with the Navigation Works Guidance ([Guidance Notes for Conducting Works within the Navigation Area](#)) and appropriate demonstration of crew competency.

8.7 Passenger craft

The Broads Authority operates three passenger craft for the purpose of providing guided tours and trips to members of the public.

Each of these craft carries less than twelve passengers.

The boats have specified checks, which must be carried out on a daily and weekly basis. These exist for all the Authority's boats; by way of example the check sheets for the Electric Eel are included at Annex H.

The MCA's [Inland Waters Small Passenger Boat Code](#) applies to vessels that do not go to sea and carry less than twelve passengers. The Code is a best practice guide rather than a statutory requirement and the Authority's passenger boats, crew and operation comply with the requirements of the code.

Stability tests have been conducted and recorded on all the Authority's passenger boats, and maximum passenger numbers defined accordingly.

The Broads Authority introduced a licensing scheme for small passenger boats in April 2012 and the Authority's passenger boats comply with this licensing scheme.

The Authority's passenger boats are regularly inspected and certified in accordance with the Boat Safety Scheme requirements.

8.8 Lifebuoys and personal rescue equipment

Lifebuoys and personal rescue equipment are stationed at many locations on the Broads for use in an emergency. Where they are installed on Broads Authority owned or managed sites they are regularly checked (Reference 47). At Yacht stations they are checked daily, those lifebuoys and rescue lines which are located on the Authority's 24-hour moorings are checked by the Rangers when completing the routine mooring inspections.

8.9 Bridges

There are several bridges over the rivers in the Broads Authority area which include, rail, road bridges some of which open to allow the passage of vessels. The clearance of these bridges, room available to river users, is displayed on gauge boards. Also, as part of the Authority's Integrated Access Strategy de-masting moorings are provided where practical for sailing boat to raise and lower their masts.

The Broads Authority has published a policy for Bridges see figure 8.2 below.

Figure 8.2

Broads Authority Bridge Policy

Broads Authority Bridge Policy

In accordance with the Port Marine Safety Code the Authority has a duty to manage safety at bridges.

This policy will apply to all bridges within the Broads Authority Navigation area with the exception of those bridges upstream of Foundry bridge on the River Wensum. It is the Authority's Policy that it will:

- a) Publish bridge clearances in a consistent manner on the Authority's website, in the Authority's tide tables and its visitor publication the Broadcaster.
- b) Site gauge boards at both upstream and downstream sides of bridges indicating the current clearance under the bridge.
- c) Where there is limited turning space on the approach to bridges or in areas of high tidal flow where turning could be difficult, site advance gauge boards both upstream and downstream of bridges at an appropriate location.
- d) Provide advance signage of "bridge ahead" where sight lines are not adequate to present sufficient warning to users of the hazard of the bridge
- e) Where feasible provide a de-masting facility at each quadrant of fixed bridge to allow yachts to lower their masts prior to transit and to site these facilities at a suitable distance to bridges to allow unpowered boats to be manoeuvred.
- f) During the summer months provide a ranger patrol on Breydon Water when water clearance under Vauxhall bridges is 7'6" or less to provide advice and guidance seven days a week during the normal working day.
- g) Review pilotage at bridges as part of the Hazard Review Process.
- h) Assess proposals for new developments close to bridges to ensure that safety at bridges is not compromised.
- i) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System.
- j) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

8.10 Blue flashing light

Byelaw 42 Broads Authority Navigation Byelaws 1995 states 'Except with the consent of the Authority the master of a vessel shall not cause or permit the vessel at any time to have fitted to it or to show a blue flashing light unless it is a vessel operated by the Authority, the Armed

Forces, any other navigation or harbour authority or a public or local authority acting in a law enforcement or emergency role’.

The type and number of vessels using blue lights in the Broads has been increasing (in line with changes to organisations allowed to use blue lights on the roads) the Authority has developed a policy on those permitted the use of blue lights on the Broads.

The Broads Authority has published a policy for Blue Lights see figure 8.3 below.

Figure 8.3

Broads Authority Blue Light Policy

Broads Authority Blue Light Policy

In accordance with the Port Marine Safety Code the Authority has a duty to manage the use of flashing Blue Lights on the Broads.

This policy will apply to all vessels within the Broads Authority Navigation area.

It is the Authority's Policy that it will:

- a) Permit the following organisations to use a flashing blue light in accordance with the Broads Authority Navigation Byelaw 1995 Byelaw:
 - Rescue boat organisations (including RNLI and independents)
 - Mountain and Lowland Search and Rescue
 - Police
 - RAF mountain rescue
 - National Blood Service
 - HM Coastguard
 - Forestry Commission for fire fighting
 - Revenue and Customs for serious crime
 - RNLI for launching lifeboats.
 - Military special forces (e.g. The SAS) for a national security emergency
 - Fire brigade purposes.
 - Ambulance purposes
 - Specialist company for fire salvage work
 - Local councils for fire fighting
 - Bomb disposal.
 - For Nuclear accidents
 - For mine rescue
 - For moving around human organs
 - For mountain rescue purposes

Figure 8.3

Broads Authority Blue Light Policy (continued)

And only in these circumstances:

- at the scene of an emergency
- responding to an emergency
- wanting to let people know you are there
- wanting to let people know that there is a hazard

- b) Review Blue light policy as part of the Hazard Review Process
- c) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System
- d) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

9 Hazards

9.1 Introduction

This section of the SMS describes the Broads Authority's approach to the systematic identification, assessment and control of hazards, and the minimisation of the risks they pose to the public and to employees of the Authority to a level, which is as low as reasonably practicable.

9.2 Responsibilities

The Broads Act gives the Authority a duty, *inter alia*, of "protecting the interests of navigation". It is therefore important that hazards to navigation and those associated with land-based activities on land which is owned or managed by the Authority are identified, and appropriately managed.

In addition, the Management of Health and Safety at Work Regulations 1999 [The Management of Health and Safety at Work Regulations 1999 \(legislation.gov.uk\)](https://www.legislation.gov.uk/uksi/1999/3243/contents/made) require the Authority to make a suitable and sufficient assessment of all the risks to the health and safety of workers and others arising at or from a work activity.

9.3 Formal risk assessment

A structured approach to the identification and analysis of hazards, and the assessment of the risks they pose, is at the centre of any Safety Management System. The process is described in section 10.4. In accordance with the Port Marine Safety Code, this includes:

- a) The identification and analysis of risks.
- b) An assessment of these risks against an appropriate standard of acceptability.
- c) A cost effectiveness analysis of risk reducing measures where appropriate.

The methods used to identify hazards, and assess and mitigate risk, are described in section 10.

9.4 Discussion of the existing hazard log

All the hazards identified have been formally reviewed as part of the ongoing development of the SMS. The hazard log is kept under constant review by officers who refer any proposed variations or new hazards to the Boat Safety Management Group and the Local Access Forum. However, a formal review takes place every three years which is carried out by a stakeholder group. At each review, the group review experience gained in the intervening year and reviews proposed actions and whether the status of the hazard has changed.

Integrated Hazard Review 2023 records the outcome of the most recent reviews and makes recommendations for prioritisation and further action.

Further formal hazard reviews are scheduled with the appropriate groups of stakeholders, to review the risk assessments and progress against actions, and to generate ALARP statements where possible.

9.5 Hazard identification

Hazard identification is part of a process used to evaluate if any situation, item, thing, which may have the potential to cause harm.

There are different techniques in hazard identification and methods which can involve suitably qualified people to discuss the hazards. This provides assurance that the hazard is valid, and that the assessment of the hazard, and the safeguards proposed, are suitable.

Hazards may also be identified by any employee of the Authority, or indeed any person. Any hazard raised in such a way should be discussed and considered for inclusion in the hazard log. Decisions should be recorded to provide an audit trail.

The ongoing management of hazards identified by such processes is described in the next section.

10 Risk assessment

10.1 Introduction

The conduct of a formal risk assessment is central to the effective operation of the Safety Management System. Risk assessments must also be conducted for specific activities undertaken by the Authority.

10.2 The ALARP principle

The principle of ALARP (As Low As Reasonably Practicable) is considered to be best practice by the Health and Safety Executives and is derived from case law in accident investigation cases. The HSE's document "Reducing Risks, Protecting People" gives the background to ALARP. [Risk management: Expert guidance - Reducing risks, protecting people - R2P2 \(hse.gov.uk\)](https://www.hse.gov.uk/riskmanagement/)

The aim of the ALARP principle is to strike a balance between the severity of the consequence of a particular hazard, and the cost and difficulty of implementing control measures.

A risk can be declared ALARP, provided it is not in the "intolerable" region described below, if it is believed that all possible mitigating actions and safeguards have been identified and, if considered reasonably practicable, implemented.

The ALARP principle therefore recognises that it is seldom possible to entirely remove risk, and this is particularly true in a marine environment.

ALARP statements are to be generated following the formal hazard review. This may entail further analysis of the hazard or identification of additional mitigating actions.

10.3 Risk classification system

Risk levels were derived by using the risk matrix approach shown at Figure 10.1 The risk matrix approach is used to combine the estimated likelihood of a hazard with its estimated consequences to people, the environment, assets, and port business (the higher the risk numbers the greater the risk).

Figure 10.1 also shows the risk acceptance criteria: those that fall in the low or negligible category are “Broadly Acceptable” and those within High or significant risk are “Intolerable”. Risks that fall between these categories are in the As Low As Reasonably Practicable (ALARP) region. It should be noted that it is incorrect to say that a risk in region B “is ALARP”. Its placement in this region means that the risk has to be demonstrated to be ALARP by means of mitigations and risk reduction.

- a) Intolerable risks would require urgent attention and be the focus of regular reviews by the Broads Authority and any suitable risk control measures that are identified should be seriously considered for implementation. Such risks cannot be declared ALARP, a means of reducing or avoiding the risk must be found and implemented.
- b) Risks in the ALARP region require review to ensure that they can be satisfactorily weighed against the time, trouble, cost and physical difficulty in taking further measures to reduce them.
- c) Broadly acceptable risks would require some attention and occasional review (e.g. annually) to ensure that they remain under control.

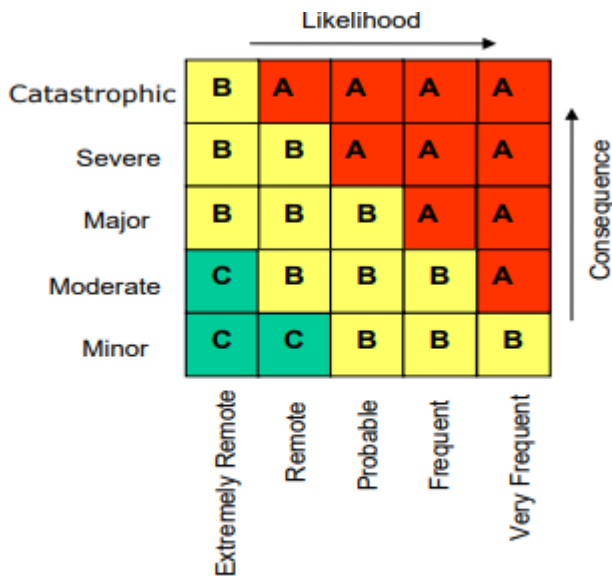


Figure 10-1: Risk Assessment Matrix

Risks are judged in terms of their likelihood (the probability of an incident occurring) and their impact (the worst-case consequence, if an incident occurs, on people, assets and the environment).

The estimates that were provided in the original FSA were worst credible scenarios, however, it is important to emphasise that these values should be viewed in relative terms and are not absolute measures of risk. Empirical evidence has shown that experts tend to be pessimistic when estimating risk levels (particularly when relating to safety) and this should be considered when reviewing the results of risk assessments.

Assessment of Incident Likelihood

The likelihood categories range from less than 1 incident per 100 years to a likelihood of more than 1 incident per month, as shown in 10.2 below.

Table 10.2
Risk Likelihood Categories

Likelihood	Occurrences
Very Unlikely	1:50 years
Unlikely	1:25 years
Occasionally	1:10 years
Probably	1:5 years
Likely	> 1 per year

Consequences to People

The consequences to people to people range from no injuries or damage to health to >5 fatalities or >50 major injuries, as shown in 10.3 below.

Table 10.3
Consequence to People

Consequence Category	Number	Definition
None	1	No injuries or fatalities.
Minor	2	1 minor (recoverable) injury.
Moderate	3	Serious injury(s) (MAIB/RIDDOR reportable injury) s; or 1 minor occupational illness.
Severe	4	Single fatality
Catastrophic	5	Multiple fatalities

Consequences to Environment

The consequences to the environment range from no environmental damage to persistent and severe environmental damage over a large area with, as shown in Table 10.4 below.

Table 10.4

Consequence Categories - Environment

Consequence Category	Number	Definition
None	1	None (No incident - or a potential incident/near miss)
Minor	2	No Measurable Impact (An incident or event occurred, but no discernible environmental impact - Tier 1 but no pollution control measures needed)
Moderate	3	Minor (An incident that results in pollution with limited/local impact - Tier 1, Harbour Authority pollution controls measures deployed)
Major	4	Significant (Has the potential to cause significant damage and impact - Tier 2, pollution control measures from external organisations required)
Severe	5	Major (Has the potential to cause catastrophic and/or widespread damage - Tier 3, requires major external assistance)

Consequences to port and shipping infrastructure

The estimates of consequences to assets ranged from no damage to assets to complete disruption to commercial activities; cost of repair >£10M; all river users affected, as shown in the table below.

Table 10.5

Consequence Categories – Port and shipping infrastructure

Consequence Category	Definition
None	No damage to assets.
Minor	(£0- £100,000)
Moderate	(£100,000 - £1m)

Consequence Category	Definition
Major	(£1m - £10m)
Catastrophic	(> £10 million)

Consequences to port and port user operations (business, reputation etc.)

The consequences to the Port and Port operations range from no damage to reputation and business to severe business disruption and reputational damage, as shown in table 10.6 below.

Table 10.6

Consequence Categories – Port and port user operations

Consequence Category	Definition
None	No impact on reputation or disruption to business.
Minor	Local complaint/recognition, Minimal change in stakeholders 'confidence, impact lasting less than 1 week. Minor business disruption
Moderate	Moderate (Negative local publicity. Moderate damage to reputation. Moderate loss of revenue, £750,000 - £4m)
Major	Serious (Local, regional media coverage, Moderate change in stakeholder confidence, Impact lasting between one and three months, Moderate business disruption
Catastrophic	Major (National media coverage, Significant change in stakeholder confidence, Impact lasting more than three months, attracts regulators attention /comment, Major Business disruption and impact)

10.4 Management of hazards and risk

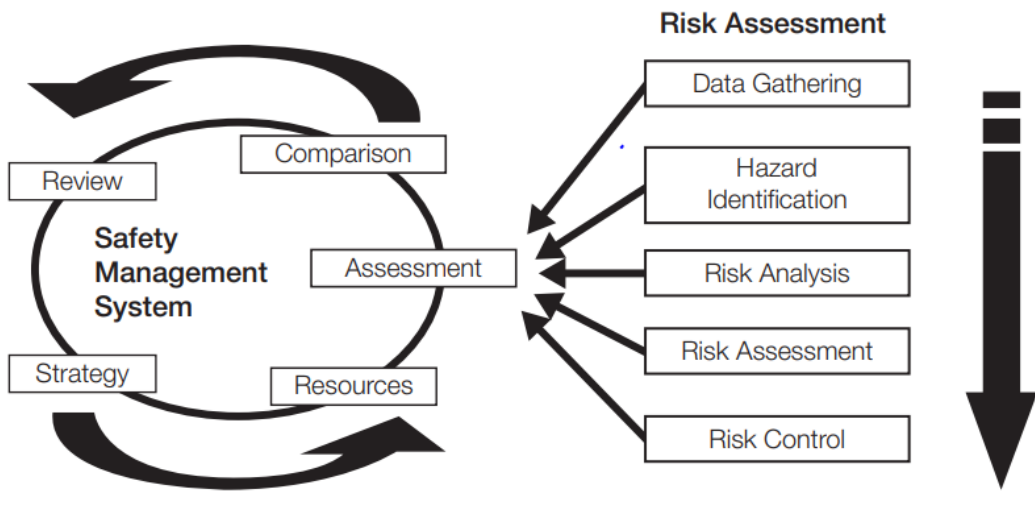
Having identified hazards and controls, it is important to verify that those controls are put into place, and that they are effective in mitigating the hazard.

This requires that the hazards are reviewed on a regular basis, and that completion of the actions is recorded. It is also important to identify the actions for any given control measure, and to ensure they are aware of, and accept, the action.

The Guide to Good Practice on Port Marine Operations (p.32) identifies the steps of hazard management as shown to the right of Figure 10.7.

Figure 10.7

Relationship between the Safety Management System and risk assessment



The Authority has also developed a Hazard Management Policy, please see Figure 10.8 below.

Figure 10.8

Broads Authority Hazard Management Policy

Broads Authority Hazard Management Policy

In accordance with the Port Marine Safety Code, the Broads Authority has a duty base its policies, plans and procedures based on a formal assessment of hazards and risks.

It is the Authority’s Policy that it will:

- a) Ensure that all personal are aware that they may raise a hazard.
- b) Manage the Hazard Log, which will be the responsibility of the Head of Safety Management.
- c) Maintain and track the Hazard Log, create action plans following subsequent reviews and monitor and record progress via regular meetings of the Boat Safety Management Group.
- d) Review the Hazard log every three years by way of a full stakeholder review.
- e) Keep this policy under review as part of the planned monitoring and auditing of the Safety Management System Action Plan.
- f) Act in a proportionate and timely manner to address any perceived shortfalls in this policy.

10.5 Risk assessment

It is a part of the Authority's Navigational Safety Policy that risk assessment techniques be used to ensure that hazards are reduced to a level which is as low as reasonably practicable.

It is important that risk assessments are conducted to a common standard, and against common criteria. This will then enable the level of risk to be understood and prioritised.

The Authority has developed instructions for the conduct of a risk assessment, including definitions of the probability and consequence of identified hazards. These instructions, along with a blank risk assessment form, are published on the Authority's intranet - [Guidance Notes for Generic Risk Assessment and Safe System of Work](#)

These instructions have been used for the risk assessments of the 24-hour moorings (see section 8.3).

These instructions have been used in the preparation of generic and site-specific risk assessments, in the Broads Authority's corporate occupational health and safety system.

Risk Assessments are stored electronically both on the corporate server and on the Broads Authority Intranet which is available to all employees.

10.6 Boat Safety Scheme

The Boat Safety Scheme is a nationally implemented scheme. [Hire Boats Requirements \(2017\) | Boat Safety Scheme | Go Boating - Stay Safe](#)

Its aim is to work on behalf of the UK's navigation and harbour authorities to help sustain safety and promote pollution avoidance on the inland waterways in respect of boats, their installations and components.

The Scheme concentrates on safety of the fixtures and fittings of the boat principally with respect to fire, fumes and explosion. As such, it concentrates on engines, fuel tanks, gas appliances/piping and electrical equipment/cabling. The BSS (Boat Safety Scheme) does not cover navigational safety, stability or watertight integrity of hulls.

The BSS has been introduced in three phases between April 2007 and April 2009, with the larger craft and hire craft requiring earlier compliance.

The version of the BSS issued in 2015 applies to all craft, whereas additional checks issued in 2017 applies to hire craft. Work Boats and other boats such as small passenger craft are subject to the BSS 2002 version of requirements.

The Authority initially introduced the Boat Safety Scheme through byelaws however the Broads Authority Act 2009 made compliance with the Boat Safety Scheme mandatory under the "Construction Standards" provision which will allow for greater flexibility in the event of an update to the Boat Safety Scheme. The byelaws were revoked when the Construction Standards provision was implemented.

The Authority is active in the development of the BSS requirements and has influence over the management of the scheme. The Authority is represented on a number of BSS

committees including, the BSS Technical Committee represented by the Head of Safety Management, the BSS Advisory Committee represented by the Lead Broads Authority Member for Safety, and the BSS Management Committee represented by the Head of Ranger Services.

11 Emergency response

11.1 Introduction

This section of the SMS describes the Authority's preparedness for emergency situations, and their procedures for dealing with an emergency should it arise.

11.2 Responsibilities

The Broads Act does not give the Authority a responsibility to act as an emergency service. Nonetheless, the Rangers and Broads Control frequently receive emergency calls, and have a responsibility to liaise appropriately with the emergency services.

11.3 Reporting of an emergency

In the event of an emergency on the water, boaters are instructed to call the Emergency Services on 999. The Coastguard acts as co-ordinator for any action which may be required, liaising with Broads Control and the Rangers as necessary.

The Broads Authority is not a designated Emergency Service and is not a declared Search and Rescue (SAR) resource by H.M. Coastguard. However, the Authority's staff and patrol launches are frequently called on to assist the official emergency services in searching for missing persons or overdue vessels, communicating emergency messages to vessels, providing guidance on locations and access to the rivers network and sometimes transporting police, fire, ambulance or coastguard personnel or equipment.

The Broads Authority's personnel and resources are controlled via the "Broads Control" VHF Radio Base station in Thorpe, Norwich. Broads Control is operated during office hours seven days a week in summer, shorter hours in winter. Callers with emergencies or serious problems are directed to dial 999 and ask for the appropriate emergency service. H.M. Coastguard will co-ordinate any major incident that requires any of the maritime SAR assets to be used.

Some areas of the Broads have good access to the road network, so the usual land-based emergency services can reach any casualty in these areas. For the open waters of the Broads, and those rivers with no direct road access, the Broads Authority provides patrol craft manned by Rangers and trained volunteers.

The Norfolk Constabulary "Broads Beat" has a boat available for Police patrols and to assist with SAR activities. The Hemsby Inshore Rescue RIB can be transported to the Broads and regularly exercises on the waterways. The RNLI has established an inland Lifeboat Station at Great Yarmouth. This is equipped with a directly launched D Class inflatable and also a small portable inflatable deployed to distant locations on a specially adapted four-wheel drive pickup vehicle.

Most of the sailing and boating clubs on the Broads have dedicated rescue craft afloat during racing and regattas and the Authority has good relations with these clubs and their resources can be called upon when required.

Search and Rescue Helicopters are co-ordinated by the Aeronautical Rescue Coordination Centre, and they will deploy resources based in Humberside and Lydd where required to service the Broads area.

Broads Control operates a messaging/incident recording system for recording all calls received - whether an emergency or not. Incident records are kept and maintained for analysis and the derivation of trends and statistics.

The Broads Authority provides a 24-hour, 365 days a year standby facility for the Emergency services usually coordinated by the Coastguard. Out of office hours the Coastguard control unit can contact the duty standby manager via a pager system in the event of an incident. The on-call standby manager is primarily to provide advice and guidance to the emergency services however they have access to other operational staff and can call on all available officers and deploy vessels and equipment to assist where necessary. All standby staff are trained in boat handling, first aid and pollution control procedures.

11.4 Incident reporting system

Incidents can be reported to the Broads Authority by a variety of methods, verbally to Broads Control or any member of staff, via a prepaid postal form and online via the Authority's website.

11.5 Assessment of the situation

If the Authority receives a call from a person in distress, the Rangers and Broads Control need to determine the nature of the situation and decide whether it is necessary to call the Emergency Services, or whether to attend themselves. Any Broads Authority response to such situations is coordinated by Broads Control who have reference to the Navigation Officer where necessary.

11.6 Response to a minor emergency

In the event of a minor emergency (for example a vessel which has run aground), a Ranger will attend and provide support as required. All Broads Authority personnel operating in the field are first aid trained, as described in the Training and Development Policy.

11.7 Oil spills

The "[Oil Spill Contingency Plan - Broads Navigation Area](#)" is for spillages relating to private and hire craft. Such spills are generally relatively minor in nature, and consist of spillage of diesel during fuelling, and the leaking of engine oil or fuel into bilges and thence into the water.

The plan has been compiled in consultation with the Environment Agency, English Nature, Defra, Norfolk County Council and the Great Yarmouth Port Company.

It describes three tiers of response, in terms of the quantity of spillage, the organisation and mechanism for response, and the resources at the Authority's disposal for containment and

disposal of oil. The plan interfaces with Local Authority and National plans for the higher tiers of severity. In all cases, containment and recovery of the pollutant is the preferred option.

11.8 Communications

In the event of calls being received by the Authority as a result of a major incident, the call will generally be passed to the officer with the appropriate technical background to respond.

A number of key staff have received training in dealing with the media effectively including response to major incidents.

11.9 Emergency Response Exercise

The Authority is not an Emergency Response Organisation.

The Authority takes part in emergency planning exercises with the emergency services and the County Emergency Planning team.

12 Monitoring and auditing

12.1 Introduction

The SMS will evolve and develop as the Broads area changes. Effective management and maintenance of the SMS will be required, to monitor any changes and the impact that those changes have on safety.

The PMSC requires that the SMS is monitored and audited to ensure that it continues to meet the requirements of the code. Such monitoring and auditing comprises three basic types:

- a) Proactive monitoring: This involves regularly reviewing aspects of the SMS to ensure that it is continuing to deliver an appropriate level of safety. This is generally achieved by reference to a defined set of performance indicators.
- b) Reactive monitoring: This involves reviewing the causes and outcomes of any incidents or accidents, and ensuring that any implications on the SMS are captured and implemented.
- c) Auditing: This involves taking a detailed and independent look at some or all of the SMS to verify its compliance with the PMSC and its effectiveness.

12.2 Proactive monitoring

The PMSC requires that monitoring is carried out to demonstrate to the Duty Holder that the SMS is achieving its goals.

To monitor performance, it is necessary to identify a set of performance indicators which will cover all aspects of the SMS.

The following performance indicators will be monitored monthly to provide evidence of the continued functioning of the SMS and enable progress towards (or away from) targets to be assessed. The status of each indicator, in relation to its defined target, will be recorded on the Authority's website. [Safety monitoring \(broads-authority.gov.uk\)](https://broads-authority.gov.uk/safety-monitoring)

Conservancy and management of Navigation

- a) Delivery of Annual dredging programme (Target: 100%, however a phased increase in target may be preferred based on the Waterways Management Strategy Action Plan);
- b) The number of navigational aids (markers/buoys/lights) which are overdue for scheduled inspection (Target: Zero);
- c) The number of Channel markers and buoys renewed against annual maintenance programme.
- d) The number of formal written warnings issued by Rangers (Target: No target set, however the indicator provides a measure of the level of activity);

Pilotage

- e) The number of piloted movements undertaken within the reporting period (Target: No target set, however the indicator provides a measure of the level of activity);
- f) The number of escorted movements undertaken in the reporting period (Target: No target set, however the indicator provides a measure of the level of activity);

Marine Services

- g) Number of moorings and land sites which are overdue inspection (Target: Zero);

Hazards and risk assessment

- h) Number of non-ALARP hazards. (Target: Zero)
- i) Number of hazards overdue for review (Target: Zero)

Emergency response

- j) Number of recorded incidents. (Target: No target set, however the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of a Safety Management System);
- k) Number of oil spill incidents (Target: No target set, however the indicator provides a measure of the level of activity. It may also be argued that a low number of incidents is partly due to the successful implementation of a Safety Management System).

12.3 Reactive monitoring

The purpose of reactive monitoring is to ensure that any incidents or accidents are reported and investigated, and that where an amendment to the SMS might reduce the risk of reoccurrence, that amendment is made.

The Authority has an incident reporting procedure that utilises the Incident Reporting and Investigation System (IRIS) application to log and record incidents. It is the Authority's policy that all reports from this system will be reviewed on a monthly basis to determine whether an amendment to the SMS might be required.

Each incident report is to be risk-assessed in accordance with the criteria at Section 10 of the SMS. This assessment should take into account that a low-category incident recurring regularly may, on aggregate, merit a higher category.

Category C issues are to be logged for implementation at the next scheduled SMS update. Category B issues are to be raised to senior management, and a decision taken as to whether an immediate update of the SMS is required. Category A issues should be notified to senior management, and an update to the SMS issued promptly.

Examples of the kind of amendment which may be required include updating a policy or changing the status of a hazard.

Where an amendment to the SMS is identified, it shall be logged for implementation at the next update, unless the severity of the situation is such that an immediate update is required.

12.4 System auditing

Monitoring of performance indicators provides a useful guideline as to how well the system is functioning; however, an occasional in-depth analysis of the SMS is required.

The Designated Person will conduct annual internal audits of specific areas of the SMS, record the findings, and implement any action which arise as a result.

Every three years, the Authority will arrange for a full audit to be undertaken by an independent third party to gain an objective opinion of the effectiveness and suitability of the SMS to meet its objectives, and to verify continued compliance with the PMSC.

The following sequence is proposed for the conduct of full and internal audits.

Table 12.1

Proposed audit sequence

Year	Subject
1	Conservancy and Management of Navigation and Marine Services
2	Hazard/Risk Assessments, Emergency Response and Pilotage
3	Full System Audit

The Designated Person will have responsibility for conducting internal audits, reporting the outcomes of all audits to the Members of the Authority, and arranging for the results to be published.

Where audits identify areas for improvement or non-compliances, an Action Plan will be developed to rectify these issues.

The audits will be timed to feed into a statement that will be made in the Broads Authority Annual Report on the navigation safety performance of the Authority. It is a requirement of the PMSC (paragraph 3.19) that performance reports should be published by the Authority. The Guide to Good Practice cites three years as an appropriate interval for such reports. The Full Audit programme is timed to align with this.

An external audit of the SMS was completed in November 2023 which produced a report “Assurance Review of Port Marine Safety Code” which sets out the findings and recommendation together with the Broads Authority initial responses.

Progress against these recommendations is reviewed and monitored by the Boat Safety Management Group and the Audit and Risk Committee.

13 Recommendations

Table 13.1 summarises the recommendations that have been made in the current issue of the SMS External Audit (November 2023) and the Stakeholder hazard review completed in October 2023.

Table 13.1
Recommendations and progress to date

Source	Recommendation	Progress to date
Integrated Hazard Review 2015/16	It is recommended that the Integrated Hazard log remains under continual review and is subject to a review in Spring 2019 and then three years from the date of publication of the report.	Stakeholder hazard review completed in October 2023 integrated into this issue of the SMS.
External Audit: Recommendation 1.	Governance: The internal audit cycle and reporting process to be re-established in line with the process set out in the Authority’s Marine Safety Management System (MSMS).	The Navigation Committee forward reporting plan, maintained by governance, has been updated to include this reporting. This action has been resolved by a report on the programmed schedule for internal audits by the safety team at the 11 January Navigation Committee.
External Audit: Recommendation 2.	Governance: Action to be taken to ensure that an appropriate statement about the standard of the organisation’s performance against the PMSC is included in the Duty Holders annual report. An annual PMSC report should also be presented to the Authority (as	The reviews and the actions to ensure compliance to the PMSC have been taking place, it is the reporting of this and the overall compliance that now needs reviving. The Authority have completed the SMS document review and completed the Pilotage Management review. Now that the PMSC audit has now been completed, a

Source	Recommendation	Progress to date
	Duty Holder) which provides an overview of performance, to enable the Duty Holder to make such a statement	full report of the SMS has been programmed to take place at the April 2024 Navigation Committee and has been placed on the Governance forward committee plan.
External Audit: Recommendation 3.	The website data requires updating to reflect the correct PIs (as per the SMS), and a process put in place to ensure the monthly monitoring of PI data and the data published on the website is up to date and its accuracy substantiated with supporting documentary evidence.	The KPI is captured and much of the data is reported to the Navigation Committee at each session they meet. This data is an appendix in the Chief Executives Summary report. A review of the KPI data and how best to ensure consistent reporting will take place early 2024, with amended reporting on the website by May 2024.
External Audit: Recommendation 4.	Action to be taken to ensure that an appropriate compliance statement is made by the Duty Holder when this is next required by the MCA (likely to be in March 2024). This included ensuring that appropriate reporting mechanisms are in place in line with the recommendations above, to enable the Duty Holder to make such a statement.	
External Audit: Recommendation 5.	Action to be taken to ensure that the Authority complies with the requirement for a marine safety plan and associated reporting process, either in the form of a separate safety plan, or through relevant provisions being added to the SMS and/or associated policies.	Because of the statute and the way safety improvements are planned within the broads, the details within a Marine Safety Plan are detailed and reported within the Broads Plan. HoSM has reviewed the Marine Safety Planning process and created a Marine Safety Plan to reflect the requirements under the PMSC.

14 Abbreviations and glossary

14.1 Abbreviations

Figure 14.1

List of abbreviations

Abbreviation	Term
AINA	Association of Inland Waterways Authorities
ALARP	As Low As Reasonably Practicable
BA	Broads Authority
BESL	Broadland Environmental Services Ltd
BFAP	Broadland Flood Alleviation Project
BSS	Boat Safety Scheme
BWSF	British Water Ski and Wakeboard
CE	Chief Executive
Defra	Department for the Environment, Food and Rural Affairs
DfT	Department for Transport
ES	Environmental Stewardship
ESA	Environmentally Sensitive Area
FSA	Formal Safety Assessment
GIS	Geographic Information System
HAZOPS	Hazard and Operability Study
HFO	Heavy Fuel Oil
HSE	Health and Safety Executive
IRIS	Incident Reporting and Investigation System
MCA	Maritime and Coastguard Agency
NERC	Natural Environment and Rural Communities
PMSC	Port Marine Safety Code
SAC	Special Area for Conservation
SAR	Search and Rescue
SMS	Safety Management System
SPA	Special Protection Area
SSSI	Site of Special Scientific Interest
SWIFT	Structured What-If Technique
VTS	Vessel Traffic System
WDC	Waveney District Council

14.2 Glossary

Table 14.2

Glossary of terms

Term	Definition
Competent Harbour Authority	Any harbour authority which has statutory powers in relation to the regulation of shipping movements and the safety of navigation within its harbour, and whose harbour falls wholly or partly within an active former pilotage district (source: Pilotage Act)
Designated Person	Provides independent assurance to the Duty Holder that the SMS is working effectively, and to audit the Authority's compliance with the Code (source: PMSC).
Duty Holder	Each board member of a harbour authority must accept responsibility for ensuring that the Authority discharges its duties and powers to the standards laid down. The members are, severally and collectively, the Duty Holder (source: PMSC)
Harbour	The area or areas inside the limits of which the harbour authority's statutory powers are exercisable (source: Pilotage Act).
Impact	The severity (in terms of people, assets or the environment) of an incident or accident occurring as a result of a hazard.
Likelihood	The chances of an incident or accident occurring as a result of a hazard.
Marine Operations	Marine Operations means the moving, berthing un unberthing of ships and other marine craft within the limits and approaches of the harbour Authority (source: A Guide to good Practice on Marine Port Operations).
RAMSAR	The Convention on Wetlands, signed in Ramsar, Iran, in 1971, an intergovernmental treaty which provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources.
Risk Class	The classification of a risk, in terms of tolerability, based upon its likelihood and impact
Statutory undertaker	Persons authorised by enactment to carry out any railway, light railway, tramway, road transport, water transport etc. undertaking. Any public gas supplier, water or sewerage undertaker, the Environment Agency, the Post

Term	Definition
	Office and the Civil Aviation Authority are deemed to be Statutory Undertakers (source: Town and Country Planning Act 1990, 262).

Broads Authority

10 May 2024

Agenda item number 13

Annual summary of formal complaints 2023-2024

Report by Senior Governance Officer

Purpose

This report summarises the formal complaints received by the Broads Authority, together with the outcome of those complaints, for the year 2023/24.

Recommended decision

To note the report.

1. Introduction

- 1.1. It is considered good practice for public bodies such as the Broads Authority to have effective, transparent and accessible arrangements in place to deal with complaints, to adequately publicise their complaints procedures, to monitor responses and to make sure lessons are learnt from the outcome of complaints.
- 1.2. The Authority has a separate [Members Code of Conduct](#) and [complaints procedure](#), which clarifies the conduct expected by members and summarises how the Authority deals with such complaints. Following the establishment of a Standards Committee in September 2023, information on complaints under this process is contained within the committee's annual report to the Authority (item 16 on this agenda).
- 1.3. The formal complaints summarised in this report are those made by members of the public and service users during the period 1 April 2023 to 31 March 2024, together with a summary of the Authority's responses.

2. Broads Authority complaints procedure

- 2.1. The Authority's formal complaints procedure is published on its website at [How to complain \(broads-authority.gov.uk\)](#). The procedure has a number of stages:
 - In the first instance, complainants are advised to contact the manager responsible for the area of work where they have a complaint or comment, so that the matter can be dealt with informally and as near as possible to the point of contact.
 - If it is not possible to resolve the complaint informally, the complainant may submit a formal complaint in writing. This complaint is investigated by the appropriate Director, who has a responsibility to reconsider the matter objectively

and professionally. The complainant will receive a detailed reply in writing identifying whether their complaint is upheld or not. The reply will also explain how to take the matter forward should the complainant remain dissatisfied.

- Finally, if the complainant is still dissatisfied as a result of the Director’s response, they may ask for the matter to be reviewed by the Chief Executive, setting out the reasons why they believe the complaint has not been properly resolved at stage 2. The Chief Executive is required to review the complaint in an impartial manner and may, if he/she sees fit, seek advice from other officers such as the Monitoring Officer, and also seek direction from the appropriate committee, or from independent consultants or advisers if he/she believes that an external view would be helpful. If the formal complaint concerns action that the Chief Executive has taken, it will be reviewed by the Chairman of the Authority. This is the final stage of the Authority’s formal complaints procedure.

2.2. The Authority seeks to provide a remedy to complaints when it is found at fault.

3. Local Government & Social Care Ombudsman

3.1. The Local Government & Social Care Ombudsman (LG&SCO) investigates complaints by members of the public who consider that they have been caused injustice by the administrative actions (maladministration) of local authorities and other bodies within their jurisdiction, which includes the Broads Authority.

3.2. The LG&SCO provides a free, independent and impartial service, and will normally only agree to investigate a complaint if the internal complaints procedures of the appropriate body have been exhausted.

4. Formal complaints 2023/24

4.1. Seven formal complaints were made to the Authority in 2023/24. The subject matter and outcome of those complaints is set out in Appendix 1. Other complaints and issues resolved on an informal basis are not recorded.

5. Comparison with previous years

5.1. For comparison between the current year and previous years, the number of formal complaints and complaints to the LG&SCO can be found in the table below:

	2023/24	2022/23	2021/22	2020/21	2019/20	2018/19	2017/18
Formal complaints	7	7	7	5	4	6	15
Complaints to LG&SCO	0	0	0	2	1	1	0

6. Conclusion

- 6.1. Given the breadth and volume of the Authority's work, the number of formal complaints received in 2023/24 is considered to be small. Officers will continue to record and monitor formal complaints and seek to learn lessons from them, especially if the Authority's actions have fallen below expected standards.

Author: Sara Utting

Date of report: 16 April 2024

Background papers: none

[Broads Plan](#) strategic objectives: n/a

Appendix 1 – Formal complaints 2023/24

Appendix 1 – Formal complaints 2023/24

Summary of complaint	Final response provided by	Stage reached and summary of response
Speeding on Breydon Water – issue of Memorandum of Navigational Warning	Director of Operations	Stage 2 – A detailed response was provided to all the points raised, confirming that the issuing of the MoNW followed the correct processes and procedures. In addition, evidence of the transit and timings of the vessel in question confirmed that the MoNW was correctly issued for excessive speed and wash.
Access to a property following the granting of planning permission	Director of Strategic Services	Stage 2 - A detailed response was provided to all the points raised, advising that the assessment on the interference with the complainant’s property was done as part of the planning assessment for the planning application, when it was concluded that the proposal was acceptable because the level of interference was not deemed to be substantial. Planning permission had been granted and the BA could not make addendums to the submitted plans. The complainant was also advised that the complaints process was not a process for challenging planning decisions.

Summary of complaint	Final response provided by	Stage reached and summary of response
Alleged maladministration of planning applications at Wayford Bridge – the impact on the landscape had been ignored by the BA	Chief Executive	Stage 3 – A detailed response was provided to all the points raised. The Authority agreed that the failure of the landowner to develop the building in accordance with the approved plans, together with the installation of sheet piling, damaged the Oak tree. However, the responsibility for this and the damage to the tree, rested with the landowner. Therefore, there was no basis to support the assertion that the Authority was guilty of maladministration.
Placement of a planning site notice	Director of Strategic Services	Stage 2 – A detailed response was provided, advising of the legal requirements for publicising a planning application and the action which the BA, as local planning authority, had taken. It was concluded that the site notices had been correctly sited and the legal requirements to publicise the application had been met.
<ol style="list-style-type: none"> 1. Concern over proposed increase in tolls to cover excessive spending such as delivering the planning function; and 2. Dissatisfaction with BA officers over their lack of empathy during a difficult time. 	Director of Strategic Services	<p>Stage 2 - A detailed response was provided to all the points raised, explaining how planning was funded (i.e. through NP grant and not from tolls); the extensive range of functions covered by planning (e.g. policy; enforcement; trees; heritage etc).</p> <p>Having reviewed the emails and documents about the planning case, it was not agreed that the planning officers had acted with no sense of</p>

Summary of complaint	Final response provided by	Stage reached and summary of response
		humanity or empathy with the complainant's situation.
Experience at, and involvement in, a Planning Committee meeting – a number of issues raised	Chief Executive	<p>Stage 3 – Concluded that a full and fair response to all the issues raised had been provided by the DoSS at stage 2.</p> <p>(Stage 2 - The complainant had been advised that, having considered all the relevant information, the decision was based on sound planning reasons and the complaints procedure was not a means of overturning planning decisions. The Authority apologised for not giving a “one minute warning” during the public speaking stage of the meeting.)</p>
Action taken by the Authority (incl. senior officers) regarding enforcement of planning matters, leading to prosecution	n/a	<p>Interim response sent from the Chair pending outcome of Court decision. Advised that a detailed response would be provided after that date.</p> <p>Note: The Hearing was originally scheduled for September 2023 but subsequently adjourned to December 2023 and then postponed by the Court on two occasions. It is now set for 14 May.</p>

Broads Authority

10 May 2024

Agenda item number 14

Standing Orders relating to contracts

Report by Director of Finance

Purpose

This report details the 2023/24 annual summary of instances where Standing Orders were waived by the Chief Executive and the review of the Standing Lists for Fen Contractors.

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.

Recommended decision

- i. Note the annual instances where Standing Orders were waived.
 - ii. Approve the standing list for fen contractors in 5.7.
-

Contents

1.	Introduction	1
2.	Waivers authorised in 2023/24	2
3.	Risk implications	4
4.	Summary	4
5.	Standing Tender List for Fen Management	4

1. Introduction

- 1.1. The first part of the report provides details where the Chief Executive authorised a waiver of Standing Orders during 2023/24. Waivers can only be approved by certifying that there is an extreme urgency, only one supplier or in certain other circumstances. It also requires that all waivers authorised under delegated powers must be reported to the Authority on an annual basis.
- 1.2. The second part of the report provides details on the renewal of the Standing Lists following the process set out in the 'Standing Orders Relating to Contracts'.

2. Waivers authorised in 2023/24

2.1. Thirteen separate waivers to Standing Order were authorised in 2023/24, eleven by the Chief Executive and two by the Board as set out in Table 1. The costs in the final column are exclusive of VAT.

Table 1

Summary of waivers authorised in 2023/24

Ref	Details of Contract	Supplier	Amount £
A	Motor Insurance	Marsh Ltd (Protector)	27,045
B	Architect for Yare House extension	Hudsons Architects Ltd	3,935
C	Horsey Footpath extension	NR11 Groundworks & Civil Engineering	8,397
D	Review of pilotage and alternative risk mitigations	Marico Marine & Risk Consultant Ltd	5,100
E	Refit for Shoveler	Alicat Workboats Ltd	23,416
F	Planning Enforcement	Birketts (Giles Atkinson)	10,000
G	Grab 10 removal	Alicat Workboats Ltd	17,366
H	Purchase of second-hand crane	Cowling & Co Engineering Ltd	79,800
I	Tree contractors	Broadwood	5,775
J	Broadcaster printing	Micropress (Countrywide Publications)	10,125
K	PhD Student research	Nottingham University	10,000
L	Tolls system upgrade	Zippy Zebra	22,700
M	Electrical connections for charging posts	Electrical Testing Ltd	12,573

2.2. Further details of the individual contracts and the reasons for waiving Standing Orders are set out below.

- A. **Urgency:** At late notice the Authority received confirmation that its previous supplier was unable to honour their tender price for the duration of the contract. Our Broker (Marsh) obtained four quotes and Protector was in line with the original tender price.
- B. **Contract extension to original contract:** This extension relates to the work to redesign the layout of Yare House to include stages 3 to 6. These costs were not available until the outcome of stages 1 and 2 were complete. As this was above

a 10% extension it was approved by the Broads Authority 28 July 2023 (agenda item 20).

- C. **Contract extension to original contract:** This extension relates to the DEFRA Access for All funded footpath works. As construction progressed a number of additional items were needed. The landowner contributed £6,089 towards the costs. As with B above this exceeded a 10% extension and it was approved by the Broads Authority 28 July 2023 (agenda item 20).
- D. **Competitive quotes not received:** Despite contacting three contractors one declined to quote and no other suppliers were identified. The review was recommended by internal audit. The contractor selected was made on lowest price.
- E. **Sole supplier:** Due to MCA classification of the vessel the refit needed to be completed in the Broads to avoid sea passage. The contractor was the only company that could accommodate a 38-ton vessel in dry dock.
- F. **Urgency:** The plea trial preparation hearing was listed at short notice and representation needed to be appointed to allow time to prepare. The contractor was recommended by our legal provider.
- G. **Sole supplier:** As the barge was over 70 years old and over 30 meters in length the costs to remove and dismantle via road or broken down on site would have exceeded the quote received. As with E the contractor was only company that could lift it out.
- H. **Second-hand equipment:** Purchasing second-hand equipment does not provide exact comparisons and enables to the Authority to purchase equipment that would normally be out of the Authority's price range. The new crane will enable larger diameter and longer length marker posts to be installed.
- I. **Competitive quotes not received:** Despite contacting nine contractors only one could only carry out the work with the correct qualifications and kit to complete the works next to the river.
- J. **Competitive quotes not sought:** The supplier has produced Broadcaster for a number of years and the cost above represents the total cost of production. The need to move to a better-quality print (heat sealed) was needed prior to the 2024 season publication but did not enable time for quotes to be obtained. The additional cost has been shared split with the supplier. This will go through a procurement process in 2024/25 to ensure ongoing value for money.
- K. **Sole supplier:** Nottingham University is a sole supplier of non-invasive tools development to detect and monitor the Fen Raft Spider in the UK. The work will be delivered as part of a CASE partnership with Buglife via the Natural Environment Research Council.

- L. **Competitive quotes not sought:** The initial works on the replacement of the tolls system requires an Oracle APEX supplier of which there are very few in the UK. The contractor can provide a specialist service to upgrade the current system to a web-based version for the start of the 2025/26 tolls season in a cost-effective way.
- M. **Competitive quotes not received:** Despite contacting eight contractors only two were willing to quote due to the scale of the works. The contractor selected was made on lowest price.

3. Risk implications

- 3.1. Within the corporate risk register, reputational damage to the Authority (such as that caused by comments or actions by members or officers) is identified as a risk and the directorate risk register identifies failure of procurement practices, which could lead to legal challenge. All waivers require careful consideration to ensure that contracts are not awarded to give unfair benefit to suppliers, thus reducing the impact on the Authority's reputation and the potential for challenge.

4. Summary

- 4.1. Eleven waivers were approved by the Chief Executive and two by the Board in 2023/24, compared to the eighteen in 2022/23 (nine by the chief executive and nine by the Board). All approved waivers were considered to be justified on the grounds of achieving the best outcome for the Authority at the best possible price.

5. Standing Tender List for Fen Management

- 5.1. Section 15 of the Authority's 'Standing Orders Relating to Contracts' sets out the procedure for Selective Tendering from a standing list of approved contractors. This Standing Order applies where the Authority or appropriate committee has decided that invitations to tender for a contract are to be limited to those persons or bodies whose names are included in a list compiled and maintained for that purpose. These lists are normally reviewed every three years. However, this was run a year earlier to try and attract younger reed cutters.
- 5.2. In accordance with Standing Order 15, an advert for expressions of interest or inclusion on the Fen Management standing list was published on the Authority's website and Contracts Finder. Interested parties were required to complete a questionnaire.
- 5.3. Since 2001, the Authority has worked with local reed and sedge cutters to facilitate the continuation of this heritage industry (Action Plan for the Reed and Sedge Cutting Industry, 2012). One of the ways in which the Authority has provided support is to offer small-scale fen management work to reed and sedge cutters, at the time of year when commercial reed and sedge cannot be harvested.
- 5.4. This small-scale contract work typically includes scrub clearance and conservation mowing of non-commercial fen on Broads Authority land and / or sites where the

Authority is the managing agent. Such contract work aids the Authority in achieving its management obligations.

- 5.5. The contract work is awarded in accordance with criteria set out by the Broads Authority to all interested cutters who can demonstrate appropriate equipment and health and safety standards. A standard day rate for payment is agreed between the Authority and the Broads Reed and Sedge Cutters Association (BRASCA). This rate is assessed annually to ensure the rate represents good value for the Authority, compared to that charged by other similar commercial wetland management contractors, and to take account of any inflationary change.
- 5.6. The benefits of compiling this list are as follows:
 - All local reed and sedge cutters who actively harvest these products commercially and wish to apply for small-scale contract work are given an equal opportunity to do so.
 - Information relating to equipment certification and insurance can be gathered, held and updated centrally.
 - Contractor competency and health and safety management can be assessed through a formal process.
- 5.7. The following contractors expressed an interest in inclusion in the Standing List, all of whom had successfully joined Standing List in 2022:
 - William Burgess
 - Paul Eldridge
 - Chris Henshaw
 - Jeremy Nicholls
 - Brett Fransham
- 5.8. All of these contractors were asked to complete a form confirming existing details and asked to submit up to date certificates. Each submitted form was reviewed for the purpose of checking that the details provided met the stated approval criteria.
- 5.9. All five contractors comprehensively provided all the information required and fulfilled the criteria for approval. Whilst this does represent a reduction of two since 2022, it is recommended that the Authority approves these contractors for inclusion on the standing list as set out in recommendation (ii) above.
- 5.10. The Fen Management standing list will be renewed on a three-year basis (the next being April 2027). The review will consist of the following:
 - a) All contractors on the Standing List will be contacted at least four weeks before the review and asked if they wish to remain on the list.

- b) All projects executed using the Standing List will be reviewed and any contractor who has not performed adequately (e.g. breach of contract, not meeting the requirements of the specification, method statements or risk assessments) will be removed from the list.
- c) Contractors not on the list who have expressed an interest in inclusion on the list, maybe recommended to the Authority for inclusion on the list upon submission of an adequately completed questionnaire.
- d) The list of contractors will then be put to the Authority for approval.

Author: Emma Krelle

Date of report: 23 April 2024

Background papers: Standing Orders Relating to Contracts

[Broads Plan](#) strategic objectives: B3

Broads Authority

10 May 2024

Agenda item number 15

Appointment of Independent Persons

Report by Senior Governance Officer

Purpose

To inform Members of progress with recruiting the Authority's Independent Person(s) as required under the Localism Act 2011.

Recommended decision

To note that officers will continue pursuing alternative ways of recruitment and the outcome will be presented to the next meeting on 26 July.

1. Introduction

- 1.1. The [Localism Act 2011](#) (the Act) requires all local authorities, including the Broads Authority and National Parks, to have arrangements in place for dealing with complaints of breaches of the Member Code of Conduct. The Authority's [arrangements for dealing with complaints](#) were updated and last adopted in September 2023. These arrangements must include provision for the appointment of at least one Independent Personⁱ:
- a) whose views are to be sought, and taken into account, by the authority before it makes its decision on an allegation that it has decided to investigate, and
 - b) whose views may be sought—
 - (i) by the authority in relation to an allegation in circumstances not within paragraph (a),
 - (ii) by a member, or co-opted member, of the authority if that person's behaviour is the subject of an allegation, and
- 1.2. In [January 2021](#), the Authority re-appointed Christine Lee (appointed in 2016) and appointed Amanda Orchard as an Independent Person until the Annual Meeting in 2024. Neither has confirmed that they wish to continue in the role.

2. Recruitment of Independent Person

- 2.1. In respect of the recruitment process, the Act states that an Independent Person must be not appointed unless the role is advertised "in such manner as the authority

considers is likely to bring it to the attention of the public” and the appointment is approved by a majority of the members of the Authorityⁱⁱ. It also requires applicants to submit an application.

- 2.2. The Authority has delegated the recruitment of the Independent Person to the newly established Standards Committee.
- 2.3. At its meeting on 7 March, the Committee approved the recruitment paperwork, including a role description, and timetable and appointed Stephen Bolt, Tim Jickells and Kevin Maguire to the interview panel.
- 2.4. The vacancy was advertised through the EDP via Jobs24, our website, social media channels and circulated to parish clerks within the Authority’s area. The closing date was Thursday 28 March and interviews scheduled for 9 April.
- 2.5. Despite two enquiries about the position, no applications were received.
- 2.6. Officers then discussed the options available and, as part of this, were made aware that a local authority appointed IP might be interested in working with the Broads Authority.
- 2.7. Contact has been made with two neighbouring local authorities and, at the time of writing this report, their response is awaited.

3. Financial implications

- 3.1. The role has an allowance of £20 per hour plus travel and subsistence. This is not a retainer but is paid on an “as required” basis.

4. Risk implications

- 4.1. The term of office for the current IPs ends with the date of the annual meeting on 26 July 2024.
- 4.2. The Authority has a legal duty to appoint an Independent Person and would be unable to carry out its statutory duties relating to the Code of Conduct without appointing at least one IP. Any subject member who is subject to a Code of Conduct complaint or investigation has a statutory right to consult with the IP. If that is not possible, because there is no IP, the Authority is at risk of challenge.

Author: Sara Utting

Date of report: 26 April 2024

[Broads Plan](#) strategic objectives: n/a

ⁱ Section 28(7) Localism Act 2011

ⁱⁱ Section 28(8)(c) Localism Act 2011

Broads Authority

10 May 2024

Agenda item number 16

Annual Report of the Standards Committee

Report by Senior Governance Officer

Purpose

To provide an overview of the work of the Standards Committee and information on complaints under the Members Code of Conduct.

Recommended decision

To note the report.

1. Introduction

- 1.1. As Members will be aware, in [September 2023](#) the Authority agreed to the establishment of a Standards Committee. Creation of this Committee was one of the recommendations of the report of Mark Heath, which the Authority accepted and approved at its meeting on [20 January 2023](#). The principal purpose of this Committee is the promotion and maintenance of high standards of conduct within the Authority. A key function of the Committee is to deal with complaints under the Code of Conduct. The Committee is scheduled to meet once per annum, with additional meetings convened as necessary.
- 1.2. The Localism Act 2011 requires all local authorities, including the Broads Authority and national park authorities, to have an adopted Code of Conduct for members and to have appropriate procedure in place for dealing with complaints made under the Code.
- 1.3. The Act states:
 - (1) A relevant authority must promote and maintain high standards of conduct by members and co-opted members of the authority.
 - (2) In discharging its duty under subsection (1), a relevant authority must, in particular, adopt a code dealing with the conduct that is expected of members and co-opted members of the authority when they are acting in that capacity.

Section 28

- (6) A relevant authority other than a parish council must have in place—
 - (a) arrangements under which allegations can be investigated, and
 - (b) arrangements under which decisions on allegations can be made.
- 1.4. The responsibility for all issues of probity and conduct must sit with either the Authority as a whole or a separately constituted committee. Most local authorities have adopted a separate Standards Committee
- 1.5. Under its terms of reference, the Committee is required to produce an annual report on its work to the Broads Authority.

2. Update

- 2.1. The following Members were appointed to the Committee: Harry Blathwayt; Stephen Bolt; Peter Dixon; Paul Hayden; Tim Jickells; Kevin Maguire and Michael Scott.
- 2.2. The Committee had its first meeting on [7 March 2024](#). Kevin Maguire was appointed Chair and Stephen Bolt Vice-Chair.
- 2.3. The Deputy Monitoring Officer provided an overview of the role of the Standards Committee, including its various functions, such as responsibility for all matters relating to the Code of Conduct and the Members' Register of Interests. The Committee had an interesting discussion on registering and declaring interests. Members raised some thoughtful questions and commented that this is a complex area and a subject which all Members could benefit from further guidance. Officers agreed to make arrangements for a briefing session in due course.
- 2.4. An important role of the Committee is the recruitment of the Independent Person and this was discussed at the meeting on 7 March. A separate report on this matter is included on the agenda for this Broads Authority meeting.

3. Complaints under the Code of Conduct

- 3.1. No complaints were made under the Code of Conduct during the period 1 April 2023 to 31 March 2024.
- 3.2. The Committee agreed that, from now on, the Chair should be advised once a complaint is received.

4. Future work programme

- 4.1. The current Member Code of Conduct was adopted by the Authority in July 2021. It is considered good practice to review the Code on a periodic basis and this is something which falls within the remit of the Standards Committee. As part of this, the Committee could also look at the Register of Interests form. The Authority will be aware that a

number of interests must be registered and disclosed by law¹. In respect of those interests that the Authority has listed as “other interests”, the review can ensure it meets the Authority's requirements and circumstances.

- 4.2. The Authority has an adopted procedure for dealing with complaints under the Code (in December 2022, the procedure was revised following the adoption of a revised Code of Conduct). As part of the establishment of this Committee, this [procedure](#) was reviewed and adopted in September 2023.

5. Conclusion

- 5.1. Members are asked to note the work undertaken by the Standards Committee.

Author: Sara Utting

Date of report: 24 April 2024

Background papers: none

[Broads Plan](#) strategic objectives: n/a

¹ Disclosable Pecuniary Interests are prescribed by The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012.

Broads Authority

10 May 2024

Agenda item number 17

Member report on outside bodies- How Hill Trust

Report by Tim Jickells

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. Introduction

- 1.1. I represent the Broads Authority on the How Hill Trust which maintains the historic How Hill House and estate primarily as a residential site for education and inspiration of children, young people and adults. The trustees' meetings are held about every 3 months and this report updates members on recent developments at How Hill.

2. Update

- 2.1. The occupancy by schools, which has for many years been the core business of How Hill, has essentially recovered to pre-pandemic levels, which is really good to see. Furthermore, the redevelopment of the accommodation to modern and en-suite standards, which was undertaken during enforced closure during lockdown, has made the site much more attractive to adult visiting groups. This means that bookings by adult groups for visits at weekends and other times when schools do not visit have increased markedly. The house and estate are also used for day visits by schools and various other groups, including the Broads Authority for its annual staff development day in 2023.
- 2.2. This improved occupancy is welcome given the challenges of recent inflation, particularly for heating and electricity. The How Hill house refurbishment during lockdown allowed the insulation to be improved, but heating such a large old house remains an expensive business. The trustees recently held an away day to begin work on a longer term plan for the development of How Hill, and the business plan arising from that is being developed which aims to ensure the long term financial viability of the Trust.
- 2.3. There are several ongoing initiatives at How Hill to note.

- 2.4. The boardwalks through the “secret garden” area are being replaced.
- 2.5. With help from Broads Authority, and particularly Sue Stephenson (Ecology & Design Supervisor), a reed bed within the How Hill estate is being improved partially funded by FiPL.
- 2.6. The How Hill Trustees are delighted that Norfolk County Council has committed to the refurbishment of Turf Fen Mill and work should begin in 2024. We now hope for the renovation of the Boardman and Clayrack Mills as well. The How Hill staff and trustees will do everything they can to support these mill refurbishments. These mills form an integral part of the landscape within this part of the Broads and also can offer.

Author: Tim Jickells, appointed by the Broads Authority

Date of report: 07 March 2024

Background papers: none