



GREAT YARMOUTH
BOROUGH COUNCIL

Cabinet

Date: Monday, 04 April 2016

Time: 18:30

Venue: Supper Room

Address: Town Hall, Hall Plain, Great Yarmouth, NR30 2QF

AGENDA

Open to Public and Press

1 APOLOGIES FOR ABSENCE

To receive any apologies for absence.

2 DECLARATIONS OF INTEREST

You have a Disclosable Pecuniary Interest in a matter to be discussed if it relates to something on your Register of Interests form. You must declare the interest and leave the room while the matter is dealt with.

You have a Personal Interest in a matter to be discussed if it affects

- your well being or financial position
- that of your family or close friends
- that of a club or society in which you have a management role
- that of another public body of which you are a member to a greater extent than others in your ward.

You must declare a personal interest but can speak and vote on the matter.

Whenever you declare an interest you must say why the interest arises, so that it can be included in the minutes.

3	<u>MINUTES</u>	4 - 7
	To confirm the minutes of the meeting held on the 10 February 2016.	
4	<u>QUARTER 3 PERFORMANCE REPORT</u>	8 - 23
	Report attached	
5	<u>WHISTLEBLOWING POLICY, ANTI FRAUD, CORRUPTION AND BRIBERY POLICY AND ANTI MONEY LAUNDERING POLICY</u>	24 - 82
	Report attached.	
6	<u>CODE OF CORPORATE GOVERNANCE</u>	83 - 110
	Report attached	
7	<u>RISK MANAGEMENT FRAMEWORK</u>	111 - 128
	Report attached	
8	<u>ASSET MANAGEMENT STRATEGY</u>	129 - 147
	Report attached.	
9	<u>ANY OTHER BUSINESS</u>	
	To consider any other business as may be determined by the Chairman of the meeting as being of sufficient urgency to warrant consideration.	
10	<u>EXCLUSION OF PUBLIC</u>	
	In the event of the Committee wishing to exclude the public from the meeting, the following resolution will be moved:-	
	"That under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting for the following item of business on the grounds that it involved the likely disclosure of exempt information as defined in paragraph 1 of Part I of Schedule 12(A) of the said Act."	
11	<u>ASSET MANAGEMENT STRATEGY - CONFIDENTIAL</u>	
	Details	

12 BUSINESS CASE FOR DEVELOPING HOUSING AT SITE 25
BEACON PARK

Details

Cabinet

Minutes

Wednesday, 10 February 2016 at 18:30

PRESENT :

Councillor Plant (in the Chair); Councillors Carpenter, B Coleman, Hanton, C Smith and Thirtle.

Councillors Grey, Sutton, Walker and Williamson attended as observers.

Also in attendance :

Mrs S Oxtoby (Interim Chief Executive Officer), Ms K Sly (Interim Section 151 Officer), Mrs J Beck (Director of Customer Services), Mr R Read (Director of Housing and Neighbourhoods), Mrs K Watts (Transformation Programme Manager), Mr R Hodds (Cabinet Secretary) and Mr D Wiles (Communications Officer).

1 APOLOGIES FOR ABSENCE

An apology for absence was received from Councillor T Wainwright.

2 DECLARATIONS OF INTEREST

There were no Declarations of Interest.

3 MINUTES

The minutes of the meeting held 9 December 2015 were confirmed.

4 2016/17 BUDGET REPORT

Cabinet considered the Interim Section 151 Officer's report which presented for approval the 2016/17 Budget along with the latest financial projections for the following 3 years to 2019/20. The report includes details of the provisional finance settlement along with the key assumptions that have been made within the budget. The report also details a summary of the Medium Term Financial Strategy options that will be progressed over the short to medium term to reduce the forecast deficit.

The Council's budget is set for approval each year and is presented to Cabinet before recommendations are made to Full Council on the budget and the setting of Council Tax for the forthcoming year. The budget had been produced based on a number of assumptions as detailed within the Interim Section 151 Officer's report, and also

reflected the provisional finance settlement announced on the 17 December 2015. The Cabinet Member (Resources) reported that the final settlement had been provided the day before and there were no changes to the funding as included in the report. The Interim Section 151 Officer reported that the Council Tax increase flexibilities in the final settlement had been relaxed further which meant that GYBC could now increase by £5 in 2016/17 if approved, as opposed to previously the provisional settlement had allowed this flexibility to the bottom quartile of Councils. The report also recommends that the surplus for the year is allocated to the general reserve. The report also outlined the risks facing the Council in setting the budget and forecasting future spending plans and resources.

RESOLVED :

That Council be recommended to approve :-

- (1) The 2016/17 Revenue Budget as detailed in Appendix A of the report.
- (2) The surplus of £107,223 be allocated to the general reserve.
- (3) The demand on the collection fund for 2016/17 will be :-
 - (a) £3,914,239 for District purposes
 - (b) £354,143 for Parish Precepts
- (4) The statement of and movement of reserves as detailed in Appendix D of the report.
- (5) The updated Capital Programme and Financing for 2015/16 to 2018/19 as detailed in Appendix E of the report.
- (6) That an allocation of £1m from the general reserves be earmarked in an Invest to Save Reserve as detailed within the Interim Section 151 Officer's report.
- (7) That Members note the current financial projections for 2017/18 to 2019/20.
- (8) That delegated authority be given to the Chief Executive Officer to submit the Council's Efficiency Plan as required once further guidance is published and that the Council accepts the 4 year finance settlement as referred to within the Section 151 Officer's report.

5 GYCH HRA REVENUE BUDGET REPORT 2016/17 to 2020/21

Cabinet considered the Director of Housing and Neighbourhoods report which set out the Housing Revenue Account (HRA) Budget, Rent and Service Charge proposals for 2016/17, and the revised HRA forecast for 2015/16.

The Director of Housing and Neighbourhoods reported that over the last few days guidance had been received from the Government indicating that supported housing would be exempt from the first year of the 1% rent reduction. This was because Government had recognised the additional costs of supported housing and are to carry out a review in time to inform guidance for 2017/18.

RESOLVED :

That Council be recommended to :-

(1) Approve the draft budget estimates provided within the budget for the period 2016/17 to 2020/21.

(2) To approve the revised forecasts for 2015/16.

(3) To approve the proposed fees and charges for 2016/17.

(4) To review the Government proposals set out in the Welfare Reform and Work Bill 2015 and Housing Planning Bill which include the 1% decrease per year for 4 years.

6 GYCH - HOUSING MAJOR WORKS CAPITAL PROGRAMME 2016/17 to 2020/21

Cabinet considered the Director of Housing and Neighbourhoods report which provided estimates in respect of the Housing Revenue Account (HRA) Major Works Capital Programme 2016/17 to 2020/21.

RESOLVED :

That Council be recommended to :-

(1) Approve the proposed Housing Major Works Capital Programme Budget and Programme for 2016/17 and the provisional Programme for 2017/18 to 2020/21.

(2) Approve the revised forecast programme for 2015/16.

7 TREASURY MANAGEMENT STRATEGY

Cabinet considered the Group Manager (Resources) report on the Treasury Management Strategy 2016/17.

RESOLVED :-

That Council be recommended to :-

(1) Approve the Treasury Management Strategy for 2016/17.

(2) Approve the Prudential indicators and limits for the 3 year period 2016/17 to 2018/19 as detailed in the Group Manager's report.

(3) To approve Minimum Revenue Provision Statement.

(4) To approve the Annual Investment Strategy.

8 BUDGET MONITORING PERIOD 9

Cabinet considered the Interim Section 151 Officer's report on the 2016/17 Period 9 Budget Monitoring Report. Members were advised that the Monitoring Report would be considered by the Scrutiny Committee at its meeting on the 25 February 2016.

RESOLVED :

That the 2016/17 Period 9 Budget Monitoring Report be received.

9 HER MAJESTY THE QUEEN'S 90TH BIRTHDAY CELEBRATIONS

Cabinet was advised as part of Her Majesty the Queen's birthday celebrations on the 21 April 2016 the Beacon on the seafront would be lit on the evening of the 21 April. Cabinet was asked whether the Borough Council would wish to sponsor a firework display at a cost of approximately £1500 on the same evening.

RESOLVED :

That no action be taken to fund a firework display on the evening of the 21 April 2016.

The meeting ended at: 19:10

Subject: Quarter 3 Performance Report

Information to: Cabinet Briefing Session (CBS) – 23 March 2016
Cabinet – 4 April 2016
Scrutiny – 7 April 2016

Report by: Transformation Programme Manager

The following gives an update on current performance for the 3rd Quarter of 2015/16 (October 2015 – December 2015) for performance measures.

The report highlights some of the performance measures (with a detailed summary of performance in the planning and sickness measures) and gives an update to the position of key projects that are linked to the corporate priorities from 'The Plan 2015-2020' and recommends actions to be endorsed by Cabinet. The actions are:

- All corporate measures to be monitored during the next quarter
- Further investigation is undertaken by appropriate service lead in Planning and HR to work to improve performance for the next financial year.

Introduction

During the last two years the performance reporting framework has detailed performance in relation to a number of agreed key projects and corporate measures. The majority of the key projects have now been completed and were derived from the old Corporate Plan 2013-15.

In September 2015 the Council agreed 'The plan' which sets out its strategic vision and priorities for up to 2020. This establishes the framework against which the Council should measure its performance at both officer meetings (through regular management reports) and Member meetings (through performance reports).

This framework is being considered as part of a review of the transformation programme, moving this programme into a business strategy, which maximises income streams, whilst at the same time meeting the Council's stated objectives in 'The Plan'.

The business strategy is to include a new set of key projects which will be reported separately from the measures to the appropriate committee.

Performance Measures – Highlights

Performance measures are service specific and cover the full range of services delivered by the Council. The details in this report provide quantitative information about the performance of these services and provide useful trend data. A traffic light status easily identifies if improvement is required.

There are several areas across the Council where performance is showing a trend of continuous improvement. However, there are a few areas where performance has slipped, reasons for this are provided within the performance report.

The following areas of performance are brought to your attention:

Improved performance:

1. Collection Rates for NNDR (CM22)

It is pleasing to report that the collection rate for Business Rates (NNDR) during the 3rd quarter is slightly up on the same period during 2014/15. This is encouraging as more businesses opted to pay their Business Rates over twelve monthly instalments this year rather than 10 instalments and it was envisaged that collection would fall similar to the first two quarters of 2015/16.

2. Average Time to assess Housing & Council Tax: Benefit New Claims (CM09a)

Performance has shown continuous improvement over the last three years as well as continuous improvement over the first three quarters of 2015/16. In the first quarter of 2012/13 32 days was the reported outturn, performance is now at 19 days this quarter, at a time when workload and overall caseload remain high.

Reduced performance:

3. Planning applications: Minor/Other applications determined within 8 weeks (CM29 b/c)

The 2015/16 third quarter performance on both these measures are slightly down on the same period during 2014/15. There has been a continuous downward trend over the last few years, but during that time the team has become smaller. Although performance is down on previous years there has been an improvement in performance from quarter two when the section had experienced staff shortages, sickness and IT teething problems with the new system. (See Appendix 1 for more details)

4. Sickness absence rates: The percentage of working hours lost due to sickness absence (CM24)

The measure calculates the total number of working hours lost due to sickness absence as a percentage of the total number of working hours. The HR team are working on producing future sickness absence as the number of days off sick per Full Time Equivalent (FTE). (See Appendix 2 for more details)

For the third quarter this has been measured as 9.77 days per FTE, compared to 6.33 days per FTE for the second quarter. The third quarter has shown a significant increase, similar to the first two quarters of 2015/16, in sickness absence compared to the same period in 2014/15. This is largely due to long term absence rather than increased short term absences. HR Officers are currently working with Group Managers to discuss sickness management within their groups.

Recommendations

The following actions are recommended to be endorsed by Cabinet

- All corporate measures to be monitored during the next quarter.
- Further investigation is undertaken by appropriate service lead in Planning and HR to work to improve performance for the next financial year.







CORPORATE MEASURES – SUMMARY REPORT QUARTER 3 2015/16 (OCT-DEC)

Corporate Measures that impact on the Corporate Priorities 2013/15.

Detailed commentary from each measure lead is provided in the next section.

Measure	EMT Lead	Portfolio Holder	Previous Quarter	This Quarter	Q3 2014/15	Status
CM09a - Average time to assess Housing & Council Tax: Benefit new claims	Jane Beck	Cllr. H Thirtle	20 days	19 days ↑	22	
CM09b - Average time to assess Housing & Council Tax: Change in circumstances	Jane Beck	Cllr. H Thirtle	19 days	16 days ↑	11	
CM14 - No of households in temporary accommodation	Robert Read	Cllr. P Carpenter	73	59 ↑	95	
CM15 - Number of a) Homeless acceptances b) Homeless preventions	Robert Read	Cllr. P Carpenter	19 24	30 27 ↑	38 72	
CM16 - Number of a) Social housing applicants in allocation pool b) Social housing new applicants awaiting assessment	Robert Read	Cllr. P Carpenter	284 467	224 505 ↑	264 380 ↓	
CM18 - No of empty homes brought back into use	Robert Read	Cllr. P Carpenter	167	76 ↑	80	
CM19 - Total tonnage of waste recycled	Jane Beck	Cllr. C Smith	6,201.98	9,007.90 ↑	7,893.26	
CM21 - Tonnage of garden waste recycled	Jane Beck	Cllr. C Smith	1,702.92	2,282.98 ↑	1,739.78	
CM22 - Collection rates NNDR	Jane Beck	Cllr. H Thirtle	56%	83.4% ↑	83%	
CM23 - Collection rates Council Tax	Jane Beck	Cllr. H Thirtle	56.5%	83.9% ↓	85.5%	

Measure	EMT Lead	Portfolio Holder	Previous Quarter	This Quarter	Q3 2014/15	Status
CM24 - Sickness absence rates: The percentage of working hours lost due to sickness absence.	Kate Watts	Cllr. H Thirtle	4.76%	4.84% ↓	3.83%	
CM25 – Great Yarmouth Community Housing rent a) GYCH rent arrears collection rate b) as a % of rent roll c) £ value	Robert Read	Cllr. P Carpenter	99.23% 1.25% £325,620	99.14% 1.13% £267,586 ↑ ↑ ↑	98.89% 1.4% £324,827	
CM28a - Number of events (including weddings, meetings, functions) used at Town Hall	Jane Beck	Cllr. B Coleman	52	45 ↓	44	
CM29 - Planning applications: a) Major applications determined within 13 weeks b) Minor applications determined within 8 weeks c) Other applications determined within 8 weeks	Jane Beck	Cllr. B Coleman	No applications 34.9% 43.7%	50% 40.3% 44.9% ↓ ↓ ↓	57.1% 44% 46%	
CM31 - Percentage of Land Charges search returns sent within 10 working days.	Jane Beck	Cllr. B Coleman	87.53%	90.11% ↓	97%	
CM32 - Average Time to Re-let Local Authority Housing	Robert Read	Cllr. P Carpenter	41 days	53 days ↑	59	
CM33 - Time taken for Housing Options to match property	Robert Read	Cllr. P Carpenter	11 days	15 days ↑	30 days	
CM34 - Contact centre telephone calls: Percentage of Contact Centre calls answered as a % of all calls offered	Jane Beck	Cllr. H Thirtle	55%	60% ↓	74.52%	
CM35 - Building Control: The percentage of building regulation applications where a decision notice is issued within the eight week statutory period.	Jane Beck	Cllr. B Coleman	92.4%	94.5% ↑	New measure	

Key	
Trend/Status	
	 Improving/on track
	 No Change/within tolerance and/or projected range
	 Action required/monitoring






Subject: **Corporate Measures**

Information to: **Cabinet Briefing Session (CBS) – 23 March 2016**
Cabinet – 4 April 2016
Scrutiny – 7 April 2016

The following refers to corporate measures for 2015/16. It summarises performance in the first 9 months of 2015/16 (1st April to 31st December inclusive).

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
CM09a	Average time to assess Housing & Council Tax: Benefit new claims	2014/15	26 days	26 days	22 days	22 days	Year to date, cumulative	↖
	Corporate Priority: Protecting and supporting vulnerable people.	2015/16	21 days	20 days	19 days			
Commentary: Workloads and overall caseloads remain stable and average processing times for new claims has reduced by a further day as at the end of this quarter.								
CM09b	Average time to assess Housing & Council Tax: Change in circumstances	2014/15	12 days	12 days	11 days	11 days	Year to date, cumulative	↗
	Corporate Priority: Protecting and supporting vulnerable people.	2015/16	23 days	19 days	16 days			
Commentary: Average time to process changes in circumstances continues to fall following the adverse impact of an issue with ATLAS records in Quarter 1.								
CM14	No. of households in temporary accommodation	2014/15	95	105	95	90	Snapshot at 31/12/15	↖
	Corporate Priority: Protecting and supporting vulnerable people.	2015/16	84	73	59			




Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
Commentary: The numbers in temporary accommodation are falling in line with the temporary accommodation reduction plan. The final leased flats will return to the freeholder in 2016/17, reducing overall costs for the Council.								
CM15	Number of a) Homeless acceptances b) Homeless preventions	2014/15	a) 43 b) 86	a)34 b)60	a) 38 b) 72	a) 155 b) 264 (Year-end)	Quarterly	 
		2015/16	a) 30 b) 48	a) 19 b) 24	a) 30 b) 27			
Commentary: Both the acceptances and preventions continue to reduce year on year. The fall in homeless preventions reflect our robust approach to the use of deposits to secure private sector accommodation, limiting availability to applicants in need that are unable to be assisted in the public sector.								
CM16	a) Number of Social housing applicants in allocation pool b) Number of Social housing new applicants awaiting assessment Corporate Priority: Protecting and supporting vulnerable people.	2014/15	a) 357 b) 441	a) 367 b) 431	a) 264 b) 380	a) 325 b) 429	Snapshot at 31/12/15	 
		2015/16	a) 308 b) 420	a) 284 b) 467	a) 224 b) 505			
Commentary: There has been a steady reduction in the numbers in the allocation pool, with a corresponding rise in cases awaiting assessment. Analyses of pool numbers indicate that there are sufficient numbers in in each bedroom size category to occupy vacant properties. New procedures have been implemented and targets set via the Personal Development Review (PDR) process to reduce assessment times.								
CM18	No. of empty homes brought back into use Corporate Priority: Creating and engaging with healthy, vibrant communities.	2014/15	112	126	80	438 (Year-end)	Quarterly	
		2015/16	81	167	76			

Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
Commentary: The figure above is open to change as people occupying properties will sometimes not inform us until much later and therefore missing the reporting window.								
CM19	Total tonnage of waste recycled	2014/15	2,578.50	5,229.58	7,893.26	10,451.38	Year to date, cumulative	⬆️
	Corporate Priority: Creating and engaging with healthy, vibrant communities.	2015/16	3,042.05	6,201.98	9,007.90			
Commentary: A continued increase is being seen as a result of residents being able to recycle extra materials in their recycling bins and the take-up of the garden waste service.								
CM21	Tonnage of garden waste recycled	2014/15	611.96	1,275.02	1,739.78	2,022.1	Year to date, cumulative	⬆️
	Corporate Priority: Creating and engaging with healthy, vibrant communities.	2015/16	826.54	1,702.92	2,282.98			
Commentary: Continued promotion around the garden waste ban in resident's residual bins is resulting in a steady rise of residents signing up to the garden waste service.								
CM22	Collection rates NNDR	2014/15	27.9%	57.3%	83%	97.7%	Year to date, cumulative	⬆️
	Corporate Priority: Being an enterprising and ambitious Council.	2015/16	28.7%	56%	83.4%			
Commentary: Business Rates collection is up by 0.4% compared to last year; this is encouraging as more businesses opted to pay by 12 instalments this year rather than 10 instalments which have had an impact on collection.								
CM23	Collection rates Council Tax	2014/15	30.2%	57.4%	85.5%	96.5%	Year to date, cumulative	⬆️
	Corporate Priority: Being an enterprising and ambitious Council.	2015/16	29.8%	56.5%	83.9%			
Commentary: Council Tax is down by 1.6%. However 0.9% of this is due to more Council Tax payers opting to pay this year by 12 months rather than 10 months which changes the collection profile from previous years. There had been a delay in actioning liability orders following court (to set up arrangements to pay and attachment of earnings/benefits and to send debts to the bailiffs) due to volumes of work and resource								

Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
issues, which has had an effect of collection rates. This work is now up to date but it will have an impact on the end of year collection rate, although performance is expected to improve on the quarter 3 difference of 1.6%.								
CM24	Sickness absence rates: The percentage of working hours lost due to sickness absence. Corporate Priority: Being an enterprising and ambitious Council.	2014/15	3.51%	3.72%	3.83%	3.93%	Year to date, cumulative	
		2015/16	4.65%	4.76%	4.84%			
Commentary: This is significantly higher than quarter 3 of 2014/15. This is largely due to serious long term absence rather than increased short term absences. HR Officers are currently working with Group Managers to discuss sickness management within their groups.								
CM25	Great Yarmouth Community Housing: a) GYCH rent collection rate b) Arrears as a % of rent roll c) Arrears £ value Corporate Priority: Being an enterprising and ambitious Council.	2014/15	a) 95.9% b) 1.42% c) £328,212	a) 98.17% b) 1.36% c) £316,060	a) 98.89% b) 1.4% c) £324,827	a) 99.55% b) 1.37% c) £317,835	Year to date, cumulative	
		2015/16	a) 95.21% b) 1.4% c) £333,849	a) 98.23% b) 1.25% c) £325,620	a) 99.14% b) 1.13% c) £267,586			
Commentary: Performance in rent collection has been excellent, particularly taking into account welfare reform. The team are preparing for the introduction of Universal Credit later in 2016 and further welfare reform that will produce fresh challenges.								
CM28a	Number of events (including weddings, meetings, functions) used at Town Hall Corporate Priority: Being an enterprising and ambitious Council.	2014/15	46	63	44	190 (Year end)	Quarterly	
		2015/16	41	52	45			
Commentary: The number of events held during the 3 rd quarter is slightly up on the same period in 2014/15. By category the events between October and December 2015 were: Wedding Ceremonies 13; Conferences/Seminars 3; Business Breakfast 13; Internal events 12; Dinner								

Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
Dances 4.								
CM29	Planning applications: a) Major applications determined within 13 weeks b) Minor applications determined within 8 weeks c) Other applications determined within 8 weeks Corporate Priority: Promoting economic growth and job creation.	2014/15	a) 50% b) 28.3% c) 31.3%	a) 62.5% b) 33% c) 44%	a) 57.1% b) 44% c) 46%	a) 62.5% b) 45% c) 54%	Year to date, cumulative	→ → →
		2015/16	a) No applications b) 63% c) 50.9%	a) No applications b) 34.9% c) 43.7%	a) 50% b) 40.3% c) 44.9%			
Commentary: During the 2 nd quarter staff shortages, sickness and new IT teething problems have had an impacted upon performance. Performance has improved during the 3 rd quarter and the actual figure for quarter 3 for minor applications were 48.14% and 'other' applications 47.67%.								
CM31	Percentage of Land Charges search returns sent within 10 working days. Corporate Priority: Promoting economic growth and job creation.	2014/15	97.39%	96.99%	97%	96.31%	Year to date, cumulative	→
		2015/16	91.15%	87.53%	90.11%			
Commentary: The small team has had teething problems with the new IT system and along with staff vacancies and sickness has had an								

Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
impact on performance throughout the year. The actual 3 rd quarter outturn for this measure was 95.25%.								
CM32	Average Time to Re-let Local Authority Housing	2014/15	65 days	63 days	59 days	57 days	Year to date, cumulative	↖
	Corporate Priority: Creating and engaging with healthy, vibrant communities.	2015/16	37 days	41 days	53 days			
Commentary: 15 Long term voids were let in Quarter 3 which has led to this rise in the average void time. The number of long term void properties has significantly reduced which will lead to lower average void times from Quarter 4. We have calculated the average void times for all properties becoming void this financial year as 44 days for all voids and 42 days for minor voids. This demonstrates that the direction of travel is a reduction in void times.								
CM33	Time taken for Housing Options to match property	2014/15	30 days	25.7 days	30 days	29 days	Year to date, cumulative	↖
	Corporate Priority: Creating and engaging with healthy, vibrant communities.	2015/16	8.72 days	11 days	15 days			
Commentary: 15 Long term voids were let in Quarter 3 which has led to this rise in the average nomination time. The number of long term void properties has significantly reduced which will lead to lower average void times from Quarter 4.								
CM34	Contact centre telephone calls: Percentage of Contact Centre calls answered as a % of all calls offered	2014/15	70.81%	75.66%	74.52%	73%	Year to date, cumulative	↗
	Corporate Priority: Being an enterprising and ambitious Council	2015/16	54%	55%	60%			

Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Ref	Description		Quarter 1	Quarter 2	Quarter 3	Quarter 4	Frequency	Trend
Commentary: The year to date service level performance has increased at the end of Quarter 3, but more significantly since the additional staff resource performance for Quarter 3 (October to December) has improved to 71%.								
CM35b	Building Control: The percentage of building regulation applications where a decision notice is issued within the eight week statutory period.	2014/15	New measure				Year to date, cumulative	N/A
	Corporate Priority: Promoting economic growth and job creation.	2015/16	100%	92.4%	94.5%			
	Commentary: Cumulative total for the year to date is 94.5% but performance of 100% was achieved over the last Quarter							

Key to Trend 'Arrows'

The arrows reflect current quarter's performance trends compared to same period in 2014/15, if available.



Trend – measures current quarter's performance against performance over same period in 2014/15, if available.

Appendix 1 - Planning Performance

Planning performance has declined in the past two years in part due to vacant posts, sickness and IT teething problems. A new Planning Assistant was recruited last June but returned to his old authority lured by an improved recruitment package towards the end of last year. The post remains vacant following a poor response to the advertised post. The post is to be re-advertised following further discussion with HR on the method. In terms of application numbers these have remained steady with an increase in the number of major residential applications.

It is clear that performance improves when posts are filled but in comparison to earlier years we still fall short of the higher standards achieved.

The performance figures as reported are purely based on the period of the determination 8 weeks or 13 weeks. What the figures do not reflect is the fact that on many applications, extensions of determination period have been agreed with applicants in order to reach a satisfactory outcome for an application where possible rather than refuse the application. This is in accordance with the provisions of the Town and Country Planning Act and is recognised by the Government to whom we report on a quarterly basis for statistical returns.

In addition in terms of registration and validation of applications we adhere rigidly to the guidance in the Town and County Planning Management Procedures with no manipulation of time scales.

Speed of Decision

Section 62A of the Town and Country Planning Act 1990 allows certain applications to be made directly to the Secretary of State where the local planning authority for the area has been designated for this purpose.

A 'designated' authority is one which has been identified by the Secretary of State as not adequately performing their function of determining major planning applications¹. As a consequence, applicants may choose to submit applications, for major development, directly to the Secretary of State through the Planning Inspectorate.

The Government considers 'Timely and well-considered decisions on planning applications are a key part of delivering an effective planning service'. The Government in June 2013 set out two separate and independent measures against which the performance of local planning authorities would be assessed:

- 1) the speed with which applications for major development are dealt with and
- 2) the extent to which such decisions are overturned at appeal (as an indicator of the quality of the decisions made by local planning authorities)

The threshold for designation was set at 30% or fewer of an authority's decisions made within the statutory determination period (or such extended period as has been agreed in writing with the applicant); for the quality measure the threshold was set at 20% or more of an authority's decisions on applications for major development being overturned at appeal. In 2014 the threshold was raised to 40% applications determined followed by 50% last July. The % determined is over a rolling two year period.

At present we remain above those thresholds for designation on both accounts with 55.5% applications determined over 2 year period – this without applying the agreed extensions of time applied – and 100% of major application appeals dismissed. .

The challenge for us is that in February this year again to improve planning performance the Government is consulting on reducing the appeals threshold to 10% on major applications and introducing a threshold on determination of both minor and other applications. The threshold that is being proposed is failure to determine at least 60-70 per cent of applications for non-major development on time, again over a rolling two year assessment period.

In terms of appeals where authorities have had more than 10-20 per cent of their decisions on applications for non-major development overturned at appeal, they would also be a risk of designation.

Measured against these thresholds for non - major applications we would currently be at risk of designation on both accounts based on the figures as presented in the report.

At present, prior to any initial designations, the Housing and Planning Bill will need to be enacted, regulations made and the criteria for designation laid before Parliament. The earliest that the first designations would be made is therefore the final calendar quarter of 2016. Therefore it is imperative that in order to avoid designation we both improve performance in all areas and ensure that agreed extensions of time in determining applications are properly recorded and are shown in statistical returns.

Appendix 2 – Sickness Absence

Absence between April to December 2015 (Quarters 1-3) is reported as 4.84% which equates to 9.77 days per full time equivalent (FTE). 17% of the absence was due to long term sickness (11 staff with over 28 days) and 83% due to short term absence. Long term sickness is normally case managed with Human Resources.

Between April to December 2015, 197 staff were absent and the main reasons for absence were:

- Stress related (non-work)
- Stomach problems
- Muscular
- Mental Health
- Colds
- Hospital appointments/tests

HR Officers continue to work with Group Managers to discuss sickness management within their groups. A report went to EMT in October 2015 with proposed changes to the Attendance & Health Policy and recommendations to better manage and reduce sickness absence. The actions listed below will help to address those issues.

Moving forward:

To ensure that absence is managed in a consistent and timely manner, the following activities are scheduled to be carried out:-

- Review of the absence policy
- Training for managers on the absence policy/procedure, management of absence both long and short term
- Updating absence paperwork ensuring return to work interviews take place for each incident of absence
- Training for managers on managing change within their teams including stress management and intervention
- Regular absence information will be reported to the Group Managers and EMT

Subject: Whistleblowing Policy, Anti Fraud, Corruption and Bribery Policy and Anti-Money Laundering Policy - Updates

Report to: Cabinet, 4th April 2016

Report by: Internal Audit Consortium Manager / Corporate Risk Officer

SUBJECT MATTER/RECOMMENDATIONS

This report contains the revised Whistleblowing Policy, Anti Fraud, Corruption, Bribery Policy and Anti-Money Laundering Policy.

It is recommended that Cabinet:

- Note the changes to the Whistleblowing Policy and confirm their endorsement of the Policy.
- Note the change to the Anti Fraud, Corruption and Bribery Policy and confirm their endorsement of the Policy.
- Note the changes to the Anti-Money Laundering Policy and confirm their endorsement of the Policy.

1. Introduction

- 1.1. Cabinet are asked to review the Whistleblowing Policy, the Anti Fraud, Corruption and Bribery Policy and the Anti-Money Laundering Policy together due to the intrinsic links between the three documents.

2. Background

- 2.1. Great Yarmouth Borough Council has had a Whistleblowing Policy for a number of years, with the latest revision being approved in March 2013. The Policy sets out that the Council is keen to encourage staff, councillors, partner bodies and members of the public to raise concerns that they have, in the knowledge that the Council will aim to ensure that they face no reprisal or victimisation as a result of taking such action
- 2.2. Likewise the Anti Fraud, Corruption and Bribery Policy has been in place for a number of years, with the latest revision also being approved in April 2014. The Strategy sets out the Council's commitment to a zero tolerance attitude towards fraud, corruption and bribery.
- 2.3. The Anti-Money Laundering Policy has also been in place since March 2014. The Policy clarify how suspicions of money laundering activities should be disclosed within the organisation, and where appropriate, how such matters should be in accordance with legislative and regulatory requirements.

3. Current Position / Findings

- 3.1. The Whistleblowing Policy, the Anti Fraud, Corruption and Bribery Policy and the Anti-Money Laundering Policy have been reviewed to ensure that best practice continues to be followed, have been consulted upon with Executive Management Team and has also been compared to other Council's arrangements.
- 3.2. It was reported to Audit & Risk Committee on 2nd February 2016 that the Council has had no whistleblowing cases reported under the Whistleblowing Policy, however there has been 3 whistleblowing cases, 2 of which are now finalised and one is ongoing. The consequences of the failure to act should issues be reported can be significant; the Council has a duty to respond to matters that are in the public interest and to protect its employees.
- 3.3. The Audit and risk Committee, on 2nd February 2016, noted the changes to the Whistleblowing Policy, Anti fraud, Bribery and Corruption Policy and Anti Money Laundering Policy and endorsed sending these policies to council for approval.

4. Proposals

- 4.1. The revised Whistleblowing Policy is attached at **Appendix 1** to this report. The Policy has remained similar in terms of scope and coverage, with the main changes being updates in relation to responsible officers. The opportunity has also been taken to ensure that the Policy reflects the responsibilities of the Internal Audit Consortium Manager and the Monitoring Officer, with the lead for this Policy and making staff aware of the requirements through training and publicising initiatives now being the Internal Audit Consortium Manager.
- 4.2. The revised Anti Fraud, Corruption and Bribery Policy is attached at **Appendix 2** to this report. Likewise the Policy remains similar in terms of scope and coverage, with the main changes being updates to the responsible officers and clarification of the role of the Internal Audit Consortium Manager and the Monitoring Officer.
- 4.3. The revised Anti-Money Laundering Policy is attached at **Appendix 3** to this report. The Policy has been updated to reflect updates to relevant staff and changes in legislation / Acts, but the procedures remain the same.
- 4.4. Following acceptance and endorsement of these policies the Internal Audit Consortium Manager will organise learning hours for the Council.

FINANCIAL IMPLICATIONS: safeguarding the Council's assets and the Public Purse

LEGAL IMPLICATIONS: ensure that the Council is discharging its duties under the legal framework and following best practice
--

EXECUTIVE BOARD OR DIRECTOR CONSULTATION: EMT consulted
--

RECOMMENDATIONS:

4.5. It is recommended that Cabinet:

- Note the changes to the Whistleblowing Policy and confirm their endorsement of the Policy.
- Note the change to the Anti Fraud, Corruption and Bribery Policy and confirm their endorsement of the Policy.
- Note the changes to the Anti-Money Laundering Policy and confirm their endorsement of the Policy.

Does this report raise any legal, financial, sustainability, equality, Crime and Disorder or Human Rights issues and, if so, have they been considered?	Issues	
	Legal	Yes - ensure that the Council is discharging its duties under the legal framework and following best practice
	Financial	Yes - safeguarding the Council's assets and the Public Purse and ensuring that concerns relating to the environment are raised appropriately and that those concerns are responded to in order to minimise any potential impact
	Risk	Yes - there are significant risks posed to the Council if people cannot safely raise concerns, and if the Council fails to respond to those concerns in an appropriate manner.
	Sustainability	No
	Crime and Disorder	Yes - ensuring that concerns relating to criminal activity are raised appropriately and that those concerns are responded to in order to minimise any potential losses.
	Human Rights	No
	Every Child Matters	No
	Equality	Yes - ensuring that the Council does not victimise or discriminate against any employee who raises concerns within the organisation.
	EqIA Form completed	No

Appendix 1 – Whistleblowing Policy

Appendix 2 – Anti Fraud, Corruption and Bribery Policy

Appendix 3 – Anti-Money Laundering Policy

Appendix 1



WHISTLEBLOWING POLICY

Author	Corporate Risk Officer
Date	January 2016
Document Status	Final Version 2.1

GREAT YARMOUTH BOROUGH COUNCIL

WHISTLEBLOWING POLICY

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Appendix 5 – Whistleblowing Form

This policy will be subject to regular review with any significant variations leading to re-presentation of the Policy.

The Whistleblowing Policy

THIS POLICY SHOULD BE READ IN CONJUNCTION WITH THE COUNCIL'S DISCIPLINARY POLICY AND PROCEDURES, STAFF AND MEMBER CODES OF CONDUCT.

INTRODUCTION TO THE POLICY

- **What is Whistleblowing?**

1.1 Whistleblowing is the raising of a significant concern. These concerns may cover issues of injustice, malpractice or serious wrong doing within the Council. This policy is designed to ensure that people know how to raise a genuine concern and can do so in the knowledge that they will not face reprisal for their action.

1.2 Public Concern at Work (a charity which provides independent advice and information on whistleblowing) draws the following distinction between whistleblowing and pursuing a complaint:

"When someone blows the whistle they are raising a concern about danger or illegality that affects others (e.g. customers, members of the public, or their employer). The person blowing the whistle is usually not directly, personally affected by the danger or illegality. Consequently, the whistleblower rarely has a personal interest in the outcome of any investigation into their concern - they are simply trying to alert others. For this reason, the whistleblower should not be expected to prove the malpractice. He or she is a messenger raising a concern so that others can address it."

What is the purpose of the Whistleblowing Policy

2.1 Employees, councilors and others who deal with the Council may be the first to realise that there could be an injustice, malpractice or serious wrongdoing within the Council. However, you may feel that speaking up would be disloyal to your colleagues or to the Council. You might be concerned that your suspicions are unjustified or might turn out to be so after enquiry. You may also be worried that you or someone else might be victimised or harassed or you are unclear with whom to raise your concern. In these circumstances it may be easier to ignore the concern rather than report your suspicions but this would be wrong.

2.2 Members of the public may also have concerns, but be unsure how and when to express them.

2.3 The Council has produced this Whistleblowing Policy to help:

- Councilor's;
- Employees (including temporary and agency staff);
- Other with whom the Council has dealings (e.g. contractors, partners, suppliers and voluntary organisations); and
- Helping members of the public understand how and when to contact the Council with their concerns.

2.4 It is also expected that contractors will be required to have their own whistleblowing policies and arrangements established in accordance with the thresholds set in the Council's contract conditions through the tendering process. Where a contractor does not have its own policy, it is expected that the principles and arrangements of the Council's policy and associated procedures apply.

2.5 The Council is committed to the highest possible standards of openness, honesty, integrity and accountability. We expect employees, councillors, suppliers, agency staff and contractors who have serious concerns about any aspect of the Council's work to come forward and voice those concerns. It takes all inappropriate behaviour very seriously and is committed to investigating any genuine concerns raised.

- 2.6 The purpose of this Policy is to make it clear that you can raise your concerns in confidence without fear of victimisation, subsequent discrimination or disadvantage. The Council encourages you to raise serious concerns in the first instance within the Council rather than overlooking a problem or 'blowing the whistle' publicly, and we would rather that you raised the matter when it is just a concern rather than waiting for proof.

AIMS AND SCOPE OF THE POLICY

3 What is the aim and scope of the Policy

- 3.1 This policy aims to:
- encourage you to feel confident in raising serious or sensitive concerns about inappropriate behaviour and to question and act upon concerns;
 - provide avenues for you to raise those concerns and receive feedback on any action taken;
 - ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied;
 - reassure you that you will be protected from possible reprisals or victimisation if you have a reasonable belief that you have raised any concern in good faith.
- 3.2 The Public Interest Disclosure Act 1998, as amended by the Enterprise and Regulatory Reform Act 2013 Sections 17 – 20 outlines that a "protected" disclosure of a concern is one which demonstrates one or more of the following:
- that a criminal offence has been committed, is being committed or is likely to be committed,
 - that a person has failed, is failing or is likely to fail to comply with a legal obligation
 - that a miscarriage of justice has occurred, is occurring or is likely to occur
 - that the health and safety of any individual has been, is being or is likely to be endangered
 - that the environment has been, is being or is likely to be damaged
 - that information relating to any of the above has been or is likely to be deliberately concealed
- 3.3 Beyond the legal context above, the Council would encourage employees, members of the public, and any other interested parties to raise any significant concerns that they may have, as soon as they are reasonably aware of them. These concerns could be about any aspects of the Council's activities, e.g. with reference to Council employees, Members of suppliers acting on behalf of the Council, and relate to issues that are either occurring now or are likely to happen in the future.
- 3.4 It should be emphasised that this Policy is intended to assist individuals who have discovered malpractice or serious wrongdoing, provided they make the disclosure in accordance with the Policy. Individuals who make disclosures outside the arrangements set out here will not be protected under this Policy and may not be protected under the Act.
- 3.5 The Council has a number of other policies and procedures to address other matters, for example:
- Employees complaints about their terms and conditions of employment, These matters are dealt with through the Grievance Policy and Procedure.
 - Instances of bullying and harassment of Council's employees are dealt with through the Anti Harassment Policy.
 - Complaints from Members of the public about the Council's services. These are dealt with through the Council's Complaints Policy.
 - Concerns with reference to members, should be referred to the Monitoring Officer.

- 3.6 The Policy is not designed to question financial or business decisions taken by the Council nor may it be used to reconsider any matters that have already been addressed under the harassment, grievance, disciplinary or complaints procedures.

SAFEGUARDS

4 Protecting the Whistleblower

- 4.1 The Council is committed to good practice and high standards and wants to be supportive of employees and others who work for the Council.
- 4.2 In accordance with the Public Interest Disclosure Act 1998, the Council undertakes to protect, as best it can, an employee who blows the whistle from personal claims, victimisation, harassment or bullying as a result of his or her disclosures. This assurance is not extended to someone who maliciously raises a matter they know are untrue; such instances will be subject to the Council's disciplinary procedure.
- 4.3 All concerns will be treated in confidence and every effort will be made not to reveal your identity if you so wish, unless we are required to by law or as a result of our enquiries results in a criminal investigation in which the whistleblower might be required as a witness. Whistleblowers should be aware, however, that the fact that enquiries are being made may result in their identity becoming known. Where possible, the Council will make you aware if your identity is likely to be compromised through investigation.
- 4.4 All these matters will be explained at the time you raise your concern so you can decide whether or not to proceed. The Council will also keep the whistleblower informed if the situation significantly changes.
- 4.5 The Council will not tolerate any harassment or victimisation (including informal pressures) and will take appropriate action to protect you when you raise a concern in good faith, even if you are genuinely mistaken in your concerns. Any harassment or victimisation of a whistleblower may result in disciplinary action against the person responsible for the harassment or victimisation.
- 4.6 Any investigations into allegations arising from your whistleblowing will not influence or be influenced by any other personnel procedures to which you may be subject.

5 Anonymous Allegations

- 5.1 This policy encourages you to put your name to your allegation whenever possible. The Council will do all it can to protect the whistleblower. Concerns raised anonymously tend to be far less effective and if, for example, the Council does not have enough information, it may not be able to investigate the matter at all. Also, from a practical point of view, it is impossible to provide protection to a person whose identity is unknown and more difficult to judge whether the concern is made in good faith or maliciously.
- 5.2 If whistleblowers feel that they cannot give their name, the Council will make a judgment on whether or not to consider the matter depending on such things as:
- the seriousness of the issues raised;
 - the quality of any documentary evidence submitted with the allegation;
 - the credibility of the concern; and
 - whether the Council can carry out a robust investigation based in the information provided to confirm the validity of the original allegation made.

6 Assurances to Third Parties

- 6.1 The assurances provided to employees raising concerns set out in section 4 above cannot be given in the same way to third parties. For example, the Council cannot guarantee protection to employees of third party (contractor) organisations. However, we expect that all contractors are aware of the Council's whistleblowing procedures, and act in accordance with these.

- 6.2 Further, with regard to members of the Public, whilst they are not afforded statutory protection in the same way as employees, the Council is committed to treating all citizens fairly. Raising a concern under this policy will not affect the rights of any council citizens.

7 Untrue Allegations

- 7.1 If a whistleblower makes an allegation which they believe is true, but it is not confirmed by an investigation, the Council will not take any action against them.
- 7.2 However, if a whistleblower makes a deliberately false or malicious allegation which they know is untrue, the Council will take appropriate disciplinary or legal action against them. Allegations of this nature are not protected by the Public Interest Disclosure Act 1998.

HOW TO RAISE A CONCERN

8 Guidance for Members of the Public, Contractors, Councillors and Partners

- 8.1 Members of the Public, Contractors, Councillors and those involved with partner organisation who suspect a Council Employee, another Councillor, Organisational Partners or other Contractors (in their dealings with the Council) of fraud or serious malpractice should contact one of the following:
- Chief Executive
 - Monitoring Officer
 - Internal Audit Consortium Manager
- 8.2 If your concern relates to the Chief Executive, this should be raised with the Leader of the Council (or the Deputy Leader of the Council if the Leader is unavailable) or Ernst Young as the Council's External Auditors. Conversely, if your concern relates to the Monitoring Officer, or the Internal Audit Consortium Manager, this should be referred to the Chief Executive.

All contact details are included within Appendix 1 of this policy.

9 Guidance for Employees

- 9.1 As a first step you should normally raise concerns with your Manager Director. Guidance to Employees on how to process is contained in the document "**Checklist for employees – How to react to inappropriate behaviour**" - see **Appendix 2**.
- 9.2 Whistleblowers should not attempt to investigate any concern themselves, but raise their concern using one of the avenues shown below.
- 9.3 Guidance to managers on how to deal with a concern is contained in the document "**Guidance for Managers – How to react to concerns of inappropriate behaviour**" – see **Appendix 3**.
- 9.4 If the employee feels that it is inappropriate to raise a concern with their Manager or Director given the person involved and / or the seriousness or sensitivity of the matter contact should be made with one of the following officers:
- Chief Executive
 - Monitoring Officer
 - Internal Audit Consortium Manager

These officers can also provide advice and guidance on how concerns may be pursued.

- 9.5 If your concern relates to the Chief Executive, this should be raised with the Leader of the Council (or the Deputy Leader of the Council if the Leader is unavailable) or Ernst Young as the Council's External Auditors. Conversely, if your concern relates to the Monitoring Officer or the Internal Audit Consortium Manager, this should be referred to the Chief Executive.
- 9.6 The Council encourages you to identify yourself when raising your concerns, but if you wish you may remain anonymous.

- 9.7 Whistleblowers are encouraged to raise concerns promptly, giving as much information as possible, such as relevant background, names, dates, places and the reason for their concern. In addition any evidence to support the concern / suspicion should be attached. Appendix 5 to these procedures provides a form that can be utilised as a starting point. However, concerns can be raised by telephone or by meeting the appropriate officer. The earlier a concern is raised, the greater the likelihood that an appropriate intervention may be made, to minimise the risk, impact or continuation of the concern in question.
- 9.8 Although you are not expected to provide proof of your concern, you will need to demonstrate to the person contacted that there are reasonable grounds for your concern. If however you make an allegation frivolously, maliciously or for personal gain disciplinary action may be taken against you.
- 9.9 Any whistleblower will be asked to declare any personal interest they may have in the concern being raised.
- 9.10 In matters concerning the health, safety and welfare of those on our premises (whether members of staff, contractors or visitors) anyone, including an elected safety representative, who becomes aware of a hazard (actual or potential) or dangerous occurrence should immediately notify the Health and Safety Advisor (Sarah Flatman), before contacting any outside body, to ensure that immediate action can be taken if necessary to deal with the hazard. Contact can be made by telephone, email or the sending of a written report as appropriate to the situation.

10 Sources for support for the Whistleblower

- 10.1 People who do not work for the Council might want to discuss their concern with a friend or colleague first. You may then find it easier to raise a concern if others share the same experiences or concerns.
- 10.2 The Council recognises that employees may wish to seek advice and be represented by their trade union representative when raising a concern under the policy, and acknowledges and endorses the role trade union representatives play in this respect. This could be useful, particularly if the employee wishes to remain anonymous, to the extent that is possible. Trade union representatives acting in accordance with the Policy and Procedure will not suffer detriment in their employment with the Council. You may invite your trade union, professional association representative or a friend to be present during any meetings or interviews in connection with the concerns you have raised. Any meeting that need to be arranged with you can be held off-site if you wish.
- 10.3 The Council further welcomes any member of staff to consult with Public Concern at Work if they are not sure about whistleblowing. Public Concern at Work are an independent charity who provide free confidential support and advice to whistleblowers through a telephone helpline and the internet who wish to express concerns about fraud or other serious malpractice. Further details for Public Concern at Work are included in **Appendix 1**. In addition a summary regarding the remit of the Public Concern at Work is included at **Appendix 2**.

11 Withdrawing your allegation

- 11.1 You have the right to withdraw any allegation previously made under this policy and procedure. You should think very carefully before taking this course of action, bearing in mind an investigation may have started and you may need to explain this change in decision.
- 11.2 If it is considered appropriate, despite the complainant withdrawing the allegation, the investigation may continue if it is deemed necessary.

12 HOW THE COUNCIL WILL RESPOND

- 12.1 The Whistleblowing Evaluation Panel will be convened as soon as possible. The Panel comprises the Chief Executive Officer, the Monitoring Officer and the Internal Audit Consortium Manager, or their nominated deputies. In the event of the long-term absence of any of these individuals, or a post being vacant, then any two of the three members of the Panel can act as the full Panel.
- 12.2 Whether the concern is made by an employee, member of the public, contractor, Councillor or partner an impartial person will be appointed to investigate your concern and you will be informed who this is. Confidentiality will be maintained in accordance with section 5 of the Whistleblowing Policy.
- 12.3 In order to protect individuals and those accused of misdeeds or possible malpractice, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. The overriding principle which the Council will have in mind is the public interest. Concerns or allegations which fall within the scope of specific procedures (for example, harassment or discrimination issues) will normally be referred for consideration under those procedures.
- 12.4 Following initial investigations the Council will respond to your concerns as appropriate as establish whether or not:
- Your concerns should be considered under this policy;
 - Your concerns can be allayed satisfactorily without having to invoke a formal investigation;
 - No further investigation is necessary;
 - Your concerns may be resolved by other mechanisms or action e.g. mediation, training or review; or
 - There is sufficient substance behind your concerns to trigger an investigation.
- 12.5 Where there is sufficient evidence behind the concerns to trigger an investigation the concern will:
- be investigated by management or internal audit; or
 - be referred to the police; or
 - be referred to the external auditor; or
 - form the subject of an independent inquiry.
- 12.6 Some concerns may be resolved by action agreed with you without the need for investigation. If urgent action is required this will be taken before any investigation is conducted.
- Within ten working days of a concern being raised, the person appointed to investigate your concern will contact you (in a way which does not arouse suspicions in your workplace):acknowledging that the concern has been received;
 - indicating how we propose to deal with the matter;
 - giving an estimate of how long it will take to provide a final response;
 - telling you whether any initial enquires have been made;
 - supplying you with information on staff support mechanisms;
 - advising you of your entitlement to seek advice and representation from your trade union representative;
 - telling you whether further investigations will take place and if not, why not, and
 - to agree with you how to proceed if you have chosen to remain anonymous.
- 12.7 The Council will do what it can to minimise any difficulties, which you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings the Council will arrange for you to receive advice about the procedure and other appropriate support.
- 12.8 Once the person appointed to investigate your concern has completed their investigations, they will produce a written report which sets out:

- the background to the whistleblowing concern;
- the findings of fact and associated evidence;
- the decision and reasons for the decision; and
- the recommendations and associated action plan, if applicable.

12.9 The Council accepts that you need to be assured that the matter has been properly addressed. Subject to legal constraints and any confidentiality or other issues, we will inform you of the outcome of any investigation.

13 Raising Concerns with an External Party

13.1 This policy is intended to provide you with an avenue within the Council to raise concerns. However there may be situations where you are unsure whether or how to raise a concern or you feel it is inappropriate to raise the concern internally, or unable to do so or following investigations by the Council you are not satisfied with the action taken. In these situations, there are a number of other parties to whom you may turn:

- Public Concern at Work
- Ernst and Youngs - External Auditors
- The Local Government Ombudsman
- Norfolk Constabulary
- Serious Fraud Office
- National Crime Agency (NCA)
- The Health and Safety Executive
- The Environment Agency
- Gt Yarmouth Borough Council Whistleblowing Line

Contact details for all parties are included within **Appendix 1**.

13.2 Before consulting an external party, the Council recommends that the whistleblower seeks independent legal advice (disclosures to a legal advisor is protected by law). The law most readily protects disclosures that are seen to be 'reasonable'. i.e. disclosures that are made within the Council or to an appropriate regulator at an early stage. If the matter is taken outside of the Council, the whistleblower should ensure that they do not disclose information about a third party that may be covered by a duty of confidentiality (e.g. commercially sensitive information or personal, private data). It is recognised that potentially the Public Interest Disclosure Act and the Data Protection Act could have some bearing on disclosures, however one statute does not overrule the other and both must be complied with, and thus each case would need to be considered on its individual merits.

13.3 If you do take the matter outside the Council, you should ensure that you do not to disclose confidential information and ensure that you comply with the requirements of the Public Interest Disclosure Act 1998 so that you do not lose the protection of the Act against dismissal or other detriment. Seek advice from the contact point about this.

RESPONSIBILITY FOR WHISTLEBLOWING

14 The Responsible Officer

14.1 The Monitoring Officer has overall responsibility for the maintenance and operation of this Policy. The Monitoring Officer will maintain a record of concerns raised and the outcomes (but in a form which does not endanger your confidentiality) and will report as necessary to the Council. Other Senior Officers support in the Council support the Monitoring Officer in this role, as set out at **Appendix 1**.

14.2 All concerns raised will be handled in line with the Whistleblowing Procedural Guidance, as covered in this Policy.

15 Responsibility for the Whistleblowing Policy

- 15.1 All concerns raised and the outcomes will be reported to the Audit and Risk Committee by the Monitoring Officer, annually in a form that does not endanger confidentiality. However, if no concerns are raised no report will be provided.
- 15.2 This policy is to be reviewed at least every 3 years (or more frequently if required by changes to statutory legislation), by the Monitoring Officer and the following parties will be consulted prior to finalising and submitting the Policy to Cabinet for subsequent approval:
- Senior Council Officers responsible for receiving whistleblowing concerns
 - Executive Management Team
 - Audit and Risk Committee
- 15.3 On an annual basis, **Appendix 1** of the policy, which provides details of the key parties responsible for whistleblowing, shall be reviewed by the Monitoring Officer, Internal Audit Consortium Manager and Corporate Risk Officer to ensure that details remain relevant and up-to-date. This review will not require re-endorsement of the policy.
- 15.4 The Internal Audit Consortium Manager is responsible for making staff aware of the Policies' requirements through training and publicising initiatives.

Contacts for Whistleblowing

Raising concerns internally

Chief Executive	Sheila Oxtoby Sheila.oxtooby@great-yarmouth.gov.uk 01493 846301
Monitoring Officer	David Johnson David.johnson@norfolk.gov.uk (01603) 223736
Internal Audit	Emma Hodds ehodds@s-norfolk.gov.uk 01508 533791

Raising Concerns Externally

Public Concern at Work - www.pcaw.co.uk For support with how to raise concerns, and action to take in relation to all matters of malpractice and / or wrong doing.	3 rd Floor, Bank Chambers 6 – 10 Borough High Street London, SE1 9QQ 020 7404 6609 whistle@pcaw.org.uk
Ernst and Young – External Auditors For issued relating to financial probity and governance.	One Cambridge Business Park Cambridge CB4 0WZ 01223 394400
Norfolk Constabulary www.norfolk.police.uk For all breaches of the law (except as noted below)	Operations and Communications Centre Jubilee House Falconers Chase Wymondham Norfolk, NR18 OWW 0845 456 4567
Serious Fraud Office – www.sfo.gov.uk Fraud and Corruption issues	2-4 Cockspur Street London SW1Y 5BS confidential@sfo.gsi.gov.uk

National Crime Agency For money laundering issues www.nationalcrimeagency.gov.uk	Units 1 - 6 Citadel Place, Tinworth Street, London SE11 5EF 0370 496 7622
The Health and Safety Executive – www.hse.gov.uk	Rosebury Court, 2 nd Floor St Andrews Business Park Norwich Norfolk, NR7 0HS 0845 345 0055
The Environment Agency – www.environment-agency.gov.uk For environmental crimes	National Customer Contact Centre PO Box 544 Rotherham S60 1BY 0800 80 70 60

PUBLIC CONCERN AT WORK

Public Concern at Work (PCaW) is the independent authority on public interest whistleblowing. Established as a charity in 1993 following a series of scandals and disasters, PCaW has played a leading role in putting whistleblowing on the governance agenda and in developing legislation in the UK and abroad. All their work is informed by the free advice they offer to people with whistleblowing dilemmas and the professional support they provide to enlightened organisations.

They have four activities. They:

- offer free, confidential advice to people concerned about crime, danger or wrongdoing at work;
- help organisations to deliver and demonstrate good governance;
- inform public policy; and
- Promote individual responsibility, organisational accountability and the public interest.

They do:

- ✓ advise how to raise concerns
- ✓ explain the public interest
- ✓ separate message from messenger
- ✓ provide an impartial, objective view

They don't

- ✗ duck difficult questions
- ✗ claim we have all the answers
- ✗ litigate or investigate
- ✗ encourage anonymous informing

Whistleblowing dos and don'ts as publicised by Public Concern at Work

Do:

- Keep calm;
- Think about the risks and outcomes before you act
- Remember you are a witness, not a complainant
- Phone us for advice - 020 7404 6609!

Don't:

- Forget there may be an innocent or good explanation
- Become a private detective
- Use a whistleblowing procedure to pursue a personal grievance
- Expect thanks

GUIDANCE FOR EMPLOYEES

HOW TO REACT TO CONCERNS OF INAPPROPRIATE BEHAVIOUR

The action you take when you suspect inappropriate behaviour may have happened, or be about to happen, can be crucial. Inappropriate behaviour is described in the Council's Whistleblowing Policy as:

- Any criminal offence, particularly fraud or corruption
- Disclosures related to a miscarriage of justice
- A failure to comply with a legal obligation
- The endangering of an individual's health and safety
- Unnecessary damage to the environment (for example, by pollution)
- Deliberate concealment of information relating to any of the above.

Following these simple rules should help the Council in carrying out enquiries into any concerns you have.

DO

- ✓ **Make an immediate note of your concerns.**

Note all relevant details, such as what was said in telephone or other conversations, the date, time and the names of any parties involved.

- ✓ **Convey your suspicions to someone with the appropriate authority and experience in accordance with the Council's Whistleblowing Policy.**

- ✓ **Deal with the matter promptly if you feel your concerns are warranted.**

Delay may cause the Council to suffer further financial loss or make further enquiry more difficult.

DON'T

- ✗ **Do nothing.**

- ✗ **Be afraid of raising your concerns.**

You will not suffer any recrimination from the Council as a result of voicing a reasonably held suspicion. The Council will treat the matter sensitively and confidentially, and will take reasonable steps to protect anyone who raises a well intentioned concern.

- ✗ **Approach or accuse any individuals directly.**

- ✗ **Try to investigate the matter yourself.**

There are special rules surrounding the gathering of evidence. Any attempt to gather evidence by people who are unfamiliar with these rules may weaken or destroy any future prosecution should that be thought appropriate.

- ✗ **Convey your suspicions to anyone other than those indicated in the Council's Whistleblowing Policy.**

The Public Interest Disclosure Act 1998 - will protect you from any reprisals as long as you meet the rules set out in the Act. The rules are:

- You must disclose the information in good faith
- You must reasonably believe it to be substantially true
- You must not seek any personal gain

GUIDANCE FOR MANAGERS

HOW TO REACT TO CONCERNS OF INAPPROPRIATE BEHAVIOUR

The action you take when you identify, or are made aware of, suspected inappropriate behaviour can be crucial in determining the success of any subsequent enquiries. Inappropriate behaviour is described in the Council's Whistleblowing Policy as:

- Any criminal offence, particularly fraud or corruption
- Disclosures related to a miscarriage of justice
- A failure to comply with a legal obligation
- The endangering of an individual's health and safety
- Unnecessary damage to the environment (for example, by pollution)
- Deliberate concealment of information relating to any of the above.

Following these simple rules will help to ensure that matters are properly handled.

As a manager you should familiarise yourself with both the Council's Strategy to help fight Fraud and Corruption and its Whistleblowing Policy

DO

✓ **Be responsive to employees' concerns.**

As part of the Council's anti-fraud and corruption culture, you should encourage employees to voice any reasonably held suspicion. As a manager you should treat all employees' concerns seriously and sensitively.

✓ **Note details.**

Get as much information as possible from the employee reporting the suspicion and encourage them to record this in writing. If the employee has made any notes, request access to these

Note any documentary evidence which may exist to support the allegations made, but do not interfere with this evidence in any way.

✓ **Evaluate the allegation objectively**

Before you take the matter further determine whether any suspicions appear to be justified. Be objective when evaluating the issue. Consider the facts as they appear based on information you have to hand.

If in doubt, report your suspicions anyway.

If you consider that no further action is necessary, you should still record your decision and also inform the Head of Internal Audit of the original notification details.

✓ **Advise the appropriate person**

If you feel that a suspicion is justified advise an appropriate officer in accordance with the Council's Whistleblowing Policy

✓ **Deal with the matter promptly if you feel your concerns are warranted.**

Delay may cause the Council to suffer further financial loss or make further enquiry more difficult.

DON'T

✗ Ridicule suspicions raised by employees

The Council cannot operate an effective anti-fraud and corruption culture or Whistleblowing Policy if employees are reluctant to pass on their concerns to management due to fear of ridicule or recrimination.

You need to ensure that all employee concerns are given a fair hearing. You should reassure employees that they will not suffer recrimination by raising any reasonably held suspicion.

✗ Approach or accuse any individuals directly

✗ Convey your suspicions to anyone other than those indicated in the Council's Whistleblowing Policy

✗ Try to investigate the matter yourself

Investigations by employees who are unfamiliar with the requirements of evidence are highly likely to jeopardise a successful outcome. They may also alert the suspect and result in the destruction of evidence.

Your primary responsibility is to report the issue and all associated facts to the appropriate officer, wherever possible.

WHISTLEBLOWING FORM

Please complete this form and email it to:

david.johnson@norfolk.gov.uk
Alternatively this can be sent to:

Monitoring Officer
NP Law, County Hall, Martineau Lane, Norwich, NR1 2DH

Name:

Address or Contact Details:

Best Time to Contact You:

Person Assisting You (e.g. relative, friend, union official)

Address or contact details:

Telephone:

Details of your concern (please continue on a separate sheet if necessary)

Signature: _____ Date: _____

Appendix 2



ANTI FRAUD, CORRUPTION AND BRIBERY POLICY

Author	Corporate Risk Officer
Date	January 2016
Document Status	Final Version 3

GREAT YARMOUTH BOROUGH COUNCIL

ANTI-FRAUD, CORRUPTION AND BRIBERY POLICY

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The Policy will be subject to regular review with any significant variations leading to re-presentation of the Policy.

ANTI-FRAUD, CORRUPTION AND BRIBERY POLICY

INTRODUCTION

1. Why have a Policy?

- 1.1 This policy has been formulated by Great Yarmouth Borough Council to protect itself against fraud, corruption and bribery both within the Borough Council and from outside.
- 1.2 The Council has six key priorities for the Borough, these are:
 - Economic growth
 - Housing
 - Neighbourhoods, Communities and the Environment
 - Tourism, Culture and Heritage
 - Great Yarmouth's Town Centre
 - Transport and Infrastructure
- 1.3 In order to deliver against our priorities, we need to ensure that we minimise losses of fraud, corruption and bribery. For every pound we lose to these activities, there is a pound less we can spend on delivering our priorities. As a public service authority, we have a duty to ensure we promote effective stewardship and value for money in the use of our public funds. Fraud, corruption and bribery reduce the reputation, and confidence, that can be placed in the Council and public services generally.
- 1.4 The Bribery Act 2010 places an expectation that organisations will have appropriate and adequate procedures in place to minimise the risk of bribery occurring. This Policy seeks to reduce this risk, and to outline the Council's anti-bribery approach.

2. Objectives of the Policy

- 2.1 The key objectives of this policy are to:
 - Increase staff and members awareness of the anti fraud culture which the Council actively supports and encourage individuals to promptly report suspicions of fraudulent and corrupt behaviour.
 - Communicate to partners, suppliers, contractors and other organisations that interact with the Council that it expects them to maintain high standards aimed at minimising fraud and corruption in their dealings with the Council.
 - Further embed and support the management of fraud risk within the Council.
 - Demonstrate the arrangements that the Council has in place to counter fraud, corruption and bribery.
 - Minimise the likelihood and extent of losses through fraud and corruption.

3. Statement of Intent / Policy Statement

- 3.1 The Council is determined that the culture and tone of the organisation is one of honesty and opposition to fraud, corruption and bribery.
- 3.2 There is an expectation and requirement that all individuals and organisations associated in whatever capacity with the Council will act with integrity and that Council members and staff, at all levels, will lead by example in these matters.
- 3.3 The Council's staff and elected members are an important element in its stance on fraud, corruption and bribery and are positively encouraged to raise any concerns which they may have on those issues where they are associated with the Council's activity.

They can do this in the knowledge that such concerns will be treated in confidence, properly investigated and fairly dealt with.

4. Definitions and Examples

- 4.1 For the purpose of this policy, fraud, corruption and bribery are defined as follows:

Fraud 'the intentional distortion of financial statements or other records by persons internal or external to the authority which is carried out to conceal the misappropriation of assets or otherwise for gain.'

Corruption 'the offering, giving, soliciting or acceptance of an inducement or reward which may influence the action of any person'

Bribery 'an inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage.'

- 4.2 The legal framework for fraud and corruption is defined by a number of acts. Primarily, the Fraud Act 2006 establishes a criminal liability for fraud through either false representation, failing to disclose information or abuse of a position. Section 17 of the Theft Act 1968 creates an offence of destroying, defacing, concealing or falsifying any account, record or document made, or required, for any accounting purpose. The Bribery Act 2010 makes it an offence to attempt to bribe someone, or receive a bribe, where that may result in improper discharge of a public functions.

- 4.3 Examples of fraud and corruption are:

- Theft of Council property or services
- Evading liability for payment
- False accountancy, including the destruction, concealment or falsification of any account or record, giving misleading, false or deceptive information
- Obtaining property by false pretences
- Misuse of office
- Bribery
- Working while on sick leave
- Falsifying time or mileage sheets, including flex time
- Selling Council equipment inappropriately
- Failure to declare an interest
- Fraudulent tendering process
- Fraudulent property letting
- Accepting any gift or consideration as an inducement for doing or refraining from doing anything in relation to Council business

5. Responsible Officers

- 5.1 There are many stakeholders who have roles and responsibilities in relation to fraud, corruption and bribery; these are noted throughout the Policy.
- 5.2 In particular the Interim Head of Finance and Internal Audit Consortium Manager are responsible for reviewing and updating the Anti-Fraud, Corruption and Bribery Policy, along with making staff aware of the Policy's requirements through training and publication initiatives.

- 5.3 Concerns can be raised in confidence with the knowledge that they will be properly addressed, in line with the Whistleblowing Policy. If necessary, a route other than a line manager may be used, as follows:

Chief Executive	Sheila Oxtoby Sheila.oxtoby@great-yarmouth.gov.uk 01493 846301
Monitoring Officer	Chris Skinner Chris.skinner@norfolk.gov.uk
Internal Audit Consortium Manager	Emma Hodds ehodds@s-norfolk.gov.uk 01508 533791

- 5.4 All concerns raised and the outcomes will be reported to the Audit and Risk Committee, by the Interim Head of Finance annually in a form that does not endanger confidentiality. However, if no concerns are raised no report will be provided.
- 5.5 The Policy is to be reviewed at least every 3 years (or more frequently if required by changes to statutory legislation) and the following parties will be consulted prior to finalising and submitting the policy to Cabinet for subsequent approval:
- Senior Council Officers
 - Executive Management Team
 - Audit and Risk Committee
- 5.6 On an annual basis the details of the responsible officers shall be reviewed by the Internal Audit Consortium Manager and Corporate Risk Officer to ensure that details remain relevant and up to date. This review will not require re-endorsement of the policy.

PREVENTION AND DETERRENCE

6. Corporate Framework

- 6.1 The Council has a number of policies, procedures and guidance that are designed to support this policy in countering, and preventing fraud occurring. These policies take account of legislation and expected standards in public life. Such documents include:
- The Codes of Conduct for Members and Employees;
 - The Council Constitution;
 - Disciplinary Procedures;
 - Complaints Procedures;
 - Whistleblowing Policy;
 - Anti-Money Laundering Policy;
 - Register of Interests, Gifts and Hospitality.

7 Cultural Framework

- 7.1 The Council is determined to promote a culture of honesty, integrity and opposition to fraud, corruption and bribery. The prevention and detection of this is the responsibility of all. To deliver this the Council will:
- Accurately identify the risk of fraud
 - Create and maintain a strong counter fraud culture

- Take action to deter, prevent and detect fraud, investigate and apply sanctions and seek redress where fraud is proven
 - Record and report our outcomes to the Audit and Risk Committee
- 7.2 To this end, the Council has adopted the Seven Principles of Public Life (the Nolan Principles) that encourage Council members and officers to operate with selflessness, integrity, objectivity, accountability, openness, honesty and leadership. Further details in respect of the principles are included within the Council's Constitution and Code of Conduct for Members and Employees.
- 7.3 The Council has adopted a Whistleblowing Policy, which encourages employees, members and other parties to raise concerns, in the knowledge that they will not suffer victimisation, or harassment, as a result.
- 7.4 The Council endeavours to be open and transparent in the way that it conducts business and in making decisions. The Council's Constitution outlines the decision making framework within the Council, and demonstrates where functions may be delegated. The Council has published details of all expenditure over £250 on its website, and will endeavour to meet all transparency requirements of Central Government. The Council has policies and procedures to respond to Freedom of Information Act requests.
- 7.5 Both elected members and employees ensure that they avoid situations where there is potential for a conflict of interest. Such situations can arise with externalisation of services, internal tendering, planning and land issues, etc. Effective role separation will ensure decisions made are seen to be based upon impartial advice and avoid questions about improper disclosure of confidential information.

8 Members

- 8.1 All Councillors are expected to maintain high standards of Conduct when performing public duties, and in particular to ensure compliance with the Nolan Principles of Standards in Public Life. The Monitoring Officer works with the Standards Committee to monitor standards of conduct and provide advice, guidance and training with both the legal requirements, and the Council's own expectations.
- 8.2 Members are provided with a copy of the Code of Conduct, advice and guidance on the declaration of interests, gifts and hospitality, and protocols on Member / Staff behaviour and involvement in planning and other judicial matters.
- 8.3 The Council's Audit and Risk Committee is responsible for the oversight and production and delivery of this Policy.
- 8.4 The role of all elected members is to:
- Champion and promote the Council's policy and the zero tolerance culture towards fraud, corruption and bribery
 - Raise matters of concern that may come to their attention during their work
 - Review, consider and approve the policy and its performance measures annually
 - Consider the Annual Report of the delivery against the policy's performance measures
 - Encourage the public to report concerns or to pass on concerns raised by the public to the appropriate officer
 - Participate in any reviews, disciplinary meetings or appeals as required.

9 Employees

- 9.1 A successful counter fraud culture is one where acts of fraud, corruption and bribery are widely recognised as unacceptable behaviour and whistleblowing is perceived as a public-spirited action. The Council has put in place a number of policies, procedure and other actions to promote an anti-fraud culture to the Council's officers.
- 9.2 All officers must abide by the Council's Code of Conduct for Employees, which set out the Council's requirement of personal conduct. Professionally qualified officers of the Council are also expected to follow any Code of Conduct of ethics as required by their Professional Institute.
- 9.3 The Chief Executive has overall responsibility for the Council's anti-fraud, corruption and bribery arrangements.
Directors and Senior Managers support the Chief Executive in this role; they are responsible for the prevention and detection of theft, fraud, corruption and other irregularities within their area of responsibility. They are expected to:
- Identify, be familiar with and assess the types of risks and fraud, corruption or bribery that might occur within their area;
 - Promote the Policy, publicity and relevant training of staff and bodies they do business with;
 - Be alert for any indication of fraud, corruption and bribery;
 - Be ready to take appropriate action in a timely way should there be a suspicion of fraud, corruption or bribery.
- 9.4 The Section 151 Officer has a statutory duty to report where a decision has been made that would involve expenditure, or loss, which is unlawful. This officer will also ensure the Council has adequate resources in place for the provision of an Internal Audit Service that is able to provide an annual opinion on the quality of systems of internal control which, in part, informs the Annual Governance Statement. The Interim Head of Finance and Group Manager – Customer Services are responsible for ensuring that Benefit Fraud is reported to DWP for investigation.
- 9.5 The Council also has disciplinary procedures for all categories of employee. Any breach of conduct will be dealt with under these procedures and may result in dismissal.
- 9.6 Officer must comply with the Code of Conduct in respect of the declarations of interests, and in particular must declare any financial or non-financial interests that could conflict with the Council's interests, or could cause your conduct to be questioned.

10 Partner, Suppliers, Contractors and other Organisations that the Council interacts with

- 10.1 The Council expects the highest standards from all organisations that have dealings with it. Any partners, suppliers, contractors and other third parties funded by or in receipt of payments from the Council are required to adopt or abide by Council policies, procedures, protocols, and codes of practice, where appropriate, in order to prevent and detect fraud.
- 10.2 All transactions with suppliers and other organisations will be entered into in line with the Council's Contract Standing Orders. These make appropriate provisions for declaring interests and the circumstances where such regulations may not apply, and rules regarding entering into contracts and verifying contract conditions. Procurement

Procedures require that appropriate due diligence checks are undertaken to ensure that suppliers have an appropriate financial and risk profile before transactions are entered into.

11 Members of the public

- 11.1 Members of the public have an important role to alert the Council to any concerns about the potential for fraud, corruption and bribery that they may become aware of. They are encouraged to report their concerns, either through the Council's complaints procedure or by contacting the officers noted herein.

12. Internal Control environment

- 12.1 The Council's internal control environment plays a key role in ensuring that fraud can be prevented. Soundly designed systems, with adequate checks built in, minimise the opportunities for untoward activities. This could be through automated controls, or through management oversight of transaction activity.
- 12.2 Management retains responsibility for the oversight of the internal control environment within their specific service areas, internal and external inspections additionally play an important role in ensuring that operational arrangements are operating effectively,
- 12.3 Internal Audit prepares a risk based plan each year, with audit reviews separately identifying fraud risks to determine what controls have been put in place to address those risks and review their adequacy and effectiveness. Recommendations will be put forward where improvement is required.
- 12.4 The Council also recognises that a key preventative measure against the possibility of fraud, corruption or bribery is to take effective steps at the recruitment stage to establish, as far as possible, the propriety and integrity of potential employees, this includes temporary and contract staff. Agencies providing temporary staff should be required to confirm references have been obtained and verified.

13. Working with others

- 13.1 Another way in which the Council acts to prevent fraud is to establish and develop the exchange of information with other local or national government agencies on fraud in relation to local authorities (subject to the conditions imposed by the Data Protection Act 1998).

The Council has established links with:

- Norfolk Constabulary
- Association of Local Authority Treasurers' Societies
- Norfolk Financial Officers Association
- Audit Commission
- External Audit – Ernst Young
- Benefits Agency
- Participation in national anti-fraud initiatives for example the National Fraud Initiative (NFI)

- 13.2 External Audit are charged with ensuring that the Council is correctly reporting its arrangements in relation to counter fraud, corruption and bribery and where cases are uncovered involving sums in excess of £10,000 or of a complex nature, these are brought to its attention.

- 13.3 Annually the Internal Audit Consortium Manager also provides a response to the External Auditors; "Internal Audit's Views on the Risk of Fraud". This provides information to assist External Auditors in assessing the Council in relation to:
- Knowledge of any actual, suspected or alleged fraud affecting the Authority;
 - Views around the risks of fraud at the Authority;
 - Areas within the Council at greater risk of fraud;
 - Procedures used by Internal Audit to detect fraud; and
 - Management response to any findings as a result of these procedures.
- 13.4 The Council participates, where possible, with exercises specifically developed to ensure that opportunities to identify instances and risks of fraud and corruption are maximised. For example; National Fraud initiative (NFI), utilising data from Housing Benefit Matching Service, Single Person Discount Reviews and being a member of the National Anti Fraud Network (NAFN).

DETECTING AND INVESTIGATING

14 Detecting fraud that has occurred

- 14.1 The Council takes ultimate responsibility for the protection of our finances and those that are administered on behalf of the Government or the Community. In turn Directors and Senior Managers have a duty to protect their service area on a risk assessed basis from losses due to fraud, corruption and bribery and are responsible for implementing proper internal controls and risk management arrangements. However, it is often therefore the alertness of staff, elected members and the public that enables timely detection to occur and appropriate action to take place.
- 14.2 The Council's staff are an important element in its fight against fraud, corruption and bribery and they are positively encouraged to raise any concerns that they may have. These may relate to the internal activities of the Council, or to its dealings with suppliers or customers.
- 14.3 Despite best efforts some fraudulent activity or corrupt acts will be discovered by chance, "tip off" or via a whistleblowing. The Council has developed appropriate arrangements to enable such matters to be handled through the Whistleblowing Policy. In this regard staff and elected members can raise concerns in the knowledge that they will be treated in confidence and that they will be properly investigated. The Whistleblowing Policy outlines the routes that can be taken to raise a concern other than through a line manager.

15 Investigative Approach

- 15.1 The Council will be robust in dealing with fraud, Directors and Senior Managers are expected to deal swiftly and firmly with those who defraud the Council or are corrupt. Upon notification of an alleged fraud, bribery or corrupt act a Director or Senior Manager will if it is related to Housing Benefit or Council Tax refer it to Benefits Team Leader for potential transfer to DWP (Department of Works and Pensions) for investigation or in all other instances, will:
- contact the Chief Executive or Internal Audit Consortium Manager in the first instance as soon as possible,
 - arrange for the allegation to be investigated, possibly in conjunction with Internal Audit,

- record all the evidence received, and ensure that it is correct, adequately supported and secured,
- and where appropriate:
- implement the Council's Disciplinary Procedures,
 - liaise with the Police,
 - notify the Council's Insurance Officer.
 -

Appendix 1 provides the detailed processes that need to be followed.

SANCTIONS AND REDRESS

16 Taking action where necessary

- 16.1 The Council is responsible for the proper administration of its finances. Fraudsters may attack all of these sources of income, expenditure and our valuable assets
- 16.2 Once sufficient evidence has been discovered to substantiate any financial impropriety the responsible Director, or Senior Manager, in conjunction with the Chief Executive and the Section 151 Officer, shall seek to ensure that the Council receives the maximum appropriate sanctions and redress.
- 16.3 In cases of corruption, the police will usually be called in by the Chief Executive and arrangements made for the prosecution of offenders by the Crown Prosecution Services (CPS).
- 16.4 The Council will seek the strongest available sanctions against staff who commit fraud against the Council, its clients or the public purse. This will include disciplinary action, prosecution and civil proceedings (including seeking the recovery of pension entitlements). Employees found guilty of gross misconduct at disciplinary for offences of fraud, theft or serious financial malpractice, using their position for personal gain, or for the gain of others will be subject to dismissal. This applies to employees who improperly benefit from the Council as a corporate body and not just those who steal funds from their own unit. It also applies to employers who defraud or steal from the Council's clients. We will also take disciplinary action against staff who commit fraud against other Local Authorities or any other agency administering public funds.
- 16.5 Allegations of fraud and corruption made against elected Members will be fully investigated in accordance with the provisions of the Local Government Act 2000 and any subsequent statute or codes of practice.
- 16.6 The Council will seek the strongest available sanctions against any supplier or contractor's staff who commit fraud against the Council or who commit fraud against the public purse
- 16.7 The use of sanctions will be governed by the following principles which shall apply equally to any fraud against the Council or against funds for which the Council has responsibility.
- The objectives are:
- To ensure that the Council applies a full range of sanctions in a fair and consistent manner.
 - To ensure that sanctions are applied in an effective and cost efficient manner.
 - To ensure that the sanction decision making process is stringent, robust, transparent and fair.

- 16.8 These principles are designed to provide a framework within which to ensure the most appropriate resolution to a case is reached. The sanction decision will have regard at all times to the Council's disciplinary policy and anti-fraud policy objectives, the individual circumstances of each person concerned and the overall impact of the punishment to both the individual and the community. A range of sanctions is available to the Council. These include disciplinary action, civil proceedings, criminal proceedings, official cautions and administrative penalties.
- 16.9 Where a financial loss has been identified, we will always seek to recover this loss either through the civil or criminal process. We will also seek recovery of losses from pension entitlements where appropriate. Fraud committed by officers will also be considered for criminal prosecution. The factors that will affect our decision to refer for prosecution will be based on the evidential and the public interest test. We will seek prosecution in all cases involving theft from vulnerable clients or where there is evidence of corruption of public officials.

Appendix 1

Investigative Approach

1. Introduction

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

2. Reporting Concerns of Fraud, Corruption and Bribery

- 2.1 Anyone who has a concern that a potential incident of fraud, corruption or bribery has arisen should always attempt to raise these concerns at the earliest opportunity. The Council acknowledges that this can be a difficult and challenging act to do in some cases, and the Whistleblowing Policy has been established to provide those raising concerns with a safe avenue with which to do so. It also offers sources of advice and guidance that they may turn to.
- 2.2 The Whistleblowing Policy makes clear that the Council will always respect the confidentiality of those who raise a concern. Wherever possible, it encourages the whistleblower not to remain anonymous, and ensure that concerns are in writing to ensure that the facts of the situation are clarified.
- 2.3 Wherever the concern raised or identified relates to a matter of fraud, corruption and bribery (that is not housing and council tax benefits fraud), it is important to ensure that the Internal Audit Consortium Manager is notified in order that they can ensure appropriate investigatory measures are undertaken. Wherever possible, and whilst respecting confidentiality, the Internal Audit Consortium Manager will work with other officers to ensure that the right people are kept informed of incidents; in particular, they may need to notify the Section 151 Officer and members of the Executive Management Team. The Monitoring Officer and the Internal Audit Consortium Manager should liaise to ensure that cases raised in respect of whistleblowing are appropriately addressed, and to ensure the Internal Audit Consortium Manager is aware of all issues that may impact upon delivery of the Annual Internal Audit Plan.

3. Reacting to reports of fraud, corruption and bribery

- 3.1 All reported cases must be handled in a fair and consistent manner. The Council will remain mindful of the legislative framework governing the investigation of concerns, in particular:
 - Freedom of Information Act 200
 - Data Protection Act 1998
 - Human Rights Act 1998
 - Criminal Procedures and Investigations Act 1996
 - Police and Criminal Evidence Act 1984

- 3.2 As the whistleblowing policy identifies, if someone raises a malicious allegation they know is untrue, then the Council will not investigate the case further. The Council will also endeavour to be sensitive to the alleged wrongdoers, to ensure minimisation of damage where subsequently, allegations cannot be substantiated.
- 3.3 Any investigations which involve potential fraud in relation to housing and council tax benefits will be passed to DWP (Department of Works and Pensions) for investigation as per their procedures and processes. As such, the processes for the conduct of investigation set out below only relate to cases that are not of a benefits fraud nature.

4. Conducting Investigations

- 4.1 The Internal Audit Consortium Manager is responsible for overseeing the progress of fraud, corruption and bribery investigations to ensure they are undertaken in a consistent and appropriate manner, and undertaken in line with legislative requirements and agreed procedures. If the concern directly affects the Internal Audit Consortium Manager, this role will be adopted by the Section 151 Officer.
- 4.2 The Internal Audit Consortium Manager will also remain responsible for liaising with Directors and Senior Managers as to the incident raised and the progression of the investigation. Should disputes arise during the course of an investigation, these will be referred to the Section 151 Officer (and, if necessary, the Chief Executive) to assist resolution.
- 4.3 A number of options will be considered when determining who will be responsible for undertaking investigative work but for the most part, the Internal Audit Consortium Manager will be called upon to perform this work, unless the investigation directly affects an officer within that team, or it is deemed that additional expertise is required to undertake the review. If necessary, external investigators (e.g. forensic auditors) may be appointed to undertake the investigation.
- 4.4 At the commencement of any investigation, the Internal Audit Consortium Manager will agree the method and terms of reference for the investigation. Although it is acknowledged that flexibility will be required depending on the nature of the case, it is expected that the following will need to be considered:
- Who will conduct the investigation
 - The arrangements for collecting and documenting evidence
 - Estimated time span for the investigation
 - Consideration of direct referral to / liaison with other authorities e.g. police
 - Agreeing the mechanism for reporting progress and the final outcomes
 - Liaison with Human Resources Manager over potential suspensions / transfer / disciplinary action with regards to alleged wrongdoings
- 4.5 Where it is deemed necessary to refer cases to the police, careful consideration will be given as to whether to proceed with internal investigation. However, it is expected that all staff, members and third parties will be expected to comply with both internal and police investigations as appropriate, and wherever possible Council and police enquiries will be co-ordinated to maximise their effectiveness.

- 4.6 Upon completion of any investigation, it is expected that a report will be produced highlighting the main findings. The report will be shared with the Internal Audit Consortium Manager, who will then be responsible for identifying the further necessary action in line with other appropriate officers (e.g. liaison with the Human Resources if disciplinary action is required, or referral to the Section 151 Officer where inappropriate spending has been identified). Where it has been found that fraud or corruption has occurred, then a summary of the findings will be presented to the Executive Management Team. Where fraud or corruption could not be proven, the findings will only be shared with those who have a genuine and legitimate need to know.
- 4.7 The Internal Audit Consortium Manager will also keep the person raising the concern informed of the progress of the investigation, however will not necessarily be able to share either the report or the conclusions of the investigation. Where this relates to a whistleblowing case, the Internal Audit Consortium Manager will continue to work with the Monitoring Officer in this regard.
- 4.8 It is the responsibility of management to ensure that any losses arising from an investigation are recovered, provided that there are reasonable grounds for doing so. There are various methods of recovery the Council can utilise, for example recovery from the perpetrator, through the Council's insurers, or through legal proceedings.

5. General Processes

- 5.1 This Investigative Approach will be available to staff and members through the Council's intranet. It is acknowledged that circumstances may dictate further updates to the plan, and as such any changes can be made subject to agreement between the Section 151 Officer, Internal Audit Consortium Manager and Human Resources Manager.
- 5.2 The Internal Audit Consortium Manager will remain responsible for ensuring that records in respect of fraud cases are appropriately maintained, and, in line with guidance issued by The National Archives, records relating to proven frauds will be maintained for at least 6 years.

Appendix 2

Corporate Counter Fraud Awareness Action Plan

Aim	Actions	Outcome
In the short term to maintain a specialist fraud investigative team and to investigate the future provision for fraud in light of the Single Fraud Investigation Service	<p>We have a dedicated Senior Investigations and Enforcement Officer working to counter fraud on a daily basis.</p> <p>All audit staff are trained to prevent and detect fraud, as part of their professional studies.</p> <p>Investigate the future provisions that are available for the Corporate fraud provision.</p>	Targeted, consistent fraud resources, to identify, professionally investigate and deter fraud.
To measure exposure to fraud risk and address fraud risks identified.	<p>There is a corporate risk register and relevant fraud risks are recorded therein.</p> <p>There is also national data available through the National Fraud Initiative which is analysed periodically, data from the Housing Benefit Matching Service, information from National Anti Fraud Network and information sharing with External Audit.</p>	A record of potential fraud risks and a record of these are mitigated and monitored.
To undertake validation / verification checks on areas at risk of fraud.	These are identified as part of the annual audit planning process and also during each audit. These will be tested to gain assurance that fraud risks are appropriately mitigated.	A Council that is pro-active in mitigating the risk of fraud.
To increase internal fraud awareness	<p>We will increase the awareness of fraud among employees through:</p> <ul style="list-style-type: none"> • Targeted fraud awareness training for key teams and staff in high fraud risks areas; • General fraud training for all staff and members; • Consideration of other publicity methods i.e. counter fraud item in 	<p>A counter fraud and corruption culture.</p> <p>Staff are alert to the risk, and indicators, of fraud.</p> <p>Staff know when and how to report fraud concerns.</p> <p>Fraudsters are deterred from committing fraud.</p>

	<p>Council's magazine, counter fraud newsletter, counter fraud pages on the Intranet.</p> <ul style="list-style-type: none"> • Regular promotion of the Whistleblowing Policy and ways staff can report concerns; • This Strategy and the Whistleblowing Policy being accessible to staff through the Intranet. 	
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Appendix 3



ANTI MONEY LAUNDERING POLICY

Author	Corporate Risk Officer
Date	January 2016
Document Status	Final Version 2.1

GREAT YARMOUTH BROUGH COUNCIL

ANTI MONEY LAUNDERING POLICY

Contents

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HOW THE COUNCIL WILL RESPONSE

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Appendix 1 - How the Council may be exposed to Money Laundering

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Appendix 2

- Money Laundering Report Form
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INTRODUCTION

Context

- 1.1 This Policy, and the accompanying procedures and reporting forms, represents an important part of the Council's approach to dealing with the risk of fraud and corruption. This Policy seeks to complement the Anti Fraud, Corruption and Bribery Policy and Whistleblowing Policy and contribute to the overall framework of Corporate Governance established to ensure that the Council is well managed and fulfils its statutory and regulatory duties in a proper and responsible manner.

Purpose and Rationale

- 1.2 The risks to the Council of contravening money laundering legislation are relatively low and some aspects of the legal and regulatory requirements do not apply to public authorities. However, it is recognised that the Council is not completely immune from the risks surrounding money laundering. The purpose of the Anti Money Laundering Policy is to clearly demonstrate that the Council embraces the underlying principles of money laundering legislation and is taking reasonable steps to minimise the likelihood of such activities occurring, by developing a suitable framework of arrangements to safeguard itself against action of this nature, whilst making satisfactory provisions to achieve compliance to legal and regulatory requirements, where appropriate.

Scope of the Policy

- 1.3 This Policy applies to all employees of the Council and aims to prevent criminal activity through money laundering. It is extremely important that all members and employees are familiar with their legal responsibilities and are vigilant at all times. Serious criminal sanctions may be imposed for breaches of the legislation. The key requirement on employees is to promptly report any suspected money laundering activity to the Money Laundering Reporting Officer (MLRO).
- 1.4 Failure by any employee to comply with the procedures set out in this Policy may lead to disciplinary action being taken against them. Any disciplinary action will be dealt with in accordance with the Council's Disciplinary Policy and Procedure.

What is Money Laundering?

- 4.1 Money laundering is a term designed too covers a number of offences. These offences relate to the improper handling of funds that are the proceeds of criminal acts, or terrorist acts, so that they appear to come from a legitimate source. It relates to both the activities of organised crime but also to those who benefit financially from dishonest activities such as receiving stolen

goods. The Proceeds of Crime act 2002 (POCA), as amended by the Serious Organised Crime and Police Act 2005, creates a range of criminal offences arising from dealing with proceeds of crime. The four main offences that may be committed under money laundering legislation are:

- Concealing, disguising, converting, transferring or removing criminal property from anywhere within the UK;
- Entering onto or becoming concerned in an arrangement which a person knows or suspects facilitates the acquisition, retention, use or control of criminal property by or on behalf of another person;
- Acquiring, using or possessing criminal property;
- Doing something that might prejudice an investigation – for example, falsifying a document;

There are also two ‘third party’ offences:

- Failing to disclose information relating to any of the above money laundering offences; and,
- “Tipping off” – informing someone who is, or is suspected of being involved in money laundering activities, in such a way as to reduce the likelihood of their being investigated or prejudicing an investigation.

These money laundering offences may be committed by an organisation or by individuals working for an organisation.

- 1.2 “Criminal Property” has a relatively broad definition in money laundering legislation and no financial ceiling has been specified above which organisations are obliged to take action when money laundering activities are suspected. Benefiting from ‘criminal property’ can work on two levels, an individual benefiting financially from the proceeds of a crime they have committed themselves, or an individual benefiting from the proceeds of a crime/dishonest activities perpetrated by someone else. No matter how large or small the sum of money involved in these dishonest activities, the full weight of the money laundering legislation and regulations will apply regardless of the financial sums identified.

The legal and regulatory framework and the obligations that it places on the Council

- 1.3 The main laws and regulations which set out the money laundering regulations are:

- The Proceeds of Crime Act 2002 (amended by the Serious Organised Crime and Police Act 2005 and further amended by the Serious Crime Act 2015)
 - The Terrorism Act 2000 (amended by the Anti-Terrorism and Security Act 2001 and Terrorism Act 2006 and further amended by the Money Laundering Regulations 2007)
 - The Money Laundering Regulations 2015 (which supersede the money laundering regulations 2007 and 2012)
- 1.4 The Terrorism Act 2000 makes it an offence of money laundering to become concerned in an arrangement relating to the retention or control of property likely to be used for the purposes of terrorism or resulting from acts of terrorism. Under the Terrorism Act 2000, all individuals and businesses in the UK have an obligation to report knowledge, reasonable grounds for belief or suspicion about the proceeds from, or finance likely to be used for terrorism or its laundering, where it relates to information that comes to them in the course of their business or employment.
- 1.5 The 2012 Money Laundering Regulations establish that as long as businesses are not operating within the “regulated sector”, then the offences of failing to disclose suspicions of money laundering, and tipping off, do not apply. The list of businesses within the regulated sector does not include local authorities, and as such these offences do not apply to the Council. Furthermore, the 2003 Money Laundering Regulations, which preceded the 2012 regulations, made organisations responsible for undertaking “relevant business” to have appropriate systems in place for the reporting of money laundering, staff training, and identifying and keeping records of money laundering
- 1.6 The Chartered Institute of Public Finance and Accountancy (CIPFA) issued 2 sets of guidance on how legal and regulatory provisions impact on public authorities. CIPFA has confirmed that local authorities were not a “relevant business” in terms of the 2003 Money Laundering Regulations and are therefore not required to have systems in place to identify record and report money laundering.
- 1.7 However, CIPFA has also advised that ‘it is prudent and responsible practice for public service organisations, including those outside the scope of the regulations, to put in place appropriate and proportionate anti-money laundering safeguards and reporting arrangements, designed to enable them to detect and avoid involvement in the crimes described in the legislation and regulations.’ There could also be a “substantial reputational risk for an authority which does not have such procedures in place”.
- 1.8 This Policy and the working practices aligned to it have been designed to address the risk the Council may face if it does not properly address the

potential for money laundering. As a responsible authority, we need to be mindful that a money laundering offence could be committed by an employee, or the Council could be a victim of such an offence.

6 THE COUNCIL'S RESPONSE

6.1 The Council is responsible to undertake the following:

- Appoint a Money Laundering Reporting Officer (MLRO) to receive disclosures from Members or employees of money laundering activity (their own or anyone else's)
- Implement a procedure to enable the reporting of suspicions of money laundering
- Maintain client identification procedures (see section 7.0) in certain circumstances and
- Maintain records

7 The Money Laundering Reporting Officer

7.1 The Council has nominated the Chief Executive as the Money Laundering Reporting Officer (MLRO); in their absence, the Internal Audit Consortium Manager acts as the Deputy Money Laundering Reporting Officer. Their contact details are as follows:

Chief Executive Officer
Manager
Town Hall
Hall Plain
Great Yarmouth
Norfolk
NR30 2QF

Internal Audit Consortium

South Norfolk House
Swan Lane
Long Stratton
Norfolk
NR15 2XE

Sheila.oxtooby@great-yarmouth.gov.uk

Ehodds@s-norfolk.gov.uk

8 Reporting to the Money Laundering Reporting Officer (MLRO)

8.1 The primary duty of any employee, member or third party under this Policy is to ensure that any suspicions or concerns that money laundering has occurred, or is likely to occur, should be reported to the MLRO as soon as the suspicion arises. The disclosure should be within 'hours' of a suspicious activity coming to an individual officer's attention, rather than several days or weeks later.

Delays or failure to report may leave you personally liable to prosecution.

- 8.2 To support the above process, **Appendix 1** provides information on the types of activities where the Council may be subject to money laundering offences and guidance to staff on situations where money laundering activities could occur.
- 8.3 All available information needs to be given to the MLRO to enable them to make an informed judgement as to whether there are reasonable grounds for knowledge or suspicion of money laundering and to enable them to prepare a report to the National Crime Agency (NCA) NCA, for example:
- Full details of the people involved (including yourself, if relevant) e.g. name, date of birth, address, company names, directorships, phone numbers etc,
 - Full details of the nature of their / your involvement
 - The types of money laundering activity involved. (The MLRO can help identify this)
 - The dates of such activity, including whether the transactions have happened, are ongoing or are imminent
 - Where they took place
 - How they were undertaken
 - The (likely) amount of money / assets
- 8.4 Suspicions can be raised through direct contact with the MLRO; however it is preferable to use the reporting form which has been developed at **Appendix 2**, and e-mail / post the completed form to the MLRO.
- 8.5 The employee, member or third party should not make any further enquiries into the matter themselves and any further action must be with the approval of the MLRO. Those who have raised a concern should ensure that they do not then voice their suspicions to the suspect or tell them that you have reported the transaction. Otherwise you may commit a criminal offence of ‘tipping off’ which carries a maximum penalty of 5 years imprisonment and unlimited fine.
- 8.6 Upon receipt of a disclosure report the MLRO must acknowledge receipt and confirm the timescale within which they expect to respond.
- 8.7 The MLRO is required to promptly evaluate any concerns/disclosures raised and determine whether they require further investigation and hence referral to the NCA, using the reporting forms included at **Appendix 2**. The MLRO should not undertake investigation of any concerns themselves. Where legal professional privilege may apply, the MLRO must liaise with the Solicitor of the Council to determine the further action to be taken.

- 8.8 Where money laundering is suspected the MLRO will report to NCA, by making Suspicious Activity report and also notify the Internal Audit Consortium Manager, Interim Head of Finance and the Monitoring Officer.
- 8.9 In some cases, it may be necessary to seek approval from NCA before the Council can undertake any further activity in respect of the transaction. Where the MLRO has made such a referral to NCA, they will notify the person raising the concern, and again inform the individual when NCA has provided permission for the transaction to proceed.
- 8.10 If a request for consent has been made to NCA, no action should occur for a period of 7 days or until NCA gives consent. If this results in a transaction having to be deferred or delayed, it should be carefully handled to ensure that the customer is not tipped off as to the money laundering concern.
- 8.11 After 7 days, if NCA does not notify otherwise, they are deemed to have given consent to the transaction. If NCA instead notifies they refuse to give consent, they have a further 31 calendar days to take action, a moratorium period of 31 days starts on the day the Council receives the refusal notice. During this period, the Council cannot proceed with the matter for which the consent was applied. At the expiry of the 31 days if we have not heard anything, NCA is deemed to have consented to the request and the Council can proceed.
- 8.12 The MLRO should retain the details of any referrals made, including correspondence with the necessary bodies, using the forms included in **Appendix 2**. All information should be retained for a minimum of 6 years.
- 8.13 To ensure the Council minimises the risk of tipping off, and to minimise any reputational damage should the suspicion be unfounded, the confidentiality of the matter will be respected at all times; the MLRO will only inform anyone of the suspicion where there is a genuine business need.

9 Customer Due Diligence

- 9.1 The Council does undertake activities that may be considered, under the Money Laundering Regulations, to be regulated, however it does not undertake these activities by way of business, and therefore would not normally be expected to undertake due diligence in respect of any clients to whom it provides these services. The types of activities that are regulated are:
- Credit and Financial institution,
 - Legal, Auditors, Accountants and Tax Advisers,
 - Trust of Company service providers
 - Estate Agents
 - Casinos,
 - High value dealers i.e. dealing in goods of any description whenever a transaction involves accepting a total cash payment of more than €15,000.

- 9.2 However, it is good practice that wherever the Council does enter into such activities with a third party then due diligence checks should be actioned before the establishment of a relationship/transaction with the third party. Anyone entering into such transactions should refer these to the MLRO to undertake due diligence checks.
- 9.3 Undertaking customer due diligence checks can take a number of forms. HM Revenues and Customs has issued “core guidance” in this area. Consideration should be given to taking one or more of the following, where applicable:
- Confirming the identity of the client via documentation, data or information obtained from a reliable and independent source, e.g. passport, and/or position within an organisation, where appropriate.
 - Obtaining confirmation from Companies House as to the registration details of the Company and details of the Company business.
 - Seeking electronic verification, e.g. performing credit checks.
 - Obtaining confirmation to regulated industries bodies (e.g. in the case of accountants, checking to CCAB certified bodies).
 - Requesting copies of financial statements.
 - Requesting details of interests and beneficial ownerships – with reference to the latter this is any individual who holds more than 25% of the shares, voting rights or interest in a company, partnership or trust.
 - Obtaining information on the purpose and intended nature of the business relationship.
- 9.4 Examples of other available internal information that may be considered relevant are:
- Reviewing other transaction patterns and volumes
 - The length of any business relationship involved
 - The number of any one-off transactions and linked one-off transactions
 - Any identification evidence held
- 9.4 Any checks undertaken should remain proportionate to the risks of the individual business and the relationship. Additional checking may need to be performed if the person is not physically present to be identified, or they are politically exposed, by virtue of holding a prominent public function. Details of such checks should be recorded on the reporting forms in **Appendix 2** and retained for a minimum of 6 years, with an electronic copy of every customer due diligence record being retained by the MLRO to meet the requirements of the regulations and in case of inspection by the relevant supervising body.
- 9.5 There is also now an ongoing legal obligation to check the identity of existing clients and the nature and purpose of the business relationship with them at appropriate times. One option to review these matters might be to do so as part of the ongoing monitoring of the business arrangements, as is usually provided for in the Terms of Business Letter, Service Level Agreement or other written record, as well as scrutinising transactions as they occur, paying

particular attention to complex or unusually large transactions, unusual patterns of transactions and/or unexpected transactions, etc.

- 9.6 Once the MLRO has evaluated the disclosure report and any other relevant information, they must make a timely determination as to whether:
- There is actual or suspected money laundering taking place; or
 - There are reasonable grounds to know or suspect that is the case and
 - Whether they need to seek consent from NCANCA for a particular transaction to proceed.
 - Where the MLRO concludes a referral is needed then they must disclose the matter as soon as possible to the NCANCA
- 9.7 Where the MLRO suspects either:
- Money laundering but has reasonable excuse for nondisclosure: or
 - Concludes that there are no reasonable grounds to suspect money laundering:

They must note the report accordingly and give immediate consent for any ongoing or imminent transactions to proceed.

- 9.8 Where money laundering is suspected the MLRO will report to NCA, by making Suspicious Activity report and also notify the Internal Audit Consortium Manager, Interim Head of Finance and the Monitoring Officer.

10 Training

- 10.1 The Council will take appropriate measures to ensure that all employees are made aware of the law relating to money laundering and will arrange targeted, ongoing training to key individuals most likely to be affected by the legislation.

11 Further Information

- 11.1 Further information can be obtained from the MLRO and the following sources:

- www.nationalcrimeagency.gov.uk – website of the National Crime Agency
- HMRC.gov.uk
- Anti Money Laundering (Proceeds of Crime and Terrorism) – Second Interim Guidance for Accountants, published by CCAB www.ccab.org.uk
- Money Laundering Guidance at www.lawsociety.org.uk
- The Money Laundering Regulations 2012 at: <http://www.hm-treasury.gov.uk>

12 Review of the Policy

- 12.1 The Policy will be reviewed at least every 3 years, by the Money Laundering Reporting Officer and Internal Audit Consortium Manager (or more frequently if required by changes to statutory legislation) and approved by Cabinet. Subsequent to any approval, the following parties shall be consulted:
- Senior Council Officers responsible for receiving suspicions of money laundering activities
 - The Council's Executive Management Team
 - Audit and Risk Committee
- 12.2 On an annual basis, Section 6 of the Policy, which provides details of the key parties responsible for money laundering reporting activities, shall be reviewed by the Money Laundering Reporting Officer, the Internal Audit Consortium Manager and Corporate Risk Officer to ensure that details remain relevant and up-to-date. This review will not require re-endorsement of the Policy.

How the Council may be exposed to Money Laundering

1 Guidelines to staff and members on concerns or suspicions

It is anticipated that the most likely scenario in which a money laundering issue may arise is where officers unwittingly become concerned or involved in an arrangement which we know or suspect enables criminal property to be retained or acquired by a third party.

- 1.1 If you do have any suspicions or concerns about an individual or transaction then it is always better to raise those concerns appropriately. If necessary, you may wish to use the Council's Whistleblowing Policy for further support and guidance on how to raise a concern. Conversely, if in doubt, seek advice from the MLRO.
- 1.2 Although some offences and suspicions may be fairly apparent, some can be more difficult to identify. The simple guidance is to be vigilant, and not be afraid to question something if you don't think looks right. If you think something looks suspicious, then the probability is someone else may also think the same. It is better for the Council to be safe when handling public money – it would not reflect well on the Council's reputation if it was found we had taken monies that were obtained through theft, drug trafficking, terrorism, etc.
- 1.3 It is recognised that a lot of the Council's activities are sensitive in nature, and in cases what, to some people, may be suspicious or concerning behaviour, from a money laundering perspective may not necessarily be in line with the activity occurring. However, people should always be mindful of genuine concern and suspicion.

2 The types of activities that may be affected

- 2.1 The following table sets out the types of activities that might be suspicious, and how the Council may come across those activities. It is not intended to be exhaustive, and just because something you are suspicious about is not on the list, it doesn't mean you shouldn't report it.

Activity	The types of activity that may be affected
New customers with high value transactions	<ul style="list-style-type: none"> • Selling property to individuals or businesses • Renting out property to individuals or businesses • Entering into other lease agreements • Undertaking services for other organisations
Secretive clients	<ul style="list-style-type: none"> • Housing benefit claimants who have sums of money entering into / out of their bank account (even if we do not award them benefit, we should still consider money laundering implications)

	<ul style="list-style-type: none"> • People buying or renting property from the Council who may not want to say what it is for • People receiving grant funding who refuse to demonstrate what funding was used for
Customers who we think are acting dishonestly or illegally	<ul style="list-style-type: none"> • People paying for Council services who do not provide details about themselves • People making odd or unusual requests for payment arrangements
Illogical transactions	<ul style="list-style-type: none"> • People paying in cash then requesting refunds • Requests for the Council to pay seemingly unconnected third parties in respect of goods / services provided to the Council • Requests for the Council to pay in foreign currencies for no apparent reasons
Payments of substantial sums by cash	<ul style="list-style-type: none"> • Large debt arrears paid in cash • Refunding overpayments • Deposits / payments for property
Movement of funds overseas	<ul style="list-style-type: none"> • Requests to pay monies overseas, potentially for "tax purposes"
Cancellation of earlier transactions	<ul style="list-style-type: none"> • Third party "refunds" grant payment as no longer needed / used • No payment demanded even though good / service has been provided • Sudden and unexpected termination of lease agreements
Requests for client account details outside normal course of business	<ul style="list-style-type: none"> • Queries from other companies regarding legitimacy of customers • Council receiving correspondence / information on behalf of other companies
Extensive and over-complicated client business structures / arrangements	<ul style="list-style-type: none"> • Requests to pay third parties in respect of goods / services • Receipt of business payments (rent, business rates) in settlement from seemingly unconnected third parties
Poor accounting records and internal financial control	<ul style="list-style-type: none"> • Requests for grant funding / business support indicates third party not supported by financial information • Companies tendering for contracts unable to provide proper financial information / information provided raises concerns • Tender for a contract which is suspiciously low
Unusual property investments or transactions	<ul style="list-style-type: none"> • Requests to purchase Council assets / land with no apparent purpose • Requests to rent Council property with no apparent business motive
Overcomplicated legal arrangements / multiple solicitors	<ul style="list-style-type: none"> • Property transactions where the Council is dealing with several different parties

MONEY LAUNDERING REPORT FORM

Employee Details

Name _____

Department / Section _____

Date Reported _____

Contact details _____

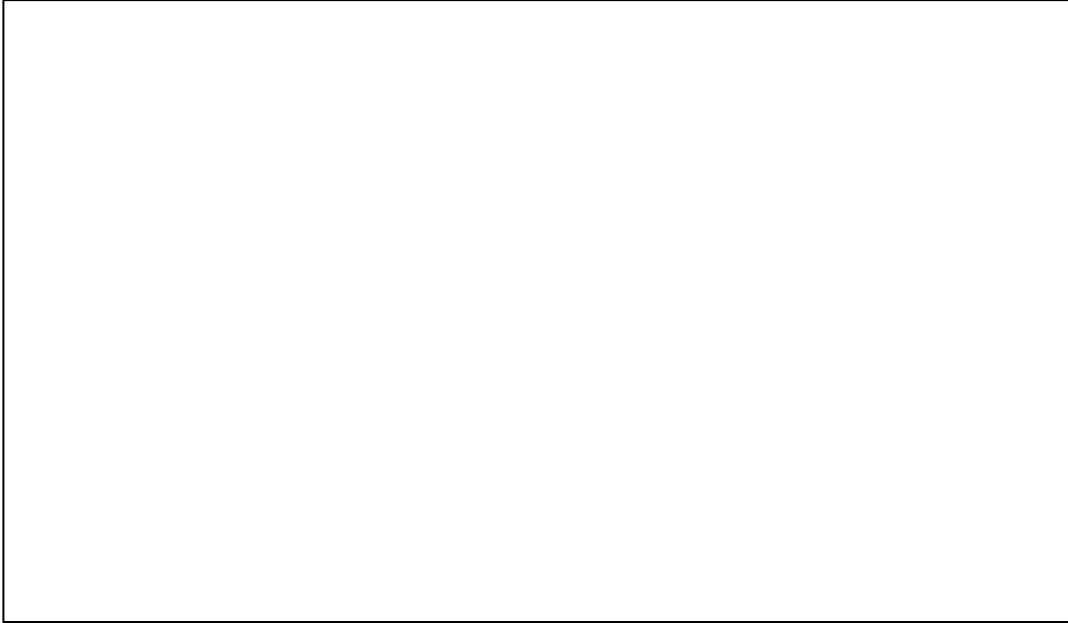
Offence Details

Identities of the person(s) / company (s) subject to the enquiry


Address and contact details of the subject

Nature and details of the activity – please include whether this has already occurred or is likely to occur, where / when this occurred and how it arose – please continue on another sheet if necessary. Please include details of all transactions.

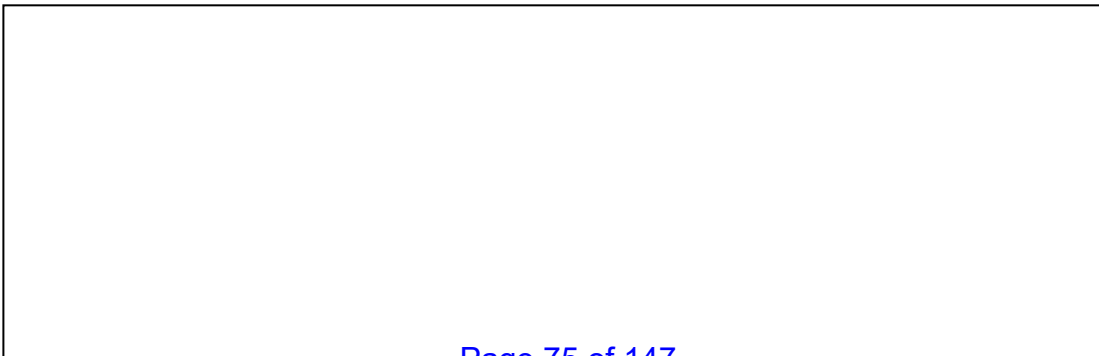
Investigations – has any investigation already occurred? If so, please detail below

A large, empty rectangular box with a thin black border, intended for providing details of any investigations that have occurred.

Discussions – have you discussed your suspicions with anyone – including any advisory bodies

A large, empty rectangular box with a thin black border, intended for providing details of any discussions regarding suspicions.

Disclosure – is there any reason why you believe this should not be disclosed to NCA?

A large, empty rectangular box with a thin black border, intended for providing reasons why information should not be disclosed to the NCA.

Further Information – if there is any further information you believe to be relevant, please include here:

Signed _____

Date _____

This form should now be passed directly to the Money Laundering Reporting Officer

After moratorium, has notification been given to employee? Yes / No

Can the Council Proceed with the Transaction? Yes / No

Signed _____

Name _____

Date _____

**CUSTOMER DUE DILIGENCE FORM – PRIVATE INDIVIDUAL
TO BE COMPLETED BY THE MONEY LAUNDERING REPORTING OFFICER**

Officer referring customer _____

Contact details for officer _____

Name of individual _____

Address

Date of Birth _____

Telephone number _____

E-mail address _____

Summary of Transactions and role of the individual

Evidence of Identity obtained: (photocopies of all evidence should be attached to this form)

Face to Face Contact? Yes / No

Is the Client Politically Exposed? Yes / No

Is the transaction by nature high risk? Yes / No

Is further enhanced verification required (if yes to any of the above three questions, enhanced verification is required): Yes / No

If enhanced verification required, please detail all checks performed:

--

Can the Council proceed with the transaction? Yes / No

Signed _____

Date _____

**CUSTOMER DUE DILIGENCE FORM – BUSINESS
TO BE COMPLETED BY THE MONEY LAUNDERING REPORTING OFFICER**

Officer referring customer _____

Contact details for officer _____

Name of business _____

Purpose of business _____

Companies House Registration Number _____

Registered business address

Telephone number _____

E-mail address _____

Type of organisation (PLC, LLC, Sole trader etc) _____

Who are the Companies Directors – are there any beneficial owners (i.e. any person / company who owns more than 25% of the company in question)

--

Date of first contact with Company _____

Nature of transaction with company

Please attach details of all checks undertaken to verify the evidence of this company.

Can the Council proceed with the transaction? Yes / No

Signed _____

Date _____

Subject: Code of Corporate Governance

Report to: Cabinet, 4th April 2016

Report by: Interim Head of Finance

SUBJECT MATTER/RECOMMENDATIONS

This report contains an update to the Council's Code of Corporate Governance, in accordance with best practice.

Recommendation:

That the updated Code of Corporate Governance is approved.

To delegate to the Monitoring Officer the power to make such changes to the Code of Corporate Governance as are necessitated by the Council's change to a Committee System from May 2016.

1. INTRODUCTION/BACKGROUND

- 1.1 The Code of Corporate Governance was approved by Audit and Risk Committee on 2nd February 2016.
- 1.2 Best practice recommends that the Code of Corporate Governance is revisited and updated on an annual basis.
- 1.3 Attached to this report contains the updated Code of Corporate Governance, which shows that good progress has been made in further embedding the Code of Corporate Governance, with deadlines and responsible officers for future action during 2016/17 incorporated into the document.
- 1.4 Due to the change to a Committee System from May 2016 approval is being sought to delegate to the Monitoring Officer the power to make such changes to the Code of Corporate Governance as are necessitated.

FINANCIAL IMPLICATIONS:

None

LEGAL IMPLICATIONS:

None

EXECUTIVE BOARD OR DIRECTOR CONSULTATION:

EMT consulted

2 RECOMMENDATIONS:

- 2.1 That the updated Code of Corporate Governance is approved.
- 2.2 To delegate to the Monitoring Officer the power to make such changes to the Code of Corporate Governance as are necessitated by the Council's change to a Committee System from May 2016.

Does this report raise any legal, financial, sustainability, equality, Crime and Disorder or Human Rights issues and, if so, have they been considered?	Issues	
	Legal	No
	Financial	No
	Risk	No
	Sustainability	No
	Crime and Disorder	No
	Human Rights	No
	Every Child Matters	No
	Equality	No
	EqlA Form completed	No



GREAT YARMOUTH
BOROUGH COUNCIL

CODE OF CORPORATE GOVERNANCE

Author	Interim Head of Finance
Date	February 2016
Document Status	Final Version 5

GREAT YARMOUTH BOROUGH COUNCIL

CODE OF CORPORATE GOVERNANCE

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- Core Principle 2** *Members and officers working together to achieve a common purpose with clearly defined functions and roles*
- Core Principle 3** *Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour*
- Core Principle 4** *Taking informed and transparent decisions which are subject to effective scrutiny and managing risk*
- Core Principle 5** *Developing the capacity and capability of members and officers to be effective*
- Core Principle 6** *Engaging with local people and other stakeholders to ensure robust public accountability*

INTRODUCTION

“Governance is about how local government bodies ensure that they are doing the right things, in the right way for the right people, in a timely, inclusive, open, honest and accountable manner.

It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and where appropriate, lead their communities”

Delivering Good Governance in Local Authorities (CIPFA/SOLACE 2007)

The CIPFA/SOLACE guidance “Delivering Good Governance in Local Authorities” identified six Core Principles against which local authorities should review their existing corporate governance arrangements and develop and maintain adopt a local code of governance. These principles are;

- *Focussing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area*
- *Members and officers working together to achieve a common purpose with clearly defined functions and roles*
- *Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour*
- *Taking informed and transparent decisions which are subject to effective scrutiny and managing risk*
- *Developing the capacity and capability of members and officers to be effective*
- *Engaging with local people and other stakeholders to ensure robust public accountability*

The Code of Governance has been prepared in accordance with the Guidance and will be reviewed by the Audit and Risk Committee on an annual basis.

Additionally authorities are required to prepare and publish an annual governance statement in accordance with this framework under Regulation 4(2) of the Accounts and Audit (Amendment) (England) Regulations 2006.

The Annual Governance Statement is a key corporate document. The Chief Executive Officer and the Leader of the Council have joint responsibility as signatories for its accuracy and completeness.

GREAT YARMOUTH BOROUGH COUNCIL: CODE OF CORPORATE GOVERNANCE

Core Principle 1 - Focussing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area
<p>Our aims in relation to focussing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area are to;</p> <p>1.1 Exercise strategic leadership by developing and clearly communicating the authority's purpose, vision and its intended outcome for citizens and service users</p> <p>1.2 Ensure users receive a high quality service whether directly, or in partnership, or by commissioning</p> <p>1.3 Ensure that the authority makes best use of resources and that tax payers and service users receive excellent value for money</p>

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
1.1.1 Develop and promote the Council's purpose and vision	'The Plan' - Corporate Plan Medium Term Financial Strategy Council's Website			
1.1.2 Review on a regular basis the Council's vision for the local area and its impact on the authority's governance arrangements	'The Plan' - Corporate Plan Medium Term Financial Strategy Code of Corporate Governance Annual Governance Statement			
1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Constitution Each partnership will design its own terms of reference/legal framework/constitution as appropriate. It would be the responsibility of the GYBC officer attending to ensure that it fits in with the Council's current corporate priorities/plans.			
1.1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	Annual Financial Report Annual Performance Report Council's Website			

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
1.2.1 Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	Performance Management Framework Residents' Surveys	Performance Management Framework to be reviewed once outcome of transformation is known and 'The Plan' - Corporate Plan has been reviewed	Transformation Programme Manager	31 st December 2015
1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery	Quarterly Projects and Measures Performance Report Performance Management Framework Complaints Procedure Monthly Financial Reports On line feedback	Performance Management Framework to be reviewed once outcome of transformation is known and 'The Plan' - Corporate Plan has been reviewed.	Transformation Programme Manager	31 st December 2015
1.3.1 Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions	Procurement Strategy Adopted Chartered Institute of Procurement & Supply (CIPS) Code of Ethics Report template (sustainability taken into account for Member decisions) Benchmarking reports	Impact on equality are required for all reports & Equality Impact Assessments are considered & completed on a risk based approach where required. Annual report on progress against equality objectives for EMT approval Jan/Feb.		

Core Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles
<p>Our aims in relation to Members and officers working together to achieve a common purpose with clearly defined functions and roles are to;</p> <p>2.1 Ensure effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function</p> <p>2.2 Ensure that a constructive working relationship exists between authority members and officers and the responsibilities of members and officers and carried out to a high standard</p> <p>2.3 Ensure relationships between the authority, its partners and the public are clear so that each knows what to expect of the other</p>

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
2.1.1 Set out a clear statement of the respective roles and responsibilities of the Cabinet and of the Cabinet's members individually and the authority's approach towards putting this into practice	Constitution (Cabinet terms of reference) Record of decisions and supporting materials Member/Officer Protocol Member training	Committee form governance reviewed and to go to Council for review	CEO	24 th November 2015
2.1.2 Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers	Constitution (Statutory Officer positions, Terms of Reference for Committees, Member roles) Scheme of delegation Conditions of employment Member/Officer Protocol Conditions of Employment Job Descriptions			
2.2.1 Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority taking account of relevant legislation and ensure that it is monitored and updated when required	Constitution (Scheme of delegation) Statutory provisions Member / Officer Code of Conduct EMT Forward Plan			

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
2.2.2 Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management	Chief Executive Officer designated Head of paid Service Constitution (Head of Paid Service responsibilities) Conditions of employment Member / Officer Code of Conduct Scheme of delegation Statutory provisions Job descriptions / specification Performance management system Signs Annual Governance Statement			
2.2.3 Develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Constitution Member/Officer Protocol			
2.2.4 Make a senior officer (usually the section 151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	Interim Head of Finance has been nominated as the Council's Chief Financial Officer. Constitution (Statutory Officers) Job description / specification Report template ensures consultation is undertaken with CFO before report considered by Members			
2.2.5 Make a senior officer (other than the responsible financial officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations are complied with (usually the monitoring officer)	NPLaw Solicitor has been nominated as the Council's Monitoring officer Constitution (Statutory Officers) Report template ensures consultation is undertaken with MO before report considered by Members			

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles	Member / Officer protocol Outside Bodies advice given to Members Member/Officer Codes of Conduct	Officer Code of Conduct being reviewed and to go to EMT for endorsement in December 15 and then to Council January 16	Cabinet Secretary & Deputy Monitoring Officer	
2.3.2 Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel (if applicable)	Pay and conditions policies and practices Terms of Reference and Report Job evaluation Pay Policy Statement			
2.3.3 Ensure that effective mechanisms exist to monitor service delivery	Quarterly Projects and Measures Performance Report Complaints & Compliments Procedure Annual Financial Statements Annual Governance Statement			
2.3.4 Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	'The Plan' - Corporate Plan Medium Term Financial Strategy Annual Statement of Accounts Budget Monitoring Annual Report Quarterly Projects and Measures Performance Report Consultation Annual Governance Statement Council's Website			

In order to achieve our aims we will:	Source documents	Further work on-going	Responsible Officer(s)	Deadline
2.3.5 When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	Constitution (Standing Orders) Individual Partnership agreements Service Level Arrangements Advice given to members in relation to outside bodies – see role of Councillors in Constitution Procurement Strategy Adopted Chartered Institute of Procurement & Supply (CIPS) Code of Ethics Council's website			
2.3.6 When working in partnership: - ensure that there is clarity about the legal status of the partnership - ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.	Constitution Individual Partnership agreements if we are part of a partnership due to statutory responsibilities (ie responsible authorities etc) we would use the law to understand our commitment and responsibilities.) Service Level Arrangements Advice given to members in relation to outside bodies Procurement Strategy Adopted Chartered Institute of Procurement & Supply (CIPS) Code of Ethics Council's website			

Core Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Our aims in relation to promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour are to;

- 3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance
 3.2 Ensuring that organisational values are put into practice and are effective

In order to achieve our aims we will;	Source documents	Further work on-going	Responsible Officer(s)	Deadline
3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Constitution (Standing Orders) 1:1's Standards Committee has an overall view of conduct issues established by their terms of reference Member / Officer Code of Conduct Member / Officer Protocol Whistleblowing Policy Anti Fraud, Corruption & Bribery Policy Freedom of Information Policy statement and publication scheme Officer Register of gifts and hospitality Member and Parish Councillors Register of Interests Anti Money Laundering Policy	Performance Review process reviewed and trialled. Full roll out commenced in October 2015 Publication Scheme has been re-written to take into account the changes in FOI. The new scheme has been agreed by EMT and shared with group managers, it is about to be published on the Council's internet site. . Officer Code of Conduct being reviewed and to go to EMT for endorsement in December 15 and to Council January 16 Whistleblowing Policy, Anti Fraud, Corruption & Bribery Policy and Anti Money Laundering Policy being reviewed	Transformation Programme Manager / HR & Development Officer Manager Information Manager Cabinet Secretary & Deputy Monitoring Officer Internal Audit Consortium Manager & Corporate Risk Officer	31 st December 2015

In order to achieve our aims we will;	Source documents	Further work on-going	Responsible Officer(s)	Deadline
3.1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	Members / Officers Code of Conduct Member / Officer Protocol Performance management system Complaints & Compliments procedures Anti Fraud, Corruption & Bribery Policy Whistleblowing Policy ICT Security Policy Anti Money Laundering Policy Officer Register of gifts and hospitality Member and Parish Councillors Register of Interests	Performance Review process reviewed and trialled. Full roll out commenced in October 2015 ICT Security policy currently being reviewed Officer Code of Conduct being reviewed and to go to EMT for endorsement in November 15 and to Council December 15 Whistleblowing Policy and Anti Fraud, Corruption & Bribery Policy and Anti Money Laundering Policy being reviewed	Transformation Programme Manager / HR & Development Officer Director – Customer Services & Group Manager – Customer Services Cabinet Secretary & Deputy Monitoring Officer Internal Audit Consortium Manager / Corporate Risk Officer	 30 th September 2015 31 st August 2016 31 st December 2015
3.1.3 Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	Standing orders Member/Officer Codes of conduct Financial regulations Anti Fraud, Corruption & Bribery Policy Whistleblowing Policy Members / Officers - Register of Interests Member / Officer – register of gifts & hospitality Officer induction and training (through 'Induction Check List' by Manager and E-Induction pack)	Whistle blowing Policy and Anti Fraud, Corruption & Bribery Policy being reviewed New Corporate Induction Course agreed by EMT 25 th September 2015 and to be put in place.	Internal Audit Consortium Manager / Corporate Risk Officer HR Development Officer / Interim Head of HR	31 st December 2015 31 st March 2016

In order to achieve our aims we will;	Source documents	Further work on-going	Responsible Officer(s)	Deadline
3.2.1 Develop and maintain shared values including leadership values both for the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	Codes of conduct 'The Plan' - Corporate Plan			
3.2.2 Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	Codes of conduct Contract Procedure Rules Anti Fraud, Corruption & Bribery Policy Whistleblowing Policy ICT Security Policy Anti Money Laundering Policy Internal Audit Reports	ICT Security Policy currently being reviewed Officer Code of Conduct being reviewed and to go to EMT for endorsement in December 15 and to Council January 16 Whistleblowing Policy, Anti Fraud, Corruption & Bribery Policy and Anti Money Laundering Policy being reviewed	Director – Customer Services & Group Manager – Customer Services Cabinet Secretary & Deputy Monitoring Officer Internal Audit Consortium Manager & Corporate Risk Officer	30 th September 2015 31 st August 2016 31 st December 2015
3.2.3 Develop and maintain an effective standards committee	Agenda and minutes Terms of Reference Committee meets regularly Regular reporting to the authority			
3.2.4 Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Decision making practices 'The Plan' - Corporate Plan			

In order to achieve our aims we will;	Source documents	Further work on-going	Responsible Officer(s)	Deadline
3.2.5 In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	Each partnership comes up with its own vision/values/action plan/decision-making system.			

Core Principle 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
<p>Our aims in relation to taking informed and transparent decisions which are subject to effective scrutiny and managing risk are to;</p> <p>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcomes of constructive scrutiny</p> <p>4.2 Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p> <p>4.3 Ensuring that an effective risk management system is in place</p> <p>4.4 Using their legal powers to the full benefit of the citizens and communities in their area</p>

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
4.1.1 Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the organisation's performance overall and of any organisation for which it is responsible	Constitution Scrutiny is supported by robust evidence and data analysis Agenda and minutes Work programme Training			
4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	Record of decisions and supporting materials Report template Decision list published	Further work to review report template. Review of delegated Authority & publication of decision	Cabinet Secretary & Deputy Monitoring Officer	31 st January 2016 31 st January 2016
4.1.3 Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	Members/ Officers Code of Conduct Member / Officers Register of Interests Declaration of Interests Code of Conduct Guidance to members/officers issued Standards Committee have responsibility for these issues	Officer Code of Conduct being reviewed and to go to EMT for endorsement in December 15 and to Council January 16.	Cabinet Secretary & Deputy Monitoring Officer	

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
4.1.4 Develop and maintain an effective audit committee (or equivalent) which is independent or make other appropriate arrangements for the discharge the functions of such a committee	Audit and Risk Committee Training Audit and Risk Committee Terms of reference Agenda and minutes Annual Governance Statement			
4.1.5 Put in place effective transparent and accessible arrangements for dealing with complaints	Complaints & Compliments procedure			
4.2.1 Ensure that those making decisions whether for the authority or partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	Members' induction scheme Members Library Members Handbook Training Report templates Individual members to be allocated a dedicated officer from Member Services to provide support.			
4.2.2 Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	Report template requires that consultation is undertaken with MO/ s151 before report considered by Members Record of decision making and supporting materials			

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
4.3.1 Ensure that risk management is embedded into the culture of the organisation , with members and managers at all levels recognising that risk management is part of their job	Risk Management Framework Corporate Risk Register Financial standards and regulations Service Planning Risk Management Training Risk Management is an Agenda Item on all Directorate meetings Group Plan Template created and in use by departments Auditors reports Report template Audit & Risk Committee Annual Governance Statement			
4.3.2 Ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the authority have access	Whistle blowing policy Register of whistle blowing reports and actions taken Information for contractors Published on Internet	Whistle blowing Policy and Anti Fraud & Corruption Policy being reviewed	Internal Audit Consortium Manager & Corporate Risk Officer	31 st December 2015
4.4.1 Actively recognise the limits of lawful activity placed on them by, for example the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities	Constitution Statutory provision Report templates / positive sign-off - increased consultation at pre report stage will enable issues to be fully explored before report is put to members			
4.4.2 Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	Training Availability of professional legal advice Report templates / positive sign-off - increased consultation at pre report stage will enable issues to be fully explored before report is put to members			

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
4.4.3 Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice into their procedures and decision making processes	Standing Orders Report template Constitution Statutory provision			

Core Principle 5 - Developing the capacity and capability of members and officers to be effective				
<p>Our aims in relation to developing the capacity and capability of members and officers to be effective are;</p> <p>5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</p> <p>5.2 Developing the capability of people with governance responsibilities and evaluating their performance as an individual and as a group</p> <p>5.3 Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal</p>				
In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	Training Induction programme My Learning Tools – to identify training needs and preferred training method	Workforce Development Plan to be finalised after Performance Review roll out	Transformation Programme Manager / HR & Development Officer	31 st March 2016
		New Corporate Induction Course agreed by EMT 25 th September 2015 and to be put in place Ivy Learning migrated to an internet based system and to be re-launched. A Learning and Development Strategy to be developed.	HR Development Officer / Interim Head of HR	31 st March 2016

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
5.1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the organisation	Training Induction programme Staff handbook My Learning Tools – to identify training needs and preferred training method 1:1's Group Plans S151 Officer protocol	Performance Review process reviewed and trialled. Full roll out commenced in October 2015. New Corporate Induction Course agreed by EMT 25 th September 2015 and to be put in place Ivy Learning migrated to an internet based system and to be re-launched. A Learning and Development Strategy to be developed.	Transformation Programme Manager / HR & Development Officer HR Development Officer / Interim Head of HR	31 st December 2015 31 st March 2016
5.2.1 Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	Personal Development Plans Member Training My Learning Tools – to identify training needs and preferred training method	Performance Review process reviewed and trialled. Full roll out commenced in October 2015 Workforce Development Plan to be finalised after Performance Review roll out New Corporate Induction Course agreed by EMT 25 th September 2015 and to be put in place Ivy Learning migrated to an internet based system and to be re-launched. A Learning and Development Strategy to be developed	Transformation Programme Manager / HR & Development Officer HR Development Officer / Interim Head of HR	31 st December 2015 31 st March 2016

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
5.2.2 Develop skills on a continuing basis to improve performance including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	Personal Development Plans E-learning Package My Learning Tools – to identify training needs and preferred training method	Performance Review process reviewed and trialled. Full roll out commenced in October 2015 Workforce Development Plan to be finalised after Performance Review roll out New Corporate Induction Course agreed by EMT 25 th September 2015 and to be put in place Ivy Learning migrated to an internet based system and to be re-launched. A Learning and Development Strategy to be developed	Transformation Programme Manager / HR & Development Officer HR Development Officer / Interim Head of HR	31 st December 2015 31 st December 2015 31 st March 2016
5.2.3 Ensure that effective arrangements are in place for reviewing the performance of the authority as a whole and of individual members and agreeing an action plan which might for example aim to address any training or development needs	Performance Management Framework	Performance Management Framework to be reviewed once outcome of transformation is known and 'The Plan' - Corporate Plan has been reviewed	Transformation Programme Manager	31 st December 2015
5.3.1 Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	Equality Impact Assessments on services and policies Area Committees Neighbourhood Boards / Forums Tenants Forum Networking Parish meetings Annual report on progress against equality objectives for EMT	Impact on equality are required for all reports & Equality Impact Assessments are considered & completed on a risk based approach where required.		

In order to achieve our aims we will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
5.3.2 Ensure that career structures are in place for members and officers to encourage participation and development	Succession planning			

Core principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability

Our aims in relation to engaging with local people and other stakeholders to ensure robust public accountability are to;

6.1 Exercise leadership through a robust scrutiny function which engages effectively with local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships

6.2 Take an active and planned approach to dialogue with and accountability to the public ensure effective and appropriate service delivery whether directly, in partnership or by commissioning

6.3 Make best use of human resources by taking an active and planned approach to meet responsibility to staff

In order to achieve our aims Scrutiny Committee will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
6.1.1 Make clear to themselves, all staff and the community, to whom they are accountable and for what	Constitution Stakeholder / local connector identification Satisfaction Surveys Open Forums Ward / Group / Club visit Neighbourhood boards & Community panels			
6.1.2 Consider those institutional stakeholders to whom they are accountable and assess the effectiveness of the relationships and any changes required	Statutory provisions			
6.1.3 Produce an annual report on scrutiny function activity	Annual report			

In order to achieve our aims Scrutiny Committee will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
6.2.1 Ensure that clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively	Leaflets / Publications Technology – facebook Networking Press Release Stakeholder / local connector identification Ward / Group / Club identification and visit Face to face	Digital by Design programme Greyfriars House reception facilities have been redesigned and remodelled. Design and integrate Business facilities to promote the economy of the Borough into Town Hall facilities.	Director of Customer Services / Transformation Programme Manager	On-going 30 th November 2015 28 th February 2016
6.2.2 Hold meetings in public unless there are good reasons for confidentiality	Constitution Access to information rules			
6.2.3 Ensure arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	Budget Consultation Meeting 'The Plan' - Corporate Plan	Digital by Design programme Greyfriars House reception facilities have been redesigned and remodelled. Design and integrate Business facilities to promote the economy of the Borough into Town Hall facilities	Director of Customer Services / Transformation Programme Manager	On going 30 th November 2015 28 th February 2016
6.2.4 Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result	Media and Publicity Protocols Budget Consultation meeting Social Networking Policy for employees Social Networking Policy for Members			

In order to achieve our aims Scrutiny Committee will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
6.2.5 On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period	Annual Performance Report Annual financial Report 'The Plan' - Corporate Plan			
6.2.6 Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so	Constitution Customer service standards Freedom of Information Act/Publication Scheme Member / Officer Code of Conduct Training undertaken Whistle blowing Policy Anti Fraud and Corruption Policy Data Protections Policy ICT Security Policy Anti Money and Laundering Policy	<p>Publication Scheme has been re-written to take into account the changes in FOI. The new scheme has been agreed by EMT and shared with group managers, it is about to be published on the councils internet site.</p> <p>ICT Security Policy is being reviewed.</p> <p>Officer Code of Conduct being reviewed and to go to EMT for endorsement in December 15 and to Council January 16</p> <p>Whistle blowing Policy and Anti Fraud & Corruption Policy and Anti Money Laundering Policy being reviewed</p>	<p>Information Manager</p> <p>Director – Customer Services & Group Manager – Customer Services Cabinet Secretary & Deputy Monitoring Officer</p> <p>Internal Audit Consortium Manager & Corporate Risk Officer</p>	<p>31st August 2016</p> <p>31st December 2015</p>

In order to achieve our aims Scrutiny Committee will	Source documents/Processes	Further work on-going	Responsible Officer(s)	Deadline
6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	Constitution Personal Development Plans HR Policies	Performance Review process reviewed and trialled. Full roll out commenced in October 2015 Workforce Development Plan to be finalised after Performance Review roll out	Transformation Programme Manager / HR & Development Manager	31 st December 2015 31 st December 2015

Subject: Risk Management Framework

Report to: Cabinet - 4th April 16

Report by: Corporate Risk

Officer

SUBJECT MATTER / RECOMMENDATIONS

To approve the revised Risk Management Framework as set out in the attached document

To delegate to the Monitoring Officer the power to make such changes to the Code of Corporate Governance as are necessitated by the Council's change to a Committee System from May 2016.

1. INTRODUCTION / BACKGROUND

- 1.1 The Council has been working to codify how it works in relationship to risk. To enable Members and officers to understand their roles and the place risk has in the organisation the attached Risk Management Framework was drawn up.
- 1.2 The Framework is required to be revised on an annual basis.
- 1.3 The revised Framework was approved by Audit and Risk Committee on 2nd February 2016.
- 1.4 Attached to this report is the revised Risk Management Framework for approval Council.

FINANCIAL IMPLICATIONS

This Framework seeks to identify the way in which Great Yarmouth Borough Council handles risk.

LEGAL IMPLICATIONS

None

EXECUTIVE BOARD OR DIRECTOR CONSULTATION:

EMT consulted

Does this report raise any legal, financial, sustainability, equality, crime or disorder or	Issues	
	Legal	No
	Financial	See above
	Risk	See body of report

human rights issues and, if so, have they been considered.	Sustainability	No
	Equality	No
	Crime and Disorder	No
	Human Rights	No
	Every Child Matters	No



GREAT YARMOUTH
BOROUGH COUNCIL

RISK MANAGEMENT FRAMEWORK

Date of Policy:	January 2016
Author:	Corporate Risk Officer
Document Status	Final Version
Next Review Date:	December 2016

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RISK MANAGEMENT POLICY AND STRATEGY

Policy

- 1.1 We define risk as something that might have a detrimental impact on the achievement of the Council's objectives, reputation, or service delivery.
- 1.2 The appraisal and management of risk will be part of our business planning, project management and change management process.
- 1.3 We will use risk management to promote innovation as well as to help secure our objectives.

Organisation

- 2.1 This risk management strategy will be subject to endorsement by the Audit and Risk Committee.
- 2.2 The Interim Head of Finance is responsible for risk management. The Executive Management Team (EMT) will support the Interim Head of Finance in assessing risks likely to have a significant impact on the achievement of the Council's objectives. The EMT is responsible for the development of advice and guidance on risk management matters.
- 2.3 Directors will implement risk management within their services and ensure that;
 - risk is a standard agenda item on all directorate meetings to identify any emerging risk and changes.
 - managers carry out risk assessments as a routine part of service planning and management activities.
 - The Interim Head of Finance is notified of any significant changes in service provision likely to arise if a risk materialises to enable him/her to ensure that appropriate and adequate insurance measures are in place.
 - The Interim Head of Finance is informed if financing measures are needed to be put in place.
 - a risk aware culture is built across the department.
 - key risks to service objectives, project, partnership and change management process under their control are identified, recorded and managed.
 - those risks having a corporate impact are reported for consideration for inclusion in the Corporate Risk Register.

- 2.4 The Interim Head of Finance is responsible for coordinating the Council's approach to risk management. The Corporate Risk Officer sits within the Finance team and is responsible for monitoring the implementation and effectiveness of this risk management strategy and for reviewing compliance with controls introduced by EMT to manage risks.
- 2.5 The Audit and Risk Committee is responsible for reviewing the effectiveness of the systems and processes in place for managing risk.

Arrangements

- 3.1 Reports to Cabinet will include an appraisal of risk.
- 3.2 Corporate risks will be identified and:
 - assessed for likelihood and impact
 - mitigating controls identified
 - allocated responsible officers for the mitigating controls
 - cost implications of controls will be considered
- 3.3 Risk Management training will be provided to EMT and senior managers with the aim of ensuring that they have the skills necessary to identify, appraise and control the risks associated with the services they provide. Councillors will receive training on risk so that they can consider the implications of risk in their work for the Council.
- 3.4 Every partnership, project team or change management team will appraise strategic and operational risks and make provision for dealing with those risks.
- 3.5 This strategy will be communicated to Councillors and staff and will be reviewed annually by the EMT.

1. Introduction

The fundamental principles adopted by the Council on Risk Management are described in the policy and strategy statement on Risk Management (page 3).

Adopting and implementing the framework detailed below will achieve compliance with the policy and strategy.

2. Background

All organisations face a wide variety of risks including physical risks to people or property, financial loss, failure of service delivery, information management and damage to the organisation's reputation. Risk for this purpose is defined as "the chance of an event happening and leading to unintended effects which will impair the organisation's ability to achieve its objectives".

Good risk management is a key tool in assisting the organisation to manage uncertainty in order to enable the organisation to better achieve the outcome of its objectives. Risk management is intended to be a planned and systematic approach to the identification, assessment and management of the risks facing the organisation. It is essential that steps are taken to effectively manage those risks. Risk management supports innovative solutions as it carefully considers benefits, alongside the risks, that may occur.

The traditional means of protecting against the more obvious risks has been through insurance. However, there are many risks which cannot be insured against and which must be addressed in different ways. Even in the case of those risks which are insurable, action can be taken to reduce the potential risks with consequent savings of premiums and disruption of work.

The risk management framework aims to:-

- Clarify responsibilities for identifying and managing risks
- Ensure that an appropriate level of risk management is consistently applied across the Council
- Increase awareness and use of risk management as a normal element of service management and improvement
- Facilitate sharing of experience and good practice across the Council and with other bodies

3. Leadership and Responsibility

Given the diversity of Council services and the wide range of potential risks, it is essential that responsibility for identifying and taking action to address potential risks is clear.

Responsibility for effective risk management rests with all Members and Officers of the Council.

The Chief Executive Officer is the Officer with overall responsibility for securing adherence to the Council's policy on Risk Management.

The framework of roles and responsibilities in Appendix One shows how these are allocated.

4. Corporate Governance

Great Yarmouth Borough Council has adopted a Local Code of Corporate Governance setting out the framework through which it will carry out its responsibilities to deliver effective services.

Effective risk management is an essential element of good corporate governance which, in turn, supports effective decision making and ultimately contributes to improved performance.



Core principle four requires “taking informed and transparent decisions which are subject to effective scrutiny and managing risk”. This requires that an effective risk management system is in place.

As part of the Local Code it states that the authority should prepare and publish an annual governance statement. This statement is a key corporate document and will include an assessment of the authority's effectiveness of managing risk; it is signed by the Chief Executive and Leader of the Council.

The assessment of the authority's effectiveness of managing risk is provided by an annual report to the Audit and Risk Committee

5. Training

Individual officers and Members will have different needs and these can be met with different methods. These will include appropriate awareness raising sessions as well as the more formal training.

The e learning package includes a module on risk and this will be used to deliver part of the training requirements. External providers will be identified to deliver specific training and, where appropriate, in house training will be used.

6. Resourcing Risk Management

Risk management is not a new issue and, as identified at paragraph 3, every Member and Officer is responsible for considering risk implications as they relate to their actions. However, it is recognised that the concept of risk management needs to become formalised and part and parcel of the culture of the Council.

The designated Risk Champion(s) at Executive Management Team Level is the Interim Head of Finance.

The Corporate Risk Officer will be the link for all aspects of risk management.

7. Role of the Executive Management Team

Whilst acknowledging the wide variety of risks that face the Council, and the differing circumstances that apply in different services, it is essential that there is some consistency in the way that risks are identified and assessed. This helps to ensure that all areas of risk are adequately considered and relative priorities for action can be judged.

The EMT will provide this consistency of approach. The Group acts as a link between group managers, specialised groups dealing with particular areas of risk, senior management and Members.

Quarterly updates on the Corporate Risk Register will be provided to EMT and risk will be an agenda item on all meetings to identify any emerging risks or changes.

8. Risk Management Role in the Cabinet and Audit and Risk Committee

The Cabinet is responsible for ensuring that an adequate risk management framework and associated control environment exists within the Council.

The Audit and Risk Committee is responsible for monitoring the arrangements in place for the identification, monitoring and management of strategic and operational risk.

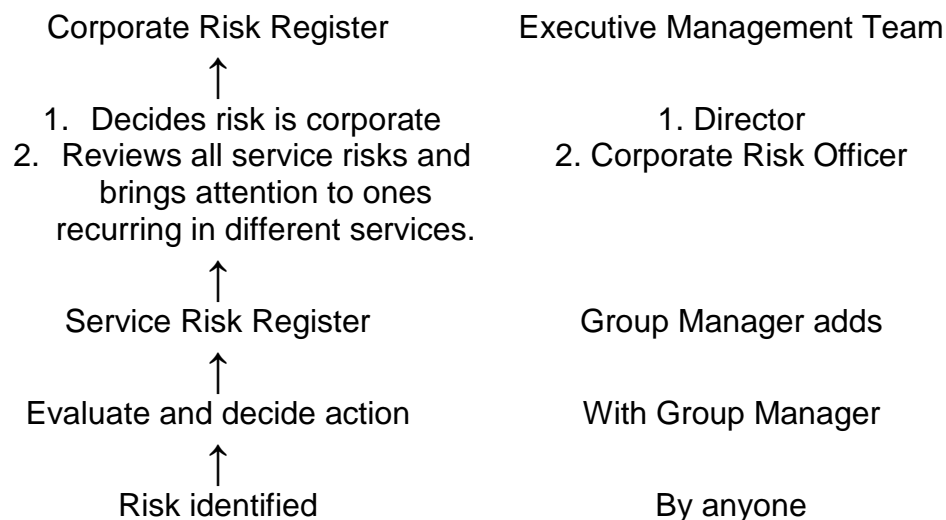
To provide the Audit and Risk Committee with the necessary information to undertake these responsibilities, regular progress updates on the Corporate Risk Register are reported at specific Audit and Risk Committee meetings.

9. Risk Management Approach

The development of a consistent, corporate approach to risk management needs to be done in a methodical and proportionate way in order to avoid the creation of a self-defeating bureaucratic burden.

To ensure that risk management is handled in the most efficient way within the Council, risk is included as an agenda item on all departmental meetings to identify emerging risks and changes. Work to integrate risk management and performance management is under way.

The following chart (from bottom up) shows how a risk could be identified and escalated:



10. Methodology

A methodology for identifying, assessing and managing risk within the Council has been developed. This methodology has the advantage of being relatively straightforward to use and can be applied to both the strategic risks of the Council and as part of the routine service, project planning and change management processes.

Once a risk has been identified it is essential to determine the level of impact and likelihood. The Impact and likelihood criteria is set out in Appendix 2.

The Corporate Risk Register is held by the Corporate Risk Officer and published on the intranet. The format of the register is as below:

CORPORATE RISK ASSESSMENT – GREAT YARMOUTH BOROUGH COUNCIL

Reviewed:

Next Review Date:

No	Vulnerability	Trigger	Consequence	Mitigation	Current Score	Target Score	Action Plan / Progress update	Responsible officer	Due Date	Link to Strategic Priority
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Almost all projects can be assessed using the three categories, schedule/time, costs and performance/ quality of end product. Projects should follow Prince 2 principals. The Council's risk management methodology should be followed to produce these risk assessments and a summary of the findings given in reports to Members.

11. Risk Identification

To meet the requirements of this framework, risk(s) must be capable of being identified at any level, and by anybody, within the Authority.

The key people are the group managers who will identify, record and manage key risks to service objectives, project, partnership and change management processes under their control and identify mitigating processes to help reduce their impact. Service risks should be included as an agenda item on each Departmental Management Team meeting, to review whether any additions, deletions or other changes need to be made.

Any risk can, if appropriate, be escalated to being a corporate risk through the Interim Head of Finance, Corporate Risk Officer and eventually the Executive Management Team.

Members and Senior Officers can also identify corporate or service risks through EMT.

The Corporate Risk Register will be reviewed on a quarterly basis and updated to reflect any changes to the risks currently included and to include any new risks identified.

12. Involvement of Other Related Groups

There are a number of other officer groups in existence which deal with specific areas of risk management. These included both the Health and Safety working Group and Business Continuity Group

The Council's Internal Audit Consortium also contributes to the management of risk. The work of Internal Audit is based on a needs and risk assessment process that identifies and focuses resources on higher risk areas. Audit findings are reported to the relevant Director and Group Manager together with recommendations for improvement and an action plan. Checks are undertaken by Internal Audit to ensure agreed recommendations are implemented.

The Corporate Risk Officer will receive copies of all finalised internal and external audit reports to assess if any changes are required for the corporate risk register.

13. External Contacts

The potential risks faced by the Council are in many cases similar to those faced by other authorities and it is practical and cost effective to learn from the experience of others. In order to share risk management information and experiences, the Council has established networks with other authorities and agencies.

14. Partnerships

A Partnership Guidance is available and outlines the Council's approach to assessing partnership risks for partnerships. The guidance note explains the steps that should be taken to assess risks before the decision is made to enter into a partnership and also how to undertake ongoing monitoring of risk once a partnership has been established.

15 Risk Appetite

Risk appetite refers to the Organisations attitude towards risk, which in turn dictates the amount of risk that it considers acceptable. As a result, risk appetite refers to our willingness to tolerate a particular level of exposure to specific risks. The appetite is also a function of our capacity to bear risk which should not be exceeded.

16. Reviews

The Framework will be reviewed by EMT and the Audit and Risk Committee on an annually basis before being sent to Council for approval and published on the Councils Intranet and internet.

The Corporate Risk Register will be reviewed by EMT on a quarterly basis and Audit and Risk Committee every six months and published on the Councils Intranet.

Shared Leadership – Role and Responsibilities

Everyone has a role to play in an integrated risk management framework. Combining shared leadership with a team approach will help contribute to its ultimate success. Roles as identified at present are:

1. CABINET

Approve the Risk Management Framework which includes the Risk Management Policy and Strategy.

Consider Council's corporate strategic risks and agree a programme of risk reduction where appropriate.

Consider risks attached to proposals for new / changed policies and service delivery arrangements.

Reports to Cabinet will include an appraisal of risk.

Review effectiveness of Risk Management.

Ensure proper insurance is in place where appropriate.

2. AUDIT AND RISK COMMITTEE

Provide proactive leadership and direction on Risk Management Governance issues and champion Risk Management throughout the Council.

Receive progress reports on risk reduction programme and agree revisions to the corporate risk register.

Receive progress reports on the corporate risk register at least six monthly.

Monitor to ensure that an adequate risk management framework and associated control environment is in place.

Monitor arrangements for the identification, monitoring and management of strategic and operational risk within the Council

Consider an annual report on Risk Management arrangements.

3. CHIEF EXECUTIVE OFFICER

Promote Risk Management and its benefits throughout the Council.

Overall responsibility for securing adherence to the Council's Policy on Risk Management.

Appoint a Director to take responsibility for risk management.

4. EXECUTIVE MANAGEMENT TEAM (EMT)

Agree the Corporate Risk Management Framework including the Risk Management Policy and Strategy.

Consider risks attached to proposals for new / changed policies and service delivery arrangements.

Ensure that this framework is applied.

Consider and agree the Council's corporate strategic risks and identify those requiring further action on a quarterly basis.

Allocate responsibility to Directors to develop action plans for corporate strategic risks.

Receive progress reports on risk reduction programme and propose revisions to "corporate risk register"

Responsible for the development of advice and guidance on risk management matters.

Supports the Interim Head of Finance in assessing risks likely to have a significant impact on the achievement of the Council's objectives.

5. INTERIM HEAD OF FINANCE

The Interim Head of Finance is responsible for risk management.

The Interim Head of Finance is responsible for coordinating the Council's approach to risk management.

The Interim Head of Finance is responsible for the insurance provision within the Authority.

6. DIRECTORS

Directors will implement risk management within their services and ensure that;

- Risk is an agenda item on all directorate meetings to identify any emerging risk and changes.
- Key risks to service objectives, project, partnership and change management processes under their control are identified, recorded and managed.
- managers carry out risk assessments as a routine part of service planning and management activities
- Interim Head of Finance is notified of any significant changes in service provision likely to arise if a risk materialises to enable him/her to ensure that appropriate and adequate insurance and financing measures are in place.
- Those risks having a Corporate impact are reported for consideration for inclusion in Corporate Risk Register.
- A risk aware culture is built across the department.

7. CORPORATE RISK OFFICER

The Corporate Risk Officer sits within the Finance team and is responsible for monitoring the implementation and effectiveness of this risk management strategy and for reviewing compliance with controls introduced by EMT to manage risks.

Coordinate risk management activity across the Council

Report on risk management activity to EMT and Members

Maintain a corporate risk register and liaise with Group Managers relating to service risks.

Provide risk management training for officers and Members, appropriate to their needs and responsibilities.

Provide advice and assistance as required.

Maintain the insurance cover for the Authority and review on an annual basis

Report on Risk Management arrangements on an annual basis.

Review Risk Management Framework on an annual basis.

8. GROUP MANAGERS

Develop action plans in relation to corporate strategic risks as they relate to their area.

Identify risks attached to proposals for new / changed policies and service delivery arrangements.

Assist management to identify and record all key risks to service, project, partnership and change management processes.

9. EMPLOYEES

Maintain awareness of risk management principles and take responsibility for managing risk within their own working environment

Apply risk management to those risks requiring further action, particularly new developments and "project" work

Maintain a record of risk assessments undertaken relating to them and any resulting action plans

10. INTERNAL AUDIT

The Internal Audit Consortium Manager reports to Management on the organisations performance under the Risk Management Framework and the adequacy and effectiveness of systems of risk management.

11. EXTERNAL AUDIT

Ernst Youngs the Council's External Auditors report to Management on the organisations performance on risk management.

APPENDIX TWO

RISK SCORING CRITERIA AND MATRIX

Likelihood:

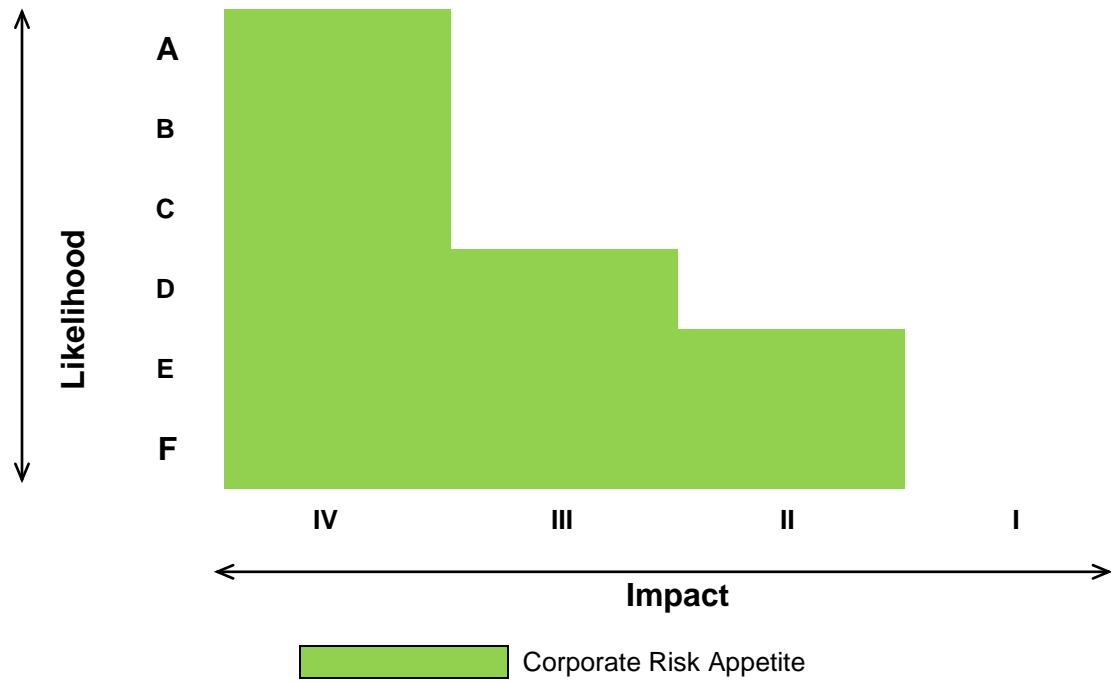
Likelihood	Probability	Timing
A Very High	Over 90%	This week
B High	55 % to 90 %	Within 6 months
C Significant	15 % to 55 %	This year
D Low	5 % to 15 %	Next year
E Very Low	1 % to 5 %	Probably within 10–15 years
F Almost Impossible	Less than 1 %	Probably not for at least 15 years

Where the probability and timing score differently, a judgement should be made as to the correct likelihood score.

Impact

Impact Type	Negligible (IV)	Marginal / Moderate (III)	Critical (II)	Catastrophic (I)
Financial (loss)	£0k – £10k	£10k – £200k	£200k – £1m	Over £1m
Service Provision	No effect	Some disruption to Services	Significant disruption to Service or Suspended Short Term	Service suspended long term or statutory duties not delivered
Projects	Minor Delay – days	A few Milestones missed	A Major Milestone missed	Project does not achieve objectives and misses majority of Milestones
Health & Safety	Sticking Plaster / First-aider	Broken bones / illness	Extensive or multiple injuries / Major illness	Major Loss of Life / Large scale Major illness
Objectives	No effect	Team Objectives not met	Portfolio Objectives not met	Corporate Objectives not met
Morale	No effect	Some hostile relationships and minor non-cooperation	Industrial Action	Mass Staff leaving / unable to attract staff
Reputation	No media attention / minor letters	Adverse local media Leader	Adverse National publicity	Extensive coverage in National Press and on TV. Requires resignation of Senior Officer / Member
Government Objectives	No effect	Poor Assessments(s)	Service taken over temporarily	Service taken over permanently

MATRIX



Subject: Asset Management Plan 2016 - 2018

Report to: Cabinet 4th April 2016

Report by: Director Customer Services

SUBJECT MATTER/RECOMMENDATIONS: To approve the Asset Management Plan 2016 -18.

1. CURRENT POSITION

The Council holds an extensive property portfolio and undertakes to agree an Asset Management Plan on a rolling basis. The previous plan identified objectives across a five year period however given the economic position and the changing environment of the Council it was thought prudent that this updated plan should look at a shorter timescale.

The Asset Management Plan, attached appendix 1, considers the Council's Asset holdings in relation to the Corporate Plan and Medium Term Financial Strategy objectives. It sets out aspirations to improve management and performance (both financial and operational) of the Council's property assets and the Property and Construction Services Team.

The Asset Management Plan aligns with the Great Yarmouth Borough Council's 'Plan' and identifies assets using the same six key objectives reporting income and expenditure in addition to raising awareness of issues which are currently outside budget provision.

The Asset Management Plan contains two clear strategic aims:

- **To manage the assets through a strategic client model**
- **To deliver financial incentives, asset redevelopment and disposal as identified through this plan and in line with the Medium Term Financial Strategy**

The action plan outlines the activities to be undertaken and the proposed timescales for delivery to achieve these aims. It is suggested that as part of this process regular updates are progressed through the new Committee process to ensure objectives are achieved and opportunities identified.

It is recommended that as part of an improved commercial environment that all opportunities for investment are investigated. The team will monitor movements of externally held assets to identify potential investments or opportunities to influence the growth of the Borough. This work may lead to acquisitions of additional assets, disposals or joint working with partner organisations all opportunities will be investigated to deliver the best potential outcome.

The key drivers for any investment opportunity must include the economic benefit, regeneration potential, commercial opportunity or the potential benefit through streamlining service delivery and enhancing the customer experience.

The Asset Management Plan 2016-18 is designed to be a step toward a new way of working within the Property and Construction Team. It is clear that additional detailed information will be required over the lifetime of the plan to further development the document for the future and assist in the management of individual assets.

RECOMMENDATION

To approve:

- The Asset Management Plan 2016-18
- Bi-annual updates through the relevant Committee process.

FINANCIAL IMPLICATIONS: In line with Medium Term Financial Strategy.

LEGAL IMPLICATIONS: Review policies in relation to asset disposal and acquisition.

EXECUTIVE BOARD OR DIRECTOR CONSULTATION: Executive Management Team

RECOMMENDATIONS

Does this report raise any legal, financial, sustainability, equality, Crime and Disorder or Human Rights issues and, if so, have they been considered?	Issues	
	Legal	No
	Financial	Yes
	Risk	Yes
	Sustainability	Yes
	Crime and Disorder	No
	Human Rights	No
	Every Child Matters	No
	Equality	No

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Great Yarmouth Borough Council

Asset Management Plan 2015-2018



1. Executive Summary
2. Introduction
3. Corporate Plan
4. Asset Management Strategy
5. Current Property Assets
6. Budget Performance
7. Resources
8. Action Plan and Priorities
9. Conclusions

Great Yarmouth Borough Council

Asset Management Plan 2015-2018



1. Executive Summary

- 1.1 This Asset Management Plan considers the Council's Asset holdings in relation to the Corporate Plan and Medium Term Financial Strategy objectives. It sets out aspirations to improve management and performance (both financial and operational) of the Council's assets.
- 1.2 Great Yarmouth Borough Council has set out its future aspirations for the Borough in 'The Plan' which identifies six key objectives aimed at supporting economic growth, revising the tourism industry, showcasing the wealth of heritage and tackling challenges in the communities.
- 1.3 The Council holds an extensive property portfolio the aim of the asset management plan is to ensure that this portfolio is fit for the needs of the 21st Century Borough.
- 1.4 The Asset Management Plan contains two clear strategic aims:
 - **To manage the assets through a strategic client model**
 - **To deliver financial incentives, asset redevelopment and disposal as identified through this plan and in line with the Medium Term Financial Strategy**
- 1.5 A significant proportion of the assets are leased on the basis of full repair, section 4 provides detail in relation to asset value, number of sites, income value, length of lease and opportunity identified for this plan.
- 1.6 Budget information is also included within section 4 and identifies current income and expenditure. This information has been recognised in the same categories as 'The Plan' to identify clearly the opportunities within each group.
- 1.7 Section 5 further develops the key strategic aims of the plan and introduces criteria to evaluate and manage assets through each of the processes.
- 1.8 As part of developing this plan the resources shown are in need of review. The future model for managing and transacting property will be based on an 'Intelligent Client' approach this draws distinction between managing the portfolio and carrying out transactional functions and is detailed further within section 7.
- 1.9 The Action plan recognises both the input and output requirements of this management plan and clearly identified timescales for delivery and current progress to date. The Asset Management Plan will be regularly reviewed to monitor achievements.

Great Yarmouth Borough Council

Asset Management Plan 2015-2018



2.0 Introduction

- 2.1 The management of assets is a vital resource for the council. The council benefits from a particularly high number of assets and it is essential that further investment, regeneration and rationalisation are based on sound business measures.
- 2.2 Asset management is about optimisation of assets in terms of service provision and financial benefits. A key driver of this Asset Management Plan is to ensure that the opportunity cost of financial resources tied up in property is minimised and that capital and revenue expenditure on the portfolio is directed efficiently and effectively to provide value for money.
- 2.3 The purpose of the Asset Management Plan is to set a broad direction for the authority over the medium term, enabling its property resource (and professional support) to be effectively co-ordinated. As part of The Plan 2015-2020 economic growth and regeneration are the key drives for the borough. It can be achieved by:
- defining key strategic objectives relating to property management;
 - setting out a high level programme to achieve the strategic objectives
 - summarising the portfolio and using data to inform decisions;
 - measuring performance against anticipated outcomes.
- 2.4 The Asset Management Plan clearly identifies the criteria, assets must be fit for purpose, provide value for money and support both business and community needs. Decisions to invest must form part of the same criteria.
- 2.5 If assets do not align with the above ethos they should be considered for disposal, redevelopment or transfer to ensure the most efficient management of assets at all times.
- 2.6 Roles and responsibilities:
- The Director of Customer Services is the designated Corporate Property Officer (CPO) with overall responsibility for developing asset management within the authority, and for ensuring timely production of the Asset Management Plan
 - Corporate Asset Working Group – consists of the Director of Customer Service, Group Manager Property and Construction, Principal Surveyor and is responsible for the recommendation to Cabinet of decisions and strategy relating to the Council's Asset Portfolio.
- 2.7 This Asset Management Plan only considers the Council's General Fund Property Assets. Council Housing assets are considered within a separate business plan. This Plan is informed by, and in turn serves to inform, the Council's Capital Strategy.

Great Yarmouth Borough Council Asset Management Plan 2015-2018



3. Corporate Plan

3.1 The Plan 2015-2020 clearly identifies the need to 'invest in Great Yarmouth's future, sets out the broad strategic direction, priorities and targets for the Council, describes progress achieved to date, and charts the way ahead for the next 5 years. The plan serves several key purposes in ensuring the effective management and accountability of the authority.

3.2 The Council has six Corporate Priorities:

Economic Growth
Housing
Neighbourhoods, Communities and the Environment (NCE)
Tourism, Culture and Heritage (TCH)
Great Yarmouth's Town Centre (GYTC)
Transport and Infrastructure (T&I)

3.3 The Asset Management Plan supports the Council's Plan, by detailing the strategic use of assets to support the six Corporate Priorities:

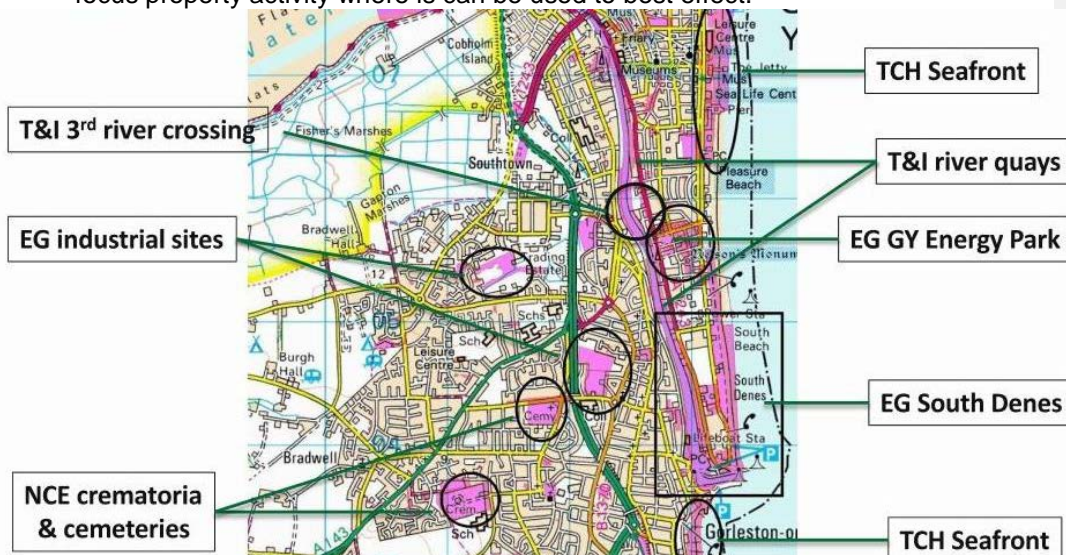
Priority	Strategic Asset Plan
Economic	<p>To utilise assets to:</p> <ul style="list-style-type: none"> • support regeneration within the Borough • provide land and buildings suitable for businesses to 'work' from • deliver revenue (investment) income for the authority • Continue the successful development of the Beacon Park Enterprise Zone <p>To utilise assets for:</p> <ul style="list-style-type: none"> • Disposal to generate capital receipts for the authority • To improve the way in which we monitor and utilise our assets
Housing	<ul style="list-style-type: none"> • To develop residential housing at Beacon Park. • Bring forward opportunities for Waterfront developments • Housing development opportunity Hertford Way

Great Yarmouth Borough Council Asset Management Plan 2015-2018



Neighbourhoods, Communities and the Environment	<ul style="list-style-type: none"> To maintain and redevelop our assets to improve the physical landscape. To promote community hubs and “neighbourhoods that work” concept. To evaluate and act on any opportunities to develop or dispose of surplus open space
Tourism Culture and Heritage	<ul style="list-style-type: none"> To promote the use of the Borough’s Heritage and Tourism Assets. To optimise new opportunities to enhance assets and land for innovative use. <p>To evaluate and act on:</p> <ul style="list-style-type: none"> opportunities to develop assets through innovation or partnership funding. disposal of surplus assets
Great Yarmouth Town Centre	<ul style="list-style-type: none"> To review housing options as part of the Town Centre Initiative aligned with the Town Centre Masterplan. To work with public sector partners through the One Public Estate (OPE) and others to streamline and make more effective and efficient use of the public estate.
Transport and Infrastructure	<ul style="list-style-type: none"> To work with the Transport and Infrastructure Steering Group to continue A47 improvements; 3rd river crossing; GY Rail Station; Flood defences, Fuller’s Hill road capacity improvements as appropriate.

- 3.4 The map below shows the existing GYBC assets in red and by drawing the appropriate boundaries around each area of strategic importance, it is possible to focus property activity where it can be used to best effect.



Great Yarmouth Borough Council

Asset Management Plan 2015-2018



4. Asset Management Strategy and Programme

4.1 Strategic Aim 1: -To manage the assets through a strategic client model

- 4.1.1 The benefits of this type of model are detailed further in section 7 Resources, however there are a number of elements necessary to ensure the data to work within the new model is both available and accurate.
- 4.1.2 The current focus of the work in 2016/17 is to capture the information relating to detailed expenditure on Council investment assets, in order to enable the Property Services team to better manage the assets, by efficiently and effectively identifying the following:
- Development opportunities
 - Assets which are under performing
 - Assets for disposal
 - New Investment
 - Adding value to strategic assets
- 4.1.3 This will enable the Council to evidence that full value for money is being obtained from the assets, and to ensure that the financial element of the Medium Term Financial plan can be met.
- 4.1.4 The objective will be to have full financial and condition survey information within the computerised asset management database by 2017.

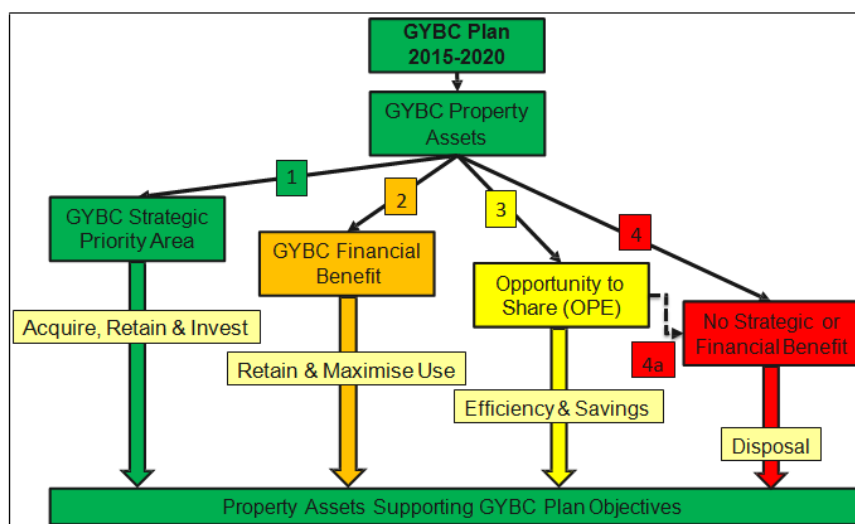
4.2 Strategic Aim 2: To deliver financial incentives, asset redevelopment and disposal as identified through this plan and in line with the Medium Term Financial Strategy

- 4.2.1 The Medium Term Financial Strategy identifies a potential shortfall in the Council's budget of £1.75m by 2018/19, increasing to £2.2m by 2019/20. The Asset Management Plan offers the opportunity to close this gap. The Strategic direction of the plan aims to ensure assets are used to best effect in addition to creating a sustainable future portfolio.
- 4.2.2 The Capital Strategy introduces a predetermination towards asset disposal, except where at least one of four criteria are met:
- The asset is operational
 - The asset is strategically important, and is being retained to satisfy the objectives set out in the Corporate Plan
 - The asset is being retained due to a legislative requirement
 - The asset generates significantly more income than would be the case if it were to be disposed of.

Great Yarmouth Borough Council Asset Management Plan 2015-2018



The following diagram outlines the process to be followed in achieving this objective:



4.2.3 In order to meet the requirements of the Medium Term Financial Strategy therefore, assets will need to be considered against these criteria.

4.2.4 The table below highlights progress to date:

Asset Type	Current Position and Progress
Operational Buildings	A rationalisation of Operational Buildings has taken place. This has resulted in the termination of the lease at Maltings House, the closure and disposal of Trafalgar House and the Old Fire Station, the letting of Novus House to GYNorse and the relocation of staff into the Town Hall, Greyfriars House and Wherry Way.
Seafront Assets	Seafront Assets are considered strategically important for Tourism within the borough. To ensure that all tourism assets align with future opportunities and developments.
South Denes Assets north of Main Cross Road	These assets, generally on long term non-reviewable leases, are considered strategically important for regeneration, so are considered appropriate to hold.
South Denes Energy	GYBC will continue to support the port and energy sectors by

Great Yarmouth Borough Council

Asset Management Plan 2015-2018



Park	unlocking sites that have little or no employment & /or relocating non-energy related business that are better situated away from the port, thus providing land assembly options for inward investment & job creation. The Councils CPO powers will only be used as a last resort.
South Denes Assets in the Outer Harbour hinterland (South of Hartman Road)	Quayside land predominantly let to Peel Ports. (formally Eastport) Remaining sites are strategically located close to the Outer harbour. One site has now obtained enterprise zone status.
Beacon Park	Work continues to develop Beacon Park. Blackfriars Court: 93% let, sold or under offer. Wellington Park: 2 units let, 3 vacant, 1 sold. Also in the Enterprise Zone 2 sites have been sold to, developed and occupied by, Acteon and SMS. 4 speculative industrial buildings have been developed by the Council for sale/To Let and a further 2 sites are under offer for the development of a 30,000 sq ft office building and a 65,000 office/warehouse headquarters.
Market	Work is being undertaken as part of the Town Centre Initiative to address and reverse the decline in the market. The market forms part of the master planning process for the future.
Other investment assets	Being considered on a case by case basis.

- 4.2.5 The savings required by the Medium Term Financial Strategy will be delivered by a combination of asset disposal (enabling repayment of borrowing) and increases to revenue streams.

5 Current Property Assets

- 5.1 The Royal Charter of 1207 bestowed upon the Council ownership of all of the land comprised within the former County Borough, only excluding land within the medieval town wall. While much has been disposed of over the centuries, the Council still retains a significant proportion of the landholdings within the Borough, which exceed those of similar district authority size.
- 5.2 The Asset Register is computerised and holds data relating to all Council freehold and leasehold interests, both past and present, in addition to management information which will assist with the strategic management of the portfolios in the longer term. The register offers the ability to identify opportunities, risks and disposals. Moving forward the Asset Management Working Group are focused on ensuring that condition data together with full financial information is regularly and accurately recorded.

Great Yarmouth Borough Council Asset Management Plan 2015-2018



5.3 The 2015/16 draft accounts show the value of the Council's assets as follows (all figures in 000's):

GYBC Priority	No of Interests	No of Sites	Asset Value £	Rental Income £	Forecast Other Revenue £
1 – Economic Growth	319	161	£43,360,497	£2,580,222	£0
2 - Housing	62	51	£304,601	£49,437	£0
3 – Neighbourhoods, Communities and Environment	292	179	£26,737,060	£55,790	£1,664,318
4 – Tourism, Culture and Heritage	63	40	£1,162,337	£74,470	£0
5 – Great Yarmouth Town Centre	99	41	£2,311,597	£56,407	£1,376,832
6 – Transport and Infrastructure	154	123	£5,320,338	£57,769	£547,100
GYBC Occupied	9	9	£1,768,500	-£10,000	£0
GYBC Other Assets	65	54			
Disposed with Retained Interest	244	243	£564,001	£0	£0
Totals	1308	901	£81,528,931	£2,864,096	£3,588,250
Total less Disposed Interests	1064	658	£80,964,930	£2,864,096	£3,588,250
				£6,452,346	

5.4 The following categories identify the number of interests and sites in addition to areas of expenditure which are currently unbudgeted.

The categories include the following types of property:

Economic Growth – South Denes Enterprise Zone and Great Yarmouth Energy Park; Beacon Park Enterprise Zone, The 'Enterprise Town' (funded by Coastal Communities for 2 years)

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
1 - Economic Growth	319	161	17.8%	£ 43,360,497	49.4%	£ 2,714,694	94.8%	46	28	33	15	119	211	93	0	13

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Of these 319 interests the Council has repairing responsibilities on 86. Anticipated additional budget requirement in relation to economic sites totals £145k between 2016-18. The revenue expenditure relates to a range of Nursery Units, retail and office accommodation in addition to covering the costs of the North Drive boating lake should Heritage Lottery funding be delayed or unachievable.

There is a potential identified capital requirement of £2,05m for quay replacement in South Denes Industrial zone.

Housing – Mixed tenure development Great Yarmouth Town Centre and North Quay; Southtown and Cobholm.

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income£	% of Income	>999 years	>99 years	>50 Years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
2 - Housing	62	51	5.7%	£ 304,601	0.3%	£ 57,399	2.0%	27	8	4	2	9	18	0	0	44

Housing – Beacon Park

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 Years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
Housing	1	1		£ 6,172,500	7.0%			0	0	0	0	0	0	1	0	0

Neighbourhoods, Communities and Environment – Community Centres; Recreation Grounds and playing fields; Open Spaces; Leisure Centres;

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 Years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
3 - Neighbourhoods, Communities and Environment	292	179	19.9%	£ 26,737,060	30.5%	£ 47,673	1.7%	9	10	5	6	17	281	1	0	10

Anticipated additional revenue expenditure for 2016-2018 is £15,000. This relates to the potential service charge shortfall over the period of this plan.

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Tourism, Culture and Heritage – Promotion of the Borough's Heritage and Tourist assets; Business plan for Winter Gardens

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
4 - Tourism, Culture and Heritage	63	40	4.4%	£ 1,162,337	1.3%	£ 51,000	1.8%	28	9	0	2	7	34	9	0	20

Anticipated additional revenue expenditure for 2016-2018 is £120,000. This relates to the Yacht station, St Georges Theatre and Winter Gardens.

Great Yarmouth's Town Centre – Town Centre Assets; BID plan for the Town Centre Partnership; Great Yarmouth Waterfront Masterplan

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
5 - Great Yarmouth Town Centre	99	41	4.6%	£ 2,311,597	2.6%	£ 11,811	0.4%	2	3	9	5	52	80	19	0	0

Anticipated additional revenue expenditure for 2016-2018 is £38,000. This relates to an allowance for service charge voids and any potential shortfall in Market Place income.

Transport and Infrastructure – Car parks; Public conveniences; Electricity sub-stations.

GYBC Priority	No of Interests	No of Sites	% of Sites	Asset Value	% of Asset Value	Rental Income	% of Income	>999 years	>99 years	>50 years	>25 years	<25 years	Strategic Benefit	Financial Benefit	OPE Sharing	Potential for Disposal
6 - Transport and Infrastructure	154	123	13.7%	£ 5,320,338	6.1%	£ 49,609	1.7%	1	40	20	1	33	115	38	0	1

- 5.5 The Council receives rental income of approximately £2.9m per annum from the investment property that it manages.

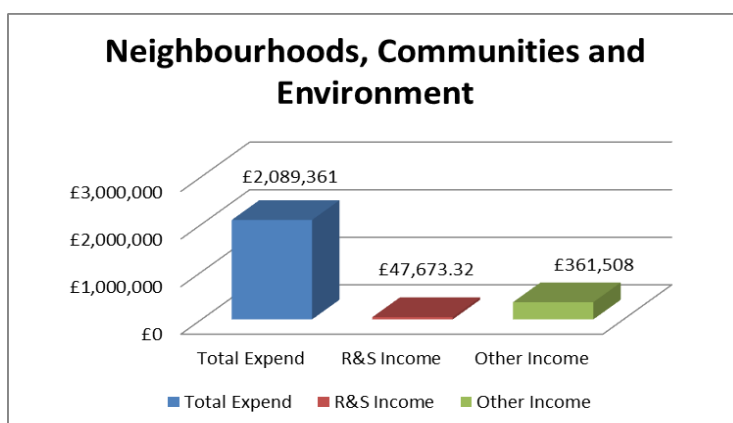
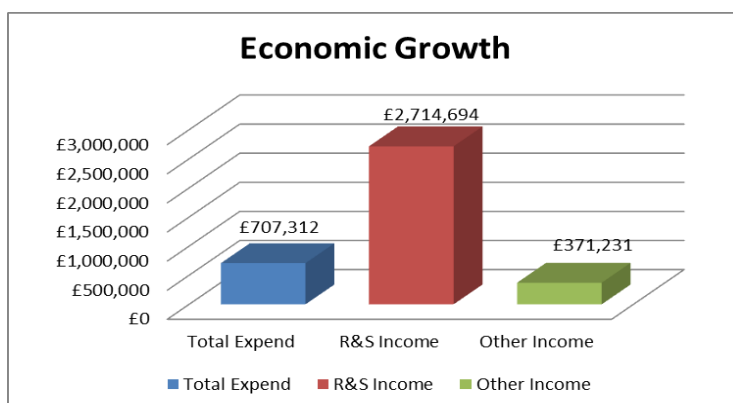
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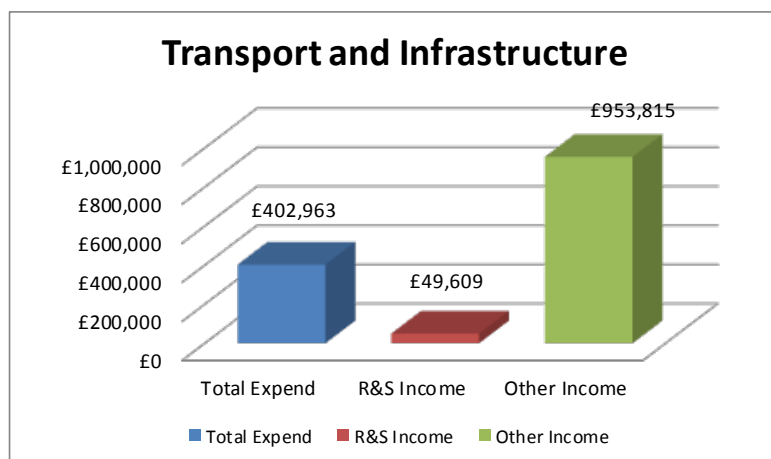
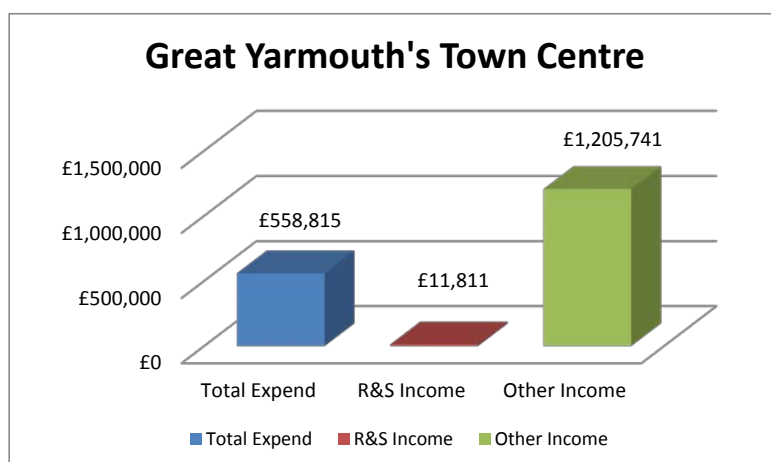
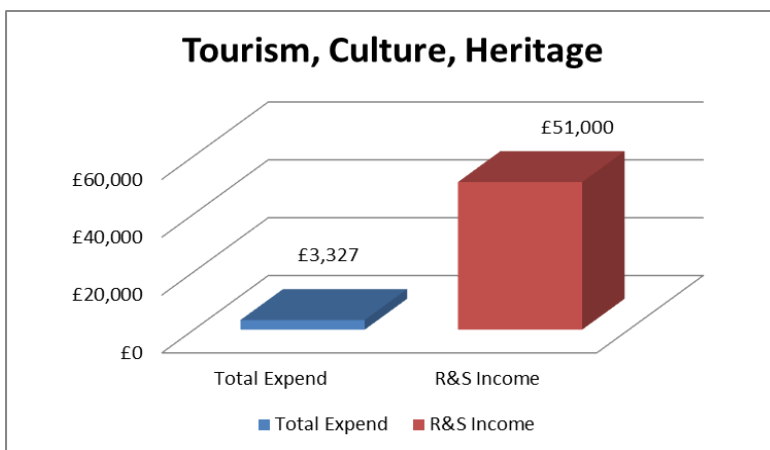


6 Budget Information

- 6.1 Budget information has been drawn from the Integra financial management system to identify in each of the corporate priority areas.
- 6.2 The capital programme for 2016-17 has been agreed. Any future requirements identified through this plan will form the basis of a capital bid for 2017-18 onwards.
- 6.3 The graphs below identify total expenditure; rent and service charge income together with associated other income. The other income predominantly includes fees and charges receipts.



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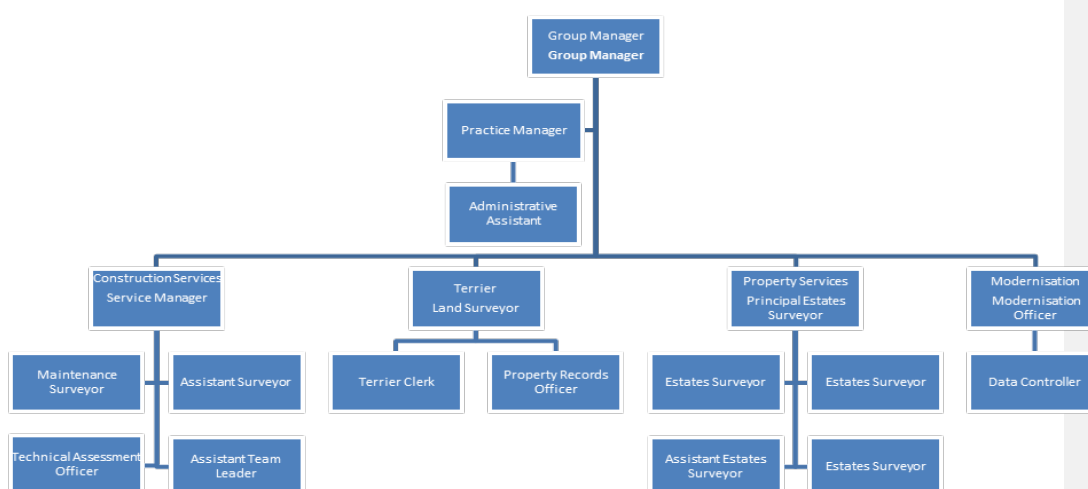
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7 Resources

7.1 The current structure of the Property & Construction Services Team is detailed below.

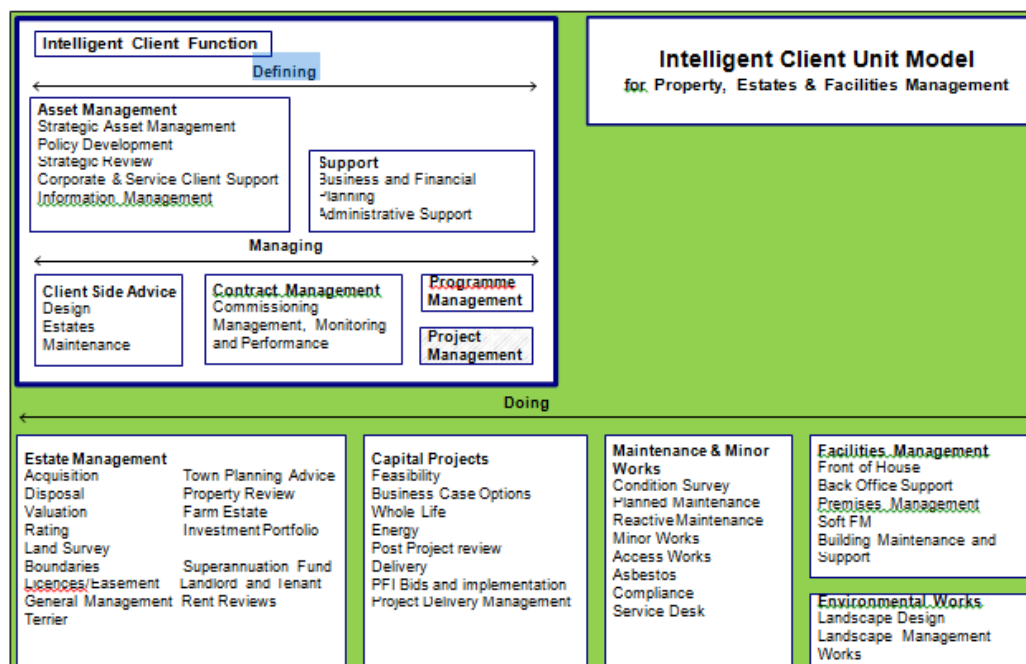
Comment [abv2]: I think that this also needs to detail the structures of other elements of the Council's asset management arrangements, Construction Services, Admin Buildings etc.



7.2 In 2016/17 a structure review will identify the optimum Strategic Client structure for asset delivery. Work will be undertaken to evaluate the current structure and identify opportunities for change.

7.3 The Property Team are currently focussed on both managing and transacting property matters rather than acting as an “Intelligent Client” interface for the Council. In general terms, the Intelligent Client role is to take the internal customers’ requirements and work with them to design the enabling property solution. This draws the distinction between managing the portfolio and carrying out transactional functions as illustrated in the management model below for local authorities. The model uses the terms “Defining”, “Managing” and “Doing”. The Defining and Managing functions are essential for the Intelligent Client interface to operate effectively.

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- 7.4 Turnover of staff within the team has traditionally been higher than in other areas of the Council, and moving forward it would be beneficial to consider the introduction of student/graduate posts to both build and support the service in addition to enabling succession planning.
- 7.5 It is also recommended as part of this plan that consideration is given to apprenticeship opportunities within the service.
- 7.6 Succession planning within the service is seen as a key development opportunity and should be available as broadly as possible across all of the skills and knowledge requirements of the team.
- 7.7 Even with this level of additional resource, like most other areas within the Council, the team is working to full capacity and any prolonged absences, especially at a senior level, will have a significant impact on the deliverability of this Asset Management Plan.

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8 Action Plan

8.1 The following action plan details work required to achieve optimum use of the assets:

Year	Activity	Progress to date
2016	<ul style="list-style-type: none"> Enhance Concerto database with expenditure information for all asset liabilities 	In progress <ul style="list-style-type: none"> All income and expenditure to be included from 1st April 2016 initial report to Committee September 2016. Formal reporting on a 6 mthly basis
	<ul style="list-style-type: none"> Enhance Concerto database with Condition Survey reports for all relevant properties 	Underway to be completed by January 2017
	<ul style="list-style-type: none"> Undertake comprehensive review of the Property and Construction Services structure to deliver against objective set out in 'The Plan' 	Consultation to take place from May 2016
	<ul style="list-style-type: none"> Review Council Policies in relation to Asset Disposal process 	
	<ul style="list-style-type: none"> Manage potential disposal of 88 assets as identified in Section 4 above. Optional use of 3rd party property partner to undertake this role 	
	<ul style="list-style-type: none"> Re-focus on assets delivering Strategic and Financial benefits 	
2016-18	<ul style="list-style-type: none"> Investigate and bring forward investment opportunities for consideration by Council 	
	<ul style="list-style-type: none"> Performance reviews against 'The Plan' criteria <ul style="list-style-type: none"> Strategic Financial One Public Estate Disposal 	
2017	<ul style="list-style-type: none"> To consider options for Gorleston Pavilion 	
2017	<ul style="list-style-type: none"> To complete the public convenience redevelopment opportunities including demolition, redevelopment to residential/retail as appropriate. 	

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2017	<ul style="list-style-type: none"> Progress the opportunities of the Beacon Park Enterprise Zone extension 	The Enterprise Zone extension awarded by Government. Work to begin on partnering arrangements with land owners.
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9 Conclusion

- 9.1 This document begins to identify the Council's Strategic Asset priorities it requires further development and refinement particularly in relation to condition surveys.
- 9.2 The further development of the Concerto Asset Management system is seen as a tool to enhance decision making going forward and will again benefit this document in the future.
- 9.3 Integrations between Concerto Asset Management and the Financial Management System will be a key benefit to asset management planning and decision making in the future.
- 9.4 Cabinet is to endorse this plan and review progress at regular intervals.