

Cabinet

Date: **Monday 5 October 2020**

Time: **10am**

Venue: **Teams Meeting**

Pursuant to The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority Police and Crime Panel Meetings) (England and Wales) Regulations 2020, the 7 September 2020 Cabinet meeting of Norfolk County Council will be held using Microsoft Teams.

[Please use this link to view the live meeting online.](#)

Members of the Committee and other attendees will be sent a separate link to join the meeting.

Membership:

Cllr Andrew Proctor	Chairman. Leader and Cabinet Member for Strategy & Governance.
Cllr Graham Plant	Vice-Chairman. Deputy Leader and Cabinet Member for Growing the Economy.
Cllr Bill Borrett	Cabinet Member for Adult Social Care, Public Health & Prevention
Cllr Margaret Dewsbury	Cabinet Member for Communities & Partnerships
Cllr John Fisher	Cabinet Member for Children's Services
Cllr Tom FitzPatrick	Cabinet Member for Innovation, Transformation & Performance
Cllr Andy Grant	Cabinet Member for Environment & Waste
Cllr Andrew Jamieson	Cabinet Member for Finance
Cllr Greg Peck	Cabinet Member for Commercial Services & Asset Management
Cllr Martin Wilby	Cabinet Member for Highways, Infrastructure & Transport

A g e n d a

1 To receive any apologies.

2 Minutes

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To confirm the minutes from the Cabinet Meeting held on Monday 7 September 2020.

3 Members to Declare any Interests

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is on your Register of Interests you must not speak or vote on the matter.

If you have a **Disclosable Pecuniary Interest** in a matter to be considered at the meeting and that interest is not on your Register of Interests you must declare that interest at the meeting and not speak or vote on the matter

In either case you may remain in the room where the meeting is taking place. If you consider that it would be inappropriate in the circumstances to remain in the room, you may leave the room while the matter is dealt with.

If you do not have a Disclosable Pecuniary Interest you may nevertheless have an **Other Interest** in a matter to be discussed if it affects, to a greater extent than others in your division

- Your wellbeing or financial position, or
- that of your family or close friends
- Any body -
 - Exercising functions of a public nature.
 - Directed to charitable purposes; or
 - One of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union);

Of which you are in a position of general control or management.

If that is the case then you must declare such an interest but can speak and vote on the matter.

4 Matters referred to Cabinet by the Scrutiny Committee, Select Committees or by full Council.

5 To receive any items of business which the Chairman decides should be considered as a matter of urgency

6 Public Question Time

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Wednesday 30 September 2020. For guidance on submitting a public question, view the Constitution at <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee>.

Any public questions received by the deadline and the responses will be published on the website at approximately 9.45am on the day of the meeting and can be viewed by **clicking on this link**.

7 Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by **5pm on Wednesday 30 September 2020**.

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| 8 Long Stratton Bypass | Report by the Executive Director of Community & Environmental Services. | Page 43 |
| 9 Annual Local Levy Setting for 2021/22 in the Regional Flood and Coastal Committees. | Report by the Executive Director of Community & Environmental Services. | Page 58 |
| 10 Finance Monitoring Report 2020-21 P5: August 2020. | Report by the Executive Director of Finance & Commercial Services | Page 66 |
| 11 Strategic & Financial Planning 2021-22. | Report by the Executive Director of Finance & Commercial Services and the Executive Director of Strategy & Governance | Page 108 |
| 12 Disposal, Acquisition & Exploitation of Property | Report by the Executive Director of finance & Commercial Services. | Page 151 |
| 13 White Paper: Planning for the Future. Norfolk County Council Response. | Report by the Executive Director of Community & Environmental Services. | Page 160 |
| 14 Adult Social Services Winter Resilience Planning | Report by the Executive Director of Adult Social Services. | Page 182 |
| 15 Norfolk County Council in an Integrated Care System | Report by the Executive Director of Adult Social Services | Page 200 |
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17	Statement of Purpose of Norfolk Adoption Service 2020-21 Report by the Executive Director of Children's Services	Page 225
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19	Annual Review of NCC Residential Children's Homes. Report by the Executive Director of Children's Services	Page 245
20	Corporately Significant Vital Signs Performance Report by the Executive Director of Strategy & Governance	Page 261
21	Risk Management Report by the Executive Director of Finance & Commercial Services	Page 310
22	Reports of the Cabinet Member Delegated Decisions made since the last Cabinet meeting: To note the delegated decisions made since the last Cabinet meeting.	

Decisions by the Leader & Cabinet Member for Strategy & Governance.

- [Nplaw New Contract](#)
- [Locally Supported Contact Tracing for Covid-19](#)

Decisions by the Cabinet Member for Commercial Services & Asset Management.

- [Acquisition of House, NR20.](#)
- [NWL - Acquisition of House, NR9.](#)

Decisions by the Cabinet Member for Highways, Infrastructure & Transport.

- [Costessey, West End – Waiting Restrictions.](#)
- [Greater Anglia Consultation Response.](#)

Tom McCabe
Head of Paid Service
Norfolk County Council
County Hall
Martineau Lane
Norwich
NR1 2DH

Date Agenda Published: 25 September 2020

Cabinet

Minutes of the Virtual Teams Meeting held on Monday 7 September 2020 at 10am

Present:

Cllr Andrew Proctor	Chairman. Leader & Cabinet Member for Strategy & Governance.
Cllr Bill Borrett	Cabinet Member for Adult Social Care, Public Health & Prevention.
Cllr Margaret Dewsbury	Cabinet Member for Communities & Partnerships.
Cllr John Fisher	Cabinet Member for Children's Services.
Cllr Tom FitzPatrick	Cabinet Member for Innovation, Transformation & Performance.
Cllr Andy Grant	Cabinet Member for Environment & Waste.
Cllr Andrew Jamieson	Cabinet Member for Finance
Cllr Greg Peck	Cabinet Member for Commercial Services & Asset Management.
Cllr Graham Plant	Vice-Chairman and Cabinet Member for Growing the Economy.
Cllr Martin Wilby	Cabinet Member for Highways, Infrastructure & Transport.

Also Present:

Lorne Green	Police & Crime Commissioner for Norfolk (for items 8 and 9).
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Executive Directors Present:

James Bullion	Executive Director of Adult Social Services
Helen Edwards	Director of Governance and Monitoring Officer
Simon George	Executive Director of Finance & Commercial Services
Tom McCabe	Executive Director of Community & Environmental Services and Head of Paid Service.
Fiona McDiarmid	Executive Director of Strategy & Governance
Chris Snudden	Director of Learning and Inclusion, Children's Services (For Executive Director of Children's Services)

The Chairman welcomed everyone to the Cabinet meeting and advised viewers that pursuant to The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority Police and Crime Panel Meetings) (England and Wales) Regulations 2020, the meeting was being held under new Regulations which had been brought in to deal with the restrictions under Covid 19. Decisions made in the meeting would have the same standing and validity as if they had been made in a meeting in County Hall.

Cabinet Members and Executive Directors formally introduced themselves.

1 Apologies for Absence

Apologies were received from Sara Tough, Executive Director of Children's Services.

2 Minutes

The minutes from the Cabinet meeting held on Monday 3 August 2020 were agreed as an accurate record.

3 Declaration of Interests

There were no Declarations of Interest made.

4 Matters referred to Cabinet by the Scrutiny Committee, Select Committees or by full Council.

There were no matters referred to Cabinet.

5 Items of Urgent Business

5.1.1 The Chairman advised that the following report would be considered by Cabinet. The report was considered urgent due to the nature of the topic and the need for immediate action and was not subject to the call-in procedure.

5.1.2 The Chairman read out a statement which set out the current position regarding the Covid-19 situation at Banham Poultry and also highlighted that Norfolk had been designated an area of enhanced support. A copy of the statement is attached at Appendix A.

5.2 Banham Poultry Covid-19 Outbreak.

5.2.1 Cabinet received the report by the Head of Paid Service updating Members on the measures taken to contain the outbreak and to protect the public; ensure the welfare of Banham Poultry workers affected by the outbreak; help the company manage its voluntary partial closure and work with other similar food production companies to take further steps to ensure a Covid-secure work environment, following a Coronavirus outbreak at Banham Poultry in Attleborough.

5.2.2 In introducing the report, the Chairman thanked everyone involved at Norfolk County Council and Partners for their unstinting work over the last three weeks following the covid outbreak at Banham Poultry. Norfolk had not had the high incidence of cases that had been seen elsewhere in the country which could be attributed to Norfolk's residents and businesses following government guidelines to help protect Norfolk.

There was no evidence that the outbreak at Banham Poultry had spread beyond the staff and their households. The ongoing risk of transmission at the site was low, as well as the risk to the wider population and other food producers.

The report detailed the work that had been carried out by Norfolk County Council and its Partners on this particular outbreak and although there had been some

criticism about the speed of response, Public Health and other colleagues had worked methodically in testing and managing tracing of contacts.

Initially, following the outbreak, Public Health had recommended that all Banham Poultry staff leave the factory and isolate for 14 days or 10 days as necessary. The total number of cases stood at 119 and the percentage of infections to staff had now dropped from the initial 20% to approximately 7%.

The Chairman highlighted the assistance for contact tracing, as well as the Partnership Working as set out in the report and added that, despite the outbreak, infection rates were low compared to the rest of England and the East of England and this remained the case. The Local Outbreak Control Plan structure mainly for Norfolk Local Authorities, Public Health was stood up and the details of representatives from each organisation could be found in the report.

The Chairman also highlighted that Norfolk had been identified as an area of enhanced support which meant it would have quicker access to data; a better link to national resources and services; access to mobile testing units; priority for test results and also ring-fencing of some NHS track and trace call centres and resources. This would make it possible to continue to manage the outbreak as well as being ready should any other local outbreaks occur.

- 5.2.3 The Cabinet Member for Adult Social Care, Public Health & Prevention thanked the Public Health Team, led by Dr Louise Smith, for the immense amount of work they had carried out 24/7 since the first cases at Banham Poultry had been identified. He added that he would also like to thank the District Councils, particularly Breckland District Council, Norwich City Council and Great Yarmouth Borough Council, the districts where the majority of the employees at Banham Poultry had lived, for their support. He also added that this outbreak had demonstrated the ability of local bodies in Norfolk to constructively work together.
- 5.2.4 The Cabinet Member for Innovation, Transformation & Performance echoed the comments of the Chairman and the Cabinet Member for Adult Social Care, Public Health & Prevention, adding that everyone involved had worked hard and continued to work hard following the outbreak. The outbreak had been identified and contained quickly and it was now a matter for everyone to keep up their guard and follow government advice which had worked well and he hoped if everyone continued to follow advice, the number of cases could be reduced further.
- 5.2.5 The Vice-Chairman and Cabinet Member for Growing the Economy highlighted that the situation had been well contained in Great Yarmouth and the Public Health Team had done an excellent job in working on behalf of Norfolk to ensure residents and visitors to Norfolk were kept safe. The Cabinet Member also thanked the Government for recognising that help was needed locally and that this had now been received.
- 5.2.6 The Chairman thanked Cabinet for their comments in recognising the work that had been done and would continue to be done in the future. In moving the recommendations, the Chairman proposed the following amendment to recommendation 2. Cabinet agreed the proposal.

“To support the move to Norfolk County Council becoming a locally supported contact tracing area to support and protect Norfolk residents, recognising that full

costs are still to be confirmed and that they are likely to create a cost pressure **and delegating the final decision to the Leader as the Chairman of the Norfolk Covid 19 Engagement Board.**”

5.2.7 Cabinet **RESOLVED**:

1. To **Acknowledge** the work that has been carried out by NCC and partners in containing this Coronavirus outbreak
2. To **Support** the move to Norfolk County Council becoming a locally supported contact tracing area to support and protect Norfolk residents, recognising that full costs are still to be confirmed and that they are likely to create a cost pressure and delegating the final decision to the Leader as the Chairman of the Norfolk Covid-19 Engagement Board.
3. Members **continue** to support and promote Protect Yourself, Protect Others Protect Norfolk public health messages to keep residents safe.

6 Public Question Time

6.1 The list of public questions and responses is attached to these minutes at Appendix B.

6.2 **Supplementary Question from Cavan Stewart:**

Mr Stewart said he was pleased that the request for a 20mph speed limit on the Quebec Road and Wolfe Road in Thorpe Hamlet had been approved, adding that Cabinet should be aware that he had already submitted a petition which had been approved by Council officers some time ago. As a supplementary question, Mr Stewart asked if the Cabinet Member would confirm that the petition represented sufficient public consultation and that, assuming the Local Member Funding was available from the Local Member, if he could outline a time frame within which action could be taken.

The Cabinet Member for Highways, Infrastructure & Transport agreed to provide a written response regarding the consultation after he had checked that everyone who needed to be consulted had been consulted. In response to the supplementary question, the Cabinet Member said that as soon as the funding was in place, he looked forward to the work being carried out, which should be within 12 months.

6.3 **Supplementary Question from Mr Tim Jones.**

As a supplementary question, Mr Jones asked, given the Council’s public health remit, if it could have been proactive in ensuring businesses were adequately prepared rather than leaving the health of companies to private companies and intervening after an outbreak had occurred.

In reply, the Cabinet Member for Adult Social Care, Public Health & Prevention said that the onus was on companies themselves to ensure they took necessary steps to keep employees safe as failure to do so could result in their business being shut down, leading to economic disruption to their business and reputation. He added that the Health and Safety Executive was currently investigating and until the results were known, he was unable to comment further.

6.4 The Chairman introduced, Dr Louise Smith, Director of Public Health who updated Cabinet on the current situation.

Dr Smith echoed the comments of the Cabinet Member for Adult Social Care, Public Health & Prevention, in that responsibility for the safety of business premises rested with the Health and Safety Executive. She added that colleagues in Environmental Health at Breckland District Council had been working with businesses to encourage them to instigate preventative measures and was also working with the Health & Safety Executive with specific focus on Banham Poultry.

The Director of Public Health advised that, together with Environmental Health colleagues across the District Councils, over 25,000 toolkits supporting businesses in how they could ensure their premises were covid-safe had been distributed.

The Director reassured Cabinet that early evidence indicated, regarding the outbreak at Banham Poultry, that measures had been taken in line with national guidance and that the opinion of the Health and Safety Executive as to whether the response was sufficient remained outstanding.

7 Local Member Questions/Issues

7.1 The list of Local Member questions and the responses is attached at Appendix C.

7.2 As a supplementary question Cllr Squire said that the response stated that body cams were used in local hot spots and that incidents were rare, which was not as reported by her local Highways Manager. She added that incidents could, and did, happen anywhere. Body cams were used as standard on highways staff in other areas and gained valuable evidence for prosecution purposes. She asked if it was the case that Norfolk County Council should do the same to protect staff and contractors.

In reply, the Cabinet Member for Highways, Infrastructure & Transport agreed to consider the body cams issue and would raise the matter with the Director of Highways.

7.3 As a supplementary question Cllr Kemp said the reply to her question was inaccurate as this was a major development which would cause a climate change crisis in King's Lynn and that the Cabinet Member should know that the planning permission for Hardings Way expired (after 3 years) last week and the traffic order drafted was inaccurate. She asked if the Cabinet Member realised he would be acting illegally and bringing the County Council into disrepute if he carried out work on Hardings Way, eg bore holes, or bringing bulldozers in and would he desist.

The Cabinet Member for Highways, Infrastructure & Transport agreed to provide a written response.

7.4 **Written supplementary question from Cllr Smith-Clare.**

In addition to problems some families have in feeding their children, the confusion and failure to deliver adequate transport arrangements for the return to school leaves many families feeling let down. Despite refusing to take this as urgent business for this morning's cabinet will he apologise and explain how this will put right.

The Cabinet Member for Children's Services replied that transport arrangements for the return to school had been sorted, adding that Cllr Smith-Clare appeared to have got his information from social media, which was not the most up to date

situation. He added that there was no need for further explanation or to apologise to the families concerned.

7.5 Written supplementary question from Cllr Chrissie Rumsby

Would the cabinet member like to explain what this means 'It is not the role of a Children's Services to ensure that all children are fed'?

The Cabinet Member for Children's Services replied that it was self explanatory and that it was not the role of children's services to ensure children were fed. He added that the budget was for education, social work, engaging with families and for safeguarding, adding that if a child was suffering from malnutrition it would become a safeguarding issue and Children's Services would step in to deal with the situation. The Cabinet Member added that he would be pleased to have the budget, but taking on responsibility for feeding children would take up almost the entire budget for Children's Services, which was not possible unless it became a safeguarding issue. He reiterated that feeding children was a parental responsibility unless it became a safeguarding issue.

7.6 Written supplementary question from Cllr Brenda Jones

That does not answer the question. Has an assessment been done taking account of the impact of modes of travel to and from the campus given the experience of remote working, taking account of operational effectiveness, overall costs and impact on carbon emissions?

The Cabinet Member for Commercial Services & Asset Management responded that Cllr Jones had been provided with all the data in May 2020, adding that if remote working continued and was successful, there was no intention to leave County Hall empty. Any empty spaces would be utilised, possibly by sub-letting. He added that if Cllr Jones had any other queries she may wish to contact him directly.

7.7 Written supplementary question from Cllr Colleen Walker

Is the cabinet member saying that Whitlingham and Holt Hall have in effect closed their door permanently? That's what it sounds like to me.

The Cabinet Member for Children's Services confirmed that the future of both Whitlingham and Holt Hall was currently out for consultation, although both premises were currently closed due to covid-19. Consultation with staff and schools was currently taking place, responses had been received from schools and work was now being carried out with staff as part of the consultation. He reassured Cllr Walker that there was no intention for Holt Hall and Whitlingham to be permanently closed, adding that currently Whitlingham was being used by Trowse School as part of their normal school premises whilst they were waiting extra space to be ready.

7.8 As a supplementary question, Cllr Emma Corlett asked if the Leader would agree, that regardless of the situation regarding funding from central government and the delayed green paper, there were many issues that needed to be addressed for people living with a disability and their carers, who had been caring 24/7 for six months solidly now. For example planning for a second wave and hearing directly what people need to avoid the isolation, pressure and burnout of shielding. Do you therefore not agree that for second wave planning and for recovery planning if we are going to ensure people already disadvantaged don't get further left behind

there are things you need to hear first-hand, even if you don't think there are things to discuss?

The Chairman replied that everyone appreciated the issues faced by members of the DNNG (Disability Norfolk Network Group) and recognised that the whole of the Adult Social Services budget had been, and remained, under considerable pressure for a wide variety of reasons. He added that it was incumbent on Norfolk County Council to continue to support all its service users and all local authorities knew how important it was to keep up the pressure on government for additional and better funding.

- 7.9 As a supplementary question, Cllr Steve Morphey said that the strong recommendation from the Independent Panel was not to take the allowances increase this year and asked what message the answer gave to Norfolk residents and businesses which were under such pressure now.

The Chairman replied that part of the response to the question was contained in his initial response, but recognised that the allowances increase was linked to staff salaries and had been locked in on that basis. He added that many people had not taken the increase and would not do so during the course of the year. He also added that the issue had been fully debated at the County Council meeting in February 2020.

7.10 **Written supplementary question from Cllr Chris Jones**

The question was whether you would accept it if it were on offer – would you accept the opportunity to apply a further precept if the government said it was permissible?

In reply the Chairman stated that nothing would be ruled in or out at this stage.

8 Norfolk Fire & Rescue Service – Training Facilities

- 8.1 The Chairman welcomed Norfolk's Police & Crime Commissioner, Lorne Green, to the meeting for agenda items 8 and 9.
- 8.2 Cabinet received the report by the Executive Director of Community & Environmental Services setting out the County Council's intention to develop a joint emergency services training academy with Norfolk Constabulary. The academy would use a number of training venues, each being best suited to meet the needs of learning outcomes and 21st century people. The report focused on an early opportunity to develop the academy approach by collaborating with Norfolk Constabulary to develop the former Hethersett Old Hall School sited (owned by the Office of the Police & Crime Commissioner).
- 8.3 In introducing the report, the Executive Director of Community & Environmental Services highlighted that ways of collaborating with colleagues in Norfolk Constabulary and the Office of the Police & Crime Commissioner continued to be explored and this report was a further example which would hopefully come to fruition over the coming months.
- 8.4 The Cabinet Member for Commercial Services & Asset Management advised that the current training facilities for operational fire and rescue service training were based in two locations – Scottow Enterprise Park and at Bowthorpe, adding that

the training centre at Bowthorpe was over 30 years old and the building was in need of modernisation if it was to be retained.

He continued that Norfolk Constabulary had recently purchased the former Hethersett Old Hall School site and was in the process of developing the site as their primary base for training staff, and that exploring opportunities to deliver the fire and rescue service training requirements in a shared facility at Hethersett may result in the Bowthorpe site no longer being required, which may free it up for other County Council use, or potential disposal. The Bowthorpe site sat within an industrial park on the edge of Norwich and would be an attractive site for business, which could generate capital receipts as well as a subsequent reduction in the property maintenance budget.

- 8.5 The Cabinet Member for Communities & Partnerships advised that the Health & Safety at Work Act 2015 required the County Council to provide training for employees. As part of the collaboration with Norfolk Constabulary, there was an opportunity to jointly use their premises at Hethersett as an emergency services training academy which was a great opportunity for staff to learn, train and practice together and would be beneficial when they attended an emergency.

The Cabinet Member continued that, as already stated, the fire service training centre at Bowthorpe was over 30 years old and it would be more cost effective to share the Hethersett premises than to update that site. The training facilities at Scottow Enterprise Park, where fire fighters practiced entering smoke filled rooms and the Police may be interested in gaining practical experience by using this site for “dirty training” as opposed to the Hethersett site providing “clean training” with both sites complementing each other.

The Cabinet Member moved the recommendation to work with Norfolk Constabulary to develop the joint training services academy at Hethersett and at the same time consider what other training infrastructure may be useful for both services in the future.

- 8.6 The Police & Crime Commissioner (PCC) welcomed the collaboration and cooperation at Hethersett Old Hall School, but felt more detail about the services and implications of deliverability and resources was needed, as he had put over £3m into the purchase of the facility with additional money to renovate the property.

Regarding collaboration, he asked the Cabinet Member for Communities & Partnerships to let him know what the call-rate on the fire service side was, as the Police control room was currently receiving approximately 800-1000 calls per day. The Cabinet Member would let the PCC have the information after the meeting.

The PCC asked who was paying for the office at Wymondham Control Centre being used by the Chief Fire Officer Team, as it had been occupied for some time now and some discussion was needed on the financial implications, as collaboration did not come without cost. In reply the Cabinet member for Communities & Partnerships said that the building had been offered to the Fire Service to improve collaboration and that discussions could be held outside the meeting.

- 8.7 The Cabinet Member for Innovation, Transformation & Performance stated that Norfolk people welcomed the collaboration of the police, fire and ambulance

services and that it was incumbent on parties to ensure it worked, although details of finances still needed working through.

8.8 The Chairman advised that the details of the collaboration would be considered at Joint Collaboration Board meetings.

8.9 The Cabinet Member for Commercial Services & Asset Management agreed that a public meeting was not the right place to discuss commercial arrangements and that his understanding was that the facility at Wymondham control centre had been offered at nil value.

8.10 Cabinet considered the report and **RESOLVED** to:

1. **Agree** to work with Norfolk Constabulary to develop the emergency services training academy concept.
2. **Collaborate** with Norfolk Constabulary to develop the former Hethersett Old Hall site, as set out in the report.
3. **Task officers** to carry out a detailed feasibility study of other necessary improvements to the wider training infrastructure and, if viable, to develop a detailed business case for Members to consider.

8.11 **Evidence and reasons for Decision**

There are a number of potential benefits in progressing the joint training academy approach as set out in this report. These include: -

- Bringing local buildings back into productive use, to support the local Economy
- Providing certainty in terms of future use of sites, enabling work to start and avoiding the sites falling into further disrepair
- Providing modern, progressive facilities reflecting the changing needs of emergency service staff to deliver the changing needs of Norfolk.
- Supports an efficient approach to use of resources by placing emergency services in the best possible position to enable shared and common approaches
- Whilst the development will focus on emergency service needs, and facilities could be made available for other NCC and public service authorities to access, building the shared training academy approach even further
- Ensuring Norfolk and its partners through the Civil Contingencies Act (2004) are well placed to respond to emergency response and emerging central government policy in relation to securing community wellbeing, emergency response and security.

8.12 **Alternative Options**

The existing site at Bowthorpe, which is owned by the County Council, could be developed further. Retaining Fire and Rescue training at Bowthorpe in the medium/long term would require some investment in the building to enable modern facilities. There is not space on site to create the range of facilities required for our fire service and support an integrated approach to multi-agency emergency response training.

We could explore utilising the former Hethersett Old Hall School site as a single joint training academy location. There is not space on site to create the additional capability likely to be needed (e.g. a scenario room approach) and therefore it would not be possible to create this new capability. In addition, it may not be possible to locate all relevant training onto this site either as a result of potential planning issues or because it does not fit with the vision for the site.

9 Norfolk Fire & Rescue Service HMICFRS Improvement Plan Update

- 9.1 Cabinet received the report by the Executive Director of Community & Environmental Services setting out the progress made to deliver the activities set out in the Improvement Plan since it was last reviewed by Cabinet in June 2020 and the plans for further improvement activities.
- 9.2 The Cabinet Member for Communities & Partnerships introduced the report and moved the recommendations, during which the following points were noted:
- Since Cabinet had first reviewed the plan, the service had set up staff working groups to create and develop action plans. They had been working on the completion of community risk, concept of operations review, delivery of tactical response vehicles, the establishment of the community fire safety courses, publication of the people strategy framework and completion of the equality, diversity and inclusion plan.
 - The service had been working with Norfolk County Council analytics team to identify the areas in the county that were most vulnerable to fire and other emergencies to better inform the community risk profile.
 - The service had invested in new ICT equipment and software and had commenced transferring to Norfolk County Council ICT systems.
 - Information on the use of resources and collaborative work with blue light and other agencies when responding to the covid-19 issues would help inform the operations review which was due to commence in October 2020.
 - The new cultural framework made it clear that bullying and harassment was not acceptable and advised people to assist in how to resolve staff issues and assist with cultural, equality, diversity or inclusion issues.
 - The 2020 recruitment campaign had been designed to increase the diversity of the workforce and the July campaign for whole-time firefighters had attracted 876 applications, many of whom were women.
 - Five new tactical response vehicles had been purchased and fire stations were being upgraded.
 - The service was considering opportunities to develop improved training facilities.
 - A sub-Committee of the Infrastructure & Development Select Committee included members from all groups and unions and enabled proposals to be considered by them before being presented to main committees to ensure all aspects were covered. The Sub-Committee had met and considered this report w/c 31 August.
- 9.3 The Police & Crime Commissioner thanked the Cabinet Member for the report on the progress on improvements and asked her for details of how many public engagement activities had been carried out over the last six months. In reply the Cabinet Member said that, due to social distancing, social engagement that would normally have been carried out in inspecting homes and business premises had not

been carried out, although the service was in touch with the public electronically rather than face to face.

9.4 The Police & Crime Commissioner asked if the Cabinet Member could give an assurance for budget growth in the Norfolk Fire & Rescue Service budget for the next five years. The Cabinet Member replied that, as there was a local election scheduled for 2021, it was not possible to give an assurance, although the service was well prepared for next year.

9.5 The Cabinet Member confirmed that she was aiming to move from “requiring improvement” to “good” at the next inspection.

9.6 Cabinet reviewed and considered the progress made in delivering the Improvement Plan as set out in Appendix A of the report, and **RESOLVED** to:

1. **Agree** to receive a further update on progress at the Cabinet meeting in December 2020.

9.7 **Evidence and Reasons for Decision**

The Improvement Plan aims to address the areas for improvement identified by the HMICFRS, and are focussed on improving the efficiency and effectiveness of the service, and how we look after our people. The Improvement Plan sets out the activities the Chief Fire Officer has identified as necessary in order to demonstrate paying due regard to the findings of the HMICRS inspection, but also to improve the service for Norfolk communities.

The new Strategic Development Oversight Group will ensure that those groups representing Fire and Rescue staff are able to be involved in the future development of the service.

9.8 **Alternative Options**

Cabinet may wish to amend or make additions to the Improvement Plan.

10 **Finance Monitoring Report 2020-21 P4: July 2020**

10.1 Cabinet received the report by the Executive Director of Finance & Commercial Services which gave a summary of the forecast financial position for the 2020-21 Revenue and Capital Budgets, General Balances, and the Council’s Reserves at 31 March 2021, together with related financial information.

10.2 The Cabinet Member for Finance introduced the report and moved the recommendations, during which the following points were noted:

- The level of overspend was stable for the period ending 31 July 2020. It was now £7.901m.
- Covid-related grant funding had increased from £50.691m to £63.824m whilst covid-related financial pressures were now forecast to amount to £75.421m.
- Appendix 1 provided details of the overspend and underspend.
- The impact of the pandemic for CES had mainly been due to loss of income. It was expected the claim for lost income for the period April to

July 2020 would be submitted to MHCLG in September 2020 and as well as CES, the scope to recover lost income for adult and children's services was also being considered.

- Adult Social Services saw a small net increase in the forecast overspend in July due to an increase of £1.2m in purchase of care. This provided evidence of the Council's continued support for the sector throughout the pandemic.
- From 1 September 2020, the current discharge arrangements with NHS may change, so that placements made through the pathway prior to that date would be assessed as if under normal funding policies. This situation was being closely monitored. The worst case scenario could mean an additional £5.5m liability would need to be found this financial year to fund the ongoing increased costs which would have an additional and severe impact on the 2021-22 budget should funding not be made available to cover the costs.
- At the end of July 2020, children's services continued to forecast a break-even outturn. They received £747k additional funding to alleviate home to school transport costs for the first half only of the autumn term which would offset covid related pressures in that area.
- The high needs block within the dedicated schools grant remained a cause for concern as the forecast overspend within the block was now £9.7m. Any overspend in 2020-21 would be added to the cumulative overspend brought forward, totalling £19.703m, therefore the deficit carried forward could be approximately £29.4m. Currently the Department for Education had stated they expected to work with local authorities to enable them to pay off their deficits within the Dedicated Schools Grant funds, and work was being carried out with the DfE to understand the full implications.
- Considerable uncertainty remained around the immediate impact of covid-19 on school budgets, particularly if a second spike led to school closures, an increase in exclusion numbers, referral rates and greater demand for the high needs block.
- Covid related funding secured to date totalled £63.824m. the bulk of the additional £13.13m received was made up of Norfolk's infection control fund grant with 75% of the fund being used within care homes to help them cover the costs of implementing measures to reduce transmission. The balance must be used for infection control measures, although it could be allocated based on the Council's assessment of need.
- Any financial implications arising from the operational actions undertaken to control the covid outbreak at Banham Poultry at Attleborough were expected to be met from within the County Council's allocation of the £3.718m received by Public Health to cover the costs of responding to the outbreak.
- Forecast covid related costs were summarised in revenue annex 2 and was currently £11.6m more than the funding received to date. Work would continue with the MHCLG on the detail of lost income support and more generally with MPs and the government to increase the overall level of support.
- Cabinet was being asked to consider 2 recommendations relating to the capital programme. The first recommendation was the additional cost of £8.5m to be funded from borrowing of the next phase of main road LED street lighting across Norfolk, with a further 15k lights being upgraded, resulting in a forecast annual saving of approximately £900k, equating to 2 tonnes of co2.

- The second recommendation was the drawdown of £2.7m from the existing Accommodation Rationalisation capital budget to fund improvements to the County Hall North Wing, including public areas and meeting rooms.

10.3 The Cabinet Member for Commercial Services & Asset Manager supported the Cabinet Member for Finance comments adding that there had been some misrepresentation in the media about the maintenance work which needed to be carried out in the north wing to bring it back into use. The works would make the area health and safety and disability compliant. He added that, completing the work while the building was not being used was more cost effective and would also avoid disruption to services when the building was occupied. There was also a cost benefit, as prior to covid-19 approximately £1.2m per year was being spent on renting accommodation for seminars and events for 50-100 people. Once the work had been completed, the accommodation in county hall would cater for that number of people for functions. It would also be possible for community groups and members of the public to rent the space at evenings and weekends, generating revenue.

10.4 The Cabinet Member for Communities & Partnerships, as the portfolio holder for Equality & Diversity, welcomed the opportunity to make the meeting area at county hall more accessible for people with disabilities and agreed that now was the right time to carry out the work.

10.5 The Cabinet Member for Innovation, Transformation & Performance agreed that this was the right time to carry out the work, particularly the asbestos removal, as it could be done without disrupting work at county hall. He asked the Cabinet Member for Commercial Services & Asset Management if he would consider hiring out the facilities at county hall for residents of Norfolk to use at weekends for conferences and other events.

The Cabinet Member for Commercial Services & Asset Management agreed that renovating the north wing would provide a great opportunity to commercialise the building and use it when not used by the council and would be an excellent way of generating revenue and utilising an empty building.

10.6 The Cabinet Member for Adult Social Care, Public Health & Prevention highlighted that a direct result of the covid outbreak had caused cost pressures of just under £50m for adult social services. Norfolk County Council had chosen to spend just under £30m on protecting vulnerable service users and their providers throughout the interruption the pandemic had caused. The money had been paid to providers to ensure they were compensated for the extra costs and loss of income incurred as a result of the outbreak. The Cabinet member thanked Cabinet for their support in providing that assistance.

10.7 The Cabinet Member for Children's Services referred to the Children's Services Dedicated Support Grant funding which would be reduced with the transformation programme and the alternative provision specifically which would ensure the right specialist provision was in the right place as part of the future programme.

10.8 The Vice-Chairman and Cabinet Member for Growing the Economy highlighted the loss of income to the County Council particularly for Community & Environmental Services.

10.9 Cabinet **RESOLVED** to:

1. **Approve** expenditure of £8.5m for LED upgrades to 15,000 main road streetlights across Norfolk as set out in paragraph 4.1 of Capital Appendix 1, to be funded from additional prudential borrowing.
2. **Approve** the drawdown of £2.7m from the existing Accommodation Rationalisation capital budget, to fund Accessibility and Inclusivity improvements to County Hall as set out in paragraph 4.2 of Capital Appendix 1.
3. **Note** the period 4 forecast general fund revenue overspend of **£7.901m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
4. **Note** the Covid-19 grant funding received of **£63.824m**, the proposed use of that funding and the related expenditure pressures.
5. **Note** the period 4 forecast shortfall in savings of **£17.780m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;
6. **Note** the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;
7. **Note** the expenditure and funding of the revised current and future 2020-23 capital programmes.

10.10 **Evidence and Reasons for Decision:**

Two appendices are attached to this report giving details of the forecast revenue and capital financial outturn positions:

Appendix 1 summarises the revenue outturn position, including:

- Forecast over and under spends
- Covid-19 pressures and associated grant income.
- Changes to the approved budget
- Reserves
- Savings
- Treasury management
- Payment performance and debt recovery

Appendix 2 summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

10.11 **Alternative Options**

In order to deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report. In terms of financing the proposed capital expenditure, no grant or revenue funding has been identified to fund the expenditure.

11 Strategic & Financial Planning

- 11.1 Cabinet received the report by the Executive Director of Finance & Commercial Services and the Executive Director of Strategy & Governance providing an update on the developing 2021-22 Budget and associated Medium Term Financial Strategy (MTFS).
- 11.2 The Cabinet Member for Finance introduced the report and moved the recommendations, during which the following points were noted:
- Engagement continued with MPs, the County Council Network, MHCLG, Ministers and Ministry's to provide sustainable and long-term funding for councils.
 - The comprehensive spending review response needed to be submitted by 24 September, although it was unlikely any detailed information about long-term funding allocations would be received until mid-December 2020, providing a challenge in setting out detailed budget proposals.
 - Key proposals were set out in section 2.4 of the report and the Cabinet Member highlighted the comments regarding the Comprehensive Spending Review:
 - We need to increase grant funding to meet immediate pressures from covid-19 and to provide sustainable funding for the future
 - A reform of council tax was needed together with addressing the associated inequalities.
 - Long-term and adequate funding for childrens and adult social care was required.
 - Providing adequate funding for schools, including addressing the high needs block deficit was very important
 - Environmental commitments needed to be delivered.
 - In addition, government was being urged to provide long-term clarity and certainty about the support which will be provided for 2021-22 and beyond to enable effective budget setting in the future.
 - The budget gap for 2021-22 reported to Cabinet on 8 June was just under £39m.
 - Currently we are assuming a 1.99% increase in council tax but we are awaiting government guidance in relation to an adult social care precept. Ultimately, long-term and sustainable solutions to local government funding were being sought so that the budget setting process was not surrounded by uncertainty.
 - Options to close the funding gap could only be done with additional government funding, by corporate finance related savings and using capital receipts.
 - Savings targets by department had been set out in July 2020. It was not proposed to revise these targets at the current time.
 - Budget proposals would be considered by Select Committees in September and their recommendations would provide feedback on the broad approach to be taken for each service.
 - Cabinet would consider the recommendations from the Select Committees in October, prior to public consultation on proposals.
- 11.3 The Chairman thanked the Cabinet Member for Finance for the summary and referred to the representation to the comprehensive spending review and that if

adequate funding was received for children's and adult social care pressures, other services required from local government could be funded which would in turn help the economic recovery.

- 11.4 The Vice-Chairman and Cabinet Member for Growing the Economy highlighted the business rates aspect, which needed reform as it was not possible to rely on council tax or business rates being raised in town centres when shops were closing at the rate they were. He suggested that the response to this aspect needed strengthening.
- 11.5 The Cabinet Member for Innovation, Transformation & Performance supported the recommendations and agreed that the report sets out the work that needed to be done with MPs, the Ministry of Housing Community and Local government and the County Council Network and the LGA to work together and achieve sustainable funding.
- 11.6 In supporting the report and the recommendations, the Cabinet Member for Adult Social Care, Public Health & Prevention considered that the tensions had been addressed in the report about the services we offered which needed to be funded to protect the vulnerable and that it was a difficult task to manage the demands and services to protect and serve the people of Norfolk with the funding made available. The Cabinet Member highlighted the collaborative working with the Council, other public bodies and the NHS and District Councils had chosen to work together to help deliver services, not only to reduce duplication but also the work done when working together was far greater than work carried out separately.
- The Cabinet Member also highlighted that there was some discussion about Norfolk becoming an Integrated Care Service in the future which was something that should be supported as it would help resilience of the service and enable a wider range of support to be provided with limited funds.
- 11.7 The Cabinet Member for Finance endorsed the sentiments that Partners Worked Better Together with stakeholders, which had been proven throughout the pandemic.
- The Cabinet Member reminded Cabinet that, unlike the government or the NHS, Norfolk County Council was required to balance its budget each financial year which was difficult without long-term planning being made available.
- 11.8 The Chairman agreed that the lack of long-term funding had been on the agenda for a long time.
- 11.9 Cabinet considered the report and **RESOLVED** to:

1. **agree** key points to be included in the representation to the Comprehensive Spending Review in relation to:
 - the uncertainty about wider funding allocations and reforms;
 - the urgent need for details to enable 2021-22 budget setting;
 - the need for adequate funding to meet pressures from Covid-19; and
 - the fundamental need to address underlying pressures including adults and children's social care.

Delegate to the Leader and Cabinet Member for Finance to approve the final response for submission on behalf of the Council reflecting the points set out in Paragraph 2.4.

2. **Agree** the key points set out in Paragraph 2.6 to be included in the response to the consultation on Business Rates system and delegate to the Leader and Cabinet Member for Finance to approve the final response for submission on behalf of the Council.
3. **Note** the updated overall budget gap of £129.779m in the Medium Term Financial Strategy including a latest gap of £45.434m forecast for 2021-22, noting the key areas of risk which remain to be quantified. (Section 3)
4. **Agree** that detail of saving proposals to aid in closing the budget gap should be presented to Cabinet in October, after being developed based on the approaches set out in Sections 4-8, and following input from Select Committees about the overall strategy in each Department during September.

11.10 **Evidence and Reasons for Decision**

The County Council faces an unprecedented financial and public health crisis which has the potential to have significant implications for future budget setting. It will be essential to continue to engage with Government, MPs and other stakeholders to continue to push for adequate and sustainable funding for Norfolk to continue to deliver vital services to residents, businesses and visitors. It is also important that Government issues guidance on financial planning assumptions, particularly indicative funding allocations for 2021-22, as soon as possible. Otherwise there is a significant risk that the Council will be obliged to reduce service levels. The Council's MTFS planning builds on the position agreed in February 2020 and it is important to note that this will need to continue to be updated as more reliable information about cost pressures and funding impacts emerges through the process. Nevertheless, it remains prudent to move forward with planning for savings at the level required to close the underlying gap identified in February 2020.

The proposals in the report reflect a prudent response to the challenges and uncertainties present in the 2021-22 planning process and will ultimately support the Council to develop a robust budget for the year.

11.11 **Alternative Options**

11.12 This report sets out a framework for developing detailed saving proposals for 2020-21 and at this stage no proposals have been agreed, meaning that a range of alternative options remain open.

11.13 In addition, there are a number of areas where Cabinet could choose to consider different parameters for the budget setting process, such as:

- Considering alternative approaches to the development of savings from those proposed.
- Adopting an alternative allocation of targets between services, or retaining a higher or lower target corporately.

- Considering an alternative timetable within the time constraints required to develop proposals, undertake public consultation, and meet statutory deadlines for the setting of council tax.
- Changing assumptions within the MTFS (including the level of council tax) and therefore varying the level of savings sought.

11.14 Final decisions about the overall shape of the 2021-22 Budget, savings, and council tax will not be made until February 2021.

12 Wymondham Market Town Transport Network Improvement Strategy

12.1 Cabinet received the report by the Executive Director of Community & Environmental Services summarising the Wymondham transport network improvement study along with the comments from stakeholders and actions taken from these.

12.2 The Executive Director of Community & Environmental Services highlighted that Market Towns were a key piece of social and economic fabric for the county and that Norfolk County Council, over the last two-three years had set out to develop an evidence-based option to help market towns cope with future expected growth.

12.3 In introducing the report and moving the recommendations, the Cabinet Member for Highways, Infrastructure & Transport highlighted that a number of market town studies had been carried out over the last two years. This report summarised the Wymondham Transport Network Improvement study, along with the comments from stakeholders and the actions taken. Cabinet was asked to agree to adopt the study.

The main objectives from the study were:

- Traffic calming on the Harts Farm estate.
- Cycling and walking routes around the town.
- Public transport in the town.
- Walking, cycling, bus and parking arrangements in the Market Cross area.

The Infrastructure & Development Select Committee had considered the Strategy and supported the study.

12.4 The Cabinet Member for Finance supported the proposal, particularly the work carried out on the walking and cycling aspect, which he considered a first step in terms of revolutionising the way Norfolk looked at how people travelled around the county. He added that he was working with the Cabinet Member on a transport policy in relation to King's Lynn.

12.5 Cabinet **RESOLVED** to:

- **Agree and adopt** the completed [Wymondham Network Improvement Strategy as published on the website.](#)

12.6 Evidence & Reasons for Decision.

This market town NIS has identified a range of infrastructure measures to

support growth and which will be added to forward plans for a range of partners, including the county council, to take forward.

12.7 Alternative Options

The Wymondham NIS is the final NIS to be adopted from the two rounds of strategies and its adoption will put its status on a par with the other studies enabling its recommendations to be fully taken into account in future work programmes.

13 Devolution and Local Government Reform

- 13.1 Cabinet received the report by the Executive Director of Strategy & Governance providing the context for Norfolk County Council's current position on devolution and local government reform and for Cabinet to approve the suggested next steps.

- 13.2 The Chairman introduced the report highlighting that it needed to be accepted that the upcoming local recovery and devolution white paper reflected emerging government policy. He added that the government was currently focused on Brexit and Planning Reforms, so it was possible that Local Government Reform was after them in terms of priority.

The Chairman looked back to 2014-15 when a Norfolk/Suffolk Devolution deal had been considered, adding that since then it had been the explicit aim of Leaders of Norfolk Local Authorities to work better together which had been proven over the last few months following the covid outbreak. He added that it was accepted that the role of councils was to deliver the best services for local people in the most efficient and effective way.

The Chairman continued that if devolution would give Norfolk more money, more power, more responsibility and more freedom it was not unreasonable to pursue that, although until the white paper was published planning for reorganisation should not commence.

- 13.3 The Cabinet Member for Growing the Economy agreed that the Council needed to understand what devolution would bring to Norfolk, what the benefits would be and these would not be known until the white paper was published. Therefore, any detailed planning should wait until the white paper was published, although in the meantime, he felt the Leader should be given the opportunity to talk to other Local Authorities and perhaps inform the contents of the white paper.

- 13.4 The Cabinet Member for Finance endorsed the comment and felt it was important that long-term funding within the context of a devolution solution was considered.

- 13.5 The Cabinet Member for Adult Social Care, Public Health & Prevention supported the recommendations in the report, and agreed that until the white paper was published, engagement with partners to consider the best ways of working together should be undertaken. He added that ongoing debate on how the County Council could continue to devolve relationships with partners was

something he supported and would give the Chairman as much freedom as necessary to continue negotiations.

- 13.6 The Cabinet Member for Children's Services supported the report and recommendations and said that when devolution was considered previously he had been in favour of the proposal as he believed it would provide more funding locally and that local decisions was the way forward. He agreed that any reorganisation should wait until the white paper was published.
- 13.7 The Cabinet Member for Innovation, Transformation & Performance fully supported the proposals and recommendations and considered that unnecessary spending at this stage in speculating what may or may not be included in the white paper was wrong. He supported the approach of working together and collaborating which had worked particularly well over the last few months.
- 13.8 The Chairman thanked Cabinet Members for their positive comments.
- 13.9 Cabinet considered the report and **RESOLVED** to:
1. **Support** the approach taken to date by Norfolk Leaders Group and the County Council's ongoing commitment to closer collaboration and joint working to deliver the best possible services in the most efficient, effective and inclusive manner.
 2. **Endorse** Norfolk County Council's approach to devolution and local government reform.
 3. **Authorise** the Leader to pursue further conversations on devolution on an appropriate geography whilst we await the white paper.

14 County Council Highway Authority - Planning Consultation response to South Norfolk Planning Application 2018/2631

- 14.1 Cabinet received the report by the Executive Director of Community & Environmental Services asking Cabinet to determine the County Council's statutory consultee response to the planning application number 2018/2631. The application was made on behalf of Ben Burgess (a national farm machinery company) for the relocation of their headquarters. The new site would be in Swainsthorpe to be served from a roundabout on the A140 which was part of the national Major Route Network (MRN).
- 14.2 The Executive Director of Community & Environmental Services drew attention to paragraph 2.3.7 of the report which stated that the Local Member, Cllr Colin Foulger, did not support the proposal set out in the planning application. The Executive Director advised that Cllr Foulger had contacted him and clarified that he had never stated verbally, or in writing, that he supported nor opposed the proposed development and asked Cabinet to delete that paragraph from the report.

The Executive Director highlighted that the decision on the planning application remained with South Norfolk District Council and that the report was to determine the County Council's consultation response. Cabinet was asked to weigh up the relatively narrow highways view on the junction, versus the broader impact of the development on the Norfolk economy.

- 14.3 The Cabinet Member for Growing the Economy asked Cabinet to confirm it agreed to remove paragraph 2.3.7 of the report, as highlighted by the Executive Director in paragraph 14.2 above). Cabinet **agreed** to remove the paragraph.

The Cabinet Member for Growing the Economy introduced the report, during which the following points were noted:

- Cabinet was being asked to determine Norfolk County Council's statutory consultee response to the planning application as the Highway Authority, ie to support or object the proposal as set out its reasons for the determination.
- A planning application had been submitted by Ben Burgess, a farm machinery company, to relocate their headquarters from Norwich to Swainsthorpe, with direct access onto the A140.
- As statutory highway authority, Norfolk County Council had responded to the original application recommending refusal in 2019. Since the refusal, an amended application had been submitted and Cabinet was being given the opportunity to consider the economic benefit of the proposal, alongside the highway considerations.
- the Highway Authority had been engaged in discussion with Ben Burgess before the application was submitted, during the application process and after the formal response had been made.
- The application was submitted for a new junction on the A140 part of the MRN serving the development only.
- The Highways Authority had recommended refusal.
- An amended application had been submitted and officers had considered the revised information and felt the application did not overcome the original recommendation of refusal and that an additional junction on the A140 would not be welcome. Officers had acknowledged that a roundabout was the only form of acceptable junction for the site.
- Cabinet had been asked to consider the proposal from an economic benefit to Norfolk viewpoint, which was not a consideration for highways officers, but was a consideration for Cabinet.
- Ben Burgess was a key participant in the agrifood sector and supported the agriculture sector and the wider economy of Norfolk and there would be a number of economic benefits of the company moving from its current location, including:
 - Expanding and attracting new customers, whilst maintaining its current workforce.
 - Increasing jobs and apprenticeships.
 - The business would be able to fully embrace new technology as the location was on the A140, connected to the A47 and A11, part of the Norwich-Cambridge tech corridor.
- The economic benefit of an application was not a direct consideration for the highways authority, although it was a consideration for Cabinet. Economic Development officers in Community & Environmental Services had considered the implications and for the purpose of the report, considered the economic benefits viable.

In summing up, the Cabinet Member for Growing the Economy said that Ben Burgess provided significant services to the farming sector, both regionally and nationally and if they were not able to successfully relocate in Norfolk, there was a risk they would seek another location outside Norfolk, leading to job losses. He considered Cabinet should not allow this to happen.

- 14.4 The Cabinet Member for Growing the Economy proposed the following recommendation, which was seconded by the Cabinet Member for Commercial Services & Asset Manager:

- Cabinet considers that the economic impact of the proposals alongside the safety and appropriateness of a roundabout on the A140 overcomes objections as a highways authority and we therefore raise no highways objections to the planning proposal.

- 14.5 The Cabinet Member for Commercial Services & Asset Management supported the proposed recommendation, adding that Ben Burgess was a Norfolk company which had expanded its business to cover a large slice of East Anglia. He added that there was a danger that if they weren't allowed to develop the site, they would move their headquarters outside Norfolk, which would damage the Norfolk economy.

- 14.6 The Cabinet Member for Communities & Partnerships supported the proposal as it would support the local economy and safeguard the employment of staff in Norfolk. With the current situation, proposals that enabled people to keep their jobs should be supported. She added that she considered the roundabout was a suitable option.

- 14.7 The Cabinet Member for Innovation, Transformation & Performance also supported the recommendation as he felt it was important to keep the company headquarters in Norfolk.

- 14.8 The Chairman summed up that a recommendation had been made and seconded and asked Cabinet to agree the recommendation.

- 14.9 **RESOLVED:**

- Cabinet considers that the economic impact of the proposals alongside the safety and appropriateness of a roundabout on the A140 overcome objections as a highway authority and we therefore raise no objections to the planning proposal.

- 14.10 **Evidence & Reasons for Decision.**

See section 2 of the report.

- 14.11 **Alternative Options**

Cabinet could determine to support or object to the proposal and should set out the reasons for this determination.

If Cabinet feel that further information is needed in order to make a determination, we could request an extension of the deadline for making a

response to South Norfolk District Council to enable this. Note that the original deadline for response was 4 September and that has been extended to enable Cabinet to debate this issue.

15 Reports of the Cabinet Member and Officer Delegated Decisions already made:

Cabinet **RESOLVED** to **note** the Delegated Decisions made since the last Cabinet meeting.

Decisions by the Cabinet Member for Highways, Infrastructure & Transport

- [Attleborough, Queens Square – Parking Amendments](#)
- [DfT Bid Submission – Emergency Active Travel Fund – Tranche 2](#)
- [Application to run e-scooter trials in Norfolk.](#)
- [Covid-19 Bus Services Support Grant.](#)

16 Point of Clarification

- 16.1 The Chairman invited the Cabinet Member for Children's Services to clarify an earlier comment regarding Holt Hall.

The Cabinet Member for Children's Services advised that he understood from social media that the response he had made earlier in the meeting had been misinterpreted. He wished to make it clear that any decision regarding Holt Hall and Whitlingham would only be taken once the formal consultation had finished. Once all the information from the consultation had been received a decision would be made as to the future of Holt Hall and Whitlingham.

The Cabinet Member added that he understood the value and importance of outdoor learning and Whitlingham in particular provided a very important service for a county like Norfolk which contained so much water within its boundaries.

The meeting ended at 12.05pm

Chairman



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Statement made by the Chairman.

After the Government's decision to designate Norfolk as an area of enhanced support, my message to everyone today is clear – now is a time for togetherness.

Everyone in Norfolk has a role to play. By following the guidelines, together we can Protect ourselves, Protect others and Protect Norfolk.

We welcome the Secretary of State's decision on Friday to make Norfolk an area of enhanced support, following the coronavirus outbreak at Banham Poultry.

I want to be very clear. This is definitely not about restrictions. It is all about support, providing us with even more capabilities to Protect Norfolk.

There will no extra rules affecting how any of us live and work in Norfolk. Or for visitors to Norfolk

The decision by the Government to allow us to draw on added support will provide swifter data and testing and allow us to respond and act faster to support our local efforts.

The communities of Norfolk have been through a lot and I would like to reassure them, and our visitors, that Norfolk is still a safe place in which to live, work and visit.

In terms of the Banham Poultry outbreak, Dr Louise Smith has outlined that all the evidence we have so far suggests that we have contained that outbreak. The rises in infection that followed, seen in Great Yarmouth, Breckland and Norwich, were all linked to workers and their households.

It remains vital people follow guidelines and where necessary isolate to keep the spread of the infection as low as possible and support the public health teams working on the outbreak.

I would like to thank Dr Louise Smith and her team in Public Health Norfolk for the way they have managed, not just this outbreak, but the whole situation over the last six months.

We understand people are concerned and today is a day where many of us see our children and grandchildren return to school.

Children seeing their friends and teachers for the first time in nearly six months shows how important it is that Norfolk communities start getting some kind of normality back into their lives. Nothing emphasises this more than children learning and playing with their friends.

A return to normality is what we all want. As we look ahead to the coming months, I would like to thank everyone in Norfolk who has been following advice on hand washing and social distancing, as this has ensured that we do not have a serious, wider problem across our communities.

I ask you to keep doing this and to please remember, if you are contacted by test and trace, please isolate for the stated period and get tested as soon as possible if you have symptoms.

Norfolk people have been excellent in following the guidelines to keep our county safe. By continuing to follow these guidelines everyone will be playing a crucial part in keeping coronavirus under control

Thank you.

Cabinet
7 September 2020
Public & Local Member Questions

Agenda item 6 Public Question Time

6.1 Question from Cavan Stewart

There is a problem on Quebec Rd and Wolfe Rd in Norwich where the speed limit is currently 30 mph. The danger of speeding traffic is acute outside Lionwood Primary. A recent petition that was carried out this year shows that 189 people are in favour of reducing the speed limit and asking for other traffic calming measures. Forty-three of the signatories were teachers and assistants at the Junior School. With this in mind, would the Council implement an immediate reduction of the speed limit to 20 mph and consider implementing additional traffic calming measures in this area before a serious incident occurs involving children and motor vehicles?

Response by the Cabinet Member for Highways Infrastructure & Transport

The Highway Network Safety team have reviewed this location and have confirmed that a 20mph limit would be appropriate on Quebec Road and Wolfe Road, providing that there is sufficient support from the local community including residents. There is also a need to identify the funding required to implement the speed limit changes, which due to the required legal process, could be up to £6,000. One potential funding source is the Local Member Fund, so I would also encourage you to discuss this proposal with your local County Councillor. I encourage you to submit your petition to the Council for review to determine if further consultation will be required before a scheme can be considered for progression.

6.2 Question from Sandy Lysaght

The cabinet member does not support campaigns to end holiday hunger. He believes that parents have a responsibility to look after their children and use the benefits system already there to support those in genuine need. Has the cabinet member ever visited a food bank; or met families and children experiencing holiday hunger and food poverty in order to inform these views?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention

Thank you for your question. I have always thought that it is important to consider genuine need before committing taxpayers money to any project. I was asked to support a blanket scheme to give money or vouchers to people for their children's lunches during school holidays, whether they needed it or not, without any checks or balances. I am disappointed that Cllr. Smith-Claire doesn't feel the same way. Given the facts of the situation I have not needed to visit a food bank to make an informed decision.

6.3 Supplementary question from Sandy Lysaght

What does the cabinet member of Adult Social Care mean by 'genuine need' in his response to a request for support to end holiday hunger?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention.

Thank you for your question. "Genuine need" means exactly what it says, I cannot think of a simpler way to put the phrase

6.4

Question from Mr Tim Jones

Given that as far back as April meat processing plants across America and Europe were identified as Coronavirus hotspots and given the amount of research explaining why this would logically be the case (see, for example, Middleton, Reintjes and Lopes' "Meat plants - a new frontline in the Covid-19 pandemic" from July 2020), why were procedures not put in place at Banham Poultry in Attleborough to prevent the outbreak there before it occurred?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention

Thank you for your question. The guidance to meat processors issued as a result of the Covid-19 pandemic is very comprehensive. It is the responsibility of the firms themselves to implement them, this is no different from other countries across Europe and America. Any questions relating to the prevention measures at Banham Poultry should be directed to the Health and Safety Executive (HSE) who are responsible for reviewing the procedures.

Agenda item 7 Local Member Issues/Questions

7.1 Question from Cllr Sandra Squire.

Having witnessed a road rage incident outside my house a few weeks ago, where Highways personnel were verbally abused by a driver and then deliberately driven at while resurfacing the road, I've been told this is a common experience for those working on our roads. Would the Cabinet member agree it is totally unacceptable for staff or contractors to have to experience this and what would he suggest could be done to protect them.

Response by the Cabinet Member for Highways, Infrastructure & Transport

Fortunately, the incidents of road rage in Norfolk are rare. However, Roadworkers are often subject to bad language & have had items thrown at them. The traffic management staff are trained to stand back & not incite confrontation. If they are threatened, they take down the vehicle registration & report the incident to the police. In known problem areas where issues have been previously reported, the Council request a minimum of 2 traffic management staff and body cameras. Signs are also provided which state "CCTV cameras recording on this site".

7.2 Question from Cllr Alexandra Kemp

Climate Change & Public Health

Hardings Pits Doorstep Green won the Norfolk Biodiversity Award and, with the high flood-risk grassland east and south, is suitable for - a County Wildlife Site; mitigation for: Climate Change, Natura 2000 sites, and Lynn's 26-hectare Green Infrastructure Deficit - but not development. The Environment Agency advises against ground-floor accommodation, due to rapid inundation-zone flood risk.

Will the Leader halt all ill-advised traffic orders that : facilitate environmentally-unsafe development; break County's £5.3 million funding agreement by bringing considerable traffic on the bus-and-cycle lane; slow down strategic Bus Travel; risk public safety on 10,000 residents' only safe route, that encourages Active Travel for public health.

Response by the Cabinet Member for Highways, Infrastructure & Transport

The proposed scheme and traffic order (promoted by the Borough Council and delivered by the County Council), is to enable access to commercial premises, derestricting the southernmost 125m for that purpose only. The proposals also involve constructing an additional length of footway & cycleway where none currently exists. The remainder of Hardings Way is not affected, so the route will remain a key bus, cycling and walking route.

Therefore, there are no plans to halt the traffic orders.

7.3 Question from Cllr Dan Roper

Is there a case for delaying significant new capital expenditure on the fabric of county hall and on site car parking until there is greater clarity on the likelihood of

local government reorganisation in Norfolk?

Response by the Cabinet Member for Commercial Services & Asset Management

There is not a case to delay the capital expenditure to the County Hall Campus, as it has had historic underinvestment since its original construction, meaning for example that the Council Chamber is not properly accessible for disabled Councillors, staff or residents.

The County Council has also had a clear strategy of consolidating functions and activities onto the campus, looking to make the best use of the estate – for example in moving multi-agency partners such as the MASH team from expensive accommodation in Vantage House into County Hall. This process is continuing with the consolidation of Carrow House into County Hall, bringing Coroners and a number of frontline social work teams into County Hall. These moves help generate capital receipts, but also real revenue efficiencies for the County Council, as well as a better environmental footprint.

In order to facilitate this, the County Council does need to make sure that the infrastructure at County Hall is able to support a higher level of utilisation and provides a modern flexible workspace.

Local Government re-organisation has had a chequered history and there is no clear timescale or indeed agreement on what a future structure may look like. A similar argument could be made for delaying decisions around ‘health and social care integration’ or any number of white papers. Local Government needs to make efficiency savings now and these changes enable those savings.

Whatever the outcome of Local Government review, it is likely that County Hall will need to remain as a key public sector hub not least given its local listing, historic grounds and the restrictions on the land. As such the works that are being planned, will allow for a well utilised, flexible building serving Norfolk residents in the future

7.4

Question from Cllr Tim Adams

People with disabilities tell us that they have lost all respect for how they have been treated by the council over the last 2 years. What will the Cabinet member do personally to seek a change in this view?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention

I am sorry to hear that, change is often difficult for any of us, even if it is for the better. I am happy to give my word that we will continue do everything that we can to give the best service possible with the money that we have available. This has been my driving principle since I became the Cabinet Member for Adult Social Services.

7.5

Question from Cllr Brian Watkins.

What is your vision for a sustainable transport policy?

Response by the Cabinet Member for Highways, Infrastructure & Transport

You will know that the county council is reviewing its Local Transport Plan, which will set out the county council's transport strategy and policies, taking a medium-term view over the next 15 years. The LTP is the county's overarching transport strategy and will set out how the county council will take forward and deliver the principal ambitions of the council and our partners including the county council plan and the LEP's Integrated Transport Strategy and Economic Strategy. It will also show how the council will secure and deliver the necessary transport system to meet the ambitions of stakeholders in the public and private sectors.

The plan will take account of environmental, economic and social factors in order that a truly sustainable transport policy can be set out. Cllr Watkins is on the Member working group for the plan's review and will be able to help shape the plan before it comes to Members to agree.

In the meantime, the county council continues to devise and implement a range of transport schemes that balance the needs of the environment, economy and social issues whilst meeting the county council's overall objectives.

7.6

Question from Cllr Steffan Aquarone

How valid were the comments made by George Freeman MP that the Task and Trace of the Covid outbreak at Banham Poultry has been too slow and ineffectual and what actions are being taken to protect the rest of Norfolk from this outbreak?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention.

Thank you for your question. It is always interesting to hear from George Freeman, and I have no doubt he was sincere in his comments. I am now sure he is properly up to speed with what has happened since the start of the outbreak.

Following notification of the first positive case on 21 August staff who were in close contact with staff member were immediately asked to self-isolate and get tested. This resulted in further 7 cases confirmed on 24 August and testing was put in place for 376 workers who worked in the same section of the Banham Poultry plant. Subsequent extensive testing has taken place with all staff at Banham Poultry and their households, being asked to self-isolate in accordance with required procedures.

Norfolk County Council notified the Government's Covid-19 Joint Biosecurity Centre and staff from both the Department of Health and Public Health England have been attending local meetings to advise on containment of the virus. A daily Incident Management Team meeting chaired by Dr Smith, Director of Public Health, of lead local, regional and national agencies along with Banham Poultry management continues to monitor and take action on the situation. Mobile testing units are now in place in Great Yarmouth, Norwich and Attleborough to encourage wider community testing. In addition to the NHS Contact Tracing service to increase local contact tracing capacity, it was decided to bring in Essex and

Southend Contact Tracing Service.

The risk to the wider population of Norfolk has been assessed as small and there is no evidence that the outbreak has spread further than Banham Poultry.

7.7

Question from Cllr David Harrison

If a child is found to have Covid in a school in Norfolk what would be the process for dealing with this safely and effectively?

Response by the Cabinet Member for Children's Services

There are detailed procedures in place and clear steps for schools to follow in the event of a child being poorly at school or testing positive for COVID-19.

If a child becomes poorly at school, they are isolated from others as soon as and parents are asked to collect child asap. The whole household then has to isolate and get tested. If a child is positive, they have to self-isolate for at least 10 days from the date of the test and until temperature returns to normal. Remaining family members isolate for a further 14 days from the date of the positive test. Schools have been provided with a flow chart, contact points and template letters to parents. Every school is being supplied with a small number of home test kits that they can supply to families if children are in need of a test. These will be distributed to Norfolk schools next week. If more than two children or two related cases to a child test positive this will be tested as an outbreak and covered by the local outbreak plan.

7.8

Question from Cllr Mike Smith-Clare

In the light of comments in the recent past by two cabinet members about responsibility for hungry children in Norfolk will the Leader set out what the administration's policy towards ensuring parents have the wherewithal to feed their children, how shortfalls in their ability to feed their children are tackled by this council that is responsible for the well being of children, and how the council will deal with the consequences of Norfolk children becoming malnourished?

Response by the Leader

Children's Services alongside colleagues across the County Council have been working with vulnerable families including where providing food for their children has been identified as a worry. During the summer term our education team worked closely with schools and education providers to ensure that families whose children were now eligible for free school meals were able to access this support and food was provided. This included during the summer holiday period following the government decision to extend free school meals through July and August, including via the voucher scheme. In each district Children's Services have enabled families to access support including via the Norfolk Assistance Scheme and linked closely with food banks and other organisations that can provide short term assistance to families. Where Children are at risk of harm including possible malnourishment the Children's Advice and Duty Service (CADS) continue to work with professionals across the county to ensure that these children are identified and a timely response provided which has including visiting children at home and

making sure the right support is in place.

7.9 Question from Cllr Chrissie Rumsby

A recent Food Foundation report has found that 5.1 million people in the UK are living in households with children who have experienced food insecurity since the start of the pandemic. What has the cabinet member done to ensure those affected are helped and that this number doesn't increase during a possible second spike?

Response by the Cabinet Member for Children's Services

The children of Norfolk eligible for Free School Meals have been supported throughout the pandemic and over the school summer holidays through the voucher scheme and some locally organised arrangements. I have made it my business to monitor and understand that this programme is running well for children and families. As children return to school next week this support for them continues. It is not the role of a Children's Services to ensure that all children are fed, but to hold officers to account for their part in ensuring that programmes such as Free Schools Meals are appropriately delivered. During the pandemic I am pleased to report that we offered an instant checking service and staff worked around the clock to process new applications to ensure that children could be included in the Free School Meals voucher scheme.

7.10 Question from Cllr Brenda Jones

What evaluation and assessment has been done of the numbers of staff that need to be based at county hall and their modes of travel to and from the campus given the experience of remote working, taking account of operational effectiveness, overall costs and impact on carbon emissions?

Response by the Cabinet Member for Commercial Services & Asset Management

An analysis of the numbers was provided as part of the recent planning application, this included the increased number of visitors expected to the site. A summary of the demand data was provided to the Councillor in May 2020.

7.11 Question from Cllr David Rowntree

The cabinet member for Children congratulated Norfolk's children on their exam results but many young people suffered undue anxiety, disappointment and a change to their future plans due to the Government's disastrous algorithm strategy for deciding exam results. What would the cabinet member like to say to those young people about that and what did he do to address their concerns?

Response by the Cabinet Member for Children's Services

It was very regrettable that the initial position with regard to examination outcomes caused some distress to young people. Of course, I want to say how very sorry I am that they and their families experienced this. No – one would want to cause young people this kind of upset and like all of us I was relieved when it was overturned and teachers' assessments of their pupils and students were used to form their grades. This was a central government decision which, although it must have seemed too long for young people, was turned around relatively quickly. I

know that our schools, colleges and officers have been working tirelessly to support those young people who may have been affected. Our post 16 'Keeping in Touch' team will continue to follow up on every young person who does not register somewhere in one form or another- in September. The contact team will telephone every young person who does not appear to have signed up for a next step and work with them to identify an appropriate pathway to continue their education, training or work place ambitions.

7.12 Question from Cllr Colleen Walker

Extended learning through outdoor study visits are acknowledged as providing invaluable personal and social developmental opportunities. Can the cabinet member outline the educational and social value provided by Holt Hall and Whitlingham Adventure Centre and explain the importance of these outdoor resources in offering safe and varied learning options for schools during the ongoing Covid Pandemic?

Response by the Cabinet Member for Children's Services

Holt Hall and Whitlingham Adventure are part of the council's education traded services. Up until the pandemic both were open to school parties. When the national lockdown occurred in March both sites were closed. School trips and residential visits were barred from taking place under COVID restrictions. Just before the school summer holidays officers surveyed Norfolk schools and asked for an indication of the impact of prioritising certain activities – e.g. support for the curriculum, and clusters, and de-prioritising other provision for example the use of Holt Hall and Whitlingham. Following a return from over 90% of Norfolk schools approximately 4% expressed some concern about the continued closure of Holt Hall and Whitlingham for the forthcoming term. Holt Hall remains closed therefore and we are ensuring the outdoor learning advice and guidance is focused on schools and their sites for safe learning. I fully recognise the important role that learning outside a classroom can play and know that many Norfolk schools make use of outdoor learning space, and programmes like Forest schools to support social and emotional learning. Right now, Holt Hall is not a place where children need to go for residential or day visits, as schools will be limiting their transport requirements to those which are essential to get to and from school. The priority is providing learning on school sites as per the government's clear guidelines and expectations. Whitlingham has previously been open to the public and used for school parties and also at this time remains closed. This decision is constantly under review, however, at this time there is no consideration that it will be re-opened for school parties in the near future. Encouraging learning to take place outside the classroom is important and we will continue to promote the outdoor curriculum opportunities that schools can provide.

7.13 Question from Cllr Julie Brociek-Coulton

Marcus Rashford, Aldi, Asda, Co-op, Deliveroo, FareShare, Food Foundation, Iceland, Kellogg's, Lidl, Sainsbury's, Tesco and Waitrose all support expanding an existing school holiday food and activities programme to support all children on free school meals in all areas of England instead of the current 50,000 children that are helped. Can Cllr Borrett explain why he does not support tackling holiday

hunger too?

Response by the Cabinet Member for Adult Social Care, Public Health & Prevention

Thank you for your question. I have always thought that it is important to consider genuine need before committing taxpayers money to any project. I was asked to support a blanket scheme to give money or vouchers to people for their children's lunch in the holidays whether they needed it or not, without checks or balances. I am disappointed that you Cllr. Brociek-Coulton do not feel the same way, given your awareness of the many demands on public funds.

7.14 Question from Cllr Emma Corlett

The Leader has promised cooperation with DNNG and other groups in lobbying for additional resources for disabled people in Norfolk. Will he detail what steps he has taken to organise this cooperation, how it has manifested itself in practice and what progress has been made?

Response by the Leader

I have recently corresponded with the DNNG reiterating that it remains the case that until we see the Social Care Green paper there is little that can be discussed further at this time. Having said that we are supporting the campaign lead by the CCN and LGA to get more funding into counties and unitaries for all the peoples services we are responsible for.

Once the Social Care Green paper is published, I welcome further discussions with the DNNG about how any changes that affect them are implemented in Norfolk.

7.15 Question from Cllr Steve Morphew

It is clear the majority of councillors has either declined to accept the allowances increase or will be using it for community purposes and would be prepared to vote against taking it if asked. Will the Leader now join me in taking a motion to council this month reversing the decision to apply the 2.75% increase to councillor allowances backdated April and ensure the increase is not included in the September payroll run for councillors pending the council meeting on 21 September?

Response by the Leader

The recommendation to link any increase in Councillor allowances to staff increases ensures that we don't see the catch up in allowances that we have seen in the past. As you say many members (including myself) will not be taking this year's, increase and it is up to each individual Councillor to make that decision.

Therefore, I do not agree that a motion is required.

7.16 Question from Cllr Chris Jones

If the government extends the ability of councils to increase the precept to pay for social care will the cabinet recommend doing so to council and what ceiling would

be acceptable to them?

Response by the Leader

Any future guidance published by Government concerning Adult Social Care precepts would be considered at that time, until then we cannot make decisions based on speculation.

7.17 Question from Cllr Terry Jermy

Could the Cabinet member for transport confirm whether the timetable and costs for the Western Link have been impacted over the past few months due to COVID 19?

Response by the Cabinet Member for Highways, Infrastructure & Transport

The Covid-19 pandemic is an unprecedented event with issues emerging all the time. However, over the past six months, the Government has repeatedly highlighted the importance for infrastructure investment to help with the economic recovery. In May 2020, the Department for Transport (DfT) announced its approval for the building of the scheme to both complete the dual carriageway orbital route around Norwich and also relieve traffic congestion on local roads.

Now that the business case has been approved by central government, and Norwich Western Link has gained conditional entry into DfT's 'Large Local Majors' project funding programme, the team are now progressing the necessary design and environmental work to proceed to the next stage of the statutory approvals processes and start the procurement process.

This is slightly later than the original planned timescales, primarily due to the later approval of the business case by the DfT. A procurement exercise is currently underway which will provide more cost certainty for the scheme, and the project remains within the overall budget.

7.18 Question 1 from Cllr Danny Douglas

Does the cabinet member for transport and environment have sympathy for Mrs Susan West of Little Bethel Street in Norwich City Centre who has increased the use of her inhaler due to the deterioration of air quality linked to the increased amount of traffic congestion and does the cabinet member recognise this has been partly caused by road closures in Norwich City Centre and is damaging Norwich's economy and hampering access for emergency services of long periods of the day?

Response by the Cabinet Member for Highways Infrastructure & Transport

I have a great deal of sympathy for the health of all our County's residents and I am sorry to hear of Mrs West's situation, however I believe the increased congestion Cllr Douglas refers to has been caused primarily in relation to a road closure for a major new private development of student housing on the edge of the city centre.

Our recent emergency covid works in the city centre have been designed to take traffic out of the city centre and support the local economy.

We consult closely with all emergency services on the implementation of all highway measures and have taken steps to adjust signal timings at Chapelfield roundabout to improve traffic flow. No further issues have been reported so far and this area will continue to be monitored closely.

We firmly believe that new city centre accommodation and current highway projects will contribute to significant economic growth of the city centre in the longer term and many schemes featured in our forthcoming Transforming Cities proposals, such as the redevelopment of the St Stephens bus corridor are heavily focused on reducing air pollution in the city centre.

7.19 Question 2 from Cllr Danny Douglas

Can the cabinet member outline how he is monitoring the impact of the changes and roadworks in the city centre?

Response by the Cabinet Member for Highways, Infrastructure & Transport.

Council officers continually monitor the impact of all changes and roadworks in the city centre, by looking closely at traffic levels to identify any congestion hot spots and taking feedback on board from all those affected and taking action where necessary. This can be demonstrated in our continual adjustment of signage for temporary traffic management, adjustment of the signal timings at Chapelfield roundabout and through further adjustments such as the provision of additional loading bays and relaxing of loading restrictions to support residents and businesses in the St Benedict's / Exchange Street areas. We try to keep disruption to a minimum wherever possible, whilst balancing the needs of all users and ensuring our teams can work safely.

7.20 Question from Cllr Ed Colman

There is currently a lot of talk about the forthcoming Local Recovery and Devolution White Paper which, as I understand it will include possible Local Government Re-organisation guidelines. I read with great interest the County Council's Network's recent commissioned publication 'Making Counties Count'. Would the Leader please share his views on that publication's findings and whether he agrees with them

Response by the Leader

Making Counties Count explores the current and future role of counties in the context of the devolution of powers away from Whitehall, something I'm pleased to hear the Member has read and found of interest.

A fairer and more consistent approach to devolution across the country would ensure that central government should provide substantive powers and budgets to county authorities, such as Norfolk, enabling them to best address the economic impact of Coronavirus, and continue their leading role in promoting economic growth.

This consistent approach is critical, in my view, along with a national framework from government to best ensure a successful attempt to secure a deal. Whilst this report is excellent background we should still wait for the publication of the White Paper in the coming months in order to maximise the potential of any deal.

In terms of the financial benefits, the report found that single county unitaries deliver the greatest financial benefit, would be most understandable to the public, retain local identities and provide the most coherent geography to develop local economic recovery strategies. It clearly demonstrates that size and scale is a key driver towards these cost savings, better service delivery and a coherent approach to economic development and recover.

Furthermore, the publication outlines that there would be new powers for town and parish councils to focus on local issues, with local representation and citizens voices being delivered through new local governance arrangements.

I would encourage Members to read the report.

Cabinet

Item No 8.

Decision making report title:	Long Stratton Bypass
Date of meeting:	05 October 2020
Responsible Cabinet Member:	Councillor Martin Wilby (Cabinet Member for Highways, Infrastructure and Transport)
Responsible Director:	Tom McCabe, (Executive Director, Community and Environmental Services)
Is this a key decision?	Yes

Introduction from Cabinet Member

The A140 Long Stratton Bypass is a long-held infrastructure aspiration to improve the centre of Long Stratton for residents and businesses alike, improving the quality of life and the local environment by removal of through traffic. Highway users will also see a significant improvement in journey times and journey reliability by not having to travel through the town, especially in the morning and evening peak hours.

Successful delivery of the well-received Hemphall Roundabout scheme has improved the safety record at that junction and unlocked the scope for a small part of the planned development in Long Stratton, as set out in the adopted Joint Core Strategy and Area Action Plan. More significantly it has also provided the platform that has enabled our focus to move to the next stage, which is to see the delivery of the long-awaited bypass.

I am pleased that the bypass project has already received Strategic Outline Business Case approval from the Department for Transport, and this report sets out the next phase of that process, which is to submit the more detailed Outline Business Case.

Executive Summary

A successful Strategic Outline Business Case (SOBC) for Long Stratton Bypass has previously been submitted and approved by the Department for Transport (DfT). This requested funding through the government's Major Road Network (MRN) programme.

Award of 'provisional' programme entry (as a consequence of the approved SOBC) has seen progression of an Outline Business Case (OBC), which will be ready for submission to DfT later this autumn. The Long Stratton Bypass project has been awarded funding of £570,000 by the DfT as a contribution towards fees to support the delivery of the OBC.

It is important for Norfolk County Council to work alongside South Norfolk Council and Norfolk Homes to deliver Long Stratton Bypass. Each of the organisations involved hold responsibilities that are key to the successful delivery of the proposal. The establishment of a Project Board and Member Steering Group for the Long Stratton Bypass will enable us to work together effectively and collaboratively to bring forward this important piece of infrastructure.

There is a need to ensure appropriate governance arrangements are in place for the Long Stratton Bypass. Please refer to Appendix A for the proposed terms of reference for Long Stratton Bypass Project Board as well as proposed terms of reference for the Member Steering Group.

The A140 forms part of the Major Road Network and is the highway connecting the two largest economies in the New Anglia Local Enterprise Partnership area, centred Norwich and Ipswich respectively

Recommendations:

- 1. To confirm the support for the delivery of the Long Stratton Bypass and to agree to add this to the capital programme.**
- 2. To delegate the approval of the Outline Business Case to the Cabinet Member Highways, Infrastructure and Transport.**
- 3. Agree to form a Member Steering Group and approve the Member Steering Group Terms of Reference, as detailed in Appendix A.**

1. Background and Purpose

- 1.1. The County Council, at its meeting in December 2016, agreed a motion setting out that the 'Council recognises the vital importance of improving our transport infrastructure and that this will help to deliver the new jobs and economic growth that is needed in the years ahead.' In addition, the motion set out that the 'Council also recognises the importance of giving a clear message of its infrastructure priorities to government and its agencies, and so ensure that there is universal recognition of their importance to the people of Norfolk.' Three projects were identified as priorities for the coming years and the Long Stratton Bypass is one of these.
- 1.2. Another key factor in achieving the identified growth for Long Stratton, was the delivery of a new junction at Hempnall Crossroads. It was widely agreed that the existing crossroads junction was over capacity and was an identified accident blackspot on the A140 between Long Stratton and Norwich. Therefore, to allow future growth within Long Stratton and increased safe traffic flows through Hempnall Crossroads, a more suitable and safer junction form was delivered in the shape of the new roundabout which opened in Autumn 2019.

2. Proposals

- 2.1 The proposed scheme is to deliver a bypass of Long Stratton on the eastern side of the existing development. The new bypass will be a single carriageway road that will extend from the existing junction between the A140 and Church Lane to the north, in a southerly direction for approximately 3.9km where it ties back into the existing A140 just south of Oakside farm.
- 2.2 Delivery of the bypass is directly linked to the Joint Core Strategy (JCS) and the Long Stratton Area Action Plan (LSAAP) in order to deliver 1,800 new homes (1,200 to the east of the existing development, 600 to the west) and 9.5 hectares of local employment land. Delivery of the growth within Long Stratton is dependent upon delivery of the bypass, however, the bypass is also reliant on the development allocation. Therefore, to successfully bring forward both growth in Long Stratton and the bypass, it is necessary that the two requirements are progressed together.
- 2.3 To help ensure successful delivery of the scheme, the Council has already established a Project Delivery Team. A Project Board is also in place in accordance with corporate project management guidance for projects of this scale. Building upon experience of other major projects and in line with project management best practice principles, it is recommended to establish a Member Steering Group and the proposed Terms of Reference are attached in Appendix A. All three of these will be fully resourced to ensure the project can move forward at the required pace. The Project Board is accountable through the Project Sponsor to Norfolk County Council, and responsible for the scheme delivery, reviewing details related to project controls, including budget, risk and programme, and taking key decisions.

3. Impact of the Proposal

- 3.1 Implementation of the Long Stratton Bypass as proposed, is intended to bring a suite of improvements in environmental, strategic and economic terms. Complementary measures brought forward as part of the residential development associated with the same planning application, will also support these same improvements.
- 3.2 It is intended that the bypass will provide a new and more efficient route for through traffic on the A140, which will in turn provide traffic relief to the town centre. In doing so, due to the constrained nature of the urban core of Long Stratton and the competition for available highway space, journey times will be reduced with less delays and queues reduced, particularly during peak periods. The bypass will allow direct access to the proposed new development on the east side of Long Stratton (the proposed northern roundabout will also be the main access point to the proposed development on the west of the town) as well as providing opportunities to further improve conditions for people cycling, walking and using public transport.
- 3.3 The new bypass will be delivered in accordance with current national design standards meaning the improved road should reduce the rate and severity of

accidents. A significant reduction in heavy goods vehicles, as well as other vehicles from the town centre, will assist in improving the air quality in the town and reduce the impact from noise on adjacent properties. The significant reduction in traffic along the existing road will reduce severance and enable an enhanced public realm within the town.

- 3.4 As well as traffic improvements, the bypass will support the vision identified within the Long Stratton Area Action Plan (LSAAP). An Area Action Plan is a document prepared by a Local Planning Authority to provide the planning framework for places where significant development is planned and/or conservation needed. The LSAAP has been developed by South Norfolk Council due to the significant level of growth identified within the adopted Joint Core Strategy (JCS). The JCS has identified growth in Long Stratton of at least 1,800 homes and employment opportunities between 2008 and 2026. The LSAAP also gives an overview regarding the wider community, notably how new infrastructure, expanded facilities and environmental enhancements need to deliver improvements for existing residents and businesses as well as meeting the needs of growth.

- 3.5 The LSAAP includes six Objectives - Housing, Employment, Town Centre, Environment, Recreation and Accessibility, which outline the future of the town with the bypass in place.

It is intended that the town centre will be revitalised following the removal of heavy lorries and other traffic through the delivery of the new bypass. The historic streetscape of the Conservation Area will be enhanced, and a safer and more attractive environment will be created with potential to provide a new 'market place' to act as a focal point. The improved centre will enable the reuse of vacant buildings and additional retail provision will be made which relates well to the existing centre.

- 3.6 The bypass will facilitate the identified residential growth and employment opportunities, alongside the necessary infrastructure, including social and community facilities, and public open space will be provided to support the new development. Improved walking and cycling routes will link the new housing to the town centre and public transport connections.

4. Evidence and Reasons for Decision

- 4.1 The Joint Core Strategy (JCS) sets out the long-term vision and objectives for the area, including strategic policies for steering and shaping development. It identifies broad locations for new housing and employment growth and changes to transport infrastructure and other supporting community facilities, as well as defining areas where development should be limited. It is inherent within the JCS that the Long Stratton Bypass is a key piece of transport infrastructure required to implement the Norwich Area Transportation Strategy (NATS), deliver growth and support the local economy.

- 4.2 As a Key Service Centre, Long Stratton has been identified to accommodate major housing growth but will benefit from the new bypass. It will also have enhanced transport links to Norwich, remain an attractive place with a range of enhanced shops, services, community facilities and job opportunities.
- 4.3 The requirement for provision of a bypass has been tested through public examination of the LSAAP, which supports the principals of the JCS outlined above. The JCS identifies Long Stratton for growth of at least 1,800 new dwellings and employment opportunities, and importantly states that the development in Long Stratton is required to deliver a new bypass for the village, alongside other infrastructure. The JCS also refers to the need to enhance the centre of the village with environmental improvements, traffic management and expanded services, in order to raise the perception of Long Stratton from a large village to a small town. Additionally, the JCS identifies the importance of conserving the ancient landscape to the east of the village within a wider green infrastructure corridor.
- 4.4 The DfT needs to ensure that when decisions are made by Ministers regarding funding, they are done so on an evidence-based approach in line with Treasury advice. The Transport Business Case process requires that schemes illustrate they:
- are supported by a robust case for change that fits with wider public policy objectives – the ‘strategic case’;
 - demonstrate value for money – the ‘economic case’;
 - are commercially viable – the ‘commercial case’;
 - are financially affordable – the ‘financial case’; and
 - are achievable – the ‘management case’.
- 4.5 Demonstrating the benefits that the scheme will deliver within each of the cases is key to a successful submission. The Transport Business Case is broken down into three stages; the Strategic Outline Business Case (SOBC); the Outline Business Case (OBC); and the Full Business Case (FBC). An initial SOBC submission for Long Stratton Bypass had already been provided to DfT in September 2018. In July 2019, following revised DfT guidance, Transport East (the sub-national transport body who prioritise Major Road Network schemes) confirmed the bypass as a regional priority, and an updated SOBC was also then submitted to DfT. This was accepted by a DfT, who in September 2019 also awarded £570,000 funding to continue the project development, including producing the OBC. Full economic and financial appraisals are carried out during this OBC phase. It is intended, subject to the approval of the recommendation contained within this report, that the Project Delivery Team will be able to submit the finalised OBC to DfT during October 2020. Upon successful acceptance of the OBC by DfT, it will be possible to continue to complete the necessary statutory approval processes for the project and then submit the final FBC to DfT, which, once approved, will enable the start of construction.

- 4.6 The OBC sets out the reasons why the Council believe the proposed A140 Long Stratton Bypass should receive funding from the DfT's Major Roads Network (MRN) fund. The MRN is the highest classification of local authority roads in England and the middle tier of England's busiest and most economically important A road network. The MRN forms the link between the Highways England controlled Strategic Road Network (SRN) and the other local authority-controlled A roads.
- 4.7 The A140 forms a strategic link between the two major commercial centres within the Eastern region, Norwich and Ipswich. This major road connects Norfolk and Suffolk and is also utilised by many users to access locations within Norfolk such as the Norfolk Broads, Norwich City and the county's extensive coastal area.
- 4.8 The five cases within the OBC (Strategic, Economic, Financial, Commercial and Management) follow DfT guidance, and are based on the development work done since submission of the SOBC and are therefore consistent with each other. This includes consideration of the design of the scheme, preparation of cost estimates, traffic modelling, economic appraisal and consideration of constraints and environmental impacts.

5. Alternative Options

- 5.1. Delivery of the bypass is driven by the need to support growth in the wider Long Stratton area in alignment with proposals set through the planning process, i.e. JCS/LSAAP. As demonstrated above, facilitating the delivery of significant levels of residential and commercial growth in Long Stratton requires the provision of a high-quality transport solution. The bypass will also improve the transport infrastructure, removing the busy 'A' class road from the urban core, which should also make the existing route more attractive and accessible for sustainable modes of transport whilst also improving air quality, noise levels and reducing severance.
- 5.2. Previous proposals for a dual carriageway Long Stratton Bypass have been superseded in favour of a proposal more in keeping with that of the existing transport network north and south of Long Stratton. Provision of a design compliant single carriageway bypass option provides what is required in terms of transport benefit, as well as being considered affordable in terms of Benefit Cost Ratio. A dual carriageway solution is no longer likely to be cost effective.
- 5.3. Failure to provide a new bypass (ie 'do nothing') would result in the failure to deliver the scale of housing and employment growth as set out in the JCS and tested as part of the LSAAP.

6. Financial Implications

- 6.1. The cost of delivering the scheme will not be fully known until the detailed design has been completed, the scheme obtains planning approval and tender prices have been received. However, significant levels of work have been undertaken at this stage to assess the likely outturn cost and assess the risks.
- 6.2. The draft Outline Business Case estimates the current overall cost of delivering Long Stratton Bypass at £37.44m. This cost includes an allowance for risk which has been calculated through a Quantified Risk Assessment. The project is mainly externally funded with 70% from the DfT's Major Road Network Fund and 30% from local contributions made up primarily of developer contributions and Community Infrastructure Levy (CIL) contributions.

Any shortfall within the local contributions will be underwritten by Greater Norwich Growth Board (GNGB). Funding for the proposal is sought from multiple sources, therefore, the reassurance of funding from GNGB will allow the project to proceed following a successful OBC decision.

7. Resource Implications

7.1 Staff:

The Project Team will be supported by other internal members of staff within the Project Support and Business Support groups. We will also receive support for specialist activities (eg environmental and traffic modelling appraisal) from our professional services consultant, WSP.

7.2 Property:

There are no perceived property issues, but note the details relating to potential blight in sections 8.1.2.

The project delivery team have been working alongside the developer to make sure the land required for the bypass is available when required. As a consequence of this, the developer has provided written assurances to the Council that the land necessary for delivery of the bypass will be made available following successful grant of planning permission. Arrangements to formulate a formal land agreement remain ongoing with the developer.

To manage any risk associated with land assembly, we also plan to promote a Compulsory Purchase Order alongside the land negotiations to safeguard the land required to deliver the bypass. Promotion of this Order should guarantee that there will be no land impediment to delivery.

7.3 IT:

None.

8. Other Implications

8.1 Legal Implications

A Side Roads Order (SRO), promoted by Norfolk County Council, under Section 14 of the Highways Act 1980, will be required to make all the necessary changes to existing Highways as well as incorporate any new provision. Promotion of the SRO will take place after the Developer has secured successful planning permission for the bypass through the Local Planning Authority, South Norfolk Council. The SRO will also include any changes to Public Rights of Way required as a consequence of delivering the bypass.

It is considered unlikely that Blight will be an issue associated to the delivery of the bypass, however, the project team are in discussions, NPS to confirm this position. The proposal is being developed so that it may be delivered within land in control of the Developer, therefore, there should be no secondary claims.

8.2 **Human Rights implications**

8.2.1 Aarhus Convention implications

The requirement to deliver a bypass for Long Stratton has been long established within the Joint Core Strategy (JCS) and the Area Action Plan (AAP). Both the JCS and AAP have been subject wide scale consultation and public examination before being adopted. Prior to this, a dual carriageway bypass project was promoted and concluded its statutory processes in 2005, having also been widely consulted.

8.2.2 The proposed bypass, along with the residential development that is associated to it (as agreed via the JCS and AAP), are both being progressed through the planning system regulated through the Town and Country Planning Act 1990. The Developer has already submitted one planning application to the Local Planning Authority which was uploaded onto the LPA's planning portal (ref 2018/0111), which is openly available to all to view. When re-submitted, the revised planning application will again be located on the LPA planning portal and will include environmental assessment documents and associated evidence.

8.2.3 NCC have not carried out any formal consultations associated to the bypass scheme, however, as set out in the Statement of Community Consultation documents published on the South Norfolk District Council Planning Portal, it can be seen that consultation was undertaken by the Developer during 2017 on the development and bypass proposals, including:

8.2.3.1 "The Design Team held a public exhibition of the emerging proposals on the afternoon and evening of Monday 17 July 2017 at the Methodist Church, Manor Road, Long Stratton. The exhibition was publicised by a leaflet drop to individual houses, posters placed in shops and public buildings and by press adverts in the Eastern Daily Press and free circulating Mercury Series of newspapers."

- 8.2.4 The requirement for the scheme has already been tested in public and any updates to the planning application documentation will be subject to further consultation and all documents, including those related to the environmental statements, will be updated and available to view via the planning portal. Given the case for the scheme that will be set out in the OBC documents, the public availability of the OBC and planning documents and details, the previous public examinations of the JCS and AAP, the consultations already completed and to be completed for the updated planning application process, and the public decision making process that exists via the planning decision making process, we consider that the provisions within the Aarhus Convention will have been satisfied.
- 8.2.5 There will be Human Rights implications associated with the Compulsory Purchase Order required to safeguard the delivery of the proposal. There will be interference with the Protocol 1, Article 1 right to peaceful enjoyment of one's property. Such Human Rights impacts are considered to be proportionate and the Council will only pursue the Compulsory Purchase if negotiations cannot be concluded voluntarily.
- 8.3 **Equality Impact Assessment (EqIA)**
The project delivery team has been working alongside the Equality, Diversity & Inclusion team to produce an agreed Equalities Impact Assessment.
It is anticipated that when the proposed scheme progresses through key delivery milestones (Detailed Design, Stage 2 Safety Audit, prior to Procurement and during the production of a Construction Management Plan), the EqIA will be revisited to ensure that the proposals and Assessment are still complimentary.
- 8.4 **Health and Safety implications**
Long Stratton Bypass will encourage a reassignment of traffic away from existing town centre of Long Stratton. The removal of a high percentage of the existing traffic volumes through the core of the settlement has the potential to realise further health benefits, through local improvements in air quality and by making cycling and walking more attractive.
Removal of through traffic will also assist with connectivity within Long Stratton town centre, making it easier to move between east and west sides of the development without having to negotiate a busy A road. This is considered to be of particular benefit to vulnerable users, who may have difficulties in negotiating the existing arrangement.
- 8.5 **Sustainability implications**
8.5.1 The most beneficial sustainability factor will be the reduction in greenhouse gases. There is modelled to be a net reduction in CO₂e emissions over the 60-year appraisal period associated with reductions in queueing traffic on the road network.

- 8.5.2 An Environmental Statement (ES) for the whole Scheme (the ‘whole scheme’ includes both the Long Stratton Bypass and the Western Relief Road which are both covered by the hybrid planning application being submitted, as well as the residential development, employment land and open spaces etc.) was produced by the Developer in 2017. This ES presented the assessment of the potential impacts associated with whole scheme. As part of the resubmission of the planning application to the Local Planning Authority, the Developer will be responsible for updating the ES to suit the revised application.
- 8.5.3 As part of the OBC process, it is necessary to carry out Environmental Assessments which will support the environmental impact appraisal which is required by the DfT for their funding decision. The environmental impact appraisal will also cover topics such as noise, air quality, greenhouse gas (GHG), biodiversity, historic environment, landscape and visual and water environment.
- 8.6 **Any other implications**
- 8.6.1 None.

9. Risk Implications/Assessment

- 9.1. There is risk associated to a delay in the Developer securing grant of planning, or not actually achieving a valid planning permission. However, Norfolk County Council are supporting the Developer with their re-submission process. It is intended that this course of action should help secure a robust planning application which will reduce the chances of this risk from occurring.
- There is a risk associated to the Developer portion of the local contribution not being available at either the appropriate time or suggested value. This risk could be brought about by a changing commercial market that the Developer is working within, or commercial decisions taken by them. There is also a possibility that the Section 106 negotiations at planning stage do not achieve the necessary level of contribution. A commitment from GNGB to make funding of up to £10m available to support delivery of the project will account for the potential shortfall, as well as ensure that funding is available at the correct time should the clawback of contributions be delayed as a consequence of agreed Developer payback facilities.
- 9.2. There are significant archaeological and environmental considerations along the route of the proposed bypass. Dialogue and investigations to support appropriate mitigation to minimise the impacts to both the environment and human history will continue through the design process.
- 9.3. The costs estimates obtained are subject to issues such as market price fluctuations, inflation and risk. These effects are included with the Quantified Risk Assessment allowances that form part of the total scheme cost estimate.

Both Brexit and COVID-19 have been incorporated into the risk register and will be monitored through progression of the scheme. The risk register is overseen by the Project Board.

- 9.4. Within Section 6 Financial Implications, it is mentioned that there is a risk allowance within the scheme cost estimate. The value associated to this allowance has been identified through a Quantified Risk Assessment (QRA).
- 9.5. The QRA process identifies individual project risks that could have a financial impact. Once identified, the likelihood of occurrence and potential severity of the risk should it occur are scored to ascertain a risk rating. It is then possible to add monetary values to those risks which builds the 'risk pot'. This process replaces a % uplift associated to the potential construction cost, which is a less accurate 'methodology for assessment of risk cost.

10. Select Committee comments

10.1 N/A

11. Recommendations

- 1. To confirm the support for the delivery of the Long Stratton Bypass and to agree to add this to the capital programme.**
- 2. To delegate the approval of the Outline Business Case to the Cabinet Member Highways, Infrastructure and Transport.**
- 3. Agree to form a Member Steering Group and approve the Member Steering Group Terms of Reference, as detailed in Appendix A.**

12. Background Papers

- [Greater Norwich Development Partnership – Joint Core Strategy](#)
- [Long Stratton Area Action Plan](#)
- [EDT Committee \(January 2019\) Item 11](#) – Norfolk Local Transport Plan Review
- [EDT Committee \(September 2017\) Item 15](#) – Major Infrastructure Improvements – Update

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Long Stratton Bypass Project

Member Steering Group Terms of Reference - September 2020

1.0 Introduction

- 1.1 The County Council, at its meeting in December 2016, agreed a motion setting out that the 'Council recognises the vital importance of improving our transport infrastructure and that this will help to deliver the new jobs and economic growth that is needed in the years ahead.' In addition the motion set out that the 'Council also recognises the importance of giving a clear message of its infrastructure priorities to the government and its agencies, and so ensure that there is universal recognition of their importance to the people of Norfolk.' Three projects were identified as priorities for the coming years and the Long Stratton Bypass is one of these.
- 1.2 The submission of a funding bid via Transport East (the Sub-National Transport Body) to DfT was made in September 2018. In July 2019, following revised DfT guidance, Transport East (The sub-national transport body responsible for Norfolk who prioritise Major Road Network schemes) confirmed the bypass as a regional priority, and an updated SOBC was also then submitted to DfT.
- 1.3 Work has, and will, continue on the project development at risk, until the approval of the Outline Business Case (OBC) following submission to DfT in the autumn of 2020. This submission will be developed following an update to the transport modelling, further Environmental Impact Assessment (EIA) studies and updated financial and appraisal work. Approval of the OBC, will provide 'programme entry' status for the project.
- 1.4 The County Council (through its budget setting and Committee reporting processes) has confirmed the necessary funding to date for the scheme development. This has included contributions from the Pooled Business Rate fund. Once conditional entry is confirmed by DfT (see above), it is expected that development funding will also be able to be drawn down from DfT to support development of the OBC. The project is also supported by the New Anglia Local Enterprise Partnership, however they have not provided funding to date.
- 1.5 The scheme will continue to be developed by the Project Delivery Team and it is expected that all the technical work required for the project will be developed during the period 2020 to 2022. It is intended that the Developer will submit their formal planning application in the Autumn of 2020, which when approved, will give NCC the mandate to proceed through the necessary Statutory obligations process.

- 1.6 This document sets out the Terms of Reference for the Member Steering group meeting.

2.0 Governance

- 2.1 The project board oversees the delivery of the project and key programme activities. Please refer to the project board Terms of Reference for more detail on the project board structure and role.
- 2.2 The Member Steering group will receive updates on:
- Project delivery – programme and progress
 - Project costs
 - Emerging Procurement/Contract issues
 - Project risk register

3.0 Programme

- 3.1 A project management plan (the management case for the SOBC) with key activities and actions has been developed and provides clear milestones. This will be tracked and monitored by the project delivery team and project board.
- 3.2 A more detailed project programme has also been developed that sets out the delivery of the whole project to completion, including all statutory processes. This forms the basis of the projects anticipated delivery timescales and must therefore be updated regularly by the Project Manager and any key issues raised at the delivery team and reported to the project board. This will be presented to the Member Steering group as a monthly milestone report.
- 3.3 The target date for commencement of construction is currently Spring 2023, with all statutory processes and DfT Full Approval completion ahead of this date. This is also dependent upon the planning application being submitted late in 2020 and a positive decision in the Spring of 2021. A public inquiry has been allowed for within the programme dates, and if required, would be likely to commence during 2021 and extend into 2022.

4.0 Role and membership of the Member Steering group meeting

- 4.1 The Terms of Reference are suggested as follows:
1. To receive updates on the project progress and any key issues.
 2. To review project details relating to the overall project delivery, but with a focus on the statutory process, procurement/commercial, contract/legal and programme/budget position of the project.
 3. To receive updates and comment on any key project risks.
 4. To monitor progress of procurement, taking account of the agreed evaluation criteria and experience from previous schemes (NDR and Great Yarmouth 3rd River Crossing, Norwich Western Link).
 5. To review and question the details behind and project changes and cost implications and seek further details if needed.

6. To receive and review any audit details when carried out, including any terms of reference.
7. To review overall project delivery with an understanding of issues experienced during the delivery of other major projects, identifying best practice to inform ongoing learning.
8. To develop and agree brief update reports to advise the Cabinet Member for Highways & Infrastructure.
9. Identify opportunities to highlight the benefits of the project, including for the local communities and businesses.

4.2 Member Steering group and chairperson

The Member Steering group will be made up of the following Norfolk County Council elected members:

NCC Members

Cllr Martin Wilby (proposed chairperson) – Conservative – Norfolk County Council – East Depwade
Cllr Alison Thomas – Conservative – Norfolk County Council – Long Stratton
Cllr Bev Spratt – Conservative – Norfolk County Council – West Depwade
Cllr Colin Foulger – Conservative – Norfolk County Council – Forehoe
Cllr TBC – Labour – Norfolk County Council – TBC
Cllr TBC – Lib Dem – Norfolk County Council – TBC

From time to time, South Norfolk Council Members will also be invited to attend as required:

SNC Members

Cllr Joshua Worley – Conservative – South Norfolk - Stratton
Cllr Michael Edney – Conservative – South Norfolk – Hempnall
Cllr Barry Duffin – Conservative – South Norfolk - Forncett
Cllr Florence Ellis – Conservative – South Norfolk – Newton Flotman

Note that the following SNC Members will already be attending the meetings:

Cllr Martin Wilby – Conservative – South Norfolk - Beck Vale, and
Cllr Alison Thomas, – Conservative – South Norfolk – Stratton

Officers

David Alfrey, Senior Responsible Officer and Infrastructure Delivery Manager, CES.

Rod Kelly, Project Manager, Infrastructure Delivery, CES.

TBC, Stakeholder and Engagement Officer, CES

Lucy Harrison/Kim Parker/Viv Thomas, Project Assistant, CES (minute taker)
Additional attendees will be agreed as necessary.

4.3 Meetings and papers

Member Steering group meetings will generally be held bi-monthly, or at a frequency to be agreed by the group, depending on key project deliverables. An agenda and papers will be distributed in advance of each meeting (generally a week before), with details developed by the Project Manager.

Papers (and discussions at the meetings) will be mainly of a sensitive nature and should be treated as confidential. The agenda items will generally have some fixed elements as set out in paragraph 2.2, with additional topics added as necessary, particularly when urgent issues arise.

Report to Cabinet Member

Item No 9.

Decision making report title:	Annual Local Levy Setting for 2021/22 in the Regional Flood and Coastal Committees
Date of meeting:	05 October 2020
Responsible Cabinet Member:	Cllr Andy Grant (Cabinet Member for Environment and Waste)
Responsible Director:	Tom McCabe (Executive Director of Community and Environmental Services)
Is this a key decision?	No

Introduction from Cabinet Member

Regional Flood and Coastal Committees (RFCC) play a key role in helping to protect communities from flooding and coastal erosion. The Committees bring together those with responsibilities for managing flood and coastal erosion risks to help ensure we have clear plans, and also to support targeting projects to those areas at most risk.

The County Council's contribution through the annual levy supports significant flood mitigation work in Norfolk, as part of the RFCC programme. Every £1 of local levy spend draws in approximately £5 of additional central government funding, enabling important schemes to reduce the risk of flooding and coastal erosion to come to fruition.

Recent major projects in Norfolk have included the river defence work in Great Yarmouth and the Bacton landscaping project.

The Local Levy is currently supporting a number of NCC surface water improvement projects including those in Dereham, Watton and Saham Toney, Thorpe Hamlet and Mileham. The levy also funds a Liaison Officer who is providing a vital link to enable our projects to access Environment Agency (EA) funding.

Executive Summary

This report sets out a proposed position for the County Council members on the Regional Flood and Coastal Committee to take in relation to local levy setting for 2021/22.

Recommendation:

- 1. To agree that the NCC representatives at the RFCC will support an increase in the Local Levy setting vote in October 2020 of up to 1.5%.**

1. Background and Purpose

- 1.1. The Environment Agency raises a levy on upper tier and unitary Local Authorities each year. This includes the County Council. This is called the 'Local Levy'. The amount payable for each local authority is determined by reference to the Local Authority approved council tax base. Local Levy has been raised as a precept on Local Authorities for many years to enable RFCCs to fund local priority projects and support the Flood and Coastal Erosion Risk Management (FCERM) Programme.

Under the Regional Flood and Coastal Committees (England and Wales) Regulations 2011, the County Council's appointed members of the RFCC are entitled to vote on the levying of money from the County Council by the RFCC.

The constitution of Regional Flood and Coastal Committees stipulates that only Local Authority appointees to the committee can vote on levy setting. A number of local authorities are involved in levy setting and the Committee will need to take account of the overall position of all Members, which may differ from the position of the County Council members.

- 1.2. In 2019 the Eastern Area RFCC voted for an increase of 3% and the Central Area RFCC voted for an increase of 2.5%. NCC paid a total of £904,057 to the RFCCs in 2020/21, which was an increase of £25,227 from the previous financial year.

2. Proposals

- 2.1. It is proposed that the County Council's representatives on the Committee support an increase of the levy of up to 1.5%.

3. Impact of the Proposal

- 3.1. The outcome of the Local Levy vote has a financial impact on the authority as well as a real terms impact on the availability of money to fund flood mitigation work.

An increase in the levy of 1.5% would mean an additional revenue payment of £13,561 by the County Council to the RFCC.

Should the Committee resolve to set a levy with an increase above 1.5% then the cost to the County Council would be higher, if conversely if they agree a lower level it would be less.

4. Evidence and Reasons for Decision

- 4.1. The annual levy from NCC supports significant flood mitigation work as part of the RFCC programme and draws in approximately £5 of central government money for every £1 of local levy spend. The RFCC oversee this programme of capital and maintenance works to reduce the risk from flooding and coastal erosion. In 2019/20 Norfolk had a local levy allocation of £1,352,900 for all flood and coastal erosion projects. County Council received an allocation of

£333,900 of Local Levy contributions towards surface water projects. These allocations relate to the 6-year EA FCERM Programme from April 2015 to March 2021.

Although Local Levy is pooled for projects across the region, Norfolk has benefitted from a good return of levy supported projects and schemes. Recent major projects in Norfolk have included the river defence work in Great Yarmouth and the Bacton landscaping project.

Local Levy is currently supporting a number of NCC surface water improvement projects including Dereham, Watton and Saham Toney, Thorpe Hamlet and Mileham. The Levy also funds the EA Liaison Officer post who is providing a vital link to enable our projects to access EA funding.

5. Alternative Options

- 5.1. Cabinet could ask the County Council's representatives on the Committee to support any position in relation to the levy, and a range of illustrative options are set out in Annexe 1.

6. Financial Implications

- 6.1. NCC paid a total of £904,057 to the RFCCs in 2020/21. The impact that a range of increases would have on the County Council's budget is set out in Annex A, and are based on the 2020/21 Council Tax Base, which may be subject to change.

Any increases in the Local Levy will be taken into account in the Medium-Term Financial Plan.

7. Resource Implications

- 7.1. **Staff:**
N/A

- 7.2. **Property:**
N/A

- 7.3. **IT:**
N/A

8. Other Implications

- 8.1. **Legal Implications**
N/A

- 8.2. **Human Rights implications**
N/A

- 8.3. **Equality Impact Assessment (EqIA)**
Allocation of funding for flood defence and mitigation schemes takes account of the deprivation of the areas protected. Each scheme will assess this separately as part of the project development.
- 8.4. **Health and Safety implications**
N/A
- 8.5. **Sustainability implications**
The emphasis of the programme is to protect communities, businesses and infrastructure from the harmful effects of coastal erosion and flooding, taking into account the extra challenges of climate change.

Each scheme within the FCERM Programme will assess this separately as part of the project development.
- 8.6. **Any other implications**
N/A
9. **Risk Implications/Assessment**
- 9.1. The constitution of Regional Flood and Coastal Committees stipulates that only local authority appointees to the committee can vote on levy setting. A number of local authorities are involved in levy setting and the Committee will need to take account of the position of all Members, which may differ from the position of the County Council members.

NCC has 2 appointees on the Eastern RFCC, out of a total of 10 Lead Local Flood Authority (LLFA) Representatives, 1 appointee on the Great Ouse (Central) RFCC out of a total of 7 LLFA Representatives and no appointees on the Northern RFCC.
10. **Select Committee comments**
- 10.1. N/A
11. **Recommendation**
- 11.1.
 - To agree that the NCC representatives at the RFCC will support an increase in the Local Levy setting vote in October 2020, up to 1.5%.
12. **Background Papers**
- 12.1. N/A

Officer Contact

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Annex 1: Alternative Options

	Current Payments	0.5% Increase	21/22 Payments
All RFCCs	904,057	4,520	908,577
Anglian	766,204	3,831	770,035
Great Ouse	137,039	685	137,724
Northern	814	4	818

	Current Payments	1% Increase	21/22 Payments
All RFCCs	904,057	9,041	913,098
Anglian	766,204	7,662	773,866
Great Ouse	137,039	1,370	138,409
Northern	814	8	822

	Current Payments	1.5% Increase	21/22 Payments
All RFCCs	904,057	13,561	917,618

Anglian	766,204	11,493	777,697
Great Ouse	137,039	2,056	139,095
Northern	814	12	826

	Current Payments	2% Increase	21/22 Payments
All RFCCs	904,057	18,081	922,138
Anglian	766,204	15,324	781,528
Great Ouse	137,039	2,741	139,780
Northern	814	16	830

	Current Payments	2.5% Increase	21/22 Payments
All RFCCs	904,057	22,601	926,658
Anglian	766,204	19,155	785,359
Great Ouse	137,039	3,426	140,465
Northern	814	20	834

	Current Payments	3% Increase	21/22 Payments
All RFCCs	904,057	27,122	931,179
Anglian	766,204	22,986	789,190

Great Ouse	137,039	4,111	141,150
Northern	814	24	838

Report to Cabinet

Item No. 10

Report title	Finance Monitoring Report 2020-21 P5: August 2020
Date of meeting	5 October 2020
Responsible Cabinet Member	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	Yes (new capital expenditure)

Introduction from Cabinet Member

This report gives a summary of the forecast financial position for the 2020-21 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2021, together with related financial information.

Executive Summary

Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 5 (August) was an overspend of **£5.314m** on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total **£72.7m**.

Covid-19 financial pressures are taken into account in the forecasts in this report. Details of these pressures and progress on achieving saving are addressed in detail in this report.

Recommendations

1. To approve the continuation of financial support to Adult Social Care (ASC) providers as described in paragraph 5.17 of Revenue Appendix 1, including delegating authority to the Cabinet member for Adult Social Care and Public Health to make a decision, as appropriate, about the extension of any future offer relating to provider support payments and provider additional cost claims for the remainder of 2020-21 subject to those payments remaining within the remaining Covid-19 funding available for that purpose.
2. To approve the continuation of financial support to Children's Services providers as described in paragraph 5.18 of Revenue Appendix 1, including delegating authority to the Cabinet member for Children's Services to make a decision relating to the ongoing measures that are still needed to support providers for the remainder of 2020-21, subject to those payments remaining within the remaining Covid-19 funding available for that purpose.
3. To recommend to County Council expenditure of £0.022m to purchase and implement a Case management system for appointeeships and deputyships as set out in paragraph 4.1 of Capital Appendix 1, to be funded from additional prudential borrowing.

4. To recommend to County Council expenditure of £0.039m to replace Museums Service tills as set out in paragraph 4.2 of Capital Appendix 1, to be funded from additional prudential borrowing.
5. Subject to approval of recommendations in the Schools' Capital Programme report elsewhere on this agenda, to recommend to County Council the addition of £30m prudential borrowing to the capital programme.
6. Note the period 5 general fund forecast revenue overspend of **£5.314m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
7. Note the COVID-19 grant funding received of **£70.388m**, the proposed use of that funding, and the related expenditure pressures.
8. Note the period 5 forecast shortfall in savings of **£17.307m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;
9. Note the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;
10. Note the expenditure and funding of the revised current and future 2020-23 capital programmes.

1. Background and Purpose

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2020-21, to assist members to maintain an overview of the overall financial position of the Council including the financial implications of the Covid-19 pandemic.

2. Proposals

- 2.1. Having set revenue and capital budgets at the start of the financial year, the Council needs to ensure service delivery within allocated and available resources, which in turn underpins the financial stability of the Council. Consequently, progress is regularly monitored and corrective action taken when required.

3. Impact of the Proposal

- 3.1. The impact of this report is primarily to demonstrate where the Council is anticipating financial pressures not forecast at the time of budget setting, primarily relating to the implications of the Covid-19 pandemic, together with a number of other key financial measures.
- 3.2. The capital expenditure proposals will ensure sufficient capital funding is available for these newly identified purposes, without affecting the remainder of the capital programme or the current year's revenue budget.

4. Evidence and Reasons for Decision

- 4.1. Two appendices are attached to this report giving details of the forecast revenue and capital financial outturn positions:

Appendix 1 summarises the revenue outturn position, including:

- Forecast over and under spends
- Covid-19 pressures and associated grant income
- Changes to the approved budget
- Reserves
- Savings
- Treasury management
- Payment performance and debt recovery.

Appendix 2 summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

5. Alternative Options

- 5.1. In order to deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report. In terms of financing the proposed capital expenditure, no grant or revenue funding has been identified to fund the expenditure.

6. Financial Implications

- 6.1. As stated above, the forecast revenue outturn for 2020-21 at the end of P5 was an overspend of **£5.314m** linked to a forecast shortfall in savings of **£17.307m**. Forecast service reserves and provisions are forecast to total **£72.7m**, and general balances of **£19.7m**. Grant funding of **£70.388m** has been received to off-set additional expenditure occurred as a result of the COVID-19 pandemic.

Within the forecast overspend are significant financial pressures identified in Adult Social Services, Community and Environmental Services, and Finance, mainly relating to Covid-19 related pressures, the majority of which have been offset by additional grant funding received.

Within Adult Social Services, the areas of highest pressures, the main area of forecast overspend is on Older People and Learning Disability services within the Purchase of Care budget. A full narrative is given in Appendix 1.

Towards the end of August, agreement was reached between the local government national employers, and the trades unions on rates of pay applicable from 1 April 2020. Although 2020-21 budgets were set based on an assumption of a 2% pay rise, the agreed offer of a 2.75% increase was originally made by local government employers in mid-April. The impact of the additional 0.75% is calculated to be £1.926m. As the increase has been anticipated since early in the financial year, it is assumed that the increase will be absorbed within service budgets and will not have a material impact on the reported forecast overspend. The impact on services will be reviewed later in 2020-21 and the increased cost is being built into budget planning assumptions for 2021-22.

The Council's capital programme is based on schemes approved by County Council on 17 February 2020, as well as previously approved schemes brought forward plus schemes subsequently approved.

7. Resource Implications

- 7.1. None, apart from financial information set out in these papers.

8. Other Implications

8.1. Legal Implications:

In order to fulfil obligations placed on chief finance officers by section 114 of the Local Government Finance Act 1988, the Executive Director of Finance and Commercial Services continually monitors financial forecasts and outcomes to ensure resources (including sums borrowed) are available to meet annual expenditure.

Although the Council is forecasting an overspend for the current financial year, decisions taken by Cabinet as well as actions taken by Chief Officers to mitigate the position over the course of the year will have a significant impact on that position, as will any additional government funding. As context, at 31 March 2020 the Council's general fund was over £19.7m with earmarked reserves (excluding provisions and LMS balances) over £77m.

8.2. Human Rights implications

None identified.

8.3. Equality Impact Assessment

In setting the 2020-21 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published on page 450 of the 13 January 2020 Cabinet agenda as "Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)".

The Council is maintaining a dynamic [COVID-19 equality impact assessment](#) to inform decision making during the pandemic.

The Council's net revenue budget is unchanged at this point in the financial year and there are no additional equality and diversity implications arising out of this report.

9. Risk Implications/Assessment

- 9.1. The Council's Corporate Risk Register provides a full description of corporate risks, including corporate level financial risks, mitigating actions and the progress made in managing the level of risk. A majority of risks, if not managed, could have significant financial consequences such as failing to generate income or to realise savings.

Unlike many other parts of the public sector such as the NHS, local authorities are required by law to set a balanced budget. As part of their duties, the Executive Director of Finance and Commercial Services has a responsibility to report to members if it appears to him that the authority will not have sufficient resources to finance its expenditure for the financial year. While not underestimating the severity of the current crisis and its impact on the Council's finances, the Executive Director of Finance and Commercial Services believes the current year's forecast gap can be closed through mitigating actions and the possibility of additional central government support for the sector. However,

there will be a continuing impact on the medium-term financial strategy and updates are being reported to Cabinet.

10. Select Committee comments

10.1. None

11. Recommendation

11.1. Recommendations are set out in the introduction to this report.

12. Background Papers

12.1. [Equality & rural impact assessment report](#) (page 450)
[COVID-19 equality impact assessment](#)
[Covid-19 financial implications for Norfolk County Council report](#) (page 152)

Officer Contact

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Appendix 1: 2020-21 Revenue Finance Monitoring Report Month 5

Report by the Executive Director of Finance and Commercial Services

1 Introduction

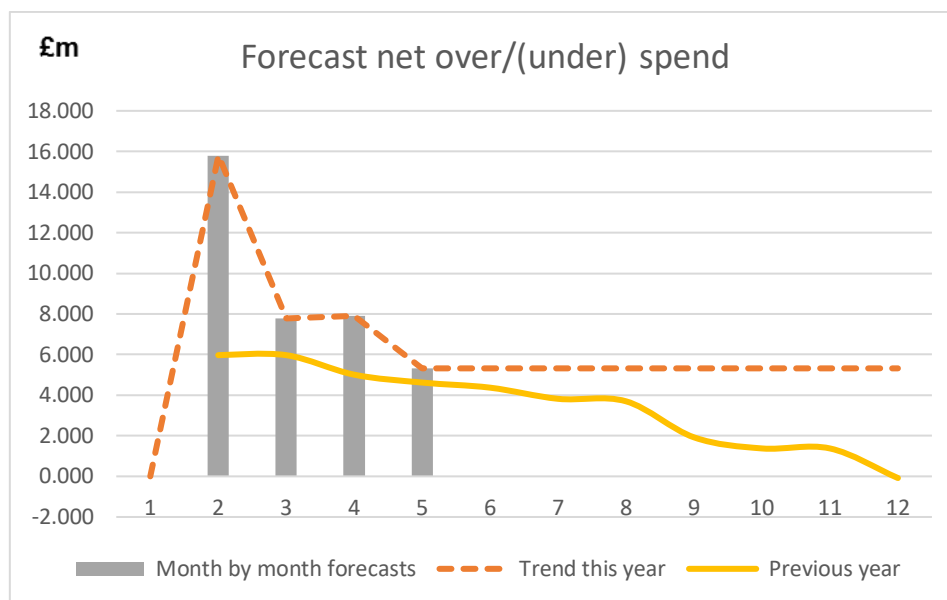
1.1 This report gives details of:

- the P5 monitoring position for the 2020-21 Revenue Budget
- additional financial information relating to the Covid-19 pandemic
- forecast General Balances and Reserves at 31 March 2021 and
- other key information relating to the overall financial position of the Council.

2 Revenue outturn – over/underspends

2.1 **At the end of August 2020** an **overspend of £5.314m** is forecast on a net budget of £430.421m

Chart 1: forecast /actual revenue outturn 2020-21, month by month trend:



2.2 Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. They have been charged with reviewing all their cost centres to ensure that, where an overspend is identified, action is taken to ensure that a balanced budget will be achieved over the course of the year.

- 2.3 Details of all under and over spends for each service are shown in detail in Revenue Annex 1 to this report, and are summarised in the following table:

Table 1: 2020-21 forecast (under)/over spends by service

Service	Revised Budget	Net (under)/over spend	%	RAG
	£m	£m		
Adult Social Services	255.793	8.162	3.2%	R
Children's Services	196.311	-	0.0%	G
Community and Environmental Services	161.799	2.738	1.7%	A
Strategy and Governance	9.362	0.401	4.3%	A
Finance and Commercial Services	32.671	1.038	3.2%	A
Finance General	-225.515	-7.025	3.1%	G
Totals	430.421	5.314	1.2%	R

Notes:

- 1) the RAG ratings are subjective and take into account risk and both the relative (%) and absolute (£m) impact of overspends.

- 2.4 **Children's Services:** The forecast outturn as at Period 5 (end of August 2020) remains at a break-even position, considering the immediate impact of Covid-19, the allocated Covid-19 grants and the re-started transformation programme. At this stage, the department is anticipating that it will spend all of these additional funds and, therefore, the forecast Covid-19 pressures amounting to £5.459m in the areas of Learning & Inclusion (primarily lost trading income and home to school / college transport), and Social Care (primarily delays in savings delivery and support for the market) have been off-set by government grants allocated to the service.
- 2.5 Any surge or second peak could lead to unpredictable demand for social care support and placements, and could disrupt current, stable placements. The department has undertaken modelling of the potential surge that may be seen now that schools have returned to full-time, primarily classroom-based teaching, considering various patterns of demand and impact upon services. At the time of preparing this report, it is too early for any patterns or trends to be seen and, therefore, this risk will continue to be kept under close review.
- 2.6 It should be noted that there is a significant degree of uncertainty in relation to expenditure and income for Children's Services as a result of Covid-19. At this stage, up to 6 months delay in lost transformation savings has been projected for those projects directly affected by the Covid-19 response. Given the current national context, there continue to be significant influences beyond the Council's control that will make delivery of savings difficult in light of the ongoing recovery work, ongoing Covid-related restrictions, potential surge in demand and further waves. Again, this risk will continue to be kept under close review.
- 2.7 **Dedicated Schools Grant:** The outturn forecast remains at £9.7m overspend on the High Needs Block. At this stage, it is assumed that all other blocks will break-even.
- 2.8 Whilst the academic year has commenced, it is too early at the time of preparation of this forecast, to necessarily pick up all changes at the start of the academic year. The forecast is based upon the best information available at this point in time and, given the uncertainty surrounding expectations upon schools and education providers as a result of Covid-19, it will be subject to review as the situation, and year, progresses.

- 2.9 In comparison to this forecast, 2019-20 saw an overspend of £10.307m within the High Needs Block (HNB) and this forecast represents an increase in expenditure year-on-year compared to 2019-20 of approximately £6m, primarily due to demographic growth and the full-year effects of last year's pressures, partially offset by in-year savings delivered due to the SEND & AP Transformation Programme. This in-year overspend will be combined with the cumulative overspend of £19.703m brought forward from prior years. This forecast considers:
- known placements projected forward;
 - demographic growth based upon modelling;
 - the significant pressure seen in 2019-20 for Section 19 related support and post-16 support;
 - ongoing pressure for special school places (2019-20 included a significant increase (approx. £2-2.5m) in independent school expenditure in the last third of the year);
 - presumed continued reduction in expenditure for Alternative Provision following significant work to reduce exclusions alongside schools;
 - savings based upon the special school and SRB places opening during the financial year reducing the demand upon independent provision;
 - specific school-based posts to support inclusion within mainstream schools and to reduce demand for specialist placements.
- 2.10 Whilst there was a HNB increase year-on-year of funding allocation of £11.3m, approximately £5.4m was assumed prior to the Autumn government announcements regarding 2020-21 HNB funding (both 1% growth assumption previously seen in funding allocations alongside ongoing transfer from the Schools Block in line with the 2019-20 that would have required approval from the Secretary of State). Given the government funding announcements in the Autumn, the funding increase above our planning expectations was just under £5.9m.
- 2.11 At the end of the summer term, the government announced additional, DSG funding for 2021-22 onwards. Work is underway to understand the implications for both Norfolk schools and for the High Needs Block.
- 2.12 Significant work is being undertaken through the Special Educational Needs and Disabilities (SEND) and Alternative Provision (AP) part of the Transformation programme both to ensure that the right specialist provision is in the right place to meet needs, whilst also progressing work to transform how the whole system supports additional needs within mainstream provision.
- 2.13 During the Covid-19 response, Learning and Inclusion colleagues have been focussed upon supporting the schools of Norfolk (mainstream and specialist) to remain open as appropriate in line with government expectations. This work continues to support schools as they have embarked upon the Autumn term. Significant focus continues to be required from these staff to continue to support schools as the education landscape changes in response to the latest government announcements. However, focus is now also shifting back to re-starting the transformation programme work wherever possible.
- 2.14 In addition, construction work was also paused due to Covid-19, affecting builds in relation to expanding Specialist Resource Base provision and additional special school places. This work has restarted, and the forecast is based upon the current anticipation that the additional places will be open in line with pre-Covid-19 expectations.

- 2.15 The Government made clear its expectations that all children and young people will return to school for the start of the new school year in September, including special schools. There remains considerable uncertainty as to how school budgets have been affected by Covid-19, and there remains a risk that if schools have seen a significant impact this could cause further pressure in terms of schools being unable to meet the needs of children. This could result in increases in exclusion, higher referral rates for Education, Health and Care Plans, higher requests for HNB support into mainstream or special schools.
- 2.16 The Council submitted its DSG recovery plan to the Department for Education at the end of June 2019. A meeting was due to take place in March, but this was postponed due to the SEND Area OFSTED inspection. It has then been postponed again due to Covid-19. Work is underway to revise the DSG recovery plan to take into account the outturn position for 2019-20 and updated plans. This will be brought back to a future meeting.
- 2.17 **Adult Social Services:** The forecast outturn as at Period 5 (end of August 2020) was a net overspend of £8.162m after utilising £26.052m of Council Covid-19 grant funding and £12.386m of infection control funding.
- 2.18 The forecast overspend has reduced by £0.014m since our Period 4 position.
- 2.19 The impact of the pandemic on the adult social care budget is becoming clearer. The service started the year having achieved good progress in 2019-20 towards demand management through the promoting independence strategy. However, the outlook for 2020-21 was challenging with a £23m savings target – mostly related to demand management – and therefore strong delivery of the savings programme, in this financial year, was critical for the service. Covid-19 has therefore created a double pressure due to higher costs and loss of savings. At Period 5 our volume of usual service users (i.e. excluding additional hospital discharge) is below the position at the end of last financial year, however they are not below the budgeted volumes due to unavoidable delay in delivery of many of the savings needed to meet the target.
- 2.20 The forecast at Period 4 predominately reflected the impact of savings, loss of income, additional packages of care due to the pandemic, financial support for the market and the resultant shortfall between these pressures and available NCC Covid grant. At Period 5, as the next phase of the response to the pandemic has emerged, there were further challenges and areas of uncertainty for the service and Council. These included:
- **NHS funding to support hospital discharge.** The Council is working through the recent guidance released from the government regarding the new hospital discharge service requirements. We are confident we will reach an agreement on the financial arrangements to implement this model with our health partners. However, the funding associated with the model is only agreed for 2020/21. A risk exists for the Council should it not be able to wholly transition from the funding arrangements established in scheme 1 of the model (19th March to 31st August) before the NHSE/I funding ceases.
 - **Day services and related transport are reopening,** however it is now clear that capacity at any point in time will need to be significantly reduced to manage social distancing rules. Providers are working with commissioners to put in place safe new models of care, but this could lead to increased unit costs, additional services – such as transport journeys and the need for alternative provision for people who are not able to access their

usual services. Further work with providers and individuals to assess the models of care and demand, but it is expected that cost pressures will increase during the remainder of the year.

- **Delivery of savings and transformation** between now and the end of the financial year. Our forecast assumes that there will be some delivery of savings towards the latter end of the financial year. Should the impacts of the pandemic continue to prevent our delivery, then this only increase our expenditure and will present a risk to the accuracy of our forecast
- **Provider support payments.** The forecast includes total spending of £16m to support the market. Decisions regarding support mechanisms from October onwards will need to take into account wider market price increases, local factors affecting specific providers; any continued government support; and increased pressures within the day service market.
- **Provider fee levels.** Despite our premium payments, the provider cost reclaim process, and the distribution of Central Government funding such as the Infection Control Grant, we are still seeing fee levels from providers rise. Whilst some of these costs will be associated with hospital discharge contracting arrangements, should we not be able to halt the continued rise in unit price then they may reach an unsustainable level.

- 2.21 Covid-19 has meant that our staff have had to work differently in continuing to meet our duties. Financially this has meant that embracing a socially distanced approach to social care has meant that recruitment and staff travel have naturally slowed leading to a reduction in the associated expenditure in this area. Across our 3 core front line areas of the department we have seen the identification of vacancies, combined with a reduction in expenditure for travel and subsistence, for Care & Assessment teams within Community Social Work (£0.395m) and Community Health and Social Care (£0.502m), as well as within Early Help & Prevention (£0.322m).
- 2.22 The department recognises the financial pressure the above overspend, and in particular, the under-delivery of 2020/21 savings is having on the Council. As part of its newly formed Covid-19 recovery governance, a specific financial recovery workstream has been created. This is predominately looking at the transition arrangements for the hospital discharge service requirements, to mitigate financial risks and to look at the price of care in the market and opportunities to manage this. The service is working to reinstate approaches that will enable some savings programme work to recommence.
- 2.23 With the Purchase of Care (POC) budget making up 77% of our ASC budget, and being heavily dependent on the individual needs of the 14,000+ people at any one time being supported by this budget, it is perhaps not surprising that this is the area feeling the financial pressure. The department is looking to achieve savings of £23m in this financial year, and as described in the budget savings section of this paper, it has been extremely difficult in the current climate to deliver against this challenge
- 2.24 The largest area of forecast overspend is with Purchase of Care for Older People. Whilst it is still too soon to truly understand any revised trend for care services in the medium to longer term, we do know in the short term we continue to have volumes of care higher than we have budgeted for. Our Living Well ethos requires a different climate to be wholly effective in preventing, reducing and delaying need for formal services. In the first four months of the year many of our care providers were paid

fixed (minimum amounts whereby additional services provided are paid for in addition) payment amounts to enable them to have secure cash flow during Covid-19. Whilst this is a vital investment in sustaining a crucial market, it has meant that the spend per month is fixed at a level above which we had initially budgeted. We have been able to utilise some of the Council's Covid-19 grant to offset a proportion of this cost, in particular in our enhanced support, but that has not been sufficient to wholly cover. The transition from payment based on averages to actuals is being actioned during August and September.

- 2.25 During the pandemic we have seen a combination of additional packages put in place to meet differing or escalating care needs and with our NHS partners have also had to manage a different hospital discharge arrangement, that has also temporarily altered our financial assessment procedures. Whilst we have been recovering the Covid-19 related costs incurred on behalf of the NHS, it has clearly meant a different approach that has required the focus of the service.
- 2.26 Whilst our income related to the NHS will increase due to the Covid-19 reclaims, our general customer contribution levels will decrease. For those that are part of the NHS discharge arrangement, we will not lose out financially in the short term. However, where services are not being fully supplied to the customer, but still being paid for by NCC, such as Day Care, we will not be recovering any financially assessed customer contributions. In addition, we have reviewed our planned phase 2 charging policy around the Minimum Income Guarantee which will reduce our income against the associated saving target.
- 2.27 Outside of purchase of care, our budgets for NorseCare and Independence Matters within Commissioning are both forecast to overspend, due to the expected non-delivery of savings.
- 2.28 **CES:** Historically CES budgets have been fairly stable throughout the year and we continue to review the financial impacts of Covid-19. The forecast overspend this month remains at £2.738m, after taking into account Covid-19 grant income of £6.112m and the Local Outbreak Control Public Health grant of £3.718m.
- 2.29 The most significant pressure for CES is the ability to achieve planned income which accounts for the majority of the current forecast pressures within Community Information and learning and Culture and Heritage. Pressures on Income also account for part of the services pressure within Highways and Waste.
- 2.30 There is a significant uncertainty in relation to the impacts on income and we will therefore be reviewing and revising these forecasts as the year progresses. Overall, the position is likely to be mitigated when income under the Local government income compensation scheme for lost sales, fees and charges is received: this is subject to on-going calculations and will be reflected at Service level in future reports.
- 2.31 The forecast pressures within Highways and Waste also relates to waste volumes and Impacts of Dutch Incineration tax on the cost of Waste disposal. Although there is limited data we are currently seeing additional waste volumes through kerbside collection and therefore we are currently seeing additional costs of waste disposal and recycling credits. The impacts of the Dutch tax are largely offset by the planned use of reserves.
- 2.32 The service has also incurred additional costs in relation to the re-opening of Household Waste Recycling Centres for traffic management and site security.

- 2.33 The Department is also reviewing any potential areas for savings that will help off-set this pressure which will include reduced spend on travel, printing and other administration areas. There are also likely to be a number of posts that are currently vacant and therefore we have not been able to recruit to, which will deliver a one-off saving
- 2.34 **Corporate services:** Both the Strategy and Governance and Finance and Commercial Services directorates are forecasting overspends at this stage of the year, primarily relating to central Covid-19 related costs.
- 2.35 **Finance General:** The forecast underspend in Finance General is £7.025m, with an underlying overspend made up of unbudgeted Covid-19 related costs, partly off-set by forecast underspends on the costs of borrowing and additional government Emergency Assistance Grant funding for Food and Essential Supplies. The forecast net underspend this month is mainly due to MHCLG funding which has yet to be allocated to services. The funding will be allocated to services once income compensation claims have been prepared, submitted to and confirmed by MHCLG. Further details are given in Revenue Annex 1.

3 Agreed budget, changes and variations

- 3.1 The 2020-21 budget was agreed by Council on 17 February 2020 and is summarised by service in the Council's Budget Book 2020-21 (page 19) as follows:

Table 2: 2020-21 original and revised net budget by service

Service	Approved net base budget	Revised budget P4	Revised budget P5
	£m	£m	£m
Adult Social Services	255.740	255.740	255.793
Children's Services	196.211	196.311	196.311
Community and Environmental Services	163.471	161.799	161.799
Strategy and Governance	9.365	9.365	9.362
Finance and Commercial Services	30.811	32.668	32.671
Finance General	-225.177	-225.462	-225.515
Total	430.421	430.421	430.421

Note: this table may contain rounding differences.

- 3.2 During period 5, there was one minor budget adjustment to transfer of a fuel rebate budget between Finance General and Adult Social Services to match accounting entries. The Council's net budget for 2020-21 has remained unchanged.
- 3.3 On 10 September the Home Office confirmed that the Council will receive a £0.074m Grenfell Infrastructure grant. This is a one-off ringfenced grant towards delivering outcomes against the relevant findings from the Grenfell Phase 1 inquiry, including smoke hoods in front line appliances, Grenfell recommendations co-ordination, and other related actions. It is anticipated that the grant will be fully spent, and the service net budget will not be affected

4 General balances and reserves

General balances

- 4.1 On 17 February 2020 Council agreed the recommendation from the Executive Director of Finance and Commercial Services for a minimum level of General Balances of £19.623m through 2020-21. The balance at 1 April 2020 was £19.706m. The forecast for 31 March 2021 is unchanged, before any over or underspends.

Reserves and provisions 2020-21

- 4.2 The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2020. Actual balances at the end of March 2020 were higher than planned, mainly as a result of grants being carried forward, including Covid-19 support grants, and reserves use being deferred.
- 4.3 The 2020-21 budget was approved on the basis of a forecast reduction in earmarked revenue reserves and provisions (including schools reserves but excluding LMS and DSG reserves) from £73m to £65m, a net use of £8m.

Table 3: Reserves budgets and forecast reserves and provisions (excluding LMS/DSG)

Reserves and provisions by service	Budget book forecast balances 1 April 2020	Actual balances 1 April 2020	Increase in opening balances after budget setting	2020-21 Budget book forecast March 2021	Latest forecast balances 31 March 2021
	£m	£m	£m	£m	£m
Adult Social Services	16.896	20.291	3.395	10.371	12.928
Children's Services (inc schools, excl LMS/DSG)	1.961	6.200	4.239	3.321	2.776
Community and Environmental Services	35.847	40.934	5.087	32.612	38.805
Strategy and Governance	3.042	2.916	-0.126	3.265	2.566
Finance & Commercial Services	2.469	4.301	1.832	2.472	2.792
Finance General	12.915	49.428	36.513	12.915	12.878
Reserves and provisions excluding LMS and DSG balances (see below)	73.130	124.070	50.940	64.956	72.745
Schools LMS balances	12.001	12.361	0.360	4.212	9.836
DSG Reserve (negative)	-18.387	-19.704	-1.317	-18.830	-28.203
Total	66.744	116.727	49.983	50.338	54.378

- 4.4 Actual overall provisions and reserves (subject to external audit and excluding capital, DSG and LMS reserves) at 31 March 2020 were approximately £50m in excess of 2020-21 budget book assumptions. This is due primarily to £26.8m Covid-19 government grants received in late March, which will be fully used in 2020-21, plus general increases in reserves, including unspent grants and contributions, brought forward after budget setting. The current forecast net total for reserves and provisions at 31 March 2021 (excluding schools LMS and DSG reserves) is approximately £8m higher than was assumed at the time of budget setting due to the increase in grants brought forward.

4.5 Provisions included in the table above

The table above includes forecast provisions of £26.8m comprising £9.9m insurance provision, £12.6m landfill provision (this provision is not cash backed), £4.1m provisions for bad debts, and a small number of payroll related provisions.

5 Covid-19 financial implications

- 5.1 Details of central government funding announcements, and forecast Covid-19 pressures are set out below. Details were set out in a detailed report to the [6 July 2020 meeting of this Committee](#).
- 5.2 Covid-19 funding secured to date is as follows:

Table 4a: Covid-19 funding

Funding	Actual/forecast 2020-21 £m
MHCLG tranche 1 (received March 2020)	26.932
MHCLG tranche 2	16.742
MHCLG tranche 3	6.001
Emergency Assistance Grant for Food and Essential Supplies	1.016
Infection Control Fund	12.386
Home to School and College Transport Funding	0.747
Total to date P4	63.824
Wellbeing for Education Return Grant	0.146
Local Outbreak Control: test and trace service support grant	3.718
MHCLG - Local government income compensation scheme for lost sales, fees and charges	2.700
Total to date P5	70.388

- 5.3 The three tranches of MHCLG funding listed above is unringfenced, but is expected to address additional expenditure, lost income and delayed or irrecoverable savings while assisting those who are in most need of additional support and social care, and those at higher risk of severe illness.
- 5.4 The **Emergency Assistance Grant** is to help those who are struggling to afford food and other essentials due to Covid-19.
- 5.5 The **Infection Control Fund** is designed “to ensure care homes can cover the costs of implementing measures to reduce transmission”, with 75% passed straight to care homes in Norfolk, with the remaining 25% spent on broader infection control measures. The allocation of funding has been available to providers regardless of whether they contract with Norfolk County Council.
- 5.6 On 8 August 2020 the Education Secretary announced £40m **Additional Dedicated Home to School and College Transport Funding**, for transport authorities to help provide alternatives to public transport and ensure children and young people can return to full time education through the autumn term. Norfolk’s allocation has been confirmed as £0.747m and will be applied within Children’s Services.

New / confirmed funding

- 5.7 **Wellbeing for Education Return Grant:** On 12 August 2020 the Secretary of State for Education announced additional non-ring-fenced funding for local authorities to support pupils’ and students’ wellbeing and psychosocial recovery as they return to full-time education in autumn 2020.
- 5.8 The Minister of State for the Department of Health and Social Care announced **Local Authority Test and Trace Service Support Grant** funding for local authorities to fund expenditure relating to the mitigation against and management of local outbreaks of COVID-19 as part of the Council’s public health responsibilities.

- 5.9 **Local government income compensation scheme for lost sales, fees and charges.** A scheme has been announced to compensate local authorities for irrecoverable income losses in the financial year 2020-21 due to the impact of COVID-19, as much as 75% of lost income where losses exceed 5% of planned income subject to the details of the scheme. We are in the process of completing the first claim to MHCLG due to be submitted to MHCLG by 30 September 2020. At the time of writing the claim is not yet finalised. £2.700m represents our current best estimate of the compensation that will be paid by MHCLG. The total value of the estimated claim has been allocated against Finance General in the table below and in the period 5 monitoring forecasts. Once there is more certainty in the claim figures, the income will be distributed to the relevant service budgets and reported as such in future monitoring reports.
- 5.10 **Adult Social Care Winter Plan:** On 17 September, ministers announced that the Infection Control Fund will be extended over winter, with an additional £546m made available to support the social care sector. At the time of writing the financial impact for Norfolk has yet to be confirmed.
- 5.11 A summary of the forecast Covid-19 related cost pressures are as follows:

Table 4b: Covid-19 cost pressures

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services and Finance General	Total
	£m	£m	£m	£m	£m	£m
Previously reported	48.598	7.777	9.635	0.560	8.851	75.421
Changes this month		0.146	3.718			3.864
Total cost pressures	48.598	7.923	13.353	0.560	11.551	79.285
Government support						-70.388
Net Covid-19 pressure						8.897

- 5.12 Details of cost pressures by services are set out in Revenue Annex 2.
- 5.13 There continues to be a high degree of uncertainty about the cost pressure forecasts, and these will continue to be refined as the local and national response becomes clearer. The Council continues to emphasise financial pressures and implications for services in regular returns to MHCLG.
- 5.14 A particular risk relates to Business Rates and Council Tax income. No pressures have been included for 2020-21 with any impact not expected to have an impact on the general fund until 2021-22 and this will be taken into account during 2021-22 budget setting. To assist future budgeting, the government will allow Council's to spread their tax deficits over 3 years rather than the usual one year
- 5.15 The costs and income pressure relating to Covid-19 vary from the overall Council forecast net overspend shown in this report. This is due to non-Covid-19 related under and over-spends, and actions already put in place by Chief Officers to mitigate the financial impacts of the pandemic.

- 5.16 An additional element of cost mitigation included in forecast over and underspends is the Government's **Coronavirus Job Retention Scheme**. While the scheme has not been used to duplicate other sources of public funding, such as the Covid-19 support grants, the government has recognised that there are exceptional cases where, for example, Local Authorities have needed to close venues such as museums and registry offices. Claims to the end of August 2020 will total £0.809m.

Support to the care market

- 5.17 Within the allocation of Covid-19 grant allocated to Adult Social Care is some £16m of funding to support the care market. The June 2020 Cabinet approved a package of financial support to Adult Social Care (ASC) providers which included:

- paying Residential and Nursing providers on actual contract levels;
- paying home support providers under minimum/fixed income levels;
- making an additional 6% provider support payments;
- extending the timescale of provider additional cost claims and
- continuing to pay building-based day care providers and developing person centred, safe alternatives.

Each of the above have commenced and decisions delegated to the Cabinet member for Adult Social Care and Public Health have been duly undertaken. This has included further premium payment of 6% and 3% for care providers in August and September respectively. Furthermore, we have extended the provider cost claim period until October for costs up to and including the 5th September.

We believe that this offer to providers, alongside the central government funding of the ICF and distribution of Personal Protective Equipment (PPE) has been well received by the care market. As the final claim period closes, we believe it is now appropriate to have a more targeted financial support mechanism. Our commissioners are now able to use a richer form of intelligence about our providers. With this information they have begun to build a more comprehensive picture of some of the financial risks associated with our providers.

The June Cabinet meeting gave delegated authority to the Cabinet member for Adult Social Care and Public Health to make decisions relating to provider support payments and provider additional cost claims for August and September 2020.

For the remaining periods of the financial year, it is proposed that the delegated authority is extended so that the residual Covid-19 funding set aside to support care providers is utilised to both respond to any provider risk identified by Commissioning officers, and offset any potential financial risk to the Council from additional costs arising from Day Services or the increasing provider unit price.

- 5.18 The allocation of Covid-19 grant to Children's Services included financial support to the Children's Services social care providers' financial stability during the response to the Covid-19 pandemic. This has been a priority for the Council as part of a wider programme of support to providers to help ensure safe delivery of services.

The large majority of Norfolk's Children's Services social care providers continue to provide care and support for children and young people looked after as they did prior to the pandemic. In some cases, these providers have continued to incur additional

costs to enable them to safely provide this care and support that is critical to keeping both our children and young people and their staff safe. Children's Services commissioners have continued to work closely with other providers to identify how their offer can be flexed to meet needs as the pandemic has progressed and the government guidance has been amended.

The June 2020 Cabinet report, Cabinet approved a package of financial support to Children's Services providers that included:

- a) Continue to pay external Residential, Semi-Independent and Fostering providers on actual contract levels. The Council will continue to monitor payment levels to providers;
- b) Continue to pay short break residential and community providers in line with planned usage whilst continuing to work with providers to utilise resource in alternative ways to support children and families where pre-COVID arrangements are no longer suitable;
- c) Continue to pay assessment, therapy and support providers for provision including where alternative methods of delivery are agreed due to COVID-19;
- d) On a case-by-case basis, continue to offer financial support for additional COVID-19-related costs required to meet the needs of children and young people during the outbreak that cannot be met from existing payments; and
- e) On a case by case basis, continue to offer non-standard payments (such as payment in advance or loans) and sustainability support to providers experiencing financial difficulties that threaten the stability of their organisation and potentially jeopardises their ability to deliver their contractual obligations either now or in the short-to-medium future.

Each of these elements has been implemented and Children's Services commissioners have reviewed the arrangements to consider what ongoing measures are still needed to support providers in their response to COVID.

Our recommended approach for ongoing support of the market for the remainder of the 2020-21 financial year is as follows:

- a) Continue to pay short break providers in line with planned usage where those providers demonstrate a willingness to adapt services and utilise resources in alternative ways to support children and families where pre-COVID arrangements are no longer suitable;
- b) Continue to pay assessment, therapy and support providers for provision including where alternative methods of delivery are agreed due to COVID-19;
- c) Work with providers, where appropriate, to adapt their offer within existing resource envelopes to take account of changing needs and opportunities to enhance services identified during COVID-19;
- d) On a case-by-case basis, continue to offer financial support for additional COVID-19-related costs required to meet the needs of children and young people during the outbreak that cannot be met from existing payments; and
- e) On a case by case basis, continue to offer non-standard payments (such as payment in advance or loans) and sustainability support to providers

experiencing financial difficulties that threaten the stability of their organisation and potentially jeopardises their ability to deliver their contractual obligations either now or in the short-to-medium future.

Any additional costs for providing this support will be funded within the COVID grant monies already allocated to Children's Services.

6 Budget savings 2020-21 summary

- 6.1 In setting its 2020-21 Budget, the County Council agreed net savings of £40.244m. Details of all budgeted savings can be found in the 2020-21 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 6.2 The latest monitoring reflects total forecast savings delivery of £22.937m and a total shortfall of £17.307m (43%) forecast at year end.
- 6.3 The forecast savings delivery is anticipated as shown in the table below:

Table 5: Analysis of 2020-21 savings forecast

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
Budget savings	22.897	9.250	5.013	-0.613	1.389	2.308	40.244
Period 5 forecast savings	9.646	6.849	3.898	-0.691	0.927	2.308	22.937
Savings shortfall	13.251	2.401	1.115	0.078	0.462	0.000	17.307

Commentary on shortfall savings

- 6.4 The impact of the COVID-19 pandemic is having a profound effect on the Council's ability to achieve planned budget savings. Further details on the emerging financial implications of COVID-19 including the impact of non-delivery of savings are reflected elsewhere in this report.
- 6.5 Thirty-five savings are forecasting a shortfall, representing a budgeted total savings value of £30.149m and a forecast savings shortfall of £18.220m. This total is before adjustment for forecast savings over-delivery of £0.913m detailed in paragraph 6.6. Commentary on each saving is provided in Revenue Appendix 3.

Commentary on overdelivering savings

- 6.6 One saving is currently forecast to over-deliver in 2020-21.

Adult Social Services:

ASC035 Investment and development of Assistive Technology approaches, budget £0.500m, over delivery £0.910m: Current projections, tested by the ASTEC Board, suggest we will over-deliver.

In addition, there is a favourable variance of £0.003m on ASC052 relating to the reversal of one-off use of repairs and renewal reserve.

2021-22 to 2023-24 savings

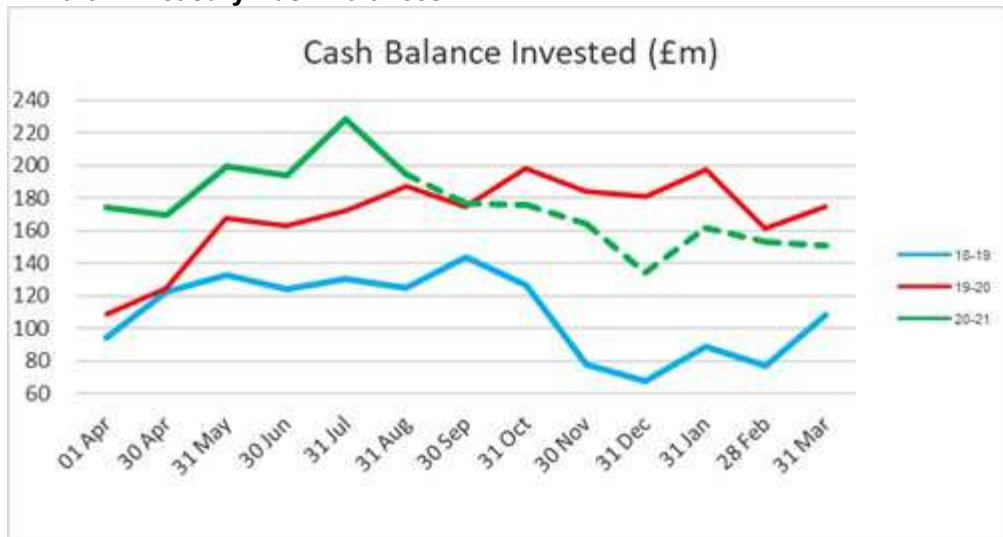
- 6.7 Budget setting in 2020-21 saw the approval of £20.747m savings for 2021-22, £2.383m for 2022-23 and £0.412m savings for 2023-24. Any impact on the

deliverability of these savings, and any 2020-21 savings that are permanently undeliverable, are being considered as part of the 2021-22 budget setting process.

7 Treasury management summary

- 7.1 The corporate treasury management function ensures the efficient management of all the authority's cash balances. The graph below shows the level of cash balances over the last two financial years to March 2020, and projections to March 2021.

Chart 2: Treasury Cash Balances

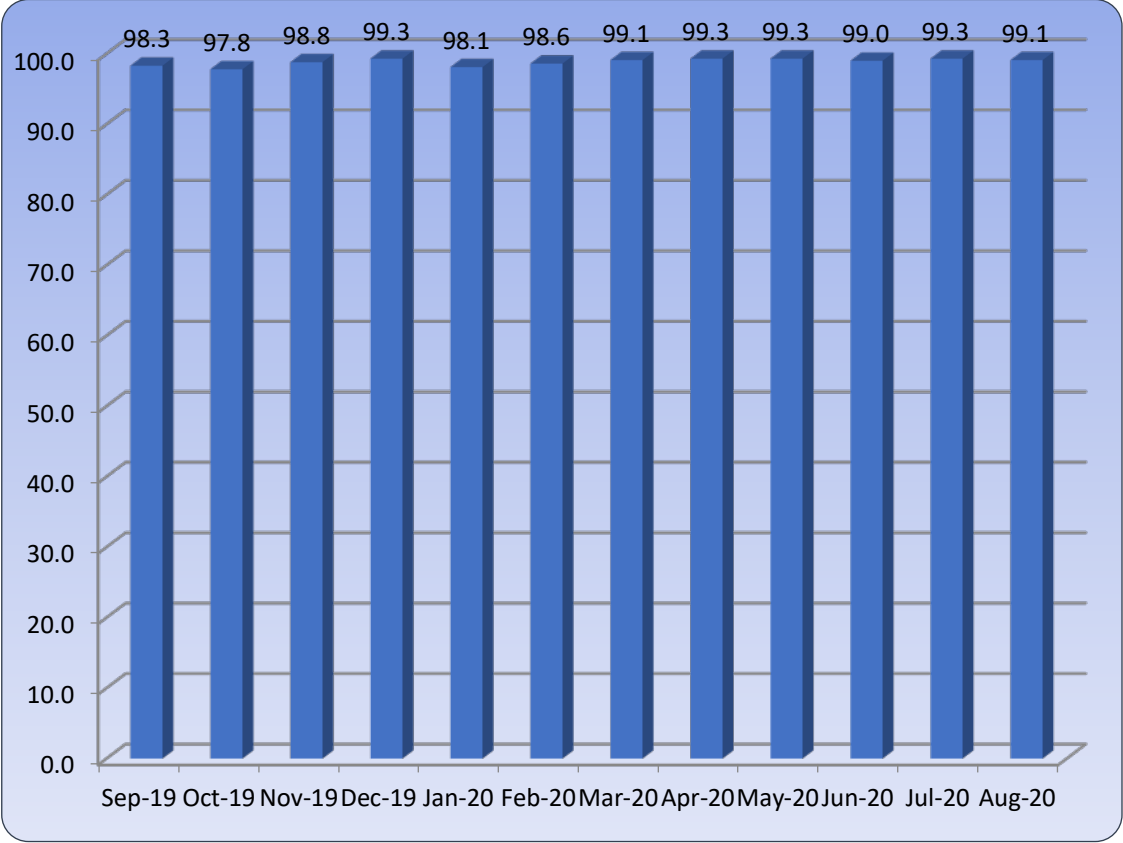


- 7.2 The forecast closing balance is approximately £150m, above average for recent years but a little lower than the balance at 31 March 2020. Balances in the graph above assume £80m will be borrowed to fund capital expenditure in the current financial year, in line with the Council's Treasury Strategy.
- 7.3 PWLB and commercial borrowing for capital purposes was £705.0m at the end of August 2020. Associated annual interest payable on existing borrowing is £29.3m.

8 **Payment performance**

8.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 470,000 invoices are paid annually. 99.0% were paid on time in August against a target of 98%. The percentage has not dropped below 97% in the last 12 months.

Chart 3: Payment performance, rolling 12 months



*Note: The figures include an allowance for disputes/exclusions.

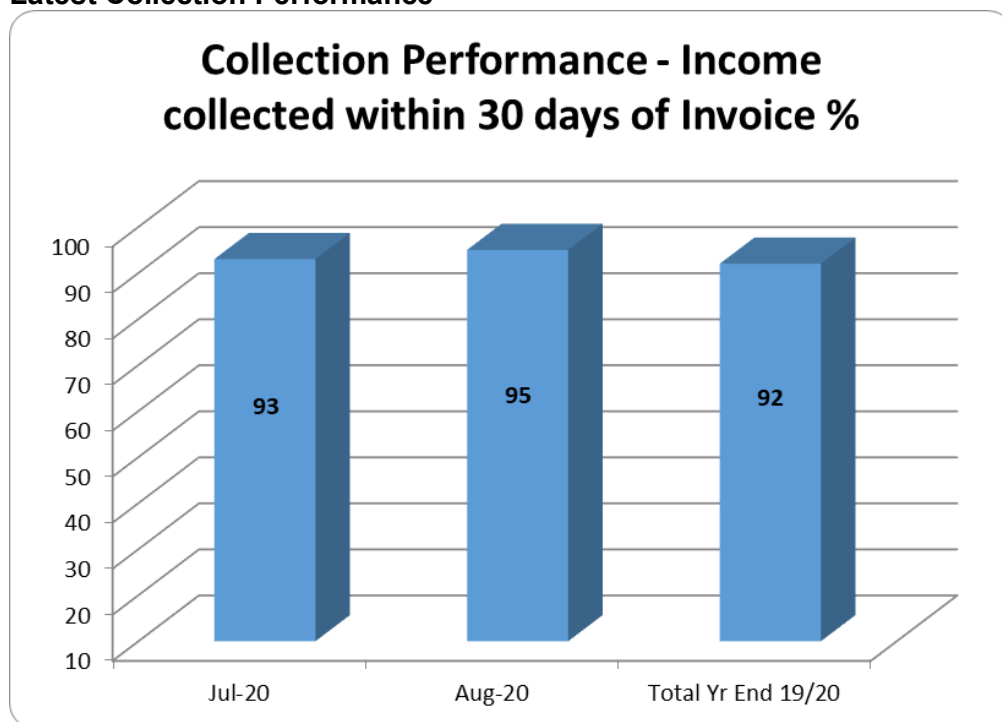
9 Debt recovery

- 9.1 **Introduction:** In 2019-20 the County Council raised over 160,000 invoices for statutory and non-statutory services totalling over £1.4bn. Through 2019-20 92% of all invoiced income was collected within 30 days of issuing an invoice, and 98% was collected within 180 days.

Debt collection performance measures

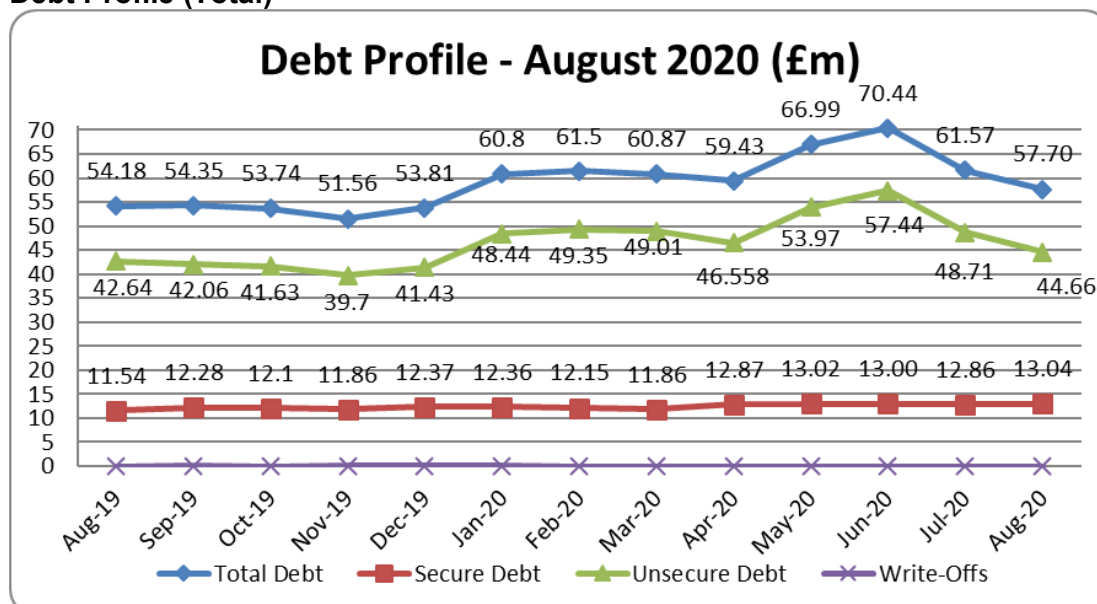
- 9.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 95% in August 2020.

Latest Collection Performance



- 9.3 The value of outstanding debt is continuously monitored, and recovery procedures are in place to ensure that action is taken to recover all money due to Norfolk County Council. The level of debt is shown in the following graph:

Debt Profile (Total)



- 9.4 Of the £44.7m unsecure debt at the end of August, £7.8m is under 30 days. The largest area of unsecure debt relates to charges for social care, £37.0m, of which £16.2m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.
- 9.5 Secured debts amount to £13.0m. Within this total £5.0m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.
- 9.6 **Debt write-offs:** In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write-off of all debts up to £10,000.
- 9.7 Service departments are responsible for funding their debt write-offs. Before writing off any debt all appropriate credit control procedures are followed.
- 9.8 For the period 1 April 2020 to the end of August 2020, 64 debts less than £10,000 were approved to be written off following approval from the Executive Director of Finance and Commercial Services. These debts totalled £4,361.44.
- 9.9 No debts over £10,000 have been approved for write-off since 1 April 2020.

Forecast revenue outturn

Revenue outturn by service

Table A1a: revenue over and (under) spends by service

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	255.793	8.162	3.2%	263.955
Children's Services	196.311		0.0%	196.311
Community and Environmental Services	161.799	2.738	1.7%	164.537
Strategy and Governance	9.362	0.401	4.3%	9.763
Finance and Commercial Services	32.671	1.038	3.2%	33.709
Finance General	-225.515	-7.025	3.1%	-232.54
Forecast outturn this period	430.421	5.314	1.2%	435.735
Prior period forecast	430.421	7.901	1.8%	438.322

Reconciliation between current and previously reported underspend

Table A1b: monthly reconciliation of over / (under) spends

	£m
Forecast overspend brought forward	7.901
Movements August 2020	
Adult Social Services	-0.014
Children's Services	
Community and Environmental Services	
Strategy and Governance	
Finance and Commercial Services	0.300
Finance General	-2.873
Outturn over/(under) spend	5.314

Covid-19 grant allocation by service

Table A1c: Covid-19 grant received and service allocations to mitigate overspends

	£m
Adult Social Services	38.438
Children's Services	5.605
Community and Environmental Services	9.830
Strategy and Governance	0.332
Finance and Commercial Services	1.360
Finance General	6.120
Rounding	0.002
Covid-19 grant allocated to services	61.687
Government Covid-19 funding third tranche to be allocated	6.001
Local government income compensation scheme	2.700
Covid-19 grant	70.388

Revenue Annex 1 continued

The net underspend is a result of a range of underlying forecast over and underspends which are listed below.

Revenue budget outturn by service – detail

Adult Social Services	Over spend	Under spend	Changes
	£m	£m	£m
Purchase of Care	35.317		2.263
Commissioned Services	1.558		-0.285
Community Social Work		-0.395	-0.035
Business Development		-0.016	-0.029
Early Help & Prevention		-0.322	0.011
Community Health & Social Care		-0.502	-0.352
Management, Finance & HR		-1.426	-1.587
Use of Infection control grant	12.386		
Covid-19 grant allocation		-38.438	
Forecast over / (under) spends	49.261	-41.099	-0.014
Net total	8.162		
Children's Services	Over spend	Under spend	Changes
	£m	£m	£m
Learning & Inclusion	2.712		
Social Care	2.000		
Use of Home to School and College Transport Funding	0.747		
Use of Wellbeing for Education Return Grant	0.146		
Covid-19 grant allocation		-5.605	
Forecast over / (under) spends	-5.605	-5.605	
Net total	-		
<i>Dedicated schools grant</i>			
High Needs Block	9.700		
Increase in net deficit to be carried forward	-	-9.700	
Forecast over / (under) spend	9.700	-9.700	-
Net total	-		

Community and Environmental Services	Over spend	Under spend	Changes
	£m	£m	£m
Community Information and Learning	1.481		
Culture and Heritage	2.235		
Fire	0.511		
Growth and Development	0.376		
Highways and Waste	4.052		
Performance and Governance	0.110		
Director of Public Health	0.085		
Use of Local Outbreak Control: test and trace service support grant	3.718		3.718
Covid-19 grant allocation		-9.830	-3.718
Forecast over / (under) spend	12.568	- 9.830	
Net total	2.738		

Strategy, Finance and Finance General	Over spend	Under spend	Changes
	£m	£m	£m
Strategy and Governance			
Registrars and other net loss of income	0.733		
Covid-19 grant allocation		-0.332	
Forecast over / (under) spend	0.733	-0.332	
	0.401		
Finance and Commercial Services			
ICT Services Management	-		
Client Property Management	0.664		0.300
Covid-19 related costs - loss of income/recharges	1.321		
Covid-19 related costs - savings delays	0.790		
Finance directorate reduced overheads and costs		-0.377	
Covid-19 grant allocation		-1.360	
Forecast over / (under) spend	2.775	-1.737	0.300
	1.038		
Finance General (see below for narrative)			
Covid-19 additional costs – including a large proportion of PPE, shielding and homeworking costs.	9.055		0.427
Income: transfers of PPE to partner organisations		-0.144	
DEFRA Local Authority Emergency Assistance Grant for Food and Essential Supplies		-1.016	
Local assistance scheme	1.016		
Extended rights to free travel grant		-0.463	
Members travel		-0.068	
Interest on balances		-1.600	-0.600
Covid-19 grant allocation		-5.104	
Covid-19 grant tranche 3 – to be allocated		-6.001	
Local government income compensation scheme for lost sales, fees and charges – to be confirmed and then allocated		-2.700	-2.700
Forecast over / (under) spend	10.071	-17.096	-2.873
Net total		-7.025	

Finance General forecast over and underspends

Explanations for the Finance General forecast under and overspends are as follows:

Covid-19 additional costs and associated income:

- Covid-19 additional costs: forecast overspend £9.055m
- Income: transfers of PPE to partner organisations: forecast underspend £0.144m
- Covid-19 grant allocation: forecast underspend £5.104m
- DEFRA Local Authority Emergency Assistance Grant for Food and Essential Supplies £1.016m (see paragraph below)
- Covid-19 grant tranche 3 – to be allocated: forecast underspend £6.001m (see below)
- Local government income compensation scheme: forecast underspend £2.700m (see below)

Costs related to Covid-19 pandemic which have not been allocated to service departments have resulted in a forecast overspend, partly off-set by government grants. Expenditure includes the purchase of medical supplies and protective (PPE) clothing to ensure continuity of supply for council staff, care homes, early years providers and others. Some of this PPE is forecast to be transferred to partner organisations at cost.

Local assistance scheme / Emergency Assistance Grant (forecast net overspend £nil)

The Norfolk Assistance Scheme helps by providing emergency food, cash and household expenses. Due to the coronavirus situation, a coordinated emergency relief response has been developed for Norfolk people in crisis, which increased scheme spend. In period 3, additional government funding was made available which is being used to provide food and essential supplies for those in the greatest need.

Local government income compensation scheme for lost sales, fees and charges (forecast net underspend £2.700m)

As reported in section 5 to this Appendix, a scheme has been announced to compensate local authorities for irrecoverable income losses in 2020-21. The total value of the estimated claim currently being prepared by the Council has been allocated to Finance General in the table above. Once there is more certainty in the claim figures, the income will be distributed to the relevant service budgets.

Extended rights to free travel grant (forecast underspend £0.463m)

Additional grant forecast in respect of extended rights to free travel.

Members travel (forecast underspend £0.068m)

Since the start of the financial year, meetings have not been held at County Hall. Members have instead held meetings electronically significantly reducing the costs of travel.

Interest on balances (forecast underspend £1.600m)

The interest payable/receivable budget was prepared on the basis of a number of assumptions including cash flows, interest rates and the amount of borrowing. The cost and timing of borrowing has resulted in a forecast underspend.

Covid-19 grant tranche 3 – to be allocated (forecast underspend £6.001m)

As noted in section 5 of this report, an additional £6.001m of government funding has been allocated to Norfolk County Council. This will be allocated to services once the details of other grant funding has been confirmed.

Revenue Annex 2

Impact of Covid-19 – forecast cost pressures

Forecast cost pressures summarised in paragraph 5 of the main report are as follows:

	2020-21 Forecast £m
<u>Identified / forecast costs</u>	
Adult Social Care	
Enhancements to packages of care where not related to hospital discharge (mainly LD and MH and includes care need escalation)	1.450
Additional Block capacity purchased from market	0.500
Provider support payments to cover liquidity/sustainability issues and any additional costs where not specifically related to a person's changing care needs	10.000
Other care market pressures	6.000
Paying for additional day time support to Supported Living/Residential providers whilst the day centres are closed	0.300
Loss of income: Adults: No charges for services not received	3.000
Equipment and Support for our teams (e.g. PPE for in-house teams)	0.035
Support for people experiencing domestic abuse	0.200
Loss of savings: Adults: Savings delivery risk	10.727
Temporary postponed implementation of the second phase of the charging policy implementation (2020-21 cost pressure)	3.000
Equipment - spike in usage and increase in costs	0.200
Weekend or Overtime staff costs	0.500
Vulnerable People Resettlement	0.200
Redeployed interims	0.100
Full use of infection control funding	12.386
Adult Social Care Total	48.598
Children's Services	
Loss of income - Children's Services - Initial estimate primarily relating to trading with schools	2.000
Loss of income - Transport	0.200
Safeguarding campaign - <i>Project Stay Safe</i>	0.010
Loss of savings: Children's: Savings delivery risk	2.401
Maintaining Early Year's Provision	0.500
Post 18s remaining in placements	0.202
Additional contracted provider costs	0.500
Additional respite care costs	0.100
Additional hardship funding for tier 2	TBC
Enhanced Zoom licenses	0.015
Additional frontline agency costs	0.550
CAMHS contract extension	0.010
Other support for the market	0.490
Grant support to charity	0.050
Book fund for Social Work apprentices	0.002
Full use of Home to School and College Transport Funding	0.747
Full use of Wellbeing for Education Return Grant	0.146
Children's Services Total	7.923

Community and Environmental Services

Food boxes for older people (NCC provision)	0.200
Waste – Contract costs reflecting 15% increase in residual waste volumes	0.600
Waste – Recycling credits reflecting 15% increase in recyclables / garden waste	0.240
Reopening Recycling Centres – (traffic management, security, volume increase)	0.117
Loss of income: CES including Museums / Libraries	1.962
Loss of income: CES including Highways	4.351
Loss of income: CES including Planning and Development	0.104
Loss of income: CES including other SFC	0.920
Loss of income: CES other	0.027
Staff time chargeable to projects	TBC
Loss of savings: CES	1.115
Full use of Local Outbreak Control: test and trace service support grant	3.718

Community and Environmental Services Total 13.353

Strategy and Governance

Norfolk Community Foundation - grant donation	0.100
Joint comms systems for the Norfolk Resilience Forum	0.035
Government Conferencing (BT)	TBC
NPLAW support and advice	TBC
Increased Coroner's costs	0.100
Loss of income: Other	0.250
Loss of savings: Strategy and Governance	0.075

Strategy and Governance Total 0.560

Finance and Commercial Services and Finance General

Emergency Planning Director / Strategic Command Group / MAFG Director costs	0.039
Mortuary facility vans provided by NORSE	0.004
Corporate procurement of PPE	3.000
Food distribution hub - Site costs	0.050
Re-assignment of FES staff (HR and Finance System replacement) to COVID-19 response	0.375
Homeworking equipment	1.000
Extension of SWIFTS Pool Cars / Enterprise	0.007
Extension of Norfolk Assistance Scheme (NAS)	1.016
Software solution from Agilisys and Microsoft to handle the contacts to vulnerable adults in receipt of Letters and all related activities	0.060
Loss of income: Other	0.750
Loss of savings: Finance and Commercial Services / Finance General	0.790
Additional costs associated with the NCC schools contracts, between NCC and Norse Eastern Ltd	0.750
Vulnerability Tracker App	0.010
Provision for match funding Business Rates Pool to establish Norfolk Strategic Fund	1.000

Finance and Commercial Services and Finance General Total 8.851

Covid-19 financial pressures Norfolk County Council total 79.285

Revenue Annex 3

Commentary on forecast savings shortfalls

Commentaries on savings shortfalls referred to in paragraph 6 of the main report are as follows:

Adult Social Services:

ASC006 Promoting Independence for Younger Adults, budget £5.000m, shortfall £2.247m: Relies on our ability to offer alternatives (including accommodation) which are not currently available. Staff teams set up for dedicated reviewing have been repurposed to directly support COVID response. There is less ability to focus on prevention when in crisis and needs may escalate due to current pandemic.

ASC006 Promoting Independence for Older Adults, budget £5.000m, shortfall £4.000m: Operational teams are focused on the COVID response. Elements of plan to deliver requires governance that has not yet been set up and has been delayed due to programme manager redeployment.

ASC036 Maximising potential through digital solutions, budget £1.000m, shortfall £0.887m: The current climate adds difficulty in restructuring services and has materially impacted pricing structures.

ASC038 Procurement of current capacity through NorseCare at market value: budget £1.000m, shortfall £1.000m: The provider is focused on delivery of safe services in COVID and not on service transformation.

ASC046 Revise the NCC charging policy for working age adults to apply the government's minimum income guarantee amounts, budget £3.000m, shortfall £3.000m: At the outbreak of the pandemic, a decision was taken to mitigate the changes to the Minimum Income Guarantee (MIG) that would have been implemented in April, for four months, recognising the impact that the lockdown would have on people and the services they receive. The cost of this decision was covered by some of the Government's Covid-19 funding that the Council received. Cabinet has decided given the impact to date, and the uncertainty of the future for those affected by the changes, to continue to mitigate the impact of phase 2 of the changes to charging. This would be extended to allow for Government intentions around funding reform for social care to be published. Provided this is done within a reasonable timescale, the mitigation would continue, subject to the financial demands on the Council.

ASC049 Shift to community and preventative work within health and social care system – demand and risk stratification, budget £1.000m, shortfall £0.800m: The pandemic has meant that some areas of work and system changes have been delayed, although work is restarting and there will be potential for more opportunities through collaboration and remodelling of systems there remains risk in this financial year.

ASS001 Expanding home based reablement, which saves money in the long term by preventing unnecessary hospital admissions and supporting more people to swiftly return home from hospital, budget £3.000m, shortfall £0.750m: Service is focused on

safe discharge and therefore long-term outcomes may suffer leading to higher ongoing costs.

ASS002 Expanding accommodation based reablement, which saves money by enabling people with higher needs to quickly return to their home from hospital without needing residential care, budget £0.750m, shortfall £0.600m: Provision of new accommodation based reablement beds has been postponed due to pandemic and those we have, have been repurposed to COVID support.

ASS003 Extending home based support for people with higher level needs or dementia so that they can remain in their home especially after an illness or hospital stay, which saves money on residential care, budget £0.200m, shortfall £0.100m: The service is fully focused on supporting discharge.

ASS004 Working better across health and social care teams to help prevent falls, which in turn helps prevent hospital admissions and saves money on residential care, budget £0.140m, shortfall £0.140m: Elements of plan to deliver requires governance that has not yet been set up and has been delayed due to programme manager redeployment.

ASS005 Supporting disabled people to access grants that are available for access to education and support to attend university, budget £0.050m, shortfall £0.050m. This saving will continue to be pursued where possible, but is identified as at risk due to change of focus for many grants and universities.

ASS006 Increasing opportunities for personalisation and direct payments, which will help both increase choice of services and value for money, through more efficient commissioning, budget £0.500m, shortfall £0.200m. Some of the work has been refocused to support the pandemic response and recovery. Although there will continue to be opportunities to increase personalisation, there will be challenges for delivering the value for money aspect of the work.

ASS007 Reviewing how we commission residential care services to save money by making sure we have the right services in the right place, budget £0.500m, shortfall £0.200m. This saving will continue to be reviewed throughout the year, but commissioning actions have needed to focus on the system capacity and to secure adequate capacity as part of the hospital discharge service requirements. Challenges currently faced across the market will make it difficult to deliver savings from these contracts.

ASS008 Developing consistent contracts and prices for nursing care by working more closely with health services, budget £0.190m, shortfall £0.190m. The service is currently working under the Government Hospital Discharge Service Requirements, and the council is contracting for both health and social care nursing contracts. The challenges currently faced across the social care market will make it deliver savings from these contracts in this financial year.

Children's Services:

CHS001 Prevention, early intervention and effective social care – Investing in an enhanced operating model which supports families to stay together and ensures fewer children need to come into care, budget £1.000m shortfall £0.500m: At the start of the financial year, we were unable to work as closely with some families to support resilience during isolation, family support networks reduced, and pressure of people being at home together potentially leading to an increase in domestic abuse.

Additionally, resources have been diverted away from transformation activity due to the covid-19 response, resulting in delays to planning and implementation of the programme.

CHS002 Alternatives to care – Investing in a range of new services which offer alternatives to care using enhanced therapeutic and care alternatives, combined with a focus on support networks from extended families keeping families safely together where possible and averting family crises, budget £1.200m, shortfall £0.150m: At the start of the financial year, we were to work as closely with some families to support resilience during isolation, family support networks reduced, and pressure of people being at home together potentially leading to an increase in domestic abuse. Additionally, resources have been diverted away from transformation activity due to the covid-19 response, resulting in delays to planning and implementation of the programme.

CHS003 Transforming the care market and creating the capacity that we need – Creating and commissioning new care models for children in care – achieving better outcomes and lower costs, budget £3.500m, shortfall £1.751m: It is been harder to move forward new foster carers, people wanting to adopt, and permanency arrangements as social workers have been restricted to essential visiting only where necessary to ensure the safety and welfare of a child. Resources have also been diverted away from transformation activity due to the covid-19 response and, additionally, construction work delays have impacted upon the opening of new semi-independent accommodation for care leavers and solo / dual placements for children looked after.

Community and Environmental Services:

CMM045 Income generation – Norfolk Community Learning Services, budget £0.125m shortfall £0.125m: Closed sites and reduced activities impacting income generation opportunities.

CMM046 Income generation – Library and Information Service, budget £0.111m shortfall £0.111m: Closed sites and reduced activities impacting income generation opportunities.

CMM060 Increased income – Trading Standards and library service, budget £0.070m shortfall £0.070m: Closed sites and reduced activities impacting income generation opportunities.

EDT050 Improved management of on-street car parking, budget £0.350m shortfall £0.350m: Less on street parking during lockdown.

EDT065 Household Waste Recycling Centres – reuse shops, budget £0.050m shortfall £0.050m: Closed sites and reduced activities impacting income generation opportunities.

EDT068 Re-model back office support structure, budget £0.090m shortfall £0.090m: The support services have restructured following the transfer of works to Norse, however we have not been able to deliver the saving in the way that we had originally anticipated.

CES005 Adjusting our budget for recycling centres in line with predicted waste volumes, budget £0.200m shortfall £0.200m: In previous years we had seen reduced waste volumes at HWRC's, however due to the Covid-19 pandemic, based on recent activities we are expecting an increase in volumes.

CES020.1 Income generation across various Community and Environmental Services budgets. (Trading Standards calibration), budget £0.025m shortfall £0.025m: Closed sites and reduced activities impacting income generation opportunities.

CES020.2 Income generation across various Community and Environmental Services budgets. (Trading Standards trusted trader), budget £0.024m shortfall £0.024m: Closed sites and reduced activities impacting income generation opportunities.

CES020.3 Income generation across various Community and Environmental Services budgets. (Norfolk Records Office), budget £0.020m shortfall £0.020m: Closed sites and reduced activities impacting income generation opportunities.

CES020.5 Income generation across various Community and Environmental Services budgets. (Escape Room income), budget £0.015m shortfall £0.015m: Closed sites and reduced activities impacting income generation opportunities.

CES020.8 Income generation across various Community and Environmental Services budgets. (Developer travel plans), budget £0.030m shortfall £0.030m: Closed sites and reduced activities impacting income generation opportunities.

CES020.9 Income generation across various Community and Environmental Services budgets. (Equality and Diversity), budget £0.005m shortfall £0.005m: Closed sites and reduced activities impacting income generation opportunities.

Strategy and Governance Department:

SGD002 Reducing our spending on supplies and services by 5%, budget £0.155m shortfall £0.078m: Current forecasts indicate this saving will not be delivered in full.

Finance and Commercial Services:

B&P002 Property centralisation of budgets, budget £0.400m shortfall £0.100m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

DIE001 IMT savings, budget £0.700m shortfall £0.175m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

P&R027 Property savings, budget £0.650m shortfall £0.163m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

BTP005 Reviewing all of Norfolk County Council's traded services to make sure they are run on a fair commercial basis - IMT Schools, budget £0.099m shortfall £0.025m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

Finance General:

BTP001-5 Business Transformation savings: Currently forecasting no variance on the delivery of planned Business Transformation savings. A report will be made to Select Committee, with an updated plan and new business transformation baseline, in January 2021. Any updates to the forecast delivery of savings will be included in future monitoring to Cabinet.

Appendix 2: 2020-21 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

1 Capital Programme 2020-21

- 1.1 On 17 February 2020, the County Council agreed a 2020-21 capital programme of £282.688m with a further £253.909m allocated to future years', giving a total of £536.577m.
- 1.2 Additional re-profiling from 2019-20 resulted in an overall capital programme at 1 April 2020 of £645m. Further in-year adjustments have resulted in the capital programme shown below:

Table 1: Capital Programme budget

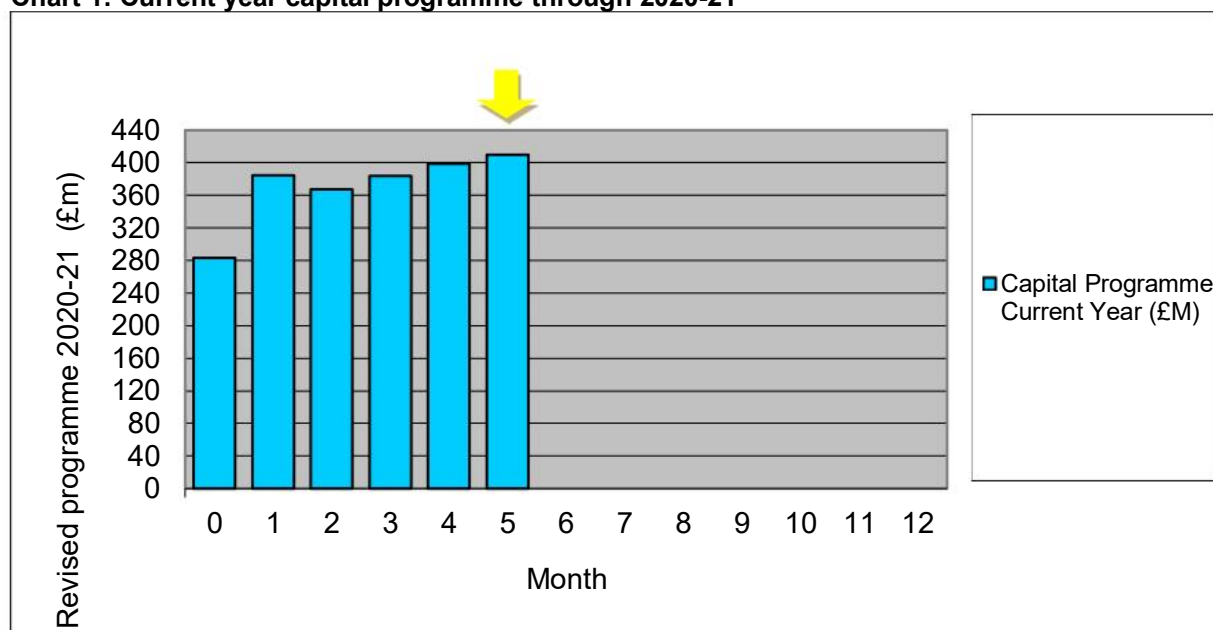
	2020-21 budget	Future years
	£m	£m
New schemes approved February 2020	21.497	24.414
Previously approved schemes brought forward	261.650	235.779
Totals in 2020-23+ Budget Book (total £543.340m)	283.147	260.193
Schemes re-profiled after budget setting	94.503	0.598
Other adjustments after budget setting including new grants	7.531	
Revised opening capital programme (total £645.972m)	385.181	260.791
Re-profiling since start of year	-51.629	51.629
Other movements including new grants and approved schemes	76.062	10.579
Total capital programme budgets total £732.613m	409.615	322.998

Note: this table and the tables below contain rounding differences

Changes to the Capital Programme

- 1.3 The following chart shows changes to the 2020-21 capital programme through the year.

Chart 1: Current year capital programme through 2020-21



- 1.4 Month “0” shows the 2020-21 capital programme at the time of budget approval, with schemes reprofiled after budget setting shown in month 1 followed by the most up to date programme. The current year programme will change as additional funding is secured, and when schemes are re-profiled to future years as timing becomes more certain.

- 1.5 The current year’s capital budget is as follows:

Table 2: Service capital budgets and movements 2020-21

Service	Opening program me	Previous report	Reprofil ng since previous report	Other Changes since previous report	2020-21 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	122.963	100.290	2.319	-0.320	102.289
Adult Social Care	15.604	23.675	0.000	0.000	23.675
Community & Environmental Services	165.262	203.611	0.000	7.936	211.547
Finance & Comm Servs	81.252	71.766	0.000	0.237	72.003
Strategy and Governance	0.100	0.100			0.100
Total	385.181	399.442	2.319	7.853	409.615
				10.173	

Note:: this table may contain rounding differences.

Figures relating to the previous report have been amended in this and the following table to correct the services and Strategy and Governance budget between current and future years.

- 1.6 The revised programme for future years (2020-21 to 2021-22 and beyond) is as follows:

Table 3: Capital programme future years 2020+

Service	Previously reported future programme	Reprofil ng since previous report	Other Changes since previous report	2020+ Future Capital Budget
	£m	£m	£m	£m
Children's Services	141.089	-2.319	0.000	138.770
Adult Social Care	25.394	0.000	0.000	25.394
Community & Environmental Services	106.754	0.000	1.940	108.694
Finance & Comm Servs	49.741	0.000	0.000	49.741
Strategy and Governance	0.400	0.000	0.000	0.400
Total	323.378	-2.319	1.940	322.998
			-0.379	

Note: this table may contain rounding differences

2 Financing the capital programme

- 2.1 Funding for the capital programme comes primarily from grants and contributions provided by central government and prudential borrowing. These are supplemented by capital receipts, developer contributions, and contributions from revenue budgets and reserves.

Table 4: Financing of the capital programme

Funding stream	2020-21 Programme £m	Future Years Forecast £m
Prudential Borrowing	204.08	222.45
Use of Capital Receipts	-	-
Revenue & Reserves	0.25	-
<i>Grants and Contributions:</i>	-	-
DfE	46.46	33.88
DfT	99.91	58.12
DoH	8.84	-
MHCLG	0.26	-
DCMS	5.53	0.18
Developer Contributions	24.66	4.89
Other Local Authorities	0.85	-
Local Enterprise Partnership	4.41	-
Community Infrastructure Levy	-	-
National Lottery	8.11	1.53
Other	6.26	1.94
Total capital programme	409.615	322.998

Note: this table may contain rounding differences

- 2.2 Significant capital receipts are anticipated over the life of the programme. These will be used either to re-pay debt as it falls due, for the flexible use of capital receipts to support the revenue costs of transformation, with any excess receipts used to reduce the call on future prudential borrowing. For the purposes of the table above, it is assumed that all capital receipts will be applied directly to the re-payment of debt and transformation projects, rather than being applied to fund capital expenditure.
- 2.3 Developer contributions are funding held in relation to planning applications. Section 106 (Town and Country Planning Act 1990) contributions are held in relation to specific projects: primarily schools, with smaller amounts for libraries and highways. The majority of highways developer contributions are a result of section 278 agreements (Highways Act 1980).

3 Capital Receipts

- 3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.
- 3.2 The capital programme, approved in February 2020, gave the best estimate at that time of the value of properties available for disposal in the three years to 2022-23, totalling £14.0m.

Table 5a: Disposals capital programme forecast

Financial Year	Property sales forecast £m
2020-21	10.6
2021-22	1.5
2022-23	1.9
2023-24	1.0
	14.0

The timing of future year sales is the most optimistic case, and may slip into future years if sales completions are delayed.

- 3.3 The revised schedule for current year disposals is as follows:

Table 5b: Capital receipts and forecast use current financial year £m

Capital receipts 2020-21	£m
Capital receipts reserve brought forward	1.347
Actual property sales to P5 net of associated capital costs	0.650
Loan repayments - estimate	0.600
Sales with a to high chance of completion	6.050
Potential capital receipts	8.647
Forecast use of capital receipts	
Budget 2020-21 to repay debt	2.000
Maximum flexible use of capital receipts to support transformation costs	3.000
Total forecast use of capital receipts	5.000

The timing of sales cannot be guaranteed, particularly as sales activity has been affected by Covid-19.

4 Capital programme, new and amended schemes

4.1 Case management system for appointeeships and deputyships - £0.022m

The Client Financial Affairs Team (CFAT) hold financial deputyship via the Court of Protection to manage financial affairs of adults who lack the capacity to manage their own affairs, and appointeeship (with the Department for Work and Pensions) to receive state benefits on behalf of vulnerable service users. The amount held on behalf of these individuals is over £7m in Barclays bank accounts.

These cases have increased since the introduction of the Care Act 2014 as social workers have responsibility for ensuring an appropriate person is in place to manage vulnerable adult's financial affairs at the point of care assessment. CFAT currently have 737 cases (an increase of 33% since October 2017) and the administration and management of tasks is completed using 15 spreadsheets.

A case management system will streamline processes, link directly to the Barclays bank account systems, and generate savings through reduced time on task activity, management and completion.

The cost of purchasing and implementing a new system is estimated to be £0.022m, and if approved will be implemented by January 2021.

4.2 Replacement of Museums Service tills - £0.039m

The old tills currently in use within the Museums Service are at the end of their useful life and the service is looking to replace them. The operating software can no longer be upgraded and therefore it is essential that the tills are replaced. There is an ideal opportunity to do this ahead of the reopening of some sites. The tills are a vital part of the Museums service ability to generate income from its activities and to ensure financial control over that income.

A quote including shipping and installation has been received for £0.039m, and the service is looking to fund the investment through prudential borrowing.

Capital Annex 1 - changes to capital programme since last Cabinet

Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
Childrens Services	Great Yarmouth SEMH	NCC borrowing		2.353		-2.353	Reprofiled according to updated fee profile
	Thetford Academy SRB	NCC borrowing		- 0.012		0.012	Reprofiled according to updated fee profile
	Brundall Primary	Basic need		- 0.022		0.022	Reprofiled according to updated fee profile
	ECAPFM	DFC grant	- 0.114				Academy refunds
	ECAPFM	DFC grant	- 0.218				contributions to Schools refresh
	ECAPFM	External	0.011				Contribution to ECAPFM from VA school
Total Children's services			-0.320	2.319	0.000	-2.319	
	Better Broadband	Defra	0.060		1.940		contributions to Next Generation Access
		Companies contribution	3.224				contributions to Next Generation Access
Highways	Various projects	External	0.242				Minor movements over many schemes according to latest data
	Bridge strengthening scheme	External	4.410				Additional funding from Dft
Total CES			7.936	0.000	1.940	0.000	
Finance - ICT	Scottow	Funding via reserves	0.237				Funding for Scottow Unit 17D
Total Finance			0.237	-	-	-	
Total			7.853	2.319	1.940	-2.319	

Cabinet

Item No: 11

Decision making report title:	Strategic and Financial Planning 2021-22
Date of meeting:	5 October 2020
Responsible Cabinet Member:	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director:	Simon George, Executive Director of Finance and Commercial Services Fiona McDiarmid, Executive Director of Strategy and Governance
Is this a key decision?	Yes
<p>Introduction from Cabinet Member</p> <p>The 2021-22 Budget is being developed in a climate of almost unprecedented risk and uncertainty. Not only are settlement funding allocations beyond the current year (2020-21) unknown, key reforms to local government funding including the Fair Funding Review, Business Rates localisation, and reform of Adult Social Care funding have all been repeatedly delayed. The Council therefore awaits the outcome of the Comprehensive Spending Review and any accompanying national financial announcements, expected later in the year, with considerable interest.</p> <p>Compounding these wider uncertainties, the Council faces a potential double impact of the COVID-19 pandemic in terms of significant risks to both the underlying cost base and demand side pressures within the Budget, alongside an anticipated shock to key local sources of income (council tax and business rates), which remains difficult to forecast at this stage with any degree of confidence.</p> <p>It is in this context that the Council continues to work to deliver a balanced position for 2020-21, as discussed within the Financial Monitoring report, while simultaneously proposals for the 2021-22 Budget are being developed. The demands of responding to the pandemic have inevitably resulted in more limited organisational capacity to fully develop savings for next year than would normally be the case. Taking this into account, alongside the wider uncertainty, the potential scale of the remaining Budget gap to be addressed, and a number of other issues which could have a material impact on the level of resources available to Norfolk County Council to deliver services in the future, it is only prudent that this report also considers the next steps in the process of developing a robust and balanced Budget for 2021-22. It remains the case that it will be critical to bring forward balanced, sustainable budget proposals which will enable the Council to continue to deliver the essential services which are relied on by all Norfolk's people, businesses and visitors.</p>	

This report therefore represents a key milestone in the development of the 2021-22 Budget and provides an opportunity for Members to consider saving proposals prior to wider consultation.

Executive Summary

As in previous months, the latest estimates of the financial impact of the COVID-19 pandemic are set out in the Financial Monitoring report. Many of the additional costs, lost income and undeliverable savings in the current year will have an extended impact on the 2021-22 Budget. This report, and the Financial Monitoring paper, together provide an overview of the anticipated financial implications of COVID-19, for both the current year and for the Council's Medium Term Financial Strategy as originally agreed in February 2020. This reflects the profound impact on the organisation's ability to achieve planned budget savings and income for 2020-21, as well as on the capacity to develop and deliver new budget proposals for 2021-22, and on the wider budget position, which, as a result, is the subject of extremely high levels of uncertainty.

This report forms a key part of the budget planning process for 2021-22, providing an overview of the saving proposals which have been identified as part of the process to address the Council's overall gap position as forecast in the Medium Term Financial Strategy agreed by Full Council in February 2020. It summarises the proposed approach to public consultation on the 2021-22 Budget and sets out details of the emerging service budget pressures which have been identified to date, a summary of the budget strategy for each service, and key areas of risk and uncertainty.

Recognising the fundamental uncertainty around the planning position for 2021-22, the report also addresses the next steps required in the process leading to budget-setting in February 2021, which has been designed to recognise that there remains a need for ongoing flexibility to respond to changing circumstances. In this context, the report provides the latest summary of key areas of wider risk and uncertainty for Cabinet to consider. The MTFS position will continue to be updated in light of future government announcements and as the scale of the impact on the Council becomes clear. This will be reported to Cabinet and to Scrutiny Committee as the budget setting process progresses.

Cabinet decisions based on this information will ultimately help to support the development of a robust, balanced 2021-22 Budget for the Council.

Recommendations

- 1. To note the County Council strategy as set out in section 2 and how the Budget process is aligned to the overall policy and financial framework;**
- 2. To consider and agree for planning purposes:**
 - the latest assessment of significant areas of risk and uncertainty around emerging budget pressures for the 2021-22 Budget and Medium Term Financial Strategy, which remain to be resolved and which may have a material impact on budget planning (section 10);**
 - the uncertainty about national funding announcements (section 3);**

- the assumptions about the level of council tax and Adult Social Care precept for 2021-22 (section 12); and
 - that subject to the above, and the proposed savings in recommendation 3, a budget gap in the order of £15.062m remains to be closed for 2021-22 (paragraph 10.5 and table 11).
3. To consider and agree the proposed savings as set out in sections 5-9 (tables 5-10) to be taken forward in budget planning for 2021-22, subject to final decisions about the overall Budget in February 2021, noting the level of savings already included from the 2020-21 Budget process, and the anticipated changes to those existing savings (including the replacement of Business Transformation savings with service proposals) (paragraph 4.3 and table 2);
 4. To agree that public consultation be undertaken on the 2021-22 Budget and saving proposals, and the level of council tax and Adult Social Care precept for 2021-22, as set out in section 13;
 5. To note the responsibilities of the Executive Director of Finance and Commercial Services under section 114 of the Local Government Act 1988 and section 25 of the Local Government Act 2003 to comment on the robustness of budget estimates as set out in section 11;
 6. To agree the proposed next steps in the Budget planning process for 2021-22, including the actions in paragraph 10.6 required to develop further saving proposals in light of the significant uncertainty about the overall financial position, and the remaining Budget planning timetable (Appendix 1); and
 7. To note and thank Select Committees for their input, and agree to seek to provide earlier opportunities for Select Committees to support the Budget development process for 2022-23 (section 21).

1. Background and Purpose

- 1.1. The County Council agreed the 2020-21 Budget and Medium Term Financial Strategy (MTFS) to 2022-23 at its meeting 17 February 2020, prior to the significant escalation in the COVID-19 pandemic. Inevitably, the 2020-21 Budget agreed in February could not foresee the adjustments which would be needed to respond to COVID-19, but since the Budget was set, Cabinet has considered reports on the overall budget position (in June and September) and has also received regular updates on the anticipated financial implications of the COVID-19 pandemic. This report represents a continuation of these, providing an update on the developing 2021-22 Budget and associated MTFS. To inform discussion of the budget position it also:
 - Summarises the latest position in relation to some of the significant uncertainties facing local government finances as a result of COVID-19 and other issues.

- Sets out the latest view of the MTFS position for 2021-22 onwards, updating the position considered in September 2020. This position will continue to be kept under review and updated throughout the remainder of the Budget process.
 - Provides an overview of some of the key issues facing services in relation to their financial strategy, pressures, risks and uncertainties and details the saving proposals identified by each Service in order to contribute to meeting the targets agreed by Cabinet in July.
- 1.2. This report represents the next stage in the Council's 2021-22 Budget setting process and brings together a range of information, to enable Cabinet to consider the emerging saving proposals and to agree the approach to public consultation for 2021-22. Ultimately, it is intended to support the Council in developing the 2021-22 Budget and considering savings proposals which will assist in delivering a balanced budget for the year.
- 1.3. The content of the report is based on circumstances that are changing frequently and therefore some areas may become superseded by new information on an ongoing basis.

2. County Council strategy

2.1. Impact of COVID-19

The COVID-19 pandemic and the public health measures taken to contain it have delivered one of the largest shocks to the UK economy and public finances in recent history. Data from the ONS shows that while the summer saw the UK economy move towards recovery, it still has to make up nearly half of the GDP lost since the start of the pandemic.¹ The Office for Budget Responsibility has predicted that the UK's deficit is likely to be between £263bn to £391bn this year, significantly higher the £55bn predicted at the budget in March.²

- 2.2. In responding to this public health crisis, the Council has taken action to maintain the delivery of vital services across all areas of its operations, support the NHS and health system through enhanced hospital discharge processes to free up capacity, protect vulnerable people, support businesses, and ensure the safety of all staff delivering this vital work.
- 2.3. As we move into a difficult winter, the ongoing impact of COVID-19, along with continued uncertainty about future funding, represent a significant challenge for public finances.
- 2.4. This report sets out an approach for the budget process that takes account of this and the requirement to identify savings options that fit within the overall policy and financial framework, aligning resources to the Council's key strategic objectives set out in 'Together, For Norfolk'.

¹ <https://www.ons.gov.uk/economy/grossdomesticproductgdp/bulletins/gdpmonthlyestimateuk/july2020>

² <http://obr.uk/coronavirus-analysis/>

2.5. **County Council Strategy and Transformation**

'Together, for Norfolk' sets out three overriding ambitions which drive the Council's priorities: A growing economy, thriving people, and strong communities. Our Plan also underpins and contributes to the delivery of the New Anglia Local Enterprise Partnership Norfolk and Suffolk Economic Strategy.

2.6. The plan provides a whole-Council view of significant activities, including, service change or redesign, infrastructure, assets and technology, including capital programmes or projects, strategy or policy development. Our services support our ambition by ensuring children and young people have the best start in life, protecting vulnerable people, developing strong infrastructure and helping improve the economy. This will be aligned to our COVID-19 recovery plans.

2.7. The Council's transformation programme is core to the Council's objectives and ambitions. In all that we do, we continue to be guided by four core principles that frame our recovery and transformation work:

- Offering our help early to prevent and reduce demand for specialist services;
- Joining up work so that similar activities and services are easily accessible, done once and done well;
- Being business-like and making best use of digital technology to ensure value for money; and
- Using evidence and data to target our work where it can make the most difference.

3. **National financial context**

3.1. As described in the introduction, the Council continues to face very significant uncertainty about national funding announcements and allocations. The Chancellor of the Exchequer, Rishi Sunak, announced the launch of the **2020 Comprehensive Spending Review (CSR)** on 21 July 2020³. The Council submitted its representation on the CSR to HM Treasury on 24 September 2020, which addressed the points endorsed by the September meeting of Cabinet. The CSR is due to conclude in the autumn and was originally expected to set out the Government's spending plans for the parliament, covering a three-year period for resource budgets (2021-22 to 2023-24) and a four-year period for capital budgets (2021-22 to 2024-25). As previously reported to Cabinet, reflecting wider economic uncertainty, the Chancellor did not set a "*spending envelope*" for the CSR but confirmed that departmental spending "*will grow in real terms across the CSR period*". At the same time, the Chancellor also stated that "*there will need be tough choices in other areas of spending at the review. As part of their preparations for the CSR departments have been asked to identify opportunities to reprioritise and deliver savings.*"

3.2. However, recent announcements, including the commissioning of the Office for Budget Responsibility to "*prepare an economic and fiscal forecast to be published in mid to*

³ <https://www.gov.uk/government/news/chancellor-launches-comprehensive-spending-review>

*late November*⁴ without setting a date for the Budget, indicated that the Chancellor was retaining the option to delay the Autumn Budget – and on 23 September the Treasury confirmed that there “will be no Budget this autumn”⁵. The Chancellor instead outlined details of a winter economy plan⁶ on 24 September 2020, which was focussed on protecting jobs and supporting businesses through the remainder of the financial year. There are also emerging suggestions that the CSR announcement may cover one year only. Ultimately it remains the case that **the Council is unlikely to receive detailed information about funding allocations for 2021-22 and beyond until December 2020 at the earliest**. At this stage 2021-22 Budget planning assumes a further rollover settlement maintaining funding at the same level as 2020-21. Any changes to these levels of funding could have a material impact on the planning position.

- 3.3. The introduction to this report highlights that critical reforms to local government funding remain outstanding. These include the Fair Funding Review, Business Rates localisation, and reform of Adult Social Care. It now appears that the plans for social care may be further delayed following the recent statement made by the Department of Health and Social Care’s innovation minister Lord Bethell “*I cannot commit to a social care plan before the end of the year. It will require a huge amount of political collaboration and I suspect it will take longer than the next few months.*”⁷ The continued and repeated delays and lack of clarity surrounding all of these long overdue reforms, alongside the impact of the COVID-19 pandemic and the absence of a long term funding settlement for local government (or even any outline indications of funding for the next financial year), combine to establish an almost unprecedented climate of uncertainty for 2021-22 Budget setting.

4. Saving proposals for the 2021-22 Budget

- 4.1. The 2020-24 MTFs agreed in February 2020 included planned savings of £63.786m as shown by Department in the table below. Savings to close the forecast 2021-22 gap need to be identified in addition to the existing savings of £20.747m for that year. However, as set out in the Financial Monitoring report elsewhere on the agenda, the response to the COVID-19 pandemic is having an impact on the delivery of savings in the current year. This report considers the implications of this, and the impact on existing planned savings for 2021-22 and beyond, in the context of the new proposals being brought forward as part of this year’s budget process.

⁴ <https://hansard.parliament.uk/commons/2020-09-11/debates/20091126000006/OfficeForBudgetResponsibilityEconomicAndFiscalForecast>

⁵ <https://www.bbc.co.uk/news/business-54267795>

⁶ <https://www.gov.uk/government/news/chancellor-outlines-winter-economy-plan>

⁷ <https://hansard.parliament.uk/Lords/2020-09-15/debates/A97D2379-244A-477F-8510-62F078C97ED2/Covid-19NHSLong-TermPlan>

Table 1: Existing savings in MTFS 2020-21 to 2023-24

Department	2020-21 £m	2021-22 £m	2022-23 £m	2023-24 £m	Total £m
Adult Social Services	-22.897	-7.344	-0.235	0.000	-30.476
Children's Services	-9.250	-6.400	-2.000	0.000	-17.650
Community and Environmental Services	-5.013	-2.765	1.264	0.000	-6.514
Strategy and Governance Department	0.613	0.000	0.000	0.000	0.613
Finance and Commercial Services	-1.290	-0.650	0.000	0.000	-1.940
Finance General	-1.647	0.800	0.000	0.000	-0.847
Business Transformation	-0.760	-4.388	-1.412	-0.412	-6.972
Total	-40.244	-20.747	-2.383	-0.412	-63.786

- 4.2. A detailed review of the existing savings planned for 2020-21 and 2021-22 has at this stage identified that adjustments are required to reflect the impact of COVID-19 and other decisions on saving implementation as set out in the table below. The status of savings delivery will continue to be kept under review in the context of the in-year financial monitoring position up until final 2021-22 Budget setting in February 2021.

Table 2: Changes to existing planned savings

Service	Saving	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
Adult Social Services	Remove non-deliverable element of existing 2021-22 savings plans - ASC036: Maximising potential through digital solutions.	1.000	0.000	0.000	0.000	1.000
Adult Social Services	Remove non-deliverable element of existing 2021-22 savings plans - ASS001: Expanding home based reablement.	0.750	0.000	0.000	0.000	0.750
Adult Social Services	Remove non-deliverable element of existing 2021-22 savings plans - ASS001: Expanding accommodation based reablement.	0.250	0.000	0.000	0.000	0.250
Adult Social Services	Remove non-deliverable element of existing 2020-21 savings plans - ASC038: Procurement of current capacity through NorseCare at market value.	1.000	0.000	0.000	0.000	1.000
Adult Social Services	Defer implementation of existing 2020-21 and 2022-23 savings plans - ASC046: Revise the NCC charging policy for working age adults to apply	3.000	0.235	0.000	0.000	3.235

Service	Saving	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
	the government's minimum income guarantee amounts.					
Children's Services	Delay budgeted delivery of existing 2020-21 and 2021-22 savings plans by six months to reflect impact of COVID-19 on implementation plans - CHS001: Prevention, early intervention and effective social care.	0.500	-0.500	0.000	0.000	0.000
Children's Services	Delay budgeted delivery of existing 2020-21 and 2021-22 savings plans by six months to reflect impact of COVID-19 on implementation plans - CHS003: Transforming the care market and creating the capacity that we need.	1.900	-1.900	0.000	0.000	0.000
CES	Delay budgeted delivery of existing 2020-21 savings plans by twelve months to reflect impact of COVID-19 on implementation plans - CES001: Increasing the income we get from Adult Learning.	0.240	-0.240	0.000	0.000	0.000
CES	Delay budgeted delivery of existing 2020-21 savings plans by twelve months to reflect impact of COVID-19 on implementation plans - CES017: Reviewing the operation of Museum catering facilities to make them more commercial.	0.035	-0.035	0.000	0.000	0.000
Finance General	Remove existing 2021-22 to 2023-24 savings plans which will be delivered within new service proposals - BTP001-5: Business Transformation savings.	4.388	1.412	0.412	0.000	6.212
	Total changes to existing savings	13.063	-1.028	0.412	0.000	12.447

- 4.3. It should be noted that the MTFS agreed in February assumed £4.388m of savings from business transformation in 2021-22. As set out in the table above, it is now proposed that this centrally held saving target be removed from budget planning, to recognise that it has been replaced with a number of detailed service proposals totalling £4.860m in respect of 2021-22 and delivering business transformation and smarter working principles included within the total proposals in tables 5-10. A report on the progress of business transformation was considered by the September meeting of the Corporate Select Committee and a further report is due to be presented in January 2021.

- 4.4. The savings targets for 2021-22 by Department as originally agreed by Cabinet in July are set out in the table below. The proposals developed in response to these targets are set out in the following sections.

Table 3: Allocation of saving targets 2021-22 to 2024-25

Department	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	2021-25 £m	%
Adult Social Services	-17.723	-4.597	-4.628	-4.628	-31.576	46%
Children's Services	-8.782	-2.223	-2.213	-2.213	-15.431	22%
Community and Environmental Services	-8.771	-2.232	-2.207	-2.207	-15.417	22%
Strategy and Governance Department	-0.844	-0.215	-0.213	-0.213	-1.484	2%
Finance and Commercial Services	-1.753	-0.439	-0.430	-0.430	-3.052	4%
Finance General	-1.120	-0.294	-0.309	-0.309	-2.032	3%
Total	-38.992	-10.000	-10.000	-10.000	-68.992	100%

- 4.5. Since July, Services have been working to identify proposals to meet these targets. The new proposals identified go some way to meeting the targets, as shown in the table below. The broad strategic approaches being adopted to underpin the development of savings were set out in the September report to Cabinet. The following sections of the report (sections 5-9) provide the detailed proposals by Department, along with further information about the individual plans and any significant considerations associated with them.

Table 4: Summary of proposed new savings 2021-22 to 2024-25

Department	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	2021-25 £m
Gross new proposals 2021-22					
Adult Social Services	-24.014*	3.275	2.000	0.000	-18.739
Children's Services	-7.400	-3.600	-3.500	-2.000	-16.500
Community and Environmental Services	-6.858	1.587	0.000	0.000	-5.271
Strategy and Governance Department	-0.959	0.075	0.000	0.000	-0.884
Finance and Commercial Services	-1.578	-0.145	-0.100	0.000	-1.823
Finance General	-2.620	1.000	1.500	0.000	-0.120
Total	-43.429	2.192	-0.100	-2.000	-43.337
Less service removals (per Table 2)					
Adult Social Services	6.000	0.235	0.000	0.000	6.235
Children's Services	2.400	-2.400	0.000	0.000	0.000
CES	0.275	-0.275	0.000	0.000	0.000
Total	8.675	-2.440	0.000	0.000	6.235
Net new proposals 2021-22					
Adult Social Services	-18.014*	3.510	2.000	0.000	-12.504
Children's Services	-5.000	-6.000	-3.500	-2.000	-16.500
Community and Environmental Services	-6.583	1.312	0.000	0.000	-5.271
Strategy and Governance Department	-0.959	0.075	0.000	0.000	-0.884
Finance and Commercial Services	-1.578	-0.145	-0.100	0.000	-1.823
Finance General	-2.620	1.000	1.500	0.000	-0.120
Total	-34.754	-0.248	-0.100	-2.000	-37.102

*Note: The Adult Social Services proposals include a recommendation to increase the Adult Social Care precept by 2%. This is subject to the Government confirming that local authorities will have the flexibility to increase the precept for 2021-22. This announcement is expected alongside the Local Government Settlement, which is currently anticipated in December 2020.

5. 2021-22 Budget proposals – Adult Social Services

5.1. Financial Strategy

At a time of such uncertainty, the service remains committed to our clear vision – to support people to be independent, resilient and well. Our strategy to achieve this is Promoting Independence – which is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care.

In pursuit of delivering our Promoting Independence strategy, we are focussed on six priorities:

- Safeguarding people.
- Strong partners for integrated working.
- Strengthen social work so that it prevents, reduces and delays need.
- Supporting the Social Care market.
- Accelerate the use of technology.
- A positive working culture which promotes people's independence and uses public resources fairly.

More so than ever, our continued embedding of our Living Well ethos enhances our desire to work alongside our partners in supporting thriving local communities and within micro economies. Alongside the Council's other departments, and Norfolk's other Councils, we work towards the infrastructure that enables and promotes jobs, education, housing, health and wellbeing. Our integrated arrangements with our Health colleagues allow us to jointly pursue models of health and care that build upon a person's strengths, abilities and support networks (current or potential). With our joint 'home first' culture, we continue to recognise the importance, and stability, of a person's home, whether it's a person's ability to stay there, or return there, should they require the support of Norfolk's Health and Social Care system.

We are very proud of how Norfolk's care market has responded to the recent challenges we have all faced. During the last six months we have worked closely with the care market, and its care association, to ensure a consistency of safe and quality provision of care. We have invested both funding and time in supporting the stabilisation of income levels, but also advice and guidance for providers at this most difficult time. As we look towards 2021-22, it remains one of our key priorities to support the sustainability of Norfolk's care market, ensuring carers are paid fairly for the excellent work they do.

To give us the best possible chance of delivering our ambitions we have created our Promoting Independence programme. With a programme and project management approach, we seek to give our priorities the focus they deserve and deliver real change at pace. Our change programme is now providing us with the internal infrastructure to realign our resources to enhance the quality and value for money of the services we provide. We can take some comfort in our previous ability to deliver meaningful change, and when the environment is right, again begin to accelerate progress wherever possible.

Over time we have measured the success of promoting independence with a range of indicators that tell us how effective our 'front door' is, the proportion of people receiving reablement who remain independent, the effectiveness of processes around social care practice, and through the rate of people who need formal long term care services. Whilst recent months may have impacted Adult Social Care performance, we have still seen longer term change associated with:

- Reablement services – which over time have a good record of accepting growing numbers of referrals and achieving high numbers of people ‘re-abled’
- Our holding list – where people are waiting for a form of social care assessment or intervention – has significantly reduced in the last 12 months.
- The proportion of people receiving a review within timescale has grown positively and consistently during recent months.
- Reductions in people permanently admitted to residential and nursing care. We measure this for 18-64 and 65+ age groups, and efforts through Promoting Independence have seen both figures drop consistently and significantly in recent years. We do always need to review these alongside short term care home usage, which has seen a rise. As a result, this is a specific area of focus for our future savings proposals.

Overall, current performance data shows a return to more ‘normal’ levels, and to addressing familiar challenges around supporting people during crises, maximising independence through timely social work and reablement, and through improving outcomes for people that go on to require longer term care. However, significant changes to hospital discharge arrangements, along with the risk of a second wave of COVID-19, mean we are reviewing performance and other data more regularly.

We believe the time is right to embrace technology. This means we not only fully consider its application within our day to day work, but also challenge ourselves to seek innovation. We believe with the right support, we can live in a digitally enabled society that can thrive by unlocking its potential. Our Adult Social Care Technology Programme (ASTEC) allows us to give focus to this key area of development

Finally, we remain committed to listening. Listening to those who access or have accessed our services. Listening to those who may one day need our services. Listening to those who help us provide our services.

5.2. COVID-19 Impact and Context

As we set our budget for 2021-22, we continue to manage the unprecedented impacts of COVID-19. Within each year, the Adult Social Care budget faces financial pressures driven by a combination of the economic factors of supply (price) and demand. Whilst we rightfully celebrate our ability to continue to live longer with complex conditions, we do see the associated social care needs increasing and therefore **demand for Adult Social Care continues to rise**. Whilst demand rises, we need to ensure we have the right type, quality and quantity of services available to meet this need. For us to have stability, and a required market equilibrium, we must continue to pay fair prices that attract care providers and their associated workforce. Whilst care work remains relatively low paid, **unit prices for care rise** as Central Government increase wage costs through the continued upward movement in the National Living Wage (NLW).

COVID-19 has caused a seismic and immediate refocus of services, process and planning. The financial consequences of this continue to emerge, but it is having a material impact on the **ability to deliver our transformation** and therefore the full level of **planned savings** in both 2020-21 and 2021-22. Currently, advice remains to

avoid all but emergency visits to care homes and public health advice to avoid transferring people, both mean that much of the previously successful demand management work as part of the Promoting Independence strategy has temporarily stopped. Adult Social Services is working to assess original plans, evolve them where appropriate, and restart areas of change governance where feasibly possible. As a result, alongside the longer term delivery of Promoting Independence, the immediate priority and context for Adult Social Services' financial planning in 2021-22 is the post-pandemic recovery – with services facing unprecedented challenges this year (2020-21) and continued uncertainty – particularly relating to demand, funding and the wider market.

The COVID-19 pandemic has inevitably had a major impact on the provision of support and services to vulnerable adults in Norfolk. The Council continues to support the care market, while recognising that the demand and supply of care services will change in the short, medium and longer term. For some services where future demand is less clear, the **long term sustainability of the care market** will be a key issue, and there may also be cost implications for the Council from this. For services such as residential care, it may well be that non-council related demand changes and has a destabilising impact on the market. For other services, such as day opportunities and transport, it may well be the ability and **capacity of providers to supply COVID secure services** that presents us with a risk. In addition to any capacity constraints, the cost of providing services in a safe way may well increase provider costs. During June-September Central Government has provided £12m of funding in Norfolk to support infection control. Despite this we continue to see a likely **COVID related rise in the average fees we secure care from the market** for as some of our key care markets evolve. We therefore need to look at the likely longer term costs for some providers and ensure that fees are appropriate.

For some vulnerable adults, the pandemic has created an **escalation in social care needs**. Supporting these people, and their families, will continue to be a priority for the Council, and has increased some costs, at least in the short term.

The COVID-19 response has given rise to some opportunities as well through some closer links with health and joint responses around discharge from hospital. However, as part of the recently published phase three plans for the overall health service, the revision to the hospital discharge arrangements only cover the remainder of the financial year. As part of the revised guidance we will have the continuation of the hospital discharge services requirements for the remainder of this year, but with only up to the first six weeks of care to be funded by NHS England and NHS Improvement (NHSEI) from 1 September. In addition, there is an expectation that from 1 September any previous hospital discharge placements will begin to begin their journey back towards the funding pathway they would have taken pre-COVID. Our ability to manage this transition back to normality is **crucial for the Council not to be holding onto costs beyond the cessation of the NHSEI hospital discharge funding route**.

5.3. Savings proposals 2021-22

As well as improving outcomes for people, our approach to service delivery has helped the department to deliver the significant financial savings needed to continue to meet the increasing demands for social care across Norfolk. In order to truly provide the strong foundation Adult Social Care needs to thrive, we strongly believe that there is an imperative for Central Government to deliver meaningful reform of the social care funding system, which needs to work alongside the development of a long term plan for Adult Social Care.

Within the overall strategy for Promoting Independence our financial strategy for delivering against the financial challenges we face are underpinned by the following principles:

- We should recognise the power of excellent social work in helping people regain and retain independence by doing more of it.
- We must continue to invest in early intervention and targeted prevention where there is strong evidence to its ability to keep people independent for longer.
- We must work in partnership with others to reduce system demand and improve outcomes.
- We should commission services which enable and re-able people so they achieve and maintain as much independence as they can.
- We should know that a stable and sustainable market for social care reduces inefficiency and improves value for money.
- We must get the full value for what we pay for by strengthening the contract management of our commissioned contracts.
- We should not be afraid to use of technology, and pursue innovation, to enable more people to live independently for longer.
- We must charge people appropriately for their care and provide welfare rights support.

Alongside our existing programme of work, our new savings proposals for 2021-24 seek to utilise our principles and can be grouped into five main themes:

- **Independence and enabling housing (new)**
Adult Social Services is already working to develop more alternative types of accommodation to give people other choices and more independence. Proposals will look to extend this, focusing on making better use of existing accommodation, collaboration with health partners, and putting in place strategic funding arrangements for developing alternative accommodation.
- **Revising the short term out of hospital offer (new)**
Adult social services has historically played a significant role in funding and delivering out of hospital care. New Discharge to Assess guidance, post-COVID, highlights the importance of this for the health and social care system as a whole. We want to review what our offer is – as part of a health and social care intermediate care offer. This will allow us to focus more resources on home first services, including greater therapy input, and moving away from reliance on short-term beds.

- Our commissioned models of care (new)**
 We will seek savings from some commissioned services, particularly maximising block contracts and re-shaping those which are no longer value for money. Part of this will include looking at the cost of care, given the significant changes in the market as a result of COVID.
- Self-direction, prevention and early help (new)**
 Our prevention and early help approach has enabled us to achieve significant savings in demand, by preventing, reducing and delaying the need for formal care. We will look to consolidate initiatives, strengthening those which are effective and ceasing some activities if there is duplication.
- Digital efficiency, value for money (extension)**
 We are already delivering significant savings through exploiting digital technology. Proposals will look to extend this, taking up new opportunities to improve productivity and drive out costs.

Table 5: Adult Social Services gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 ASS001: Supporting more people to move into independent housing , reducing the reliance on residential care.	-0.500	0.000	0.000	0.000	-0.500
21-22 ASS002: Strategic approach with health partners to manage joint funding of packages to support better use of resources across the health and social care system.	-1.000	0.000	0.000	0.000	-1.000
21-22 ASS003: Revising the short term out of hospital offer - We want to review what our offer is – as part of a health and social care intermediate care offer. This will allow us to focus more resources on home first services, including greater therapy input, and moving away from a reliance on short-term beds.	-3.670	2.000	2.000	0.000	0.330
21-22 ASS004: Efficiency targets for some core contracts and ensuring that we maximise the usage of block contracts.	-0.500	0.000	0.000	0.000	-0.500
21-22 ASS005: Introduce more individual service funds as an alternative to commissioned care for some people, to give them more control and choice over their care - This gives people the opportunity to choose a provider and work with that provider to arrange services and support. Similar to a direct payment, but the individual does not have to manage the money as the provider does it for them.	-0.069	-0.200	0.000	0.000	-0.269

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 ASS006: Working with our partners to reshape and refocus our approach to supporting people upon their initial contact with Adult Social Care.	-0.500	0.000	0.000	0.000	-0.500
21-22 ASS007: Reducing the amount we have set aside to cover potential bad debts. (One-off benefit).	-1.000	1.000	0.000	0.000	0.000
21-22 ASS008: Releasing amounts previously carried forward in one-off reserves. (One-off benefit).	-0.475	0.475	0.000	0.000	0.000
21-22 ASS009: Digital business transformation and staffing efficiencies across Adult Social Care, embedding efficiencies from smarter working.	-0.800	0.000	0.000	0.000	-0.800
21-22 ASS010: Capitalisation of Assistive Technology Equipment - the use of capital funding as an alternative to revenue funding for our Assistive Technology equipment purchases.	-0.500	0.000	0.000	0.000	-0.500
21-22 ASS011: Capitalisation of Adult Social Care Transformation programmes - the use of capital receipts as permitted by Government to fund transformational activity which will deliver future savings.	-1.000	0.000	0.000	0.000	-1.000
21-22 ASS012: Contract renegotiation - Ensuring the requirements of commissioners are reflected in the Norsecare contract.	-3.000	0.000	0.000	0.000	-3.000
21-22 ASS013: Working with NORCA (Norfolk Care Association) to develop a targeted approach to the annual price uplift for 2021-22 recognising the overall local authority budget pressure.	-2.500	0.000	0.000	0.000	-2.500
21-22 ASSN/a: Applying a 2% increase in the Adult Social Care Precept , subject to Government making this option available in 2021-22.	-8.500	0.000	0.000	0.000	-8.500
Total	-24.014	3.275	2.000	0.000	-18.739

6. Service financial strategy and approach to developing 2021-22 Budget proposals – Children's Services

6.1. Financial Strategy

The core strategy and transformation approach remains unchanged and Children's Services continues to project benefits from existing schemes and new schemes in the same strategic areas. Specifically these are:

1. Inclusion
2. Prevention and Early Intervention

3. Quality of Practice
4. Edge of Care and Alternatives to Care
5. Re-shaping the care and specialist support market

The new savings proposals contained within this report have been developed in line with these existing themes and represent some continuation of existing programmes as well as some major new elements, such as the “No Wrong Door” model, which is intended to achieve good outcomes at lower long-term cost for the children with the most complex need. We are continuing with this core strategy because it is working. At the time of preparing this report, the Council has approximately 180 fewer children looked after (excluding unaccompanied asylum seeking children whose needs are met through specific government funding) than at the peak in January 2019. On average it costs approximately £50k per annum for a child looked after placement, and so our success in keeping families together and reducing numbers in care will have delivered avoided cost pressure and savings of approximately £9m per annum delivered through the core strategy and transformation approach. The new proposals will build upon this success. However, whilst numbers of children in care have decreased, the average unit cost of placements has been rising and in particular the very high costs for the children and young people with the most complex needs have offset the financial gains. As such, we are bringing forward a number of schemes including the ‘No Wrong Door’ Model with a specific focus on meeting those high needs differently and at lower cost.

The core strategy and transformation approach is an ongoing programme of work for the department with work ongoing to enable the identification of further new initiatives that could deliver substantial transformation.

These areas are now supported by a major focus on modernisation, efficiency and opportunities to work differently which will be enabled by technology and the cultural shift that is being accelerated by COVID-19. These include:

- Efficient Processes
- Reduced Travel
- Using Buildings Differently
- Exploiting Technology

Proposals have sought to identify areas for efficiency but will require significant support to deliver, for example to drive out the benefits of technology, to enable teams to operate with reduced reliance on buildings, to progress the staff skills agenda. The department is proposing fairly substantial savings targets in these areas, over and above those to be delivered through the major transformation programme.

The department is also commencing a close internal review of staffing – especially in support and ‘back office’ teams. This review will look through a number of lenses such as whether we can automate processes, identify any areas of duplication and how we can build on the recent move to remote and flexible working to drive out cost savings – for instance from reduced travel cost claims. This work will take further time to complete and whilst the focus will be upon achieving efficiency without compromising quality and effectiveness of service, there is a risk that the quality and quantity of

service that can be provided will reduce to enable the required savings to be delivered in the context of the Council's very challenging financial circumstances.

On 5 January 2020, the Government announced £165m of funding for 2020-21 to continue the Troubled Families programme for an additional year (originally set to run for 5 years from 2015 to 2020). The funding is made up of various elements including a payment by results amount that is driven by the number of families supported in the programme. Delivery of these results is through social care staff embedded in the social care operating model as part of their core offer. No further funding announcements have been made at this time.

6.2. COVID-19 Impact and Context

COVID-19 has had a significant impact on Children's Services. Initially, demand for core statutory services fell by around 40-50%, although this has now returned to normal levels. Numbers of children in care remained fairly stable, albeit with unit costs rising, and some additional costs have been incurred in managing the disrupted care market.

The department is anticipating and has planned for a significant spike in demand in the autumn following the return of schools; in turn this may translate into higher demand for statutory services and children in care, although this remains highly uncertain.

In a best-case scenario, the number of children in care will continue to fall in line with the recent trend – more likely is, at least a temporary rise aligned to the surge in demand. Some authorities are projecting a significant rise over an extended period and so this will need to be closely monitored and an additional financial pressure could emerge which is not currently accounted for as the business planning cycle progresses. At the time of writing, the level of demand in social care has not yet, significantly increased above normal levels but it is still very much 'too early to tell' in terms of the scale of the anticipated rise.

Due to the timing of the outbreak of the pandemic, COVID-19 has resulted in a significant delay to the introduction and embedding of the new social care operating model. Some elements had to be put on hold with the focus turned to meeting the immediate needs arising from the pandemic and ensuring resilience of service, utilising all available staff. The implementation of the new operating model has recommenced, alongside the re-starting of the whole transformation programme. The impact of the delay is being mitigated where possible, and it is as yet unclear how any surge may affect it further, but it could result in future medium-term cost pressures and will be kept under close review.

The service has identified a range of other, less obvious, impacts on demand – including hidden need, trauma, and economic factors. It is hard to know what the experiences of children will have been during lockdown and how that will play out in the medium to longer term. Some key external markets are also under major strain, for example transport, early years, the voluntary sector as well as care. This includes

some specialist provision from external providers that has been reduced during the pandemic and, in some cases, on an ongoing basis, to ensure that they are 'COVID secure.' That, alongside lengthy absence from school-based educational provision, may result in additional demand that will need to be sourced.

As a result of COVID, the expectations upon the Council with respect to its leadership role within the whole education sector in Norfolk has significantly changed. This has led to staff being redeployed to support the significantly increased workload, many of whom previously provided traded services and / or support to improve achievement and increased inclusion in schools. Therefore, there has been major disruption to the normal work of Learning and Inclusion staff, including the traded services model with schools, for which there is a review now underway. At this stage, it is not clear what the Government's expectations are of local authorities with respect to support and leadership to the education sector in the medium-to-long-term, and whether these will be deliverable within the current funding envelope available.

There are likely to be some opportunities emerging from the COVID-19 response, including:

- The relationship with the school system, in particular, has been strengthened, creating an opportunity to wrap support around in a preventative way;
- Greater family resilience is being evidenced and family networking is thriving in the current context, and this is an area to build on;
- Increasing responsiveness to meet families' needs at times better for them and professional assessment purposes rather than being constrained by office opening hours;
- The potential to unlock the capacity and budgets normally tied up at the higher tiers;
- Significant opportunity to strengthen recruitment and retention through greater flexible working and opportunity to increase workforce stability;
- In the mental health arena, the crisis has accelerated the move away from the previous clinic-based model;
- Volunteers have come forward in much greater numbers than previously;
- Virtual working is unlocking creative practice and improved relationship and engagement with families and young people that could be included in the overall offer as a "new normal" is established;
- Potential to move 'upstream' together and have more and better 'early help' across cohorts; and
- Partnership working has deepened and accelerated.

6.3. Savings proposals 2021-22

The impact of COVID-19 is projected to cause delays to the delivery of existing saving plans which will impact on 2021-22 as well as the current year, meaning the Service is currently planning to make up for any potential shortfall on previously planned savings as well as delivering against new targets.

In total, new proposals shown below, combined with existing savings within the Medium Term Financial Strategy will result in Children's Service delivering £11.4m savings in 2021-22.

Table 6: Children's Services gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
<p>21-22 CHL001: Expansion of 2019-20 CHS001: Prevention, early intervention and effective social care (Reduced Family Court Costs) - Investing in an enhanced operating model which supports families to stay together and ensures fewer children need to come into care.</p> <p>As we aim for fewer children to be looked after as a result of changes to how we work, we anticipate a reduction in legal advice and associated fees.</p>	-0.200	0.000	0.000	0.000	-0.200
<p>21-22 CHL002: Expansion of 2019-20 CHS002: Alternatives to care (No Wrong Door) - Investing in a range of new services which offer alternatives to care using enhanced therapeutic and care alternatives, combined with a focus on support networks from extended families keeping families safely together where possible and averting family crises.</p> <p>Conversion of two in-house residential homes to create spaces to provide services for children and young people that offer alternatives to long-term care. This will be delivered in partnership with North Yorkshire County Council, based on their successful No Wrong Door model with financial support provided by the Department for Education.</p>	-2.200	-5.100	-3.500	-2.000	-12.800
<p>21-22 CHL003: Expansion of 2019-20 CHS003: Transforming the care market and creating the capacity that we need - Creating and commissioning new care models for children in care – achieving better outcomes and lower costs.</p> <p>Continuation of the transformation of the care market to keep children and young people who require placements close to home and based in Norfolk wherever possible and appropriate to do so. This includes the introduction of in-county solo/dual placements for young people with complex needs resulting in the reduction of expensive out of county placements and more effective use of our residential</p>	-1.000	-0.100	0.000	0.000	-1.100

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
estate. Additionally, we will embed the transformation of cost-effective support arrangements and placements for unaccompanied asylum seekers, reducing reliance on external providers through in-house provision of young parent and baby semi-independent accommodation, and ensuring cost-effective practice for special guardianship orders.					
21-22 CHL004: NEW TRANSFORMATION PROGRAMME INITIATIVE: Inclusion (Home to School Transport) - Through finding school places closer to home for children and young people with Special Educational Needs and Alternative Provision requirements, we will reduce the home to school transport costs associated with long journeys.	-0.500	0.000	0.000	0.000	-0.500
21-22 CHL005: Smarter Working - Efficiencies through increased use of automation and robotics, continued modernisation through shift to different ways of working (accelerated by COVID-19 and enabled through use of IT), departmental review of posts to ensure no duplication of activity, and promotion of flexible working arrangements advantageous to employees and the department.	-1.900	0.000	0.000	0.000	-1.900
21-22 CHL006: Rationalisation and relocation of office accommodation - It is proposed that office accommodation needs of the department are reviewed in light of smarter working (accelerated by the COVID-19 pandemic and enabled through use of IT) with the view to rationalising accommodation whilst still meeting ongoing service needs. (One-off capital receipt in range £1-2m).	-1.600	1.600	0.000	0.000	0.000
Total	-7.400	-3.600	-3.500	-2.000	-16.500

7. Service financial strategy and approach to developing 2021-22 Budget proposals – Community and Environmental Services

7.1. Financial Strategy

Community and Environmental Services (CES) has responsibility for the delivery of a wide range of services; there is no hierarchy as each area has a vital role to play in achieving better outcomes for the whole of Norfolk. CES proactively provide information and advice to help people to make better choices that enable them to live fulfilling, independent lives. Teams continue to provide vital services to ensure that residents are safe, both in their own homes and when out and about in the county.

In terms of an overall strategy for developing budget proposals, the broad range of services and outcomes means that a single approach would not be beneficial. Instead, CES is focussing on two general approaches:

- Cost reduction – including through use of new technology and contract renegotiations.
- Ways of working – including efficiencies in back office processes and organisational re-design.

We will continue to prioritise delivery of savings from these approaches ahead of changes to front line services.

In previous years, the department has also had a focus on income generation. However, given the current pressures and risks associated with existing income generation targets (as set out in paragraph 7.2) it is not considered prudent for new income generation to be a key strand of the financial strategy for next year.

7.2. COVID-19 Impact and Context

A significant number of staff within CES were redeployed in roles to support the emergency response efforts throughout the county. The service also plays a crucial role in supporting communities and businesses to respond to and recover from the impacts of COVID-19.

Some of the longer term impacts and potential future budget pressures for CES arising from COVID-19 include:

- Significant work will be needed to support delivery of the Norfolk and Suffolk Economic Recovery Restart Plan, working with New Anglia LEP. A number of projects and measures have been developed to support the Norfolk economy including through advice for businesses, support for the visitor economy, investment in infrastructure and support for individuals to reskill and upskill.
- The department is heavily reliant on generating external income, such as museums admissions income, Adult learning and Libraries. Given the extended period that services were not able to operate in their normal way, and new restrictions in the foreseeable future, this will have a significant impact on the income generating activities already built into the budget.

- Higher volumes of residual waste are anticipated due to residents being at home rather than places of work, therefore generating more waste through the kerbside collections.
- Whilst Government have provided support to transport operators, both directly and through the County Council, CES continues to work with operators to ensure there is resilience of the public transport network including home to school transport. Work is also underway with operators to ensure they have the ability to provide viable services under social distancing measures and through a period where there may be low public confidence in using public transport.
- Increased costs are also expected for the delivery of capital schemes to accommodate safe working practices.
- Some services in the department continue to carry out significant work specifically on COVID-19 response and recovery, in particular the Public Health, Growth and Development, Trading Standards and Resilience teams. It is anticipated that there will continue to be a need for significant support from these areas for some time.

7.3. Savings proposals 2021-22

The new savings proposals for 2021-22 are set out in the table below.

Table 7: Community and Environmental Services gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 CES001: Back office savings across CES (non-staff budgets) - Savings from reduction in travel and subsistence, printing, postage and telephone budgets.	-0.137	0.000	0.000	0.000	-0.137
21-22 CES002: Back office savings in CES (staff budgets) - Restructure and review the number of posts in a number of back office teams.	-0.356	0.000	0.000	0.000	-0.356
21-22 CES003: One off use of reserves to fund projects budget - Remove the remaining economic projects budget and fund from reserves in 2021-22 (one-off), with the revenue budget reinstated for 2022-23.	-0.174	0.174	0.000	0.000	0.000
21-22 CES004: Back office savings in CES Growth and Development - Savings from reduction in back office activities (travel budgets and other back office activities).	-0.047	0.000	0.000	0.000	-0.047
21-22 CES005: Savings achieved through procurement of new contract - Reductions in waste disposal costs delivered through procurement of new contract.	-1.800	0.000	0.000	0.000	-1.800

Saving proposal	2021- 22 £m	2022- 23 £m	2023- 24 £m	2024- 25 £m	Total £m
21-22 CES006: Reduction of opening hours at Recycling Centres - Reduce the opening hours at Recycling Centres to harmonise summer opening hours with current winter opening hours.	-0.070	0.000	0.000	0.000	-0.070
21-22 CES007: Back office savings in CES Highways and Waste (non-staff budgets) - Savings from reduction in travel and subsistence budgets.	-0.012	0.000	0.000	0.000	-0.012
21-22 CES008: Culture and Heritage - Service redesign and additional fee income	-0.330	0.000	0.000	0.000	-0.330
21-22 CES009: Staff savings at the Norfolk Record Office (NRO) - Savings through efficiencies in back office processes and service re-design.	-0.066	0.000	0.000	0.000	-0.066
21-22 CES010: Reduce Norfolk Arts Service (NAS) budget - Reduce the NAS budget via limited service redesign.	-0.037	0.000	0.000	0.000	-0.037
21-22 CES011: Libraries - Cease purchase of newspapers and periodicals for Norfolk libraries, except for local history purposes. Newspapers and periodicals will continue to be available to access for free via the Libraries app.	-0.050	0.000	0.000	0.000	-0.050
21-22 CES012: Library service re-design (community library staff) - Reduce the number of community librarians by 20%.	-0.118	0.000	0.000	0.000	-0.118
21-22 CES013: Fire Service - back office savings through reduction in fuel costs, printing and photocopying, and advertising expenses.	-0.101	0.000	0.000	0.000	-0.101
21-22 CES014: Savings in Culture and Heritage including staffing savings - Savings delivered through service redesign, back office savings and vacancy management.	-0.383	0.000	0.000	0.000	-0.383
21-22 CES015: Fire and Rescue Service - Review of managerial and functional posts including contract arrangements. Reviewing equipment purchases and staff training budget.	-0.261	0.000	0.000	0.000	-0.261
21-22 CES016: One off use of reserves - One off use of street lighting PFI reserve.	-1.383	1.383	0.000	0.000	0.000
21-22 CES017: Further Street Lighting LED upgrade - Upgrade 15,000 street lights on main roads, along with the CMS (central management system), to enable energy savings.	-0.900	0.000	0.000	0.000	-0.900
21-22 CES018: Income Generation / recharging for services - Additional income from charging for services / roundabout sponsorship and charging for activities on the highway.	-0.345	0.000	0.000	0.000	-0.345

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 CES019: Reduction in grass cutting - Saving delivered by reducing urban grass cutting from 5 cuts per year down to 4 cuts per year, and reducing rural grass cutting on C and U class roads from 2 cuts per year down to 1 cut per year.	-0.100	0.000	0.000	0.000	-0.100
21-22 CES020: Back office savings in CES Highways and Waste - Savings from reducing overtime budgets and deletion of vacant posts.	-0.106	0.000	0.000	0.000	-0.106
21-22 CES021: Reduction in contract spend - Savings from renegotiation of contract rates as part of a package to extend some current Highways contracts.	-0.082	0.030	0.000	0.000	-0.052
Total	-6.858	1.587	0.000	0.000	-5.271

8. Service financial strategy and approach to developing 2021-22 Budget proposals – Strategy and Governance

8.1. Financial Strategy

The Strategy and Governance department brings together a number of professional services which fulfil different functions, and need to be differentiated in the way they operate and the focus of their advice and support. These provide a continuum of services including strategic direction, and resource stewardship, as well as support to services, managers and staff. Strategy and Governance provides:

A **strategic focus** - to advise and support the political and managerial leadership of the Council in their strategic approach. At a time when resources are stretched, the organisation is expecting further COVID-19 pressures and there are so many “unknowns” in the financial and government policy space, it is essential to:

- have the capability to look to the future and anticipate change.
- provide analytical and problem-solving expertise to the executive team and the business units.
- offer **professional leadership** to the organisation and to Norfolk Resilience Forum (NRF) partners in key areas such as strategy, communications, intelligence and analytics to drive insights and actions.

A **support service** focus – to support and enable **transformational change** and seek to drive innovation, as well as operations at departmental and service level. Important to have capacity to:

- define transformational solutions to strategic problems.
- implement transformation initiatives.
- provide more responsive internal services to managers and staff, while achieving lower costs through greater use of technology, and simpler and more streamlined processes.

A **governance focus** – to ensure the organisation is **safe, compliant and governed effectively** and with strategic focus and purpose, with strong stewardship / control systems and processes, joining up across the local government system.

An **income generating focus** – to create value for NCC through maximising the opportunities provided through public service provision, for genuine fee earning activities which don't deviate from, but enhance, our statutory purpose and core offer. Strategy and Governance as a whole relies heavily on income, particularly Nplaw and Registrars, so proposals to review headcount need to take into account the potential for fee earning.

In the above context, budget proposals can have a significant impact on service departments. The proposals set out in section 8.3 have been developed in line with the department's strategic approach and are intended to:

- Ensure that we keep the organisation **safe and legal** as **efficiently** and **effectively** as possible.
- **Balance opportunities to maximise income for genuine fee earning services**, against cost savings, without deviating from our core service offering.
- Work to **drive our professional leads model**, in providing support across the organisation to maximise efficiency, and effectiveness.
- Maximise any saving opportunities arising from changed expectations and **working practices** as a result of COVID-19.

8.2. COVID-19 Impact and Context

As set out in previous reports to Cabinet, services within the Strategy and Governance Department fulfil a key role in supporting the organisation to operate in a safe, well-governed and compliant way during the response to the pandemic. This has included:

- Maintaining democratic functions and Member support;
- Ensuring effective communications internally, externally with key stakeholders, and through supporting delivery of key Public Health messaging both for the County Council and NRF partners;
- Providing advice on statutory and regulatory changes arising from the response to the pandemic;
- Maintaining effective HR functions and supporting the wider workforce through a period of radical change; and
- Supporting wider organisational capacity and the management of the response to the pandemic.

8.3. Savings proposals 2021-22

The new savings proposals for 2021-22 are set out in the table below.

Table 8: Strategy and Governance gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 SGD001: NPLaw Structural Review - Savings from structural review linked to development of the partnership agreement.	-0.200	0.000	0.000	0.000	-0.200
21-22 SGD002: Democratic Services Review - Democratic Services savings linked to changes arising from the Peer Review and Association of Democratic Services Officers (ADSO) review.	-0.030	0.000	0.000	0.000	-0.030
21-22 SGD003: Information Governance - Streamlining of Information Governance processes to deliver efficiencies.	-0.020	0.000	0.000	0.000	-0.020
21-22 SGD004: Your Norfolk Digitisation - Stopping paper production and distribution of Your Norfolk and moving to a more frequent digital solution.	-0.100	0.000	0.000	0.000	-0.100
21-22 SGD005: Strategy and Governance back office savings - Reducing print, post, stationery and travel expenditure across the whole Department.	-0.100	0.000	0.000	0.000	-0.100
21-22 SGD006: Professional Lead and Career Family Model - Implementation of the Professional Lead and Career Family Model across the Insight and Analytics (I&A), Communications, and Strategy capability across the organisation.	-0.250	0.000	0.000	0.000	-0.250
21-22 SGD007: Democratic Services (staff budgets) - Review and realign existing structure to deliver new post COVID-19 ways of working.	-0.075	0.000	0.000	0.000	-0.075
21-22 SGD008: Elections Funding underspend (one-off release of reserve) - More active and focussed management of the election facilitation, with District Councils, to deliver an underspend against budgeted provision.	-0.075	0.075	0.000	0.000	0.000
21-22 SGD009: Further savings to deliver a net 2.75% reduction in staffing budgets across Strategy and Governance teams - Targeting vacancy management and natural turnover as a priority; savings will be linked to achieving efficiencies through the HR and Finance System replacement.	-0.109	0.000	0.000	0.000	-0.109
Total	-0.959	0.075	0.000	0.000	-0.884

9. Service financial strategy and approach to developing 2021-22 Budget proposals – Finance and Commercial Services / Finance General

9.1. Financial Strategy

Finance and Commercial Services provides the capacity to enable the organisation to act swiftly, innovatively and effectively in the context of rapid change. Core departmental priorities include:

- Enhancing financial performance.
- Supporting and training service managers.
- Effective management of property assets to make best use and maximise the return on investments.
- Efficient and effective contract management.
- Providing information which supports good decision making.
- Reducing the costs of our services whilst improving their effectiveness, utilising new technology and implementing smarter ways of working.
- Rolling out technological infrastructure, improving customer service and saving money.

The savings proposals set out in this report for 2021-22 have been developed with reference to the above objectives and are intended to:

- Ensure critical functions and capability are maintained.
- Maximise any opportunities arising from changed expectations and working practices as a result of COVID-19.
- Protect the quality of service and level of support to front line services and colleagues across the Council.

Finance General is a corporate budget, which includes council wide expenditure such as corporate pension payments; grant payments; audit fees; member allowances; and capital financing costs. Income includes funding through the Business Rates Retention System; interest from investments; and depreciation on capital from services.

9.2. COVID-19 Impact and Context

As reported to Cabinet in September, Financial and Commercial Services continues to deliver essential and resilient support functions which have enabled the Council to continue operating effectively throughout the response to the COVID-19 emergency, and have played a key role in supporting the wider organisational response, including:

- Ensuring safe, effective and appropriate use of property and assets;
- Effective procurement of vital equipment including PPE;
- Provision, development, delivery, and maintenance of effective ICT solutions to enable remote working and organisational resilience;
- Maintaining effective, prompt and secure payment systems, and ensuring appropriate financial control and oversight of decision-making;
- Supporting wider organisational capacity and the management of the response to the pandemic.

9.3. Savings proposals 2021-22

The new savings proposals for 2021-22 are set out in the table below.

Table 9: Finance and Commercial Services gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 FCS001: Automation of IMT processes (staff budgets) - Automation for simple repetitive tasks such as provision of access rights to file shares. Staffing reductions to be delivered by targeting vacancy management and natural turnover, although some potential for redundancies.	-0.200	0.000	0.000	0.000	-0.200
21-22 FCS002: New network and telephony support arrangements - Reduced administrative effort to maintain network and telephone systems. Review small scale headcount reduction and / or reduced expenditure on third party support contracts.	-0.100	0.000	0.000	0.000	-0.100
21-22 FCS003: Reduced expenditure on the corporate printing contract - Contract renegotiation and reductions in volumes.	-0.100	0.000	0.000	0.000	-0.100
21-22 FCS004: Schools IT reduced cost and increased income - Implement a range of measures to improve profitability of the Schools IT operation, through increased efficiency / reduced costs to provide service, and ceasing trading in areas where the income does not cover the full cost of provision.	-0.050	0.000	0.000	0.000	-0.050
21-22 FCS005: Switching all IMT mobile phones over to bring your own device (BYOD) - Reduced expenditure on mobile telephony through BYOD, usage policies and contract management.	-0.020	0.000	0.000	0.000	-0.020
21-22 FCS006: Reduced expenditure on software applications such as Adobe Acrobat and MS Project - Challenging current use and requirements, and providing lower cost alternatives.	-0.020	0.000	0.000	0.000	-0.020

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 FCS007: Travel and transport budget in IMT - Reduced costs through increased mobile and flexible working, more virtual visits and reduced courier / delivery costs.	-0.010	0.000	0.000	0.000	-0.010
21-22 FCS008: Increased Data Centre Income - Sharing the NCC data centre more widely with Norwich City Council, and possibly other partners, enabling income targets to be overachieved.	-0.003	0.000	0.000	0.000	-0.003
21-22 FCS009: One-off use of reserves - One-off savings and use of reserves within Budgeting and Financial Management.	-0.255	0.255	0.000	0.000	0.000
21-22 FCS010: Vacancy management within Internal Audit Service - Vacancy management and team structure review, and review of contracted services budget.	-0.015	0.000	0.000	0.000	-0.015
21-22 FCS011: Introduction of new technology and reduction in posts in Finance Exchequer Services - Savings from reduction in headcount enabled by introduction of new technology including additional employee self-service.	-0.075	0.000	0.000	0.000	-0.075
21-22 FCS012: Benefits realisation from the HR & Finance System replacement project in Finance Exchequer Services - Benefits realisation work is still underway to quantify value of saving from the HR & Finance System replacement, but current forecast reflects savings of £0.4m in 2022-23 which will be delivered by a combination of reduction in posts and changes to licence costs. Expected full year effect of the project being implemented is currently estimated as a further £0.1m from 2023-24.	0.000	-0.400	-0.100	0.000	-0.500
21-22 FCS013: Corporate Property savings in direct revenue costs - Savings achieved through reduced maintenance, security and other revenue costs based on exiting some additional sites, enabled by changes to ways of working due to COVID-19.	-0.358	0.000	0.000	0.000	-0.358
21-22 FCS014: Further savings to deliver a net 2.75% reduction in staffing budgets across Finance and Commercial Services teams - Targeting vacancy management and natural turnover as a priority; savings will be linked to achieving efficiencies through the HR and Finance System replacement.	-0.372	0.000	0.000	0.000	-0.372
Total	-1.578	-0.145	-0.100	0.000	-1.823

Table 10: Finance General gross new saving proposals 2021-22 to 2024-25

Saving proposal	2021-22 £m	2022-23 £m	2023-24 £m	2024-25 £m	Total £m
21-22 FIN001: One off release of Organisational Change Fund - Underlying annual budget provision for organisational change and redundancy costs is £2.7m (2019-20). Assessment of amount required to be held against organisational need, experience of actual costs incurred, and the likely organisational and staffing impact of emerging saving proposals for 2021-22, indicate that it would be possible to continue release £0.500m from this budget on the same basis as 2020-21. This reflects a delay of cost pressure for 2021-22 to 2022-23.	-0.500	0.500	0.000	0.000	0.000
21-22 FIN002: Insurance review (One-off use of reserves) - Review of Insurance reserves, claims and risks allows £0.500m to be released on a one-off basis.	-0.500	0.500	0.000	0.000	0.000
21-22 FIN003: Interest Payable / Receivable - Revised estimates of interest payable and receivable budgets for 2021-22 based on latest forecasts enable a reduction in budget provision.	-0.120	0.000	0.000	0.000	-0.120
21-22 FIN004: Employer pension contribution payment in advance - Deliver a saving by paying the County Council employer pension contribution in advance, benefiting from the investment returns achieved by the Pension Fund over a longer period. Value of saving currently being confirmed/refined.	-1.500	0.000	1.500	0.000	0.000
Total	-2.620	1.000	1.500	0.000	-0.120

10. Latest Budget and Medium Term Financial Strategy position

10.1. A summary of the cost pressures and savings provided for in the February MTFS analysed by Service was reported to Cabinet in July. As set out in that report, the MTFS includes significant unavoidable ongoing pressures from 2021-22 to reinstate Minimum Revenue Provision (MRP) budgets following the saving delivered over recent years. In September, Cabinet then considered a number of changes to the 2021-22 planning assumptions and noted a revised forecast gap position of £129.779m, incorporating a gap of £45.434m for 2021-22. This position was based on the following significant assumptions:

- 2020-21 funding levels being broadly maintained (i.e. a further rollover settlement).
- Pay inflation running at 3% from 2021-22 onwards, and providing for the additional 0.75% pay award for 2020-21, as the current year increase has now been confirmed as 2.75%, compared to the budgetary provision of 2%.
- Non-pay inflation provided for on some budgets being reduced from 2% to 1%.

- General council tax being increased by 1.99% per year, (this remains subject to both Member decision-making and Government announcements about referendum thresholds annually). This is discussed further in section 12 below.
- Previous increases in the National Living Wage (NLW) being continued. The Government could set a more significant increase, without additional funding. Announcements about the April 2020 level were made in January 2020. Each 1p rise in the NLW increases the costs of care by £0.200m. Many organisations have lobbied central government to make further increases in the NLW and in particular to seek higher increases for care workers. Either would increase costs significantly above the current budget assumptions.
- The tax base increasing by 0.5% in 2021-22 and thereafter by 1% each year to 2023-24 (1.39% growth was forecast for 2020-21).
- A Collection Fund surplus arising of £3m in 2021-22, £2m 2022-23, and £1.5m 2023-24. This remains an area of significant uncertainty and will be reviewed further as the budget process continues.

- 10.2. The forecast gap is kept under continuous review through the Budget process. However, **it is not proposed to update the forecast budget pressures from the September position at this point**, taking into account the wider uncertainty about the impact of COVID-19 on local authority finances and the absence of both government funding announcements and updated forecasts for local income streams including council tax and business rates. It is nevertheless important to note that as at October, **further revenue budget pressures are beginning to emerge** in relation to items such as specific Government funding ceasing (for example the Troubled Families Grant which is likely to end in March 2021), pressures linked to the National Living Wage (the level of which remains uncertain) and further service specific pressures. **Work is underway to fully quantify and validate these emerging pressures and they will be included in the final Budget proposals in February where they are shown to be appropriate and unavoidable.** This reflects the fact that local authorities continue to face a growing gap between funding and service pressures, driven in part by a combination of demographic changes, unfunded burdens, policy decisions, and the needs of vulnerable social care users becoming increasingly complex. Further risks are also emerging around the potential economic impact of a “no deal” exit from the European Union (Brexit), and associated cost pressures in areas such as Trading Standards. Brexit-related cost pressures may also be anticipated in the event of any delays in the process of exporting waste, which could give rise to additional costs relating to waste storage and / or more expensive disposal points. Similarly, any disruption to the food supply chain could result in additional costs related to the need to provide support to vulnerable members of society. Any resulting pressures in this area will be identified through the remainder of the budget process. Children’s services, in both social care and education (particularly the High Needs Block), are also under very significant stress. There remains a risk, as previously highlighted to Cabinet, that these pressures increase in the medium-term as a result of additional needs driven by the impacts of COVID-19.
- 10.3. The profound short-term effects on Council finance of the response to COVID-19 are being regularly presented to Cabinet in the Financial Monitoring report elsewhere on the agenda, but as previously identified, it remains unclear precisely what the medium-

and longer-term financial impacts will be, and as such the full implications for the council's Budget in 2021-22 have yet to be confirmed. What is clear is that some very significant financial risks associated with the pandemic exist in terms of the long-term design of some services, in relation to joint working, public expectations, levels of demand, and the underlying cost base. Risks also remain that adult social services will incur changed volume and market prices into 2021-22, which are not included within the current budget plans. Other key risks are linked to the changes to the hospital discharge service arrangements from September 2020. This could mean that higher than usual volumes and prices of care, following transition of the NHS funding arrangements, are incurred by the council going forward. In addition, some providers have needed to change business models to operate services in line with social distancing rules, which will reduce capacity and increase unit costs. Risks within Children's Services include the potential for additional cost pressures linked to surges in demand, particularly in relation to looked after children. In addition, there is a risk that the wider operating environment has shifted, which may put pressure on assumptions about trading with schools. Across a wide range of CES budgets there are significant risks to assumed income budgets and it remains uncertain how quickly demand will recover in 2020-21 and 2021-22. Any or all of these additional costs could persist into the next financial year if the pandemic and associated Government and local control measures continue. Critically, it remains to be seen in such a case to what extent emergency Government funding and support will be extended into 2021-22. As a result, **COVID-19 cost pressures will only be incorporated into Budget planning when there is greater certainty that they will remain and that they will not be mitigated by Government.**

- 10.4. Further details of both potential COVID-19 and "routine" revenue cost pressures for services have been set out in sections 5 to 9. As previously reported, it should also be noted in this context that the level of pressures included in the Children's Services budget for future years is substantially lower than has been provided for in 2020-21 and this may therefore be a particular area of risk for future cost pressures emerging through the remainder of the 2021-22 budget process. As set out above, the Adult Social Care budget for next year is also subject to significant uncertainty particularly in relation to ongoing costs of care that are currently funded by health under the Hospital Discharge Service requirements and market prices affected by COVID-19 measures and national living wage. **Further savings will therefore be required to address these pressures, should they arise, and to close the identified budget gap.**
- 10.5. The latest indicative MTFS position is shown in the table below, reflecting the forecast budget gap as at September and incorporating the savings proposals set out in this report. It should be noted that these saving proposals remain subject to further validation work to ensure that they are fully robust and deliverable, and **no final decisions on the implementation of savings will be made until February 2021 when the County Council considers the Cabinet's proposed Budget for 2021-22, including the findings of public consultation and equality and rural impact assessments.** With this caveat and assuming that all proposals in this report were to be progressed, **the indicative MTFS gap would be £98.057m, incorporating a gap of £15.062m for 2021-22.** This position will be impacted by any emerging pressures

as outlined in paragraphs 10.2 and 10.3 and will be further updated and kept under continuous review through the remainder of the Budget process.

Table 11: Updated Medium Term Financial Strategy 2021-22 to 2024-25

	2021-22	2022-23	2023-24	2024-25	Total
	£m	£m	£m	£m	£m
<u>Medium Term Financial Strategy 2020-25</u>					
Gap as reported to Cabinet 7 September 2020 (Surplus)/Deficit	45.434	26.974	32.830	24.540	129.779
Remove Business Transformation savings held centrally (delivered within new service proposals) (table 2)	4.388	1.412	0.412	0.000	6.212
Removal, delay and deferral of existing 2020-21 to 2022-23 savings already in MTFS planning (table 4)	8.675	-2.440	0.000	0.000	6.235
Gross new 2021-22 proposals as at October Cabinet (excluding ASC precept)	-34.929	2.192	-0.100	-2.000	-34.837
Adult Social Care precept 2% increase for 2021-22	-8.505	-0.268	-0.286	-0.273	-9.332
Latest forecast gap position as at 5 October 2020 Cabinet (Surplus)/Deficit	15.062	27.871	32.857	22.268	98.057

10.6. In view of the scale of the remaining gap, the significant risks to the overall financial position, and the wider levels of uncertainty described throughout this report, **it is the recommendation of the Executive Director of Finance and Commercial Services that a further process to generate robust and sustainable service savings proposals in addition to those set out in tables 5 to 10 should be instigated.** This will need to be undertaken through the remainder of the financial year including a third round of “Budget Challenge” in December 2020 in order to provide Cabinet with further options to consider to support in recommending a balanced Budget for 2021-22 to Council in February 2021. Ultimately the options to close the remaining Budget gap will include:

- Government providing additional funding;
- Further increases in locally raised sources of income;
- Corporate / centrally identified savings opportunities including the use of capital receipts to support transformation; and
- Service departments identifying further savings or removing budget pressures.

11. Robustness of the Budget and compliance with the Financial Management Code

- 11.1. The Executive Director of Finance and Commercial Services is required by section 114 of the Local Government Finance Act 1988 to report to Members if it appears that the expenditure the authority proposes to incur in a financial year is likely to exceed the resources available to it to meet that expenditure. In addition, duties under section 25 of the Local Government Act 2003 establish a requirement to report on the robustness of the estimates made for the purposes of the calculation of the precept (and therefore in agreeing the County Council's budget).
- 11.2. As a result, these duties require a professional judgement to be made by the Executive Director of Finance and Commercial Services as the officer ultimately responsible for the authority's finances. The Executive Director takes a view of the robustness of the Council's budget across the whole period covered by the Medium Term Financial Strategy and this will be fully reported to Members as part of the budget setting process in February 2021.
- 11.3. Taking this duty into account, along with the considerable uncertainty about funding levels for next year, the Executive Director of Finance and Commercial Services considers that the proposals set out in this report, and the new savings proposals developed to date for 2021-22 will help to establish a solid platform for the development of a robust budget in future years, but that **a number of key risks to the 2021-22 Budget exist and significant further work will be required to develop sufficient sustainable savings proposals, to achieve the required level of savings, and ultimately enable a balanced budget for 2021-22 to be proposed.** This judgement is naturally subject to any further Government announcements about financial support for both the current year, and for the medium term as part of the Local Government Settlement for 2021-22, and the way in which the COVID-19 pandemic and associated cost, income and saving pressures continue to develop.
- 11.4. The Council needs to continue to develop the 2021-22 Budget in a way which offers flexibility to respond to any changes in the wider environment and operating context. This reflects a prudent response to the challenges and uncertainties present in the 2021-22 planning process and will ultimately enable the Council to develop a robust budget for the year. As such this report outlines in paragraph 10.6 the next steps that the Executive Director of Finance and Commercial Services considers are required in the budget process and the need for additional savings to be brought forward to Cabinet in February 2021. The Executive Director of Finance and Commercial Services is keeping the overall Budget position under review and will consider the need to propose further saving targets for services as budget planning continues through the remainder of the year. As part of setting the 2021-22 Budget, the Executive Director of Finance and Commercial Services will also consider the adequacy of the overall General Fund balance, as well as the need for a general contingency amount within the revenue budget, in light of the increasing level of the Council's net Budget, uncertainty about Government funding and the implications of Brexit, COVID-19, and the Council's wider value for money position.

11.5. The 2021-22 Budget needs to be prepared with reference to the **Financial Management Code** (the FM Code) published by the Chartered Institute of Public Finance and Accountancy (CIPFA). The FM Code provides guidance about the principles of good and sustainable financial management, and requires authorities to demonstrate that processes are in place which satisfy these principles. It identifies risks to financial sustainability and sets out details of a framework of assurance which reflects existing successful practices across the sector. In addition, the Code establishes explicit standards of financial management, and highlights that compliance with these is the collective responsibility of elected members, the chief finance officer and the wider Corporate Board. Full compliance with the FM Code is required from the 2021-22 Budget and further details of how this has been achieved will be set out in the February Cabinet report as appropriate.

12. Council tax and Adult Social Care precept

12.1. The MTFs as approved by Members in February 2020 assumed a 1.99% increase in council tax for 2021-22 and subsequent years. At the time of writing, the Government has not announced details of the referendum threshold for core council tax, or any further flexibility to raise the Adult Social Care (ASC) precept for 2021-22. However, it is proposed that the Council's budget planning should assume that the Government will allow councils to raise council tax by 4% in 2020-21 (reflecting a 2% general increase and 2% for the ASC precept).

12.2. After considering the currently available information, **the Section 151 Officer anticipates recommending that Members agree the maximum council tax increase available within the referendum threshold.** This judgement reflects:

- the levels of emerging service pressures balanced against saving proposals to date;
- consideration of the robustness of the Council's overall 2021-22 budget;
- the need to ensure that a resilient budget can be set in future years,
- the very considerable remaining uncertainty and significant risks around funding in 2021-22 and beyond.

12.3. **It is therefore proposed that the Council's budget planning should include an assumption for a 3.99% council tax increase in 2021-22 (incorporating a 1.99% increase in general council tax and a 2% increase in the ASC precept).** Based on current tax base estimates, this would raise approximately £16.984m of additional funding for next year (made up of £8.478m general council tax and £8.505m from the ASC precept). An increase of this level would represent an indicative £56.43 increase in the Norfolk County Council Band D charge to £1,472.94 (increase of £28.17 to general council tax and £28.26 to the ASC precept). The precise final level of any change in council tax will be confirmed in February 2021 and is subject to Member decision making annually.

Table 12: Latest Council Tax assumptions

	2020-21	2021-22	2022-23	2023-24	2024-25
General council tax	1.99%	1.99%	1.99%	1.99%	1.99%

Adult Social Care precept	2.00%	2.00%	0.00%	0.00%	0.00%
Total increase	3.99%	3.99%	1.99%	1.99%	1.99%

13. Public consultation on the 2021-22 Budget

- 13.1. As set out above, budget proposals for 2021-22 currently assume that general council tax will increase overall by 1.99%. As in previous years we are inviting comments on this approach through our consultation hub on Citizen Space, as well as seeking views on the scope for a larger increase, should the Government set a higher referendum threshold. In addition, we will be consulting on implementing a 2% precept for adult social care, although we await confirmation from Government as to whether this will be available in 2021-22, and at what level.

We will publish our budget consultation on the Council's online consultation hub, Citizen Space. We will produce large print, downloadable and easy read versions as standard and make any consultation documents available in other formats on request.

As well as alerting key stakeholders to the consultation, we will promote opportunities for people to have their say on budget proposals and council tax through news releases, online publications, social media, and by sharing with as many diverse community groups and networks as possible.

Our consultation will take place between October and the end of the year. Consultation feedback on both budget proposals and council tax will be available for Cabinet in February 2021. We will make extra effort to find out the views of people who may be affected by our proposals and we will also report on the equality and rural impact assessments we are undertaking.

14. Impact of the Proposal

- 14.1. This paper sets out further details of the Council's budget planning process for 2021-22, while recognising that significant risks and uncertainties remain. The proposals in this report will:

- set the context for public consultation on 2021-22 Budget proposals;
- provide an opportunity for Cabinet to comment on and provide guidance about the departmental saving proposals and emerging pressures; and
- determine the next steps which will contribute to the Council setting a balanced budget for 2021-22.

15. Evidence and Reasons for Decision

- 15.1. The County Council faces an unprecedented financial and public health crisis which has the potential to have significant implications for future budget setting. It remains essential to continue to engage with Government, MPs and other stakeholders to campaign for adequate and sustainable funding for Norfolk to continue to deliver vital services to residents, businesses and visitors. It is also important that Government issues guidance on financial planning assumptions, particularly indicative funding allocations for 2021-22, as soon as possible. Otherwise there is a significant risk that

the Council will be obliged to reduce service levels. The Council's MTFS planning builds on the position agreed in February 2020 and this continues to be updated as more reliable information about cost pressures and funding impacts emerges through the process. The report confirms that further savings are expected to be required to close the underlying gap.

- 15.2. The proposals in the report reflect a prudent response to the challenges and uncertainties present in the 2021-22 planning process and will ultimately support the Council to develop a robust budget for the year.

16. Alternative Options

- 16.1. This report forms part of the framework for developing detailed saving proposals for 2021-22 and at this stage no proposals have been agreed, meaning that a range of alternative options remain open.
- 16.2. In addition, there are a number of areas where Cabinet could choose to consider different parameters for the budget setting process, such as:
- Considering alternative approaches to the development of savings from those proposed.
 - Adopting an alternative allocation of targets between services, or retaining a higher or lower target corporately.
 - Considering an alternative timetable within the time constraints required to develop proposals, undertake public consultation, and meet statutory deadlines for the setting of council tax.
 - Changing assumptions within the MTFS (including the level of council tax) and therefore varying the level of savings sought.
- 16.3. Final decisions about the overall shape of the 2021-22 Budget, savings, and council tax will not be made until February 2021, when they will be informed by Local Government Finance Settlement figures, forecasts supplied by District Councils, and the findings of EQIA and public consultation activity.

The deliverability of all saving proposals will continue to be kept under review by the Section 151 Officer as further detailed implementation plans are developed and up until final budget setting proposals are presented to Cabinet in February 2021.

17. Financial Implications

- 17.1. Financial implications are discussed throughout the report. This paper sets out the initial savings proposals developed to address the targets agreed in June and which will need to be delivered by each department to contribute to closing the 2021-22 and future year budget gap, subject to formal approval by Full Council in February 2021. The proposals in this paper will require departments to seek to identify further significant savings in addition to the latest proposals. The scope to achieve additional savings at the level required may continue to be limited by delivery of the response to COVID-19.
- 17.2. The Council is legally required to set a balanced Budget annually and should plan to achieve this using a prudent set of assumptions. However, Members could choose to vary the allocation of indicative targets between Directorates, establish an alternative approach to identifying savings, or substitute proposals brought forward. Work to deliver additional Government funding could also have an impact on the overall budget gap to be addressed. As a result, the budget setting process and savings targets will continue to be kept under review as budget planning progresses. It is recommended that Departments be asked to bring forward further saving proposals; in the event that additional budget pressures for 2021-22 emerge through the remainder of budget planning, there may be a requirement to revisit the saving targets.
- 17.3. However, the scale of the budget gap and savings required are such that if the Council is required to deliver savings at this level there is a risk that this could result in the Council failing to fulfil its statutory responsibilities. As such the Government's response and decisions about Council funding in 2021-22 will be hugely significant. Government has an opportunity as part of the COVID-19 response to deliver a permanent step change in the recognition of the importance of social care, and to fund local authorities to provide a key contribution as part of the national recovery. Any changes in Government funding could have a material impact on both the level of savings to be identified, and the Council's wider budget process. Fundamentally there is a need for a larger quantum of funding to be provided to local government both to meet the immediate pressures of the COVID-19 pandemic, and to provide local authorities with a sustainable level of funding for future years.

18. Resource Implications

18.1. Staff:

There are no direct implications arising from this report although there is a potential that staffing implications may arise linked to specific saving proposals developed. These will be identified as they arise later in the budget planning process.

18.2. Property:

There are no direct property implications arising from this report although existing saving plans include activities linked to property budgets and assumptions around capital receipts to be achieved. In addition, activities planned within Business Transformation will include further work to deliver property related savings.

18.3. IT:

There are no direct IT implications arising from this report although existing saving plans include activities linked to IMT budgets. In addition, activities planned within Business Transformation will include further work to deliver savings through activity related to digital and IMT initiatives.

19. Other Implications

19.1. Legal Implications

This report forms part of the process that will enable the Council to set a balanced budget for 2021-22 in line with statutory requirements, including those relating to setting council tax, and undertaking public consultation.

19.2. Human Rights implications

No specific human rights implications have been identified.

19.3. Equality Impact Assessment (EqIA)

Any saving proposals with an impact on service delivery will require public consultation, and an Equality and Rural Impact Assessment of all proposals will need to be completed as part of budget-setting in due course. The results of public consultation and the findings of all EqIAs will be presented to Cabinet in February 2021 in order to inform budget recommendations to County Council.

No specific EqIA has been undertaken in respect of this report, although the dynamic EqIA in respect of the Council's response to COVID-19 can be found [here](#).

20. Risk Implications/Assessment

20.1. The ultimate impact and financial cost of the response to the COVID-19 outbreak will be highly dependent on a wide range of factors including the length of time that the pandemic continues, the severity of the impact (both nationally and in Norfolk), the impact of any second wave of infection, and the wider actions taken in response.

20.2. Further (non COVID-19) cost pressures may emerge through the 2021-22 budget setting process, these would increase the gap to be closed. Similarly, central Government funding decisions could have a material impact on the level of the budget gap.

20.3. The ongoing COVID-19 pandemic may continue to impact on the county council's budget setting process in a number of ways, most significantly:

- The council's available resources and capacity to plan robust future year savings while responding to a rapidly changing operating environment;
- The ability to adhere to the proposed process and timetable;
- The need to provide for any immediate or ongoing cost pressures emerging for the council; and
- The medium to long term financial implications including the impact on the wider economy and council tax and business rates base and income. As reported to Cabinet in September, it remains highly likely that key income sources including council tax (through both the Collection Fund and tax base growth) and business rates will be under significant pressure in 2021-22, potentially

requiring further revision to planning assumptions. Detailed work is continuing with District Councils to forecast the likely Norfolk impacts on both business rates and council tax. At this stage this remains a key risk in relation to these elements of the Budget, but it is not yet possible to produce a definitive forecast for 2021-22.

- 20.4. It will be necessary to operate with some flexibility in response to these and any other issues which may arise during the budget setting process.
- 20.5. As set out elsewhere in the report, the overall gap position will be kept under review throughout the budget setting process to inform changes to the MTFS gap. In the event that any other additional budget pressures for 2021-22 emerge through budget planning (for example as funding reductions, non delivery of savings, or additional pressures in services), it should be noted that there may be a further requirement to revisit the indicative saving targets for 2021-22.
- 20.6. The Council's Corporate Risk Register provides a full description of corporate risks, including corporate level financial risks, mitigating actions and the progress made in managing the level of risk. A majority of risks, if not managed, could have significant financial consequences such as failing to generate income or to realise savings. Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. Chief Officers will take measures throughout the year to reduce or eliminate potential over-spends.
- 20.7. Other significant risks around budget setting are detailed in the 2020-21 budget papers to County Council⁸, and these will continue to apply in 2021-22, including risks associated with the departure from the European Union (Brexit). Any saving proposals with an impact on service delivery will require public consultation and an Equality and Rural Impact Assessment of all proposals will need to be completed as part of budget-setting.
- 20.8. There remains considerable uncertainty about reforms to local government finance and any funding changes that will be faced in 2021-22 as reflected in the report. The Norfolk County Council Corporate Risk Register details key financial risks in this area, and all risks associated with COVID-19 are also documented in the Risk Register.

21. Select Committee comments

- 21.1. The Council's three Select Committees considered the broad approach to developing budget proposals for the services within their remit at meetings held in September, and noted the opportunities for Members to continue to contribute through the remainder of the 2021-22 Budget process. Specific comments included:
- A suggestion that Select Committees be engaged earlier in the budget setting process for 2022-23, ideally in July next year. [Corporate Select Committee]
 - Support for the value and importance of transformation proposals which should form a key element of 2021-22 proposals. [Corporate Select Committee]

⁸ [Agenda Item 5](#), County Council, 17 February 2020

- Endorsement of the approach to lobbying Government for further funding and support, and the specific approach to responding to consultation on the Comprehensive Spending Review. [Corporate Select Committee]
- That there is limited scope for savings and a reliance on generating income in relation to many of the services within the Committee's remit. [Infrastructure and Development Select Committee]
- That the Council faces a difficult planning environment, with risks to the delivery of statutory duties, and that in this context there should be a focus on growing the local economy, attracting inward investment and pushing for further Government funding. [Infrastructure and Development Select Committee]
- A consideration of the level of uncertainty and risk, including the extent of potential risks to the ability to deliver statutory services, and the importance of raising the Adult Social Care precept in full (if available). [People and Communities Select Committee]

22. Recommendations

22.1. Cabinet considers the recommendations as set out in the Executive Summary.

23. Background Papers

23.1. Norfolk County Council Revenue and Capital Budget 2020-21 to 2023-24, County Council 17/02/2020, agenda item 5 ([here](#))

COVID-19 financial implications for Norfolk County Council, Cabinet 11/05/2020, agenda item 9 ([here](#))

NCC response to COVID-19, Cabinet 11/05/2020, agenda item 8 ([here](#))

Strategic and Financial Planning 2021-22, Cabinet 08/06/2020, agenda item 12 ([here](#))

Strategic and Financial Planning 2021-22, Cabinet 07/09/2020, agenda item 11 ([here](#))

Norfolk County Council Budget Planning 2020-21:

- Corporate Select Committee, agenda item 12 ([here](#))
- Infrastructure and Development Select Committee, agenda item 10 ([here](#))
- People and Communities Select Committee, agenda item 10 ([here](#))

Officer Contact

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If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

Appendix 1: Budget setting timetable 2021-22

Activity	Date
June Cabinet (to consider 2021-22 budget process and timetable, agree allocation of savings required and framework for service planning).	08/06/2020
Scrutiny Committee	23/06/2020
<i>FFR exemplifications to be published by Government</i>	<i>Originally Spring / Summer, now delayed</i>
Treasury Fundamental Business Rates Review	July 2020 to Spring 2021
Comprehensive Spending Review	July 2020 to 24/09/2020
NCC Financial Regulations update	Autumn 2020
Budget Challenge (Corporate Board and portfolio leads to consider proposals at extended Corporate Board / Budget Challenge session)	July 2020 (Round 1) September 2020 (Round 2)
September Cabinet (to review MTFS assumptions, proposed areas for savings, and agree any revisions to 2021-22 budget gap targets)	07/09/2020
Select Committees to consider proposed areas for savings	September 2020
Scrutiny Committee	23/09/2020
October Cabinet (to consider final 2021-22 savings proposals for consultation, and overall budget position. Key decision – agree 2021-22 budget proposals for consultation)	05/10/2020
Scrutiny Committee	21/10/2020
Public consultation on 2021-22 Budget proposals	Late October 2020 to December 2020
Autumn Budget 2020 and Provisional Settlement (5 December Government's target date for provisional Local Government Finance Settlement)	<i>November-December*</i>
NEW: Budget Challenge (Corporate Board and portfolio leads to consider proposals at extended Corporate Board / Budget Challenge session)	8 December 2020 (Round 3)
Final Settlement	<i>January 2021*</i>
February Cabinet (to recommend 2021-22 Budget and council tax to County Council).	01/02/2021
Scrutiny Committee (scrutiny of 2021-22 budget proposals, consultation and EQIA)	17/02/2021
County Council Budget Setting (to agree final 2021-22 Budget and level of council tax)	22/02/2021

Notes:

- *Dates or activities to be confirmed.
- Additional reports to Cabinet to be presented through the year as required (e.g. in the event of FFR or CSR announcements, or the ongoing COVID-19 response impacting on the planning assumptions).

Report to Cabinet

Item No. 12

Report title:	Disposal, acquisition and exploitation of property
Date of meeting:	5 October 2020
Responsible Cabinet Member:	Councillor Greg Peck Cabinet Member for Commercial Services and Asset Management.
Responsible Director:	Simon George Executive Director for Finance and Commercial Services.
Is this a key decision?	No
<p>Executive Summary/Introduction from Cabinet Member</p> <p>Proposals in this report are aimed at supporting Norfolk County Council (NCC) priorities by exploiting properties surplus to operational requirements, pro-actively releasing property assets with latent value where the operational needs can be met from elsewhere and strategically acquiring property to drive economic growth and wellbeing in the County.</p> <p>One of the key strategic actions within the Asset Management Plan is a sharp focus on maximising income through adoption of a more commercial approach to property.</p> <p>As part of corporate management of property and a systematic approach to reviewing the use and future needs of property assets for service delivery there is a continued emphasis on minimising the extent of the property estate retained for operational purpose. However, on occasion there will be the requirement to acquire or reuse an individual property to support a service to delivers its aims.</p> <p>By adopting a “single estate” approach within the County Council and sharing property assets with public sector partners through the One Public Estate programme, the Council is aiming to reduce net annual property expenditure by £1.7million over the next two years (2020/21 to 2021/22).</p> <p>Consideration is also given to the suitability of surplus property assets for reuse or redevelopment to meet specific service needs that could improve the quality of services for users, address other policy areas and/or improve financial efficiency for the County Council, for example, facilitating the supply of assisted living accommodation and other housing solutions for people requiring care, or undertaking re-development to support jobs and growth.</p> <p>This means that as well as continuing with the rationalisation of the operational property estate to reduce the number of buildings used by the County Council, a more commercial approach is being adopted over the sale or redeployment of surplus property assets.</p>	

Recommendations

Cabinet is asked to:

1. Formally declare the Former Library building, Connaught Road, Attleborough (3002/017) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
2. Formally declare the Land East of Langham Road, Blakeney (part of 102/011A) surplus to County Council requirements and instruct the Director of Property to conclude negotiations with Broadland Housing Association and dispose of the property. In the event of a disposal receipt exceeding delegated limits the Head of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
3. Formally declare the Former Woodside Primary & Infant School site, Firs Road, Hethersett NR9 3EQ (7054/012) surplus to County Council requirements and:
 - (i) Instruct the Director of Property to dispose of the site to an extra care housing provider, or
 - (ii) In the event of no satisfactory agreement instruct the Director of Property to dispose of the property on the open market.In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
4. Formally declare the Additional Land at Burlingham Road, South Walsham (5051/109 (part)) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

1.0 Background and Purpose

- 1.1. The County Council actively manages its property portfolio in accordance with the Asset Management Plan. Property is held principally to support direct service delivery, support policy objectives, held for administrative purposes or to generate income. Property is acquired or disposed of as a reaction to changing service requirements, changing council policies or to improve the efficiency of the overall portfolio.

- 1.2. The County Council challenges the use of its property on an ongoing basis. In the event of a property asset becoming surplus to an individual service need there are internal officer processes to ascertain whether other service areas have an unmet need that could be addressed by re-using the property asset for that service. This may lead to a change of use of individual properties, for example, an office building may be adapted and reused for operational service delivery. Any proposals for retention are only agreed if supported by a robust business case showing the benefits to the County Council and are funded from approved budgets. This assessment will also consider whether a property could be offered at best consideration to public sector or third sector partners.
- 1.3. The above assessments are carried out by the Corporate Property Officer (the Director of Property) in consultation with the Corporate Property Strategy Group (CPSG). Once it is confirmed there is no further County Council requirement, Cabinet is asked to formally declare property assets surplus or re-designate for alternative purposes.
- 1.4. The Corporate Property Officer reviews options for maximising income from surplus properties usually by open market sale to obtain the best consideration possible. These will range from selling immediately on the open market (to the bidder making the best offer overall), enhancing the value prior to sale, strategic retention for a longer-term benefit through to direct development of the land and buildings and selling/letting the completed assets, in the expectation of enhanced income for the Council. Most disposals will be by way of tender or auction. In respect of auctions the contract of sale will be formed at the fall of the hammer and where this approach is selected the Corporate Property Officer will determine a reserve below which the property will not be sold. The majority of disposals will include overage/clawback provisions to enable the council to collect future uplifts in value created by alternative uses.
- 1.5. For properties to be sold immediately there is sometimes a need to consider selling directly to a specific purchaser instead of going to the open market. This may be justified where the third party is in a special purchaser situation and is willing to offer more than the assessed market value. Conversely this might be to a purchaser who is in a unique position of control for the unlocking of the full latent value of the Council owned site (ransom situation). A direct sale without going to market can also be justified if there are specific service benefits or a special partnership relationship which is of strategic value with service/community benefits.
- 1.6. In making recommendations for direct sale without going to market, or direct property development, the Corporate Property Officer will consider risks, opportunities, service objectives, financial requirements and community benefits.
- 1.7. The recommendations for all disposals, acquisitions and exploitation of NCC property in this report follow detailed assessment by officers of the range of options available. The recommendation for each property is based

on existing policies and strategies and judged to provide the best return to the County Council in financial terms and, where appropriate, taking account of community and economic benefits.

2.0 Proposals

Attleborough – Former Library building, Connaught Road (3002/017)

- 2.1 This property edged red on the plan is owned by NCC. The Library service relocated the library to the Attleborough Enterprise and Community Centre, Church Street in April 2019. The County Council has used the former library building in the interim period for storage.
- 2.2 Following a review by the Director of Property in consultation with CPSG it was confirmed that the site is not required for NCC service use.
- 2.3 In October 2019 Breckland District Council listed the property as an asset of community value. The property is so listed for 5 years. In this situation should the County Council wish to dispose of the property (through transfer of freehold, grant of a leasehold or assignment of a leasehold originally granted for 25 years) then they must notify Breckland District Council in writing that they wish to dispose. The County Council is prevented from disposing of the property until Breckland District Council has:
- Allowed 6 weeks (called the initial moratorium period), from the date the County Council notified Breckland District Council, for community interest groups to express a wish to be treated as potential bidders for the property. If no groups express any interest:
 - The County Council can dispose to anyone.
 - However, if the disposal is not completed within 18 months, and wishes to complete the disposal, the County Council will again be required to notify the Council in writing and a further moratorium will then apply.
 - If an eligible community interest group notifies Breckland District Council within six weeks that it wishes to bid for the asset, it will have up to six months (from the date the County Council notified Breckland District Council of its intention to dispose) in which to prepare its bid. During this period the County Council may continue to market and negotiate a disposal but may not exchange contracts. There is one exception, however, the County Council, may dispose to a community interest group during the moratorium period.
- 2.4 These provisions do not restrict in any way who the County Council can sell the property to, or at what price. They also do not confer a right of first refusal to community interest groups.
- 2.5 It is proposed to dispose of this site by long lease or open market sale through auction or by tender and will notify Breckland District Council at the appropriate time.

2.6 The Division Member has been informed of this proposal.



Blakeney – Land East of Langham Road (part of 102/011A)

2.7 The land edged red and blue on the plan is in the freehold ownership of the County Council. An arrangement was entered in to with Blakeney Parish Council whereby NCC utilises the land edged green for the school and by way of exchange the Parish Council utilises the land edged red and blue as car parking and open space.

2.8 In late 2019 the County Council was approached by Broadland Housing Association, who are acting with and on behalf of Blakeney Neighbourhood Housing Society and are keen to promote and develop an affordable homes scheme in Blakeney and have identified the land edged red as a potential site. In planning terms this is an 'exception site' and is approximately 0.36 hectares (0.89 acres) in area.



2.9 Broadland Housing have submitted an offer for the land edged red which the Council is minded accepting, but only on the basis the school's use of the land edged green is secured and the offer is subject to obtaining a suitable planning permission. The proposal would develop up to possibly 10 affordable housing units, although at least 1 market unit may be required

to help fund the scheme. The scheme will also include providing the Parish Council with better facilities on NCC's retained land, with NCC and the Parish Council formalising the current arrangement on similar terms for a minimum period of ten years. This will secure the playing field owned by the Parish Council for use by the school and provide the opportunity for arrangements to be reviewed and amended in future as required.

- 2.10 Broadland Housing and the Parish Council have agreed a way forward in order to permit the disposal of the land edged red and securing the mutually beneficial arrangement for the school (the land edged green) and the Parish Council (the land edged blue). Therefore, to facilitate further work and for negotiations to be concluded it is the intention to declare the area edged red surplus to County Council use.
- 2.11 Should planning permission not be forthcoming then the existing arrangements will remain in place.
- 2.12 The Division Member has been informed of this proposal.

Hethersett – Former Woodside Primary & Infant School site, Firs Road NR9 3EQ (7054/012)

- 2.13 This property edged red on the plan is owned by NCC and is approximately 0.79 hectares (1.96 acres) in area.
- 2.14 Following a review by the Director of Property in consultation with CPSG it was confirmed that the site was not required for NCC service use. However subsequently Adult Services have identified this site has having the potential for providing extra care housing. The Director of Property is assessing this, however, should this potential not be realised it is proposed to dispose of this site by open market sale through auction or by tender.



- 2.15 The Division Member has been informed of this proposal.

South Walsham – Additional Land at Burlingham Road (5051/109 (part))

- 2.16 This property edged red on the plan is owned by NCC and forms part of the County Farms estate and is approximately 0.61 hectares (1.5 acres) in area.
- 2.17 The County Farms Team have reviewed this site and determined it is not required for operational use. Following a review by the Director of Property in consultation with CPSG it has been confirmed that the site is not required for NCC service use.

- 2.18 Subsequently the land was successfully promoted through Broadland District Council's local development framework for residential development.
- 2.19 It is proposed to dispose of this site by open market sale through auction or by tender.
- 2.20 The Division Member has been informed of this proposal.



3.0 Impact of the Proposals

- 3.1 All land disposals will provide capital receipts for the council to support the capital program and hence service delivery.

4.0 Evidence and Reasons for Decision

- 4.1 Declaring the sites and land holdings at the former Library, Connaught Road, Attleborough, former Woodside Primary & Infant School site, Firs Road, Hethersett and the additional Land at Burlingham Road South Walsham surplus to County Council use means that the Corporate Property Team can consider options for the disposal and exploitation of these sites.
- 4.2 The declaring of the Land East of Langham Road, Blakeney surplus supports an opportunity to provide affordable housing in this location.

5.0 Alternative Options

- 5.1 Declaring sites and land holdings surplus is a result of the sites no longer being required for service delivery. The alternative would be to retain resulting in incurring holding costs for an asset that is not contributing to service delivery.

6.0 Financial Implications

- 6.1 Disposals outlined in this report will provide the opportunity for capital receipts and savings in holding costs.

7.0 Resource Implications

- 7.1 **Staff:** nil.
- 7.2 **Property:** As described in the earlier parts of this report.

7.3 IT: nil.

8.0 Other Implications

8.1 **Legal Implications:** For disposals in the usual way the legal implications are around the parties agreeing to the terms of the agreement for each disposal and entering a contract.

8.2 **Human Rights implications** - No implications.

8.3 **Equality Impact Assessment (EqIA)**
No specific EqIA has been undertaken in respect of the disposal of sites.

8.4 **Health and Safety implications** - No implications.

8.5 **Sustainability implications**
Future redevelopment of disposed sites would require planning permission and therefore would be mindful of sustainable measures.

9.0 Risk Implications/Assessment

9.1 The risks around disposals are around the non-agreement of terms. This risk is mitigated using experienced expert consultants.

10.0 Recommendations

10.1 Cabinet is asked to formally declare the Former Library, Connaught Road, Attleborough (3002/017) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

10.2 Cabinet is asked to formally declare the Land East of Langham Road, Blakeney (part of 102/011A) surplus to County Council requirements and instruct the Director of Property to conclude negotiations with Broadland Housing Association and dispose of the property. In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

10.3 Cabinet is asked to formally declare the Former Woodside Primary & Infant School site, Firs Road, Hethersett NR9 3EQ (7054/012) surplus to County Council requirements and:

- (i) Instruct the Director of Property to dispose of the site to an extra care housing provider, or
- (ii) In the event of no satisfactory agreement instruct the Director of Property to dispose of the property on the open market.

In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and

Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

- 10.4 Cabinet is asked to formally declare the Additional Land at Burlingham Road, South Walsham (5051/109 (part)) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

Officer Contact

If you have any questions about matters contained in this paper, please get in touch with:

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Cabinet

Item No:13

Decision making report title:	White Paper: Planning for the Future Norfolk County Council Response
Date of meeting:	5 October 2020
Responsible Cabinet Members:	Cllr Martin Wilby (Cabinet Member for Highways, Infrastructure and Transport) & Cllr Andy Grant (Cabinet Member for Environment and Waste)
Responsible Director:	Tom McCabe (Executive Director, Community and Environmental Services)
Is this a key decision?	No
<p>Introduction from Cabinet Member</p> <p>This report sets out the County Council's response to the Government's consultation on the proposed reforms to the planning system as set out in the White Paper – Planning for the Future.</p> <p>The stated aims in the White Paper are to make the planning system: simpler, cleaner and quicker to navigate; encourage sustainable and well-designed development; and make it harder for developers to “dodge” their obligations to improve infrastructure. It also aims: to give a greater say to local communities on what gets built; and deliver more homes and jobs.</p> <p>The County Council's 6 year business plan, Together, for Norfolk, sets out our clear commitment to supporting housing, infrastructure, jobs and business growth. The White paper is welcomed and many of the aims set out are welcomed.</p> <p>However, at this stage, there are some issues and concerns affecting the County Council in its various statutory roles and responsibilities. In particular, there needs to be further clarification from Government, to be reflected in primary and secondary legislation, to ensure that the County Council, as an infrastructure provider</p> <ul style="list-style-type: none"> • has a clear and statutory role in the preparation of other authorities' Local Plans particularly in proposed Growth Areas where enabling infrastructure will be critical to its delivery; • has sufficient access to any new developer funding regime to enable us to deliver key strategic infrastructure, such as new roads and schools, to support housing and employment growth. <p>In addition, further advice and guidance to County Councils is required on minerals and waste planning matters. In particular the funding mechanisms for the increased emphasis on community engagement and the regulation of planning control, neither of which are funded through planning fees.</p>	

Executive Summary

This report sets out a proposed response to the Government's consultation on the White paper: Planning for the Future. It concentrates on those areas of the White Paper which directly affect the County Council as (a) an infrastructure and service provider; and (b) minerals and waste planning authority responsible for developing policies and determining County matter applications.

The Government's proposals for reforming the planning system are wide ranging and "radical", including: streamlining the Local Plan process by requiring Local Authorities to produce plans in 30 months; introduction of zonal planning; abolishing the duty to cooperate; bringing a new focus on design and sustainability; and supporting efforts to combat climate change and maximise environmental benefits. It also proposes significant changes to infrastructure delivery through reforming the current Community Infrastructure Levy (CIL), and abolishing the current system of planning obligations, and replacing them with a nationally set Infrastructure Levy. It aims to ensure more land is available for homes; and to support the renewal of town and city centres.

Recommendation

To agree the comments set out in this Report and in the attached Appendix as the County Council's formal response to the Government's White Paper: Planning for the Future.

1. Background and Purpose

- 1.1. On 6 August 2020 the Government published its White Paper on Planning for the Future (<https://www.gov.uk/government/consultations/planning-for-the-future>), which in its own words proposes "radical reform unlike anything we have seen since the second World War" to the planning system. The proposals are focussed on delivering housing and employment growth. The Government is inviting comments on the proposed reforms to the planning system and this report and accompanying appendix sets out the County Council's proposed response.
- 1.2. This report focuses on those key aspects of the planning reforms, which affect the County Council in its statutory responsibilities as:
 - Highways Authority;
 - Minerals and Waste Planning Authority;
 - Lead Local Flood Authority (LLFA);
 - Public Health Body; and
 - Service Provider (e.g. covering Education; Libraries; Adult Social Care etc).
- 1.3. In addition, the County Council has an advisory environmental / historic environment role and economic development function, which have fed into this response along with any land-owning interests the County Council may have.

2. Key Proposals in the White Paper

2.1. Among the key proposals set out in the White Paper include:

- Streamline the planning process with more democracy taking place - this relates particularly to the preparation of Local Plans in terms of speeding up their delivery (30 months); introduction of land categories / zonal planning; and abolishing the “duty to cooperate”;
- Modernise the planning process – taking “a digital-first approach” so that reference to a variety of documents will no longer be necessary;
- Bring a new focus on design and sustainability – supporting efforts to combat climate change and maximise environmental benefits;
- Improving infrastructure delivery – through reforming the current Community Infrastructure Levy (CIL) with the proposed introduction of a nationally set Infrastructure Levy and abolishing the current system of planning obligations; and
- Ensuring more land is available for homes; and to support the renewal of town and city centres;

The impact of these proposals and recommended comments are set out below and in the attached Appendix.

3. Impact of the Proposal

Assessment of White Paper and Comments

Overview

3.1. The proposed changes outlined in the White Paper represent a fundamental reform of the planning system.

Comments

- 3.2. Proposals aimed at: simplification of the role of Local Plans; to deliver much needed development, the shift towards a digital approach; the focus on design and sustainability; improved infrastructure delivery; and increased emphasis on the renewal of town and city centres – are all aims broadly to be welcomed. However, there are aspects of the reforms, which are concerning because the White Paper lacks detail and certainty and therefore raises potential concerns particularly in two-tier areas; with regard to the delivery of strategic infrastructure needed to support the Government’s growth agenda.
- 3.3. Members will no doubt be aware that the East of England Local Government Association (EELGA), are preparing (at the time of writing this report) a formal response to the Government on the proposals set out in the White Paper. The EELGA response to the White Paper, where relevant and consistent to the County Council’s comments below, will be added to the County Council’s final response to Government.
- 3.4. While the proposals focus on the delivery of housing and employment growth, there needs to be recognition by Government that it is not just the planning

system that is responsible for, or the obstacle, to delivery. The land market; financial markets (access to finance); and the wider availability of a skilled labour force are other key factors in the successful delivery of housing and employment development. It is also important to note that there are existing planning permissions for many thousands of houses in Norfolk – which land owners or developers have chosen not to build out. There are presently no powers to encourage the delivery of these much-needed houses. (see para 3.14)

- 3.5. The remainder of this report focuses on two main aspects of the planning reform proposals as they impact on the County Council in its statutory and advisory roles, covering:

- (a) Local Plan preparation; and
- (b) Infrastructure Delivery.

Further comments responding to some of the detailed proposals and questions raised in the White Paper are set out in the accompanying Appendix.

(a) Local Plan Reforms

- 3.6. The Government's view is that the current planning system is overly complex and lengthy taking on average 7 years to prepare a Local Plan meaning many policies are out of date by the time the plan is finally adopted. It also considers the assessment of housing need, viability and environmental impacts are "too complex and opaque."
- 3.7. The Key Proposals include -
- 3.8.
- **Simplifying the role of Local Plans** – all land to be identified under one of three categories/zones:
 1. Growth Areas suitable for development and where outline approval for development be automatically secured in line with development specified in the Plan;
 2. Renewal Areas – covering existing built-up areas where smaller scale development is appropriate; and
 3. Protected Areas where development is restricted – covering for example Areas of Outstanding Natural Beauty (AONB); Conservation Areas, Local Wildlife Sites; flood risk areas etc;.
 - The Government is proposing sub-areas within the Growth Areas for "self-build" / "custom build";
 - **Clear Rules rather than Policies** – developing national development management policies with Local Plans focussing on site specific requirements and locally produced design guides. There is an expectation that Local Plans will be shorter in length i.e. "a reduction in size of at least two thirds";
 - **Engaging with communities** – proposals plan to democratise the planning process by putting an emphasis on "engagement" at the plan making stage and streamline the opportunities for consultation at the application stage;

- Introducing a new **Sustainability Test** for Local Plans and updating the requirements for environmental and viability requirements. In addition, the Government propose to **abolish the duty to cooperate**;
- **Map Based Plans** – using the latest digital technology and not relying on lots of written policies;
- **Setting a statutory timetable** – ensuring that Local Plans take no longer than 30 months to prepare and limiting the consultation period for the Plan;
- **Decision making should be faster and more certain**;
- **Strengthening enforcement powers and sanctions**;
- **Develop a comprehensive resources and Skills Strategy** to support the planning reforms;
- A new **nationally determined binding housing requirement** that Local Authorities (LAs) would have to deliver through their Local Plans.

3.9. It should be noted that these reforms will require changes to both primary and secondary legislation.

Comments on Local Plan Reforms

3.10. While the aims for simplifying and speeding up the Local Plan process are to be welcomed, the above proposals raise a number of issues / concerns for County Councils in their role as major infrastructure and service providers covering, for example, highway/transport and education provision (see comments below):

3.11. **Categories/Zones of Land (Proposals 1 and 5)** – The proposals set out in the White Paper are a move away from how Local Plans have traditionally “allocated” sites for a particular use. While the categories proposed seem broadly acceptable, there is uncertainty as to how in practice such areas will be zoned and what regard will be made towards existing and planned infrastructure provision.

There is a particular concern regarding Growth Areas where any sites within these areas are deemed to have outline approval (Proposal 5). Such areas could include major strategic urban extension/s or even new settlements. As such detailed matters relating to highway access and mitigation measures; along with education requirements, including the provision of new or extended schools and provision of land, will be extremely difficult to plan for, when the precise scale, type and mix of development will not be known until the later detailed application stage, but at that stage under the proposals the development will receive little scrutiny. See response to Proposal 5 in the Appendix.

Consequently, there would need to be significant and on-going early engagement with infrastructure providers to ensure joined-up delivery. County Councils as major infrastructure and service providers should through legislation be a statutory consultee as part of the initial Stage 1 Local Plan process (see comments below) and be fully engaged at key stages throughout the rest of the Plan’s development to ensure key enabling infrastructure, such as transport and

education provision, can be delivered and funded in a sustainable and timely manner.

- 3.12. **Duty to Cooperate (DtC) (Proposal 3)** – there are concerns in two tier areas that abolishing the DtC would leave a vacuum in the way strategic cross-boundary issues, including the provision of infrastructure and services to support major growth are dealt with. The White Paper indicates that further consideration will be given to the way in which strategic cross-boundary issues can be adequately planned for, including the scale at which plans are prepared in areas of significant strategic challenge. At this stage, without any alternative mechanisms being proposed for its replacement, it is felt that the DtC should remain in place. Under the existing DtC regime the County Council has worked with all Local Authorities in the County in preparing and agreeing the Norfolk Strategic Planning Framework (NSPF) (<https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/partnerships/norfolk-strategic-planning-member-forum>). The NSPF has been successfully implemented across all Norfolk's Authorities ensuring agreement across a wide range of strategic matters, including the delivery of: employment (agreement 8); housing (agreement 10); education (agreement 21); health care (agreement 20); and Green infrastructure (agreement 22).

The proposed abolition of the DtC would undermine the delivery of sustainable housing and employment growth and its supporting infrastructure. It would also have potential impacts on the natural environment and biodiversity as these do not recognise administrative boundaries.

- 3.13. **New Standard Housing Methodology (Proposal 4)**

While the issue of housing numbers and how they are calculated is a matter for District Councils to address in their Local Plans, the scale and distribution of such housing inevitably has an impact on the County Council as a key infrastructure and service provider. The proposals set out in the White Paper would see a national target (300,000 houses per annum) being distributed around the country having regard to a number of factors including size of settlements; affordability; local constraints (e.g. AONB; National Parks etc); and brownfield opportunities. This would take away the current local input into determining the level of housing needed in a Local Planning Authority (LPA) area; and could see significant increases in the levels of housing in some areas being required. This increase in housing numbers could have a significant impact on County Councils needing to deliver key infrastructure such as roads and schools, when the White Paper proposals for infrastructure delivery raise major uncertainties for this tier of Local Government in terms of available funding. Additional housing could only be supported where there is a demonstrable local need; there are no over-riding constraints; and where there is assurance that the infrastructure needed to support it can be delivered.

- 3.14. The Government's aim of providing much needed housing, while broadly welcomed, needs to be considered in terms of the delivery of existing permissions within the planning system. For example, within Norfolk there are

over 50,000 dwellings allocated/permitted/resolution to approve; and nationally the figure for unimplemented planning permissions alone is 371,800 (December 2019). As such it's the delivery of existing permissions and allocations that is needed and not necessarily more sites being identified in Growth and Renewal Areas (potentially with deemed consent).

- 3.15. **Local Plan Timetable (Proposal 8)** - The proposals as set out in the White Paper do not allow key infrastructure and service providers, such as County Councils, to adequately engage in the critical early stages of the Plan Making process. As proposed there would be only one formal consultation stage on the draft Local Plan (Stage 3 (ii) – 6 weeks only) before it goes to Local Plan Examination (Stage 4) and considered by a Planning Inspector appointed by the Secretary of State.

Given the proposed weight given to the new categories of land use, particularly Growth Areas with their deemed outline consent, it will be necessary in the early stages (e.g. Stage 1 - six month stage) of the Local Plan process to ensure that all infrastructure providers are thoroughly engaged as statutory consultees. There is a need for County Council involvement in the subsequent Plan making process (Stage 2) i.e. as the LPA draws up its proposed Local Plan. This will ensure infrastructure delivery issues are properly addressed at the outset of Local Plan preparation.

This will require legislation being put in place ensuring this critical early engagement making County Councils statutory consultees in the Stage 1 and Stage 2 Local Plan process. In addition, there will be a need for the Local Plan to demonstrate that any supporting infrastructure can be funded and delivered.

Notwithstanding the above comments and potential engagement of key stakeholders there are serious practical/logistical issues for the County Council as both Highway Authority; and Local Education Authority in assessing the detailed implications of development in the Growth; Renewal; and Protected Areas, which would normally be done at the outline or detailed planning stage. There is a risk under this “fast- track” approach that insufficient infrastructure will be identified at the plan making stage and thereby making it difficult to seek developer funding when development comes forward. See further comments on proposal 8 in the Appendix.

(b) Infrastructure Delivery Reform (Proposal 19)

- 3.16. The Key Proposals include:
- 3.17.
 - The Community Infrastructure Levy and the current system of planning S106 obligations will be replaced with a nationally-set flat rate charge - ‘the Infrastructure Levy’. The Government are proposing that the Levy will be charged as a fixed proportion of the development value above a threshold, with a mandatory nationally-set rate or rates. The current system of planning obligations is proposed to be abolished;

- The Government will be more ambitious for affordable housing provided through planning gain, and will ensure that the new Infrastructure Levy allows local planning authorities to secure more on-site housing provision;
- Proposals will give local authorities greater powers to determine how developer contributions are used, and
- The Government will also look to extend the scope of the consolidated Infrastructure Levy and remove exemptions from it.

Comments on Infrastructure Delivery Reform

3.18. Background (Proposal 19)

The County Council since 2000 has secured just under £184 Million in developer funding (S106 agreements - July 2020) towards education; library and fire service provision. A further £84 million has been agreed for transport related infrastructure between 2001 – 2019. As such the current system of Planning Obligations has been highly effective securing well over £250m towards the delivery of key infrastructure needed to support housing growth in Norfolk (2000 - 2020). Despite this, the lack of service and infrastructure provision remains a key concern of local communities when developments are proposed.

3.19. Therefore, given the success of the County Council in securing developer-funding through the existing planning obligations regime, it is felt that it should not be abandoned completely as part of the proposed Planning Reforms. Moreover, there needs to be further clarity in any future legislation allowing for the continued use of S106 (legal agreements) as this provides an important mechanism for securing non-monetary requirements associated with new development, such as the transfer of land for schools and other community uses etc. and would still be required to supplement any national infrastructure levy.

3.20. Notwithstanding the above comments there is clearly some merit with the proposals in the White Paper regarding the setting of a mandatory nationally-set rate or rates as it would provide greater certainty for the development sector, but it would mean that in areas with low development value imposing a national levy might make some expected and planned for development unviable and therefore undeliverable.

However, the proposals at this stage raise detailed questions in relation to:

- (a) What level of funding would be achieved through such a system;
- (b) How precisely it would be set so as to avoid undermining viability; and
- (c) What proportion of this would eventually end up with funding infrastructure that County Councils are responsible for i.e. what mechanism would be in place for County Councils to capture these funds.

Given the role of the County Council as a key strategic infrastructure provider in respect of transport and education, it is essential that any legislation covering infrastructure matters ensures that County Councils have access to any new funding regimes introduced so as to enable them to deliver the roads, sustainable travel plans; schools; and other infrastructure and services needed

to support housing and employment growth. . And that the level of the infrastructure levy is sufficient to adequately mitigate the impacts of the development.

Minerals and Waste Planning - Comments

- 3.21. While the White Paper makes no specific reference to Minerals and Waste Planning, it is reasonable to assume that all the proposed reforms, particularly in relation to Local Plans and Development Management will apply, not only to Local Planning Authorities, but also to Minerals and Waste Planning Authorities. Due to the fact that minerals can only be extracted from locations where they are found, specific regard needs to be had to the fact that effective mineral planning requires Authorities to work together to ensure the strategic delivery of minerals on a scale that exceeds individual authority boundaries. Detailed comments in relation to Minerals and Waste Planning are set out in the accompanying Appendix in relation to Proposals 1,2,5, 7, 8, 14 and 24).

Further Comments

- 3.22. Further comments on the above proposals along with other proposals set out in the White Paper in relation to: Design Matters; Climate Change; and Sustainability issues are set out in the accompanying Appendix.

4. Evidence and Reasons for Decision

- 4.1. While many of the proposed reforms to the planning system as set out in the Government's White Paper are to be welcomed, there are a number aspects to these reforms which require further clarity and ultimately changes in the primary and secondary legislation to ensure the effective delivery of County Council infrastructure and services to support environmental enhancement and housing and employment growth.
- 4.2. The comments in this report and those set out in the Appendix will form the basis for the County Council's formal response to the White Paper.

5. Alternative Options

- 5.1. The recommendation in this report is to agree the comments set out in the report and accompanying appendix. The alternative is to remove and/or add additional comments/representations on the Government's White Paper, however, this is not considered appropriate.

6. Financial Implications

- 6.1. While there are no immediate financial implications, there are a number of proposed changes to the planning system, which if implemented would have significant financial implications for the Authority as a Minerals and Waste Planning Authority. Investment in digital planning capacity, changes to community engagement and enforcement of planning control would all give rise to additional costs, which are not addressed in the White Paper. The changes would also require significant changes in the way the County Council seeks developer funding to mitigate the impact of new development. This would

ultimately require the amending of the County Planning Obligations Standards (March 2020) (<https://www.norfolk.gov.uk/rubbish-recycling-and-planning/planning-applications/planning-obligations>)

7. Resource Implications

7.1. Staff:

There are no immediate staff implications, although when the proposals become enshrined within legislation the County Council will need to consider staff priorities in respect of input into plan making including supporting the delivery of Local Plans prepared by districts, development of digital planning capacity, enforcement of planning control; and infrastructure delivery associated with developer funding.

7.2. Property:

While there are no immediate implications on the County Council as landowner, the proposed planning reforms will have longer term implications as to how the authority (as landowner) engages with the new planning system

7.3. IT:

There are no immediate implications, although if the White Paper is implemented into legislation this would affect the County Council as Minerals and Waste Planning Authority in respect of using the most up to date digital technology.

8. Other Implications

8.1. Legal Implications

Changes to the current Planning System envisaged in the White Paper could potentially have serious implications for the County Council in the way it delivers its services across a number of areas.

- As a statutory consultee on Development Plans - Local Plans; Neighbourhood Plans; and Marine Plans; and on NSIPs; and other development affecting the County Council as service provider.
- In its role as: Highway Authority;
- As a Minerals and Waste Authority producing plans, determining planning applications and enforcing against planning breaches
- As a landowner; and as service provider e.g. for schools, libraries and fire service infrastructure.

8.2. Human Rights implications

None at this stage.

8.3. Equality Impact Assessment (EqIA)

A detailed equality impact assessment has not been carried out as this report is responding to a consultation on a Government White Paper, however,

consideration has been given to equality issues. The Council's Planning functions are subject to equality impact assessments.

The recommended comments relate to the County Council's role as a statutory consultee. This report and the comments aim to ensure that any new planning guidance relating to housing and employment growth will have a positive impact on communities in terms of supporting and enhancing the provision of services; support well-being; and support the delivery of infrastructure to keep people healthy and safe.

8.4. **Health and Safety implications**

The continued delivery of key infrastructure such as schools and sustainable transport provision through the Planning System will be needed to ensure well planned new communities, which can support public health through opportunities for cycling and walking.

8.5. **Sustainability implications**

- 8.6. The County Council's input as a statutory consultee will provide an opportunity for the Authority to influence central Government on the outcome of the proposed new Planning System and ensure that appropriate County Council infrastructure to deliver sustainable growth across the County as a whole is able to continue in the proposed new Planning System.

8.7. **Any other implications**

N/A

9. **Risk Implications/Assessment**

- 9.1. No risk associated with this report other than those implications outlined above.

10. **Select Committee comments**

- 10.1. Given the timetable for responding to the Government's White Paper consultation it has not been possible to report these matters to the relevant Select Committee.

11. **Recommendations**

- 11.1.
 - **To agree the comments set out in this Report and in the attached Appendix as the County Council's formal response to the Government's White Paper: Planning for the Future.**

12. **Background Papers**

- 12.1. White Paper: Planning for the Future (August 2020) - <https://www.gov.uk/government/consultations/planning-for-the-future>
County Planning Obligations Standards (March 2020) (<https://www.norfolk.gov.uk/rubbish-recycling-and-planning/planning-applications/planning-obligations>)

Norfolk Strategic Planning Framework (2019) - <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/partnerships/norfolk-strategic-planning-member-forum>

Officer Contact

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White Paper – Planning for the Future

Detailed Comments (Response to Questions)

1. Introduction

- 1.1. The Appendix provides more detailed comments and responses to those questions relevant to the County Council as both a Plan Maker; and infrastructure and Service provider:

2. White Paper - Proposals

2.1. Pillar One – Planning for development (Local Plans)

- 2.2. **Proposal 1 - The role of land use plans should be simplified. We propose that Local Plans should identify three types of land – Growth areas suitable for substantial development, Renewal areas suitable for development, and areas that are Protected.**

- 2.3. *(5) Do you agree that Local Plans should be simplified in line with our proposals?*

- 2.4. While the County Council supports a more streamlined system this should not be at the expense of key stakeholders, such as the County Council, being properly involved as a statutory consultee at the appropriate stages. It is important that County Councils are involved throughout the Local Plan Process in order to ensure that development of the plans takes account of the proposals' impacts on matters of county council responsibility (transport, education, etc...) and that key strategic infrastructure relating to transport, and education is provided in a sustainable and timely manner. Further legislation will be needed to ensure that key stakeholders like County Councils are consulted at the early stages and throughout the Local Plan process – (see comments regarding proposal 1 in the main report).

- 2.5. Minerals and Waste - Local Plans have to be prepared for minerals and waste developments as well as for housing and employment. It is unclear how the three zones proposed to be used in Local Plans (Growth, Renewal and Protected) would work for Minerals and Waste Local Plans; and how would they be applied to minerals and waste development. It appears that protected areas would cover all areas that are not for growth or renewal. This approach would be difficult to reconcile as mineral extraction is usually located in the countryside i.e. protected areas. Therefore, in two tier areas there would need to be agreement between the District Councils and County Council on the location of protected areas and recognise that mineral development would not be covered in District Council Local Plans.

Further clarity and guidance are needed in any future legislation.

- 2.6. **Proposal 2: Development management policies established at national scale and an altered role for Local Plans**

- 2.7. *(6). Do you agree with our proposals for streamlining the development management content of Local Plans, and setting out general development management policies*

nationally?

- 2.8. Generally, welcome this proposal for making Local Plans more streamlined. However, there will be a need for Local Authorities to include some development management policies in their Local Plans particularly in relation to major / strategic sites (Growth Areas), where their delivery will be reliant on key infrastructure such as roads and education being delivered. Furthermore, there remains a need for area specific policies / codes to reflect local character and constraints.
- 2.9. Minerals and Waste – There is broad agreement with regard to reducing the current policy duplication in local plans produced by many local authorities containing very similar development management policies and for Local Plans to focus on site and area specific requirements and design codes. It is agreed that Local Plans should not duplicate policies in the National Planning Policy Framework (NPPF). However, Local Plans should be able to include development management policies on specific matters. It is unclear whether design codes would apply to minerals and waste developments as well as to housing and commercial/industrial developments.

The consultation states that general development management policies will be set out nationally. These policies therefore need to be relevant to minerals extraction and associated development and waste management developments, as well as to housing and employment land.

- 2.10. **Proposal 3: Local Plans should be subject to a single statutory “sustainable development” test, replacing the existing tests of soundness.**
- 2.11. *7(a). Do you agree with our proposals to replace existing legal and policy tests for Local Plans with a consolidated test of “sustainable development”, which would include consideration of environmental impact? [Yes / No / Not sure. Please provide supporting statement.]*

Generally, welcome the proposal to replace the tests of soundness with a consolidated test of “sustainable development”. Such a test will need to consider and ensure that sufficient supporting infrastructure can and will be delivered especially in relation to any development likely to come forward in the Growth and Renewal Areas.

Minerals and Waste - support the proposals for a simplified process for assessing the environmental impact of plans and a slimmed down assessment of delivery. However, the County Council awaits further details as to what exactly would be required instead to demonstrate that the sustainable development test has been met. This needs to be applicable to minerals and waste plans as well as those for housing and employment land.

- 2.12. *7(b). How could strategic, cross-boundary issues be best planned for in the absence of a formal Duty to Cooperate?*
- 2.13. See comments in the Main Report regarding proposal 3.
- 2.14. **Proposal 4: A standard method for establishing housing requirement figures which ensures enough land is released in the areas where affordability is worst, to stop land supply being a barrier to enough homes being built. The housing requirement would factor in land constraints and opportunities to more effectively use land, including through densification where appropriate,**

to ensure that the land is identified in the most appropriate areas and housing targets are met.

- 2.15. *8(a). Do you agree that a standard method for establishing housing requirements (that takes into account constraints) should be introduced? [Yes / No / Not sure. Please provide supporting statement.]*

See comments in the Main Report to Proposal 4

- 2.16. **Proposal 5: Areas identified as Growth areas (suitable for substantial development) would automatically be granted outline planning permission for the principle of development, while automatic approvals would also be available for pre-established development types in other areas suitable for building.**

- 2.17. *9(a). Do you agree that there should be automatic outline permission for areas for substantial development (Growth areas) with faster routes for detailed consent? [Yes / No / Not sure. Please provide supporting statement.]*

No - There is concern with proposals which would give automatic outline consent to substantial development in Growth Areas as this could have serious repercussions in terms of delivering key supporting infrastructure and services for such sites.

For example, on major strategic sites, agreement between the Local Planning Authority; developer/s; and various infrastructure and service providers (including the County Council) is needed at the outline planning stage in order to ensure the sustainable delivery of key supporting infrastructure, such as new schools; and transport / highway improvements as well as the arrangements for any land transfer needed for new infrastructure (e.g. school site/s). This can only be done at an outline proposal stage where there is a clear understanding of the: scale; mix of uses proposed; and there is a clear masterplan and phasing strategy.

Proposals set out in the White Paper would undermine the sustainable delivery of major sites potentially resulting in essential supporting infrastructure not being provided in a timely manner or at worse not being provided at all.

This could also have serious funding implications for County Councils if there is any uncertainty surrounding access to the “infrastructure levy” funds for this tier of local government.

Any new legislation would need to ensure that Local Plans make it clear through a series of guidelines and codes the infrastructure requirements associated with development in major growth areas as well as delivery mechanisms. This is particularly an issue given that the White Paper is requiring Plans to be streamlined and fast-tracked (30 months production period).

Minerals and Waste – It is unclear how this would work for sui generis development, such as waste management facilities; and where mineral extraction and associated development would fit into these categories.

While the County Council supports the strengthening of a plan-led approach, the above proposals raise potential concern as minerals and waste planning authority with regard to sites being allocated in the specified zonal categories as this would require significantly more detailed evidence at the Local Plan Stage if proposed site

allocations would then have the status of a deemed outline consent at the end of the Local Plan process.

This would place an additional burden on the plan making process and would be difficult to reconcile with the Government's proposals for a faster local plan process (i.e. completed within 30 months).

- 2.18. 9(b). *Do you agree with our proposals above for the consent arrangements for Renewal and Protected areas? [Yes / No / Not sure. Please provide supporting statement.]*

No – the above issues raised in respect of Growth areas would also apply to Renewal areas where there would be a presumption in favour of development.

The approach to “development in Protected Areas” needing to come forward as they do at present through planning applications is supported.

- 2.19. 9(c). *Do you think there is a case for allowing new settlements to be brought forward under the Nationally Significant Infrastructure Projects regime?*

There is concern that this approach would take away the decision-making from the LPA who are familiar with the local issues; and where the site has been allocated / established as a Growth Area in the Local Plan. There would have to be exceptional reasons for the decision to be taken away from the LPA and given to the Secretary of State, for example where the site / applications come forward outside the Local Plan process (i.e. is not identified in the Local Plan); and where the level of housing numbers goes significantly beyond that set out in the Local Plan.

- 2.20. **Proposal 7: Local Plans should be visual and map-based, standardised, based on the latest digital technology, and supported by a new template.**

- 2.21. 11. *Do you agree with our proposals for accessible, web-based Local Plans?*

- 2.22. Yes - support proposals set out above regarding use of digital technology. The White Paper focuses heavily on a change to a digital, data-driven planning system. This is sensible but it must be underpinned by real-world surveys to maintain accurate baselines, particularly with regards to the natural environment. Consideration will also need to be given to access and engagement with those parts of the community who are unable to, or who are not sufficiently confident enough to access digital services.

- 2.23. Minerals and Waste - The County Council supports the above proposal in principle, particularly the more limited evidence that will be expected to support sustainable Local Plans and the model template for Local Plans. Also support the proposal for Local Plans to be digital and web-based covering minerals and waste developments.

However, there is concern and doubt regarding the expectation around more “limited evidence” being required for local plans when as stated above site allocations have the potential to have the status of a deemed outline consent and would arguably require more supporting evidence through the local plan process not less.

Further legislation providing details will be required.

- 2.24. **Proposal 8: Local authorities and the Planning Inspectorate will be required through legislation to meet a statutory timetable for key stages of the process, and we will consider what sanctions there would be for those who fail to do so.**
- 2.25. *12. Do you agree with our proposals for a 30 month statutory timescale for the production of Local Plans?*
- 2.26. See Comments in the main Report (Proposal 8)
- 2.27. Minerals and Waste – It is unclear how the three categories of growth, renewal and protection translate to minerals and waste developments. There is potential conflict in two tier areas as to how the three categories would be applied within Districts (for housing and employment sites and at County Council level in terms of minerals and waste allocations. As indicated above mineral sites tend to be in the countryside where it is likely they would be considered to be in a “protection” category /zone.

Under the Proposals set out in the White Paper the first time there is any formal consultations on the Plan is when the plan is submitted (stage 3 – six week period). While this will probably speed up the first two stages of the Plan making process, all issues will only be raised at the point that the Inspector is examining the Plan.

Statutory bodies will not be able to raise any issues regarding the suitability or otherwise of locations for growth, renewal or protection until stage 3. Local residents will not be able to comment on proposed locations for development near them until stage 3. This does not appear to be an increase in public involvement in the Local Plan process.

Further guidance is needed regarding public involvement in the plan making process.

- 2.28. Whether the proposed timetable of 30 months is achievable for the production of Local Plans depends on the resourcing of the Local Authority planning department, the methods of engagement employed, the volume of consultation responses received, the number of locations for growth, renewal and protection that are submitted for assessment and what the revised requirements to demonstrate sustainable development are.

The above timetable is considered ambitious given the additional weight given to sites “allocated” in the local plan (i.e. deemed outline consent) and the likely need for additional evidence to support site allocations (Growth and Renewal Areas).

- 2.29. **Proposal 9: Neighbourhood Plans should be retained as an important means of community input, and we will support communities to make better use of digital tools**

- 2.30. *13(a). Do you agree that Neighbourhood Plans should be retained in the reformed planning system? [Yes / No / Not sure. Please provide supporting statement.]*

Yes - agree that Neighbourhood Plans should be retained.

13(b). How can the neighbourhood planning process be developed to meet our objectives, such as in the use of digital tools and reflecting community preferences

about design?

Town and Parish Council typically have very little resource to prepare their Neighbourhood Plans and would therefore be heavily reliant on the support of the Local Planning Authority, as they are already, in taking forward digital aspirations set out in the White Paper.

2.31. **Pillar Two – Planning for beautiful and sustainable places**

2.32. **Proposal 11: To make design expectations more visual and predictable, we will expect design guidance and codes to be prepared locally with community involvement, and ensure that codes are more binding on decisions about development**

2.33. *17. Do you agree with our proposals for improving the production and use of design guides and codes?*

2.34. This is a matter for Local Planning Authorities. However, it is felt that the emphasis on “beautiful and sustainable” places is too simplistic, with too much focus on design and little or none on the underlying natural environment.

New development also needs to have regard to wider sustainable issues including, for example: water supply, sustainable drainage, ability to cope with climate change; biodiversity; travel/leisure; and the health and well-being benefits that it brings.

2.35. **Proposal 14: We intend to introduce a fast-track for beauty through changes to national policy and legislation, to incentivise and accelerate high quality development which reflects local character and preferences.**

2.36. *20. Do you agree with our proposals for implementing a fast-track for beauty?*

2.37. Minerals and Waste - This proposal states that where plans identify areas for significant development (growth areas) then a masterplan and site specific code will be required to be agreed as a condition of the permission in principle which is granted through the plan.

It is unclear how this relates to industrial areas which may be suitable for waste management development; and whether locations for mineral extraction and associated development would fit with the ‘growth area’ category?

Further clarification through new legislation is required.

2.38. **Proposal 15: We intend to amend the National Planning Policy Framework to ensure that it targets those areas where a reformed planning system can most effectively play a role in mitigating and adapting to climate change and maximising environmental benefits.**

2.39. The County Council welcomes those objectives in the White Paper, which seek a reformed planning system playing a “...proactive role in promoting environmental recovery and long-term sustainability. The White paper indicates that the planning system, *inter alia*, “.. needs to play a strong part in our efforts to mitigate and adapt to climate change and reduce pollution as well as making our towns and cities more liveable through enabling more and better green spaces and tree cover.” (Paragraph 3.23 Planning White Paper). These aspirations are supported.

- 2.40. **Proposal 16: We intend to design a quicker, simpler framework for assessing environmental impacts and enhancement opportunities, that speeds up the process while protecting and enhancing the most valuable and important habitats and species in England.**
- 2.41. Welcome this proposal providing it continues to safeguard and protect the most valuable and important habitats and species.
- While the consultation does say that we should “*take the opportunity to strengthen protections that make the biggest difference to species, habitats and ecosystems of national importance*” and refers to a separate, more detailed consultation published later in the year, it is unclear how the proposals will work with new guidance coming on-stream in the near future such as Biodiversity Net Gain and Environmental Land Management. The Nature Recovery Network proposed in the forthcoming Environment Bill must be a key element of any new strategic planning system. The natural environment and biodiversity do not recognise administrative borders, so it is unclear how such matters will be addressed with the abolition of the Duty to Cooperate.
- 2.42. **Proposal 17: Conserving and enhancing our historic buildings and areas in the 21st century**
- 2.43. Welcome this proposal.
- 2.44. **Proposal 18: To complement our planning reforms, we will facilitate ambitious improvements in the energy efficiency standards for buildings to help deliver our world-leading commitment to net-zero by 2050.**
- 2.45. Welcome this proposal.
- 2.46. **Pillar Three – Planning for infrastructure and connected places**
- 2.47. **Proposal 19: The Community Infrastructure Levy should be reformed to be charged as a fixed proportion of the development value above a threshold, with a mandatory nationally-set rate or rates and the current system of planning obligations abolished.**
- 2.48. *22(a). Should the Government replace the Community Infrastructure Levy and Section 106 planning obligations with a new consolidated Infrastructure Levy, which is charged as a fixed proportion of development value above a set threshold? [Yes / No / Not sure. Please provide supporting statement.]*
- No - the existing system of planning obligations using S106 agreement has worked successfully in Norfolk since 2000 and as such it is felt that it should not be abandoned completely as part of the proposed planning reforms (see Main Report).

22(b). Should the Infrastructure Levy rates be set nationally at a single rate, set nationally at an area-specific rate, or set locally? [Nationally at a single rate / Nationally at an area-specific rate / Locally]

The Infrastructure levy could be set nationally at an area specific rate taking into account local market conditions / factors and viability. Alternatively, it could be set locally by Local Authorities, which arguably would reflect local market conditions and viability more fully, although could then be open to challenge and take time to

implement.

22(c). Should the Infrastructure Levy aim to capture the same amount of value overall, or more value, to support greater investment in infrastructure, affordable housing and local communities? [Same amount overall / More value / Less value / Not sure. Please provide supporting statement.]

Same amount overall so as to avoid raising any further viability issues.

22(d). Should we allow local authorities to borrow against the Infrastructure Levy, to support infrastructure delivery in their area?

Yes – this would allow for a more strategic approach to infrastructure delivery, particularly where there is significant planned growth. The borrowing could be used to deliver enabling infrastructure such as new roads and other transport initiatives, along with planning a more effective response to any education (new schools) needs arising from proposed growth. Any such borrowing should be available to both District and County Councils and this would need to be clearly set out in any future legislation.

There would need to be opportunities for County Councils to borrow against the Infrastructure Levy and the ability for authorities to pool such funds to enable and support cross-boundary infrastructure. Clearly there would be a risk to borrowing against such a levy when there would be uncertainties around: the speed which development comes forward; and what proportion of the levy would be given to the County Council.

In addition, there should also be opportunities to pool the infrastructure Levy across District Council areas to support cross-boundary infrastructure.

2.49. Proposal 22: More freedom could be given to local authorities over how they spend the Infrastructure Levy

2.50. 25 Should local authorities have fewer restrictions over how they spend the Infrastructure Levy? [Yes / No / Not sure. Please provide supporting statement.]

2.51. Yes - the more flexibility Local Authorities have on how they spend any infrastructure funds is generally supported as this would give greater freedom on pooling monies for strategic infrastructure needed to deliver housing and employment growth.

The White Paper proposes to extend the Neighbourhood Share (up to 25% currently) beyond CIL Charging Authority areas to cover all local authority areas, including those who have been using planning obligations (S106 mechanism) for securing developer funding. This raises the question as to whether there would be sufficient funds remaining after the Neighbourhood Share is taken out for delivering the large scale infrastructure needed to support growth such as roads and schools.

2.52. 25(a). If yes, should an affordable housing 'ring-fence' be developed?

2.53. Currently affordable housing is not considered to be infrastructure. Proposals in the White Paper aim to safeguard the provision of affordable housing through the new Infrastructure Levy. It suggests that under the new reformed approach this will "continue to deliver on-site affordable housing at least at present levels". It also raises the question as to whether the ring-fencing (Proposal 22) of a certain amount of the Infrastructure Levy is appropriate for affordable housing in order to ensure its

delivery. While this is a matter for the District Councils to comment on as Housing Authorities, this proposal would have wider impacts where there are competing requirements on a limited Infrastructure Levy Funding “pot”, and where the County Council requires funding for the delivery of strategic infrastructure. As such any “ring-fencing” should only be considered appropriate where “core infrastructure obligations have been met” i.e. covering strategic infrastructure such as roads/transport and education. County Councils should play a leading role in any infrastructure funding prioritisation process.

2.54. **Delivering change**

2.55. **Proposal 23: As we develop our final proposals for this new planning system, we will develop a comprehensive resources and skills strategy for the planning sector to support the implementation of our reforms. In doing so, we propose this strategy will be developed including the following key elements: (para 5.17 – 5.27 of White Paper)**

2.56. Generally, support the initiatives set out in the White Paper.

2.57. **Proposal 24: We will seek to strengthen enforcement powers and sanctions**

2.58. The County Council support the principle and would highlight the point that in our experience many communities, who are unfortunate enough to suffer the consequences of planning breaches, are surprised to discover that a breach of planning control is not in itself a criminal offence. On a practical level the costs, of enforcing against breaches of planning control can be extremely high. While compliance can often be achieved, authorities can only recover costs in the event that the case goes to court and costs are awarded as part of the judgement. Even then it not always the case that the money is received by the authority. We would therefore welcome more detail as to how the government envisages that this service is to be funded.

The reliance on planning to improve flood management in new development should not just focus on the role of the Environment agency in tackling strategic flood risk. It should also recognise the role that the lead local flood authority plays in scrutinising local flood risk and the consequences of local authorities not following its recommendations or rigorously enforcing compliance with relevant conditions when imposed.

While matters are determined on planning policy grounds alone it is difficult to see how intentional unauthorised development can be treated differently from appropriately authorised development without the introduction of a system of punitive sanctions that do not relate to the planning merits of the proposal itself.

2.59. **EQUALITIES IMPACTS**

2.60. *26. Do you have any views on the potential impact of the proposals raised in this consultation on people with protected characteristics as defined in section 149 of the Equality Act 2010?*

2.61. The proposals in the White Paper have the potential to ensure any new housing and employment growth will have a positive impact on communities in terms of

supporting and enhancing the provision of services; support well-being; and support the delivery of infrastructure to keep people healthy and safe; and provide for well-planned and designed communities.

Report to Cabinet

Item No. 14

Report title:	Adult Social Services Winter Resilience Planning
Date of meeting:	5 October 2020
Responsible Cabinet Member:	Cllr Bill Borrett (Cabinet Member for Adult Social Care, Public Health & Prevention)
Responsible Director:	James Bullion (Executive Director of Adult Social Services)
Is this a key decision?	No
Executive Summary <p>Planning for winter 2020/21 presents greater challenges than in previous years. COVID-19 has placed strain on Norfolk's social care and health system, and a risk remains of further outbreaks during winter. In addition, winter often brings with it untoward events such as widespread infectious diseases including pandemic flu which can affect our residents and staff alike.</p> <p>However, collaborating across the health and social care system has been effective and has been strengthened by the need to respond swiftly to COVID-19. This approach will continue and provides a solid foundation for winter planning. The paper, and the attached slides in Appendix 1, set out the work in progress. It highlights the main challenges, learning and themes which are being addressed.</p> Recommendations: <ul style="list-style-type: none">a) Cabinet is recommended to read and comment on the emerging winter planning arrangements in this report and Appendix 1	

1. Background and Purpose

- 1.1. Adult Social Services (ASS) is developing a winter plan that sets out intentions for service delivery and design during the 2020/21 winter period. The purpose of the plan will be to prepare the organisation to maintain high quality and safe service provision during winter and supporting system partners to deliver effective flow between providers. This framework document details the key themes and actions that are beginning to guide that plan. It will also support NCC's implementation of actions arising from the Government's Policy Paper Adult Social Care: Our Covid-19 winter plan 2020-2021 published on 18 Sept 2020 which requires local authorities to put in place their own winter plans.
- 1.2. Traditionally winter is not an emergency or considered an unusual event but recognised as a period of increased pressure due to demand both in the complexity of people's needs and the capacity demands on resources within social care and the wider system. However, winter in 2020/21 will present greater challenges than in previous years. The COVID-19 pandemic has placed strain on Norfolk's social care and health system, and a risk remains of further outbreaks during winter. In addition, winter often brings with it untoward events such as widespread infectious diseases including pandemic flu which can affect our residents and staff alike.

2. Proposals

- 2.1. Adult Social Services winter planning in 2020/21 looks significantly different to usual planning processes. Across operational and commissioning teams, planning for winter is being built in to the heart of ongoing service planning due to the COVID-19 pandemic.
- 2.2. A necessity to prepare for further outbreaks, and the interdependency of that with overall capacity and resilience during winter, means Adult Social Services are preparing for winter with urgency and rigour.
- 2.3. There is significant work already underway within the department, and jointly with other system stakeholders. NCC is also closely involved with NHS-lead winter planning via joint health and care processes stimulated by the COVID-19 pandemic response, presenting new opportunities for joint working.
- 2.4. The main challenges this winter are:
 - a) Supporting Norfolk's care market as we enter winter following the impact of COVID-19
 - b) Supporting our NCC workforce during a winter period that follows pressures resulting from COVID-19
 - c) New hospital service discharge requirements nationally could shift pressure around 'flow' in to the community, and NHS funding for packages across health and care for up to the first 6 weeks post-hospital discharge could support a new community offer
 - d) Ensuring Community Response Teams (CRTs) supporting hospital discharge during COVID-19 are enabled to continue over the winter period, supporting people safely out of hospital and back home
 - e) Developing our local discharge to assess (D2A) processes further and ensuring existing processes deliver the best outcomes for all our residents, including those with disabilities and mental health problems
 - f) Working with system partners to ensure robust flu planning, both for our residents and staff
- 2.5. Just before the pandemic, a look-back review was carried out on winter 2019/20. A number of key points arising from that are helping to shape the coming winter. These include:
 - a) Winter funding was utilised to provide extra care capacity across the care market, reducing pressures on the care market and supporting discharge from hospital
 - b) The care market remained under pressure, accentuated since by COVID-19
 - c) A mixed economy of beds were available in the market to support hospital discharge
 - d) Since last winter, health and social care quality teams are now working together as one, an approach that will support the winter response
 - e) Care provision for people with dementia and/or behaviours of concern was a challenge requiring market development supported by ASS
 - f) The join up between capacity in the care market reported by providers versus available required more focus
 - g) Increased capacity to support discharge home for people with more enhanced needs
 - h) Improvements in social care delayed transfers of care (DToCs) for parts of the system and reduction in wait for residential placements
 - i) Remaining pressure on latter week transfers - however COVID-19 has seen a transformation in DToCs but there is a risk this winter
- 2.6. There is a developing framework to address the identified challenges in 2.4 and taking the learning from 2.5. This framework has these four themes:

Meeting people's needs – ensuring there is appropriate capacity to support people at home and if needed in residential care; supporting carers, and supporting vulnerable people

Supporting the provider market – providers are still dealing with the impact of COVID-19. The winter planning seeks to build on good engagement, providing support, education and training, and strengthening resilience

Reducing pressures on the NHS - the health and social care system has seen effective collaboration to ensure good flow through acute and community hospitals. Winter planning will build on this approach

Supporting a resilient and functioning system – this includes ensuring the right governance structures are in place to take swift and timely decisions; financial stability; support for the workforce

3. Impact of the Proposal

- 3.1. The strengthened collaboration across the health and care system during COVID-19 provides a sound foundation for winter resilience planning. Early preparation and learning from last winter, and the last six months, should ensure detailed and robust arrangements to manage winter, although mindful that the predictions and modelling suggest it will be a highly challenging period for health and social care.
- 3.2. The emerging Adult Social Services winter plan is action-focused and aims to deliver a number of key impacts that will benefit our residents, including, but not limited to:
 - a) Capacity to support people at home and, where appropriate, in residential care, including support carers and vulnerable groups
 - b) Contingency for increased demand arising from COVID-19 combined with winter pressures
 - c) Wrap-around support for care settings and pathways that support the care market
 - d) Reduce impact during winter on care providers and their residents of after-care needs of people recovering from COVID-19, from a health, social and wellbeing perspective
 - e) Supporting effective hospital discharge from all types of inpatient beds and implementing new discharge to assess processes
 - f) Internal governance and processes that enable responsive social care actions during winter
 - g) Support for our workforce
- 3.3. There will also be a number of actions that need to take place across health, social care, public health and community actions groups at both a local and national level to support our residents during the winter ahead. Critical to minimising the detrimental impact of pressure on health and social care will also be community activity, and citizens continuing to follow the COVID-19 guidance. Adult Social Services will work closely with partners across the system to focus on the needs of our residents and aligning our winter plans to deliver maximum impact.

4. Financial Implications

- 4.1. There are currently no direct financial implications from the initial Adult Social Services: 2020/21 Winter Plan Framework.

5. Resource Implications

5.1. **Staff:**

- 5.1.1 Maintaining staffing levels across the health and social care sector is a high priority. Adult Social Services has continued to support staff well-being during the pandemic, recognising the particular strain this has put on teams who are largely working remotely. There will continue to be focus on sustaining recruitment, reducing turn-over and supporting staff well-being throughout the winter period.

- 5.2 **Property:** The strategy itself has no immediate implications. However, where property implications do arise these will form part of reports to be assessed on a case by case basis and could lead to opportunities to better utilise system estate.

- 5.3 **IT:** The strategy itself has no immediate IT implications. However, where implications do arise, these will form part of reports to be assessed on a case by case basis and could create opportunities for more effective information sharing and a greater ability to measure outcomes as a system.

6. **Other Implications**

6.1 **Legal implications:**

- 6.1.1 The Coronavirus Act 2020 introduced amendments to the Care Act 2014 which allow local authorities to make easements to streamline assessments and prioritise care and support. These changes are temporary, local authorities should report any decision to use easements to DHSC. Local authorities remain under a duty to meet needs, where failure to do so would breach an individual's human rights under the European Convention on Human Rights.

6.2 **Human Rights implications:**

- 6.2.1 None identified

6.3 **Equality Impact Assessment (EqIA) (this must be included)**

- 6.3.1 An EqIA will be conducted, and equality issues will be considered, as part of the development of any agreed elements of the winter plan framework that impact on our residents.

6.4 **Health and Safety implications**

- 6.4.1 None identified

Sustainability implications

- 6.5.1 None identified

6.6 **Any other implications**

- 6.6.1 None identified

7. **Risk Implications/Assessment**

- 7.1 Please see section 2.4 for details of potential risks that this winter plan is aiming to mitigate.

8. **Select Committee comments**

- 8.1 The People and Communities Committee received the report setting out development of the Adult Social Services winter plan that included intentions for service delivery and

design during the 2020/21 winter period to prepare the organisation to maintain high quality and safe service provision during winter and support system partners to deliver effective flow between providers. The Committee read and commented on the emerging winter planning arrangements in the report and Appendix 1 of the report. Actions arising from the Committee's comments will be taken as part of the ongoing development of the winter plan.

9. Recommendations

- 9.1 a) **Cabinet is recommended to read and comment on the emerging winter planning arrangements in this report and Appendix 1**

10. Background Papers

- 10.1 None

Officer Contact

If you have any questions about matters contained in this paper, please get in touch with:

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Adult Social Services: 2020/21 Winter Plan Framework

- Objectives
- Learning to inform framework development
- Framework to guide 2020/21 winter plan development

*Cabinet
September 2020*

Objectives

Adult Social Services (ASS) is developing a winter plan that sets out intentions for service delivery and design during the 2020/21 winter period. The purpose of the plan will be to prepare the organisation to maintain high quality and safe service provision during winter, and supporting system partners to deliver effective flow between providers. **This framework document details the key themes and actions that are beginning to guide that plan.**

Traditionally winter is not an emergency or considered an unusual event but recognised as a period of increased pressure due to demand both in the complexity of people's needs and the capacity demands on resources within social care and the wider system. **However, winter in 2020/21 will present greater challenges than in previous years.** The COVID-19 pandemic has placed strain on Norfolk's social care and health system, and a risk remains of further outbreaks during winter. In addition, winter often brings with it untoward events such as widespread infectious diseases including pandemic flu which can affect our residents and staff alike.

Adult Social Services (ASS) winter planning in 2020/21 looks significantly different to usual planning processes. Across operational and commissioning teams, planning for winter is being built in to the heart of ongoing service planning due to the COVID-19 pandemic. A necessity to prepare for further outbreaks, and the interdependency of that with overall capacity and resilience during winter, means Adult Social Services are preparing for winter with urgency and rigour. Consequently, this framework document reflects the significant work already underway within the department, and jointly with other system stakeholders, and highlights potential areas requiring further development before a finalised plan. NCC is also closely involved with NHS-lead winter planning via joint health and care processes stimulated by the COVID-19 pandemic response, presenting new opportunities for joint working.

The framework, and subsequent final plan, will not remain as static documents but be updated and built on as winter progresses. Learning from the COVID-19 pandemic and processes recommended within the framework advocate the ability to change and adapt plans as needed, particularly in response to the emerging risks this winter may present.

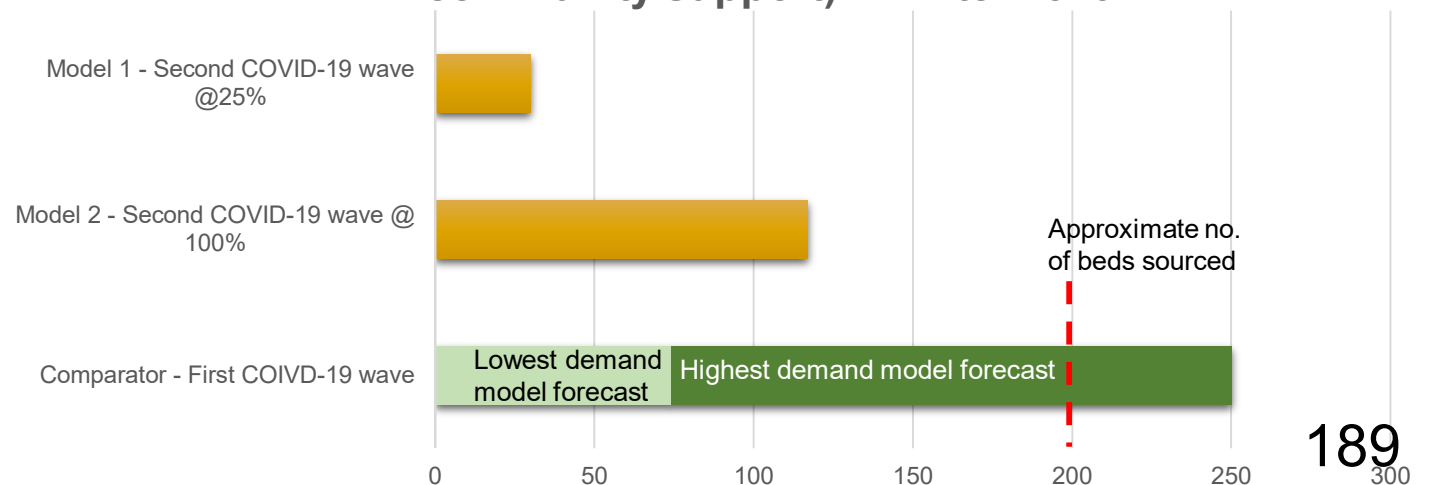
Challenges this winter

There are a number of key areas ASS, and wider partners, winter plans will need to address to support the extraordinary situation presenting this winter. These include:

- Supporting Norfolk's care market as we enter winter following the impact of COVID-19
- Supporting our NCC workforce during a winter period that follows pressures resulting from COVID-19
- New hospital service discharge requirements nationally could shift pressure around 'flow' in to the community, and NHS funding for packages across health and care for up to the first 6 weeks post-hospital discharge could support a new community offer.
- Ensuring Community Response Teams (CRTs) supporting hospital discharge during COVID-19 are enabled to continue over the winter period, supporting people safely out of hospital and back home
- Developing our local discharge to assess (D2A) processes further and ensuring existing processes deliver the best outcomes for all our residents, including those with disabilities and mental health problems
- Working with system partners to ensure robust flu planning, both for our residents and staff

As part of the winter and COVID-19 planning approach, ASS are working with information and analytics colleagues to identify potential demand in a variety of scenarios. This modelling also includes the potential impact resulting from NHS activity in acute and community hospitals. **It should be noted this is an early forecast and is subject to change as we develop a more advanced model** with a greater range of detailed emerging assumptions. However, it does identify a potential increase in demand in a scenario with further waves of COVID-19.

DRAFT model of potential additional post-acute care demand (additional instances of people requiring community support) - Winter 2020/21



Adult Social Services learning from last winter

In the weeks prior to the COVID-19 pandemic, an initial exercise was completed internally to identify lessons learnt during winter 2019/20 to inform this year's winter planning. A series of key points were raised that are influencing the shape of the winter plan framework:

Provision of care

- ✓ Winter funding was utilised to provide extra care capacity across the care market, reducing pressures on the care market and supporting discharge from hospital
- The care market remained under pressure, accentuated since by COVID-19

Additional capacity

- ✓ A mixed economy of beds were available in the market to support hospital discharge
- ✓ Since last winter, health and social care quality teams are now working together as one, an approach that will support the winter response
- Care provision for people with dementia and/or behaviours of concern was a challenge requiring market development supported by ASS
- The join up between capacity in the care market reported by providers versus available required more focus

Enhanced Home Support

- ✓ Increased capacity to support discharge home for people with more enhanced needs

Transfers of care and flow

- ✓ Improvements in social care delayed transfers of care (DToCs) for parts of the system and reduction in wait for residential placements
- Remaining pressure on latter week transfers - however COVID-19 has seen a transformation in DToCs but there is a risk this winter

System learning

Emerging from the COVID-19 pandemic, Adult Social Services have also been closely engaged in system-wide planning for winter and associated COVID-19 recovery. A series of key points relevant to social services winter planning have been identified through that process which will also influence the shape of the winter plan framework:

- Supporting a 'home first approach' across the social care and health system – with a whole-system commitment to a 'home first' approach advocated by NCC
- Early hospital discharge planning to commence on admission, and following the High Impact Change model (key to the Better Care Fund), would support both our resident's social care and health outcomes upon leaving hospital
- Review our 'step-up' and 'step-down' options to increased population need during winter without increased admissions to hospital
- Increased wrap around care support (in care settings and at home) support's complex and growing needs during winter

Summary: ASS Winter Plan Framework 2020/21

Aims:

- understand the pressure that could be presented by COVID-19 and mitigate that risk as far as possible throughout the plan
- focus on prevention and promoting independence
- create capacity to meet increased demand
- provides ownership of winter preparedness and response within NCC ASSD
- communicate and co-operate with other organisations
- use data to understand demand and manage flow
- recognise the role and importance of the commissioned market and voluntary sector
- maintain quality, safety and experience
- develop a response that meets the diversity of needs of Norfolk residents



Meeting people's needs

Theme

Action

Aim

Capacity to support people at home and, where appropriate, in residential care

- Commissioning **Enhanced Home Support Services (EHSS)** to support people in their own home
- Commissioning **enhanced residential short-term beds** where demand is high
- Ensuring capacity to meet people with more complex needs including Learning Disabilities & Autism (LD&A) and Mental Health (MH)

- Capacity to support people in their own home and in residential care
- Capacity to support hospital discharges from all inpatient settings, including during a second wave of COVID-19 where hospital activity has returned to original plan for winter 2020/21

Contingency for increased demand arising from COVID-19 combined with winter pressures

- **Mothballed Cawston Lodge (step-down facility)** – with potential to re-open during a COVID-19 outbreak / to meet winter pressures
- Developing options for a **'step-down' site or 'intermediate' approach** that supports people back to their own home
- Exploring increased role for **'beds with care'** model in Great Yarmouth

- Capacity to support people during winter, including during a second wave of COVID-19, when demand increases due to changing need

Supporting carers

- **Development of carers flu plan**, including actions to strengthen vaccination, as part of the system's flu preparations
- **Development of carers COVID-19 second wave planning**, and supporting carers with risks around resilience arising from COVID-19

- Support carers during winter to stay healthy and well
- Build on support for carers during COVID-19 to prepare for potential winter pandemics

Supporting vulnerable people

- Identifying vulnerable people during the normalisation and recovery phases of the COVID-19 crisis (in conjunction with the Resilience and Recovery cell) to create a strategy and delivery plan to support the most vulnerable

- Support vulnerable individuals and their families during winter to stay healthy and well

Supporting the provider market 1/2

Theme	Action	Aim
Improving pathways & engagement	<ul style="list-style-type: none"> Embed new care market support structures A single communications approach with care providers embedded between Adult Social Services and CCG – building on the approach started during COVID-19 and with close working with NORCA - and aligning with other key public messaging campaigns lead by public health and other partners 	<ul style="list-style-type: none"> Ensuring collaborative planning to supporting the care market during the winter period Ensure clear and joined up messaging and communications to care providers during the winter period
Wrap-around support for care settings	<ul style="list-style-type: none"> Wrap-around support to enable discharges for complex needs from MH and LD settings offered by NSFT (MH) and NCH&C and HPFT (LD) Post-COVID-19 working arrangements within the ASS Quality Team that support providers during a pandemic – including how we work remotely whilst driving improvement Within primary care networks, support the role of a GP lead for each care home, in place for winter Develop multi-disciplinary teams supporting care homes, with social care engagement 	<ul style="list-style-type: none"> Provide targeted support for care homes during winter that support resident's health and wellbeing Ensure social care support for care homes, as part of the primary care network model, meets residents needs over winter
Education & Training to support care providers	<ul style="list-style-type: none"> Embedding education and training that will support care providers to help pick up when someone is becoming less well and know how to respond Ensuring training is carefully targeted at care providers to support their needs during winter – enabled by the joint social services and health Enhanced Health in Care programme 	<ul style="list-style-type: none"> Care providers are supported to safely help individuals with a growing complexity of need exacerbated by the winter period. Ensuring access to training and support that will enable better outcomes for residents

Supporting the provider market 2/2

Theme

Action

Aim

Supporting care providers during a pandemic

- Joint working with partners across the system on a **robust flu programme**
- Implement ongoing **COVID-19 health protection measures**, ensuring they align with wider winter approaches
- Work with system partners to develop workforce models that support recruitment across social care and health

- Reduce risk of flu to population during winter
- To provide a swift and effective response to outbreaks, minimising their impact during the winter period
- To prevent the spread of COVID-19 in the care sector through best practice infection control and health protection practice – contributing to reducing winter pressures where possible

Post-COVID recovery & resilience in care

- **Piloting population health management approaches** utilised during COVID-19 to support the health and wellbeing of residents in care settings
- Developing a strategy for implementation of national and local programmes that will support people at home and in residential care with specific health and wellbeing needs arising from COVID (e.g., cardiac and thoracic, post-intensive care syndrome)– to prevent escalation of need during the winter period
- Ensuring models, pilots and evaluations consider impact and outcomes for all residents, including those with LD, MH and A

- Reduce impact during winter on care providers and their residents of after-care needs of people recovering from COVID-19, from a health, social and wellbeing perspective

Reducing pressure on the NHS

Theme

Action

Aim

Supporting effective hospital discharge from all types of inpatient beds

- Minimum discharge standards and support for early discharge planning
- Development of an approach to 7 Day Discharge that supports discharge and care providers
- **Review of Trusted Assessors** to further enable support for smooth discharge back to a residential care setting
- **Reviewing the current status, issues and opportunities for CRTs and IDTs** to make recommendations for further changes and improvements that will establish arrangements that are sustainable in the longer term
- Link with the development of CRTs being explored through the 'Aging Well' programme
- VCSE services to support safe discharge into the community and then enable those individuals to remain within the community by promoting their independence
- Actions targeted to support discharge from MH and LD beds
- Developing weekend intensive support to support discharge from LD&A beds

- Ensuring effective discharge from health settings during period of high hospital use during winter
- Ensuring safe and sustainable discharge into social care
- Helping people return home from hospital
- Limiting the impact winter pressure in acute settings on social care teams
- Ensuring safe and sustainable discharge into social care

Implementing new discharge to assess processes

- Implementing new **Discharge to Assess (D2A) processes**, for winter, across frontline services as well as brokerage and commissioning

- Ensuring effective discharge from health settings during periods of high hospital use during winter

Integrated review of community capacity

- Review and plan, as a social care and health system, required community capacity during winter 2020/21 – including forecasting potential demand and making recommendations on steps the system can take to meet demand over winter

- Ensuring effective discharge from health settings during periods of high hospital use during winter
- Ensuring capacity is in place to support people in the right place, at the right time

Supporting a resilient and functioning system

Theme

Action

Governance and processes that enable responsive social care actions during winter

- Prepare for role of brokerage over winter following COVID-19 role
- Building on previous winters, utilise an operations centre (with associated situation reports) model in social care
- Establish a joint operational and commissioning winter process that regularly monitors overall delivery against the winter plan and shares emerging issues between teams
- Learn from the COVID-19 response to live issue resolutions
- Build winter response into core function of other governance processes, such as market development
- Exploring joint commissioning opportunities with CCG that will strengthen commissioning during winter

Financial stability

- Working to analyse potential challenges within the care market, that could impact over winter, following the COVID-19 pandemic
- Monitor and report on in-year COVID and non-COVID spend to ensure this is being correctly accounted for and claims are made (in light of new discharge to assess guidance coming in to place in time for winter)
- As part of the social care and health system's 'phase 3 COVID' recovery, a case to NHSE was put in by the system for funding to support recovery over winter – including content from social to support community capacity

Supporting our workforce

- As a result of the impact of the ongoing pandemic - highlight and connect staff to existing corporate support (as well as developing and sharing additional opportunities for staff and managers to better manage their wellbeing at this time)

Further areas of development

As part of the exercise completed pre-COVID internally to identify lessons learnt during winter 2019/20, a number of additional ideas were put forward to consider in our 2020/21 winter response. Some of these have already begun to be addressed as identified in the initial framework, including work around the Trusted Assessment Facilitators and Enhanced Home Support Services. In addition, as part of developing the initial winter plan framework, a series of further considerations have been identified that will be considered as part of the final winter plan:

- Future of the national infection control fund over winter
- Explore model of 72 hour intensive home support offer – potentially reducing long term care costs, supporting people out of hospital
- Availability of home and residential care to support people with dementia, complex needs, behaviours of concern
- Supporting people to move from short term residential care beds to their home in advance of winter
- Enhanced social work staffing at weekends
- Suspension of key performance indicators for contracted providers
- Ensuring changes to wider pathways supporting winter response align with the provision of Integrated Community Equipment Services

Next steps

Utilise winter planning framework to:

- Develop final ASS winter plan
- Inform corporate resilience planning
- Engage with other system partners (CCG, district councils)
- Deliver, and monitor, against the framework and final winter plan



Norwich CCG
South Norfolk CCG
North Norfolk CCG
West Norfolk CCG
Gt Yarmouth & Waveney CCG

Report to Cabinet

Item No. 15

Report title:	Norfolk County Council in an Integrated Care System
Date of meeting:	05 October 2020
Responsible Cabinet Members:	Cllr Bill Borrett (Cabinet Member for Adult Social Care and Public Health) Cllr John Fisher (Cabinet Member for Children's Services)
Responsible Directors:	James Bullion, Executive Director for Adult Social Care Sara Tough, Executive Director of Children's Services
Key Decision	No

Executive Summary/Introduction from Cabinet Member

The health and care system leadership is moving at pace to establish the necessary governance and supporting structures to become an Integrated Care System (ICS) in Autumn 2020. Norfolk County Council (NCC) is a significant leader in and a key part of ICS development.

There are significant potential benefits Adult Social Care (ASC), Children's Services (CS), Public Health and more widely NCC and our citizens could derive from the creation of an ICS, that will ultimately contribute to the delivery of our strategic aims. However, to secure those benefits NCC will need to make some critical decisions about how it wants an ICS to form, and what its role in an ICS will look like.

This paper aims to:

- Draw together the developing picture regarding a future local ICS and the opportunities for NCC within an ICS
- Identify key principles for NCC in an ICS to improve outcomes for our residents and meet wider NCC aims

Recommendations

Cabinet is recommended to:

- Agree NCC's support for, and commitment to becoming part of, an Integrated Care System**
- Agree the proposed NCC principles to guide ICS development - to be utilised in emerging discussions with partners on the future shape of an ICS**
- Agree that the NCC Leader will nominate representation for the Partnership Board that will govern the ICS, and support the commitment for the ICS to be accountable to the Health & Well Being Board (H&WBB) for the delivery of health and wellbeing outcomes for the local population**

1. Background and Purpose

1.1. Context

Norfolk County Council (NCC) has a strong record of working with partners across the health and care system to deliver better outcomes for our population through integrated ways of working and partnership building. Our system's Joint Health and Wellbeing Board (JHWP) Strategy establishes a series of strategic aims that bind together health and care partners in supporting our population, including prioritising prevention, developing a sustainable system, tackling inequalities in communities and embedding integrated ways of working.

- 1.2. NHS organisations and Local Authorities (LA) in England have also come together to form sustainability and transformation partnerships (STPs) – for which Norfolk is in the 'Norfolk & Waveney Health and Care Partnership'. There is a national ambition that these will all transition into Integrated Care Systems (ICS') to support the joint design and delivery of health, social care and other services by utilising collective working on resource management, collaboration on service design and delivery and management of population needs. **It is critically important that in each STP area Adult Social Care (ASC), Childrens Services (CS) and, by extension, the whole local authority, build a clear vision for their role within an ICS** to ensure they capitalise on the potential opportunities an ICS presents. To date, approximately half of STPs nationally have transitioned to an ICS. **It is likely that health and care partners will seek to become an ICS this Autumn.**

- 1.3. There are a series of significant benefits NCC could derive from an ICS locally, that will ultimately contribute to the delivery of our strategic aims and improve outcomes for our residents. However, to secure those benefits, **NCC will need to make some critical decisions about how it wants an ICS to form, and what its role in an ICS will look like.** The complexity of integration means the more principles we develop now to guide that, the more likely we are to secure improved outcomes for residents as a system.

1.4. Purpose

This briefing paper draws together the developing picture regarding a future ICS and how it could potentially be formed and shaped. It explores the opportunities and challenges for NCC within an ICS, and outlines a **series of principles that have been developed to guide NCC's potential place within an ICS.** These are based on local experience and existing systems, national and local best practice and the development of ASC and CS in other ICS'. The principles are based on an amalgamation of different models used to define effective integration. Each principle covers potential objectives for NCC with specific reference to ASC, areas of ICS development that could benefit our residents and our potential responsibilities. CS will use the NCC principles to develop objectives with the Children's Alliance Board and Children and Young People Strategic Partnership.

1.5. Opportunities

The health and care system in Norfolk is highly complex, with a growing and ageing population, demand and workforce challenges across the system and significant financial challenges ahead. The system's JHWP strategy identifies the overarching approach for how partners will come together to tackle these themes whilst focusing on how we enable and deliver person-centred support and care that improves our population's health and wellbeing. By shifting focus from preventing ill health and

dependency by earlier intervention and building on people's own assets, there is an opportunity to create a stronger, fairer system for the future. Integrated care, based on the principles of prevention and early intervention, is important for cohorts across our population, of all ages and need.

- 1.6. The Norfolk & Waveney Health and Care Partnership have also established a Children and Young People's Workstream, with the NCC Executive Director of Children's Services being the Senior Responsible Officer (SRO). Children's Services and the Norfolk and Waveney CCG, working together with a wide range of partner organisations, came together in 2019 to form the Children's Alliance Board, with a declared commitment to act as the senior strategic commissioning forum for children and young people that has the mandate to oversee joint commissioning and the deployment of collective resource to achieve the shared partnership vision and joint outcomes for children and young people aged 0 -25.
- 1.7. **The creation of an ICS poses an opportunity for a delivery arm to fulfil the aims of the Health and Wellbeing Board** – one where organisations and stakeholders come together to focus on the delivery of key system strategic aims by working together in the design and delivery of services. A number of steps have already been taken to support development of a future ICS, including:
 - a) Recent response to COVID-19 to protect Norfolk's residents with system wide health protection working and emergency planning has resulted in accelerating joint working arrangements between NCC, NHS, District Council and VCSE partners. COVID-19 presented significant challenges for the system but also demonstrated ways of working that delivered tangible benefits for adult social care, childrens services and Public Health. This included:
 - i. a multi-agency agreed approach to Covid-19 detailed in the Local Outbreak Control Plan with associated governance and implementation structures including Engagement Board, Health Protection Board and Outbreak Management Centre
 - ii. the development of a nationally recognised, joint health and social care facility to support the care market with COVID-19 isolation
 - iii. a system response to supporting CYP and families
 - iv. joint communications and campaigns
 - v. support to education settings
 - b) CCG and wider partner support for **the Health and Wellbeing Board (HWBB) being defined as the body that the ICS will be accountable to locally** - with the ICS a mechanism that will contribute to implementing Health and Wellbeing Board Strategies. This approach represents a key opportunity for democratic accountability and population benefits
 - c) **The 'home first' approach advocated by NCC, that aims to support people as far as possible to remain independent in their own home, is increasingly being referenced and included in strategic system approaches**, including emerging plans for community capacity and winter planning across the system
 - d) Both Adult Social Care's commissioning and operational functions have now established teams with integrated health and care leadership, further opening the door to embedding approaches to prevention and integration
 - e) Children's services have established joint roles and approaches, actively seeking opportunities to work in partnership to ensure that Children and Young People (CYP) and families receive more joined up support, better alignment of resource and a shared approach to addressing gaps in provision. Our focus on developing an early childhood system response to better meet the needs of families with children aged 0-5 is a positive example of how resources and services can be mobilised in an integrated way to respond to needs

- f) The NCC Public Health team works across the health and social care system to provide population health information, evidence of what works and needs assessments to inform support and interventions to improve population health. This has included contributing to the local NHS phase 3 planning

2. Proposals

- 2.1. A set of principles to guide ICS development will be utilised by Council Officers in emerging discussions with partners on the future shape of an ICS, and any final proposals will come via the Health and Wellbeing Board and Norfolk County Council's democratic governance. These principles are laid out in detail in **Appendix 1**, but can be summarised as:

2.1.1 Integration and collaboration

- a) The ICS has the potential to accelerate integration and joint working in positive ways for citizens and represent good use of public funding
- b) The ICS gives NCC the chance for a stronger voice in shaping system priorities, including resource allocation that supports system and NCC aims. – **the voice of the care sector is critical**
- c) Integrated care offers new opportunities for the specialist public health workforce to work as part of a whole system approach, focused on improving population health and wellbeing outcomes
- d) However, NCC would retain ultimate accountability of its functions and resources:
 - i. Maintain social care provision which is equitable across the county and meets a set of common standards for citizens.
 - ii. The distinctive role and identity of social work must be maintained, in line with Care Act and the Childrens Act legislation.
 - iii. Clear responsibilities, authority and resources for Public Health, including a range of requirements such as independent advocacy for the health of the population, duties to improve public health, along with the Director of Public Health advising on a number of prescribed functions and assurance that the Public Health grant has been used for the purposes intended in the grant conditions

2.1.2 Place-based planning and working

- a) NCC has a significant role in the developing ICS to consider how best to support a greater focus on prevention in the delivery of local health and social care services, and to improve integration so that people receive the joined-up care and support they need
- b) We support the drive towards place-based planning and expect to have an equal voice in locality structures (commissioning and service delivery)
- c) Identification of local population needs, building on the existing work of the local public health team regarding the statutory requirement for assessing the health needs via the local Joint Strategic Needs Assessment
- d) We have already aligned community care teams with primary care networks.
- e) We can see opportunities for commissioning at a locality level, possibly against a locality budget, but there will be key services we continue to commission on a pan-Norfolk basis
- f) We have agreed with partners that wherever possible support should be available to CYP and families in their chosen communities. There are opportunities to extend our whole system approach to early childhood to taking an integrated approach to speech and language services, occupational therapy (OT), services for children and young people with autistic spectrum disorder (ASD), alongside our existing SEND transformation activity

2.1.3 Governance and strategic health and wellbeing

- a) We welcome the establishment of a Norfolk and Waveney ICS. It signals a new era for health and care for Norfolk citizens, bringing clear, strong leadership, and aligns with NCC's strategic vision and priorities
- b) The Health and Wellbeing Board is the democratically accountable body with a statutory basis which drives the health and wellbeing agenda for Norfolk people. The H&WBB will discharge its responsibilities to support ICS delivery, through its role as the accountable body
- c) We welcome the commitment for the ICS to be accountable to the H&WBB for the delivery of health and wellbeing outcomes, and will work with the ICS to develop reporting arrangements that support that approach
- d) Within the context of developing an ICS, the Children's Alliance Board will continue to fulfil a critical role in providing the appropriate strategic forum and ensuring a specific focus on children and young people - reporting to the Children and Young People Strategic Partnership working alongside the wider ICS Board and reporting into the Health and Wellbeing Board
- e) We will secure senior Member and officer representation on ICS governance (the ICS Partnership Board) commensurate with the significant contribution of adults and children's social care and public health in the effective running of the health and social care system. The Executive Leader of the Council will nominate representation for the Partnership Board that will govern the ICS

2.1.4 Financial

- a) The ICS potentially gives NCC a stronger voice in decisions which impact on how system resource is allocated to support our population, in particular around the shift from acute to community, in line with Promoting Independence strategies. – **how do we ensure resource discussions support community provision, including the role of the care sector**
- b) Alignment of resource and improving value and quality will be possible through working to shared outcomes
- c) There could be opportunities to unlock joint investment to save schemes; to re-balance the intermediate care space and use money jointly in a way that benefits our population
- d) However, we would always retain ultimate financial control and accountability for our budgets and retain our ability to adjust resources across the county to meet need
- e) The establishment of the Children's Alliance Board has enabled a whole system response to the challenges of meeting children and young people's mental health and emotional wellbeing. Whilst the Board has an initial focus on core CAMHS (tier 2 and tier 3 services), our shared commitment to preventing needs from escalating and enabling all children and young people to thrive requires wider re-alignment of how resources are deployed, broader than mental health services alone

3. **Impact of the Proposal**

3.1. An ICS presents a series of opportunities for NCC, including to:

- a) unite around a common purpose that will also deliver strengthened health and social outcomes for our residents – for example ensuring the ICS includes social outcomes in its priorities and its measures of success
- b) use new joint financial ways of working to unlock opportunities that are often challenged by financial barriers and competing priorities
- c) benefit from wider engagement in system resourcing and develop a platform to negotiate key spending priorities

- d) build on the role of the LA as significant lead for health improvement with a focus on the causes of ill health associated with lifestyles and behaviours and wider determinants including education, employment, housing and environment
- e) workforce to work as part of a whole system approach, focused on improving population health and wellbeing outcomes; recognising the benefits of identifying the role of health and social care employers and institutions to have a positive impact on place and socio-economic development through employment, training and volunteering opportunities
- f) fundamentally reshape how we work together at a locality level that strengthens the voice and role of a social care model in locality and primary care networks approaches
- g) strengthen our collective focus on meeting the needs of children, young people and adults through early intervention and prevention - including the development and transition into adulthood - so that the right support is provided at the right time
- h) given the evidence about the importance of a child's first 1001 days, provide an integrated model which supports social mobility, education and family functioning alongside physical health, approaches that include a focus on the home environment, integration with early years education and collaboration with voluntary, community and peer support

4. Risks

4.1. Despite the opportunities, there are also challenges and risks associated with ICS development:

- a) a new way of working is required to ensure a consistent and equal social care commissioning and operational voice in an ICS environment
- b) that joint financial working poses risks to individual organisations if not effectively governed/planned/executed
- c) that we support a system that maintains H&WBB accountability
- d) legislative requirements to integrate education, health and care are driving our transformation with the necessity to provide increasingly integrated and more effective services to meet the needs of our population across all age groups, including children and young people
- e) Wider system development overseen by our CYP Strategic Partnership Board must not be duplicated or delayed by the process of establishing an ICS Partnership Board
- f) that we manage engagement in ICS development to ensure social care is at the heart of plans

5. Reason for Decision

5.1. These risks must be weighed against the potential benefits, and the alternative of an ICS without NCC aims embedded in its purpose and approach. If navigated with care, these risks can all be mitigated to a degree that could result in a significant net benefit to the local authority, our partners and our citizens. The principles outlined in **Appendix 1** attempt to find a manner to navigate through these opportunities and challenges, by creating a series of principles that at their heart will deliver benefits for our residents whilst supporting all our partners.

6. Financial Implications

6.1. The strategy itself has no immediate financial implications. However, the work taken forward in development of an ICS may have implications for NCC and other system

partners. Where these financial implications are identified they will form part of business cases to be assessed on a case by case basis.

7. Resource Implications

7.1. Staff:

- 7.1.1 The strategy itself has no immediate staffing implications. However, where property implications do arise during the development of ICS, these will form part of reports and decisions to be assessed on a case by case basis.

7.2. Property:

- 7.2.1 The strategy itself has no immediate implications. However, where property implications do arise during the development of ICS, these will form part of reports to be assessed on a case by case basis and could lead to opportunities to better utilise system estate.

7.3. IT:

- 7.3.1 The strategy itself has no immediate IT implications. However, where property implications do arise during the development of ICS, these will form part of reports to be assessed on a case by case basis and could create opportunities for more effective information sharing and a greater ability to measure outcomes as a system.

8. Other Implications

8.1. Legal Implications:

- 8.1.1
- a) Whilst Health & Wellbeing Boards were established under the Health and Social Care Act 2012, ICSs are not statutory entities and there is no specific legislation governing how they operate. Statutory developments are being monitored by the officer team. As indicated governance and accountability of non-statutory arrangements will be ongoing issues. It is noted that NCC will retain ultimate accountability for its functions and resources and accordingly joint working governance arrangements and the use of existing flexibilities require the attention indicated
 - b) The Care Act 2014 and its statutory guidance provide that Local Authorities must carry out their care and support responsibilities with the aim of integrating services provided by the NHS and other health related services. Similar duties to promote integration with care and support are placed on NHS England and CCG's. Therefore, being involved with the ICS process, having due regard to the work already underway to progress health and social care integration, is appropriate
 - c) The NHS Shared Planning guidance 16/17 – 20/21 is clear that local authority involvement is fundamental to the delivery of effective sustainability transformation plans and partnerships. The Government's ten year plan for the NHS considers how funding for adult social care can be made sustainable and covers issues such as integration with health and other services, carers, workforce, and technological developments
 - d) The Secretaries of State for Health and Social Care and for Communities and Local Government tasked the Care Quality Commission to carry out a series of targeted reviews of local health and social care systems. A central feature of the reviews was to assess how services meet people's needs and how care providers work together
 - e) Responsibility for ensuring the adequate delivery of the Council's functions under the Care Act 2014 will remain with the Council. In accordance with the

requirements of the NHS Bodies and Local Authorities Partnership Arrangements Regulations 2000, prior to approving this report Cabinet will need to satisfy itself that the proposed partnership arrangements are likely to lead to an improvement in the way in which those functions are exercised

- f) The ICS would need to be added to the partnership register/webpage for NCC and that the governance arrangements are consistent with the Code of Corporate Governance and/or any Partnership Governance Framework.

8.2. Human Rights implications

8.2.1 None identified.

8.3. Equality Impact Assessment (EqIA)

8.3.1 An EqIA will be conducted, and equality issues will be considered, as part of the development of any agreed elements of an ICS that impact on our residents.

9. Risk Implications/Assessment

9.1. Please see section 3 for details of potential risks.

10. Select Committee comments

10.1. The People and Communities Select Committee (13 September 2019)
a) CONSIDERED and SUPPORTED the progress on integrated commissioning and community-based models and policies for integrated social work services, and to comment on the risks and opportunities; and b) SUPPORTED further updates to Select Committee as required, and further action by the Executive Director of Adult Social Services, in consultation with the Cabinet Member for Adult Social Care, Prevention and Public Health, on revised agreements with the NHS to achieve improved outcomes. In addition, the Executive Director Children Services in consultation with the Cabinet Member has agreed to update both the Select committee and Scrutiny on the impact of the Childrens Service transformation programme, its performance and the development of the alliance to fulfil the partnership vision for C&YP to flourish.

11. Recommendations

11.1. **Cabinet is recommended to:**
a) **Agree NCC's support for, and commitment to becoming part of, an Integrated Care System**
b) **Agree the proposed NCC principles to guide ICS development - to be utilised in emerging discussions with partners on the future shape of an ICS**
c) **Agree that the NCC Leader will nominate representation for the Partnership Board that will govern the ICS, and support the commitment for the ICS to be accountable to the Health & Well Being Board (H&WBB) for the delivery of health and wellbeing outcomes for the local population**

12. Background Papers

12.1. [People and Communities Select Committee \(13 September 2019\)](#)

Officer Contact

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If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

Appendix 1: NCC principles to guide ICS development

These are a set of principles that have been developed to guide ASC and NCC's potential place within an ICS. These principles are based on local experience and existing systems, national and local best practice and the developments of ASC and CS in other systems ICS'. The principles are based on an amalgamation of different models used to define effective integration. Each principle covers potential objectives for ASC and NCC, areas of ICS development that could benefit our residents and our potential responsibilities. CS will use the agreed NCC principals to develop objectives with the Children's Alliance Board and Children and Young People Strategic Partnership.

Theme 1: Common Purpose

The development of an integrated system embodies more than processes, money and structures – it requires a joint principle of working together to achieve common goals. Continuing to strengthen NCC's relationship with the NHS and playing a full part in developing and delivering an ICS will enable us to uphold our statutory duties and deliver improved outcomes for our population as a whole. **There is an opportunity to utilise the development of an ICS to strengthen how we unite around a common purpose, that as part of it helps achieve greater social outcomes for our residents and delivery of our health and wellbeing aims.**

Opportunities

NCC has a strong focus on prevention and other key strategic priorities that will deliver both its Care Act responsibilities and wider strategic aims. Norfolk's Joint Health and Wellbeing Strategy Board clearly establishes a number of principles that will support our population's health and wellbeing through partnership working and integration. This would include embedding prevention across all organisational strategies and policies, collaborating in the delivery of people centred care to make sure services are joined up, and engaging with and listening to our residents and communities. **As we increasingly collaborate as an integrated system, we would seek to ensure those health and wellbeing strategy aims and social care principles and outcomes will be incorporated across system plans.** This will build on the opportunity for social outcomes to be a prominent part of the ICS model, alongside a health model. This would include the NCC advocated Home First approach, which is increasingly supported by partners across our health and care system and is being built in to service planning.

Our aims and benefits

NCC remains a committed partner in the development of an ICS, with social care playing a core role within that, to deliver key ASC, NCC and Joint Health and Wellbeing Strategy aims. **It is critical that strategic direction of the ICS must include NCC's place clearly and meaningfully within that.** Practically that means that we wish to see system indicators of success that include meaningful measures for social care (for example ASCOF) as well as health and for those measures overall to feed into the Health and Wellbeing Board. As part of that, we are committed to prevention and early intervention and will design and deliver services in a way that deliver those principles for the whole system (e.g. services that put our population at the centre of any model). NCC wish to see that approach built in across the ICS. How that could be achieved is outlined later in the document under resource allocation and collaborative culture.

Aligning services with emerging localities and Primary Care Networks (PCNs) and designing and delivering services that maintain their social care purpose but include outcomes that benefit other partners/whole population. Actively developing more joint approaches to engaging and listening with our population, who use all our services and don't always see a distinction between 'health' and 'social care'.

NCC aims to ensure analysis of data and information as central to the work of the ICS and the delivery of population health management (PHM) approaches by the identification of local population needs, building on the existing work of the local public health team regarding the

statutory requirement for assessing the health needs of a local population via the local Joint Strategic Needs Assessment.

Our responsibilities

Overall, social care and health partners already share a common purpose in seeking greater integration and joint working to improve outcomes and resilience for our population. However, it is also critically important that as we develop our integrated ways of working, **social care retains ultimate accountability for its directly commissioned and delivered services**. A clear part of our common purpose will be that there may be occasions when social care/work resource has to be re-directed away from pre-agreed plans in order to meet urgent population need - NCC will maintain its authority to execute that.

Public Health would provide evidence, population needs assessments, modelling to identify local 'at-risk' cohorts – and, in turn, designing targeted interventions to prevent ill-health and improve care and support for people with ongoing health conditions and reducing unwarranted variations in outcomes. This approach would include a clear focus on advocacy of population health working within the ICS values and principles of partnership, prevention and addressing inequalities to improve population health outcomes.

Theme 2.1: Collaborative culture – how we work together

How we collaborate as partners, both within and outside formal governance structures, will be critical to an ICS where NCC has a central role in its delivery. This includes both collaboration in a commissioning and operational sense. There is an opportunity to strengthen the voice and role of the LA and social care, to seek a new way of working that ensures joint planning for a consistent social care and health commissioning and operational approach that builds person-centred services with social care principles at the heart of an integrated system.

Opportunities

ICSs enable the planning of integrated healthcare treatment, social care and prevention activity to address identified local population needs, to improve population health outcomes and to help shift the focus from treatment to prevention and early intervention. **In line with the 'common purpose' we are seeking, we wish to embed prevention across all organisational strategies and policies.** By pursuing collaborative approaches with our partners we have the opportunity to ensure that. This could be operationalised through seeking clearer arrangements where health and social care include preventive approaches in their specifications and commissioning approaches. An ICS could also support providers to come together across social care and health to create more person-centred approaches that focus on early identification, intervention and prevention and avoiding escalating need, resulting in fewer touch-points for services users and streamlining their journey through systems. The JHWP Strategy also seeks to embed integrated approaches in policy, strategy and commissioning plans. An ICS provides the opportunity to deliver that commitment by creating structures and processes that build integration in.

Our aims and offer

All partners across our system want to develop mechanisms, such as risk stratification tools, that support the targeting of care where it is needed most – an approach also advocated by our joint health and wellbeing strategy. Central to the work of ICSs and the delivery of population health management (PHM) approaches is the identification of local population needs, building on the existing work of the local public health team regarding the statutory requirement for assessing the health needs of a local population via the local Joint Strategic Needs Assessment. As part of ICS development, ASC and Public Health will actively pursue a single model of population health management, as far as practicably possible, that can be used across the system including with care providers.

ASC and the CCG have both recently completed restructures of their commissioning functions, and relationships with Suffolk County Council commissioning are also strong. Relationships between teams are growing increasingly stronger. **ASC will use that opportunity to work with the CCG to identify areas of joint commissioning and strengthen oversight of existing arrangements.**

NCC is also interested in the development of commissioning arrangements that deliver improved outcomes and resilience for residents, focusing on prevention across all our strategies and services that are person-centred and enabling. NCC have already begun to implement some innovative 'outcomes-based' commissioning approaches, where we pay providers to meet outcomes rather than activity. **As part of an ICS, NCC would seek a greater level of collaborative development of outcomes based commissioning models, in a consistent, collaborative way between partners.** This could bring both the advantage of creating an approach shared across the system, but also offer the opportunity to build into our services joint outcomes that benefit both social care and health. A good example would be out of hospital services commissioned by the CCG and NCC separately, where we could each build in outcomes that support our organisations respective aims and make better use of public sector funding.

As we move towards outcomes-based commissioning, ASC would also support exploring the development of outcomes based-providers, **with greater roles for groupings of providers that work together.** This approach can support greater collaboration between partners in a system, better use of public funds, and a stronger focus on that person-centred approach across disciplines. However, **exploring these approaches would be subject to a clear understanding that the role of social care within them must be clear, defined and enhanced,** and any design that impacts providers would be subject to NCC approval.

Our responsibilities

The approach NCC seek would help develop an integrated system where partners work more closely together and make use of commissioning and operational approaches to focus on the individual. However, individual organisational identities and purposes remain important and the social care profession must be treated as an equal partner. Similarly, we would continue to **require adherence to county-wide processes** (e.g. brokerage, safeguarding) and it is critical that **social care provision be equitable across the county and meet common standards.**

Theme 2.2: Collaborative culture – how we empower communities

There is an opportunity to **shape how we work together at a county, place and neighbourhood level, that aligns closely with local government's natural focus on place based delivery.** This could take the form of developing formal collaborative arrangements in each 'place' (locality) and neighbourhood (primary care network) that fits naturally with local government's approach to community-focused services.

Opportunities

Adult Social Care wish to pursue a model of integrated social care and health where there is a clear focus on 'place' and 'neighbourhood'. However, the system must also ensure that access to services is equitable, so **the role of county/system-wide strategies remains important.** This approach will deliver to the aim in our joint health and wellbeing strategy to improve locality working and sharing best practice, and by designing and delivering services at a place level we can ensure we are collaborating in the delivery of people centred care to make sure support is joined up, consistent and makes sense to those who use it.

The Health and Wellbeing Board is also committed to providing joint accountability between social care and health so that as a system we are preventing, reducing and delaying needs and associated costs. Consequently, it is of importance that at that locality and neighbourhood level, **we establish structures and process and that bring social care, health and other statutory partners (such as districts) together to make decisions** as far as practically possible. Where there are matters where decisions can't be made together, we are actively consulting each other and building this engagement process into our governance. Without this approach to giving our places and neighbourhoods the space and authority to do that, we do not believe that the joint accountability combined with place and neighbourhood focus advocated by the joint health and wellbeing strategy can be genuinely achieved.

Our aims and offer

NCC is committed to empowering local communities and making decisions as close as possible to our residents. Consequently, we support a structure of health and social care where service design and delivery is based around the county, localities within that, and then neighbourhoods below. This fits with local democratic structures in general - many of these structures are in place at county, district and ward levels with associated national and local population data and information provided. **NCC support the review and defining a number of places/localities with supported embedded structures including democratic decision making but also reflect the identity of our population.**

In the development of other ICS' in England the 'place' based model has focused on a 'provider' lead model. **NCC supports a blended provider/commissioner approach in each 'place', where each locality could have lead providers or providers working together in a form of alliance, but it is also critical that a commissioner voice is present**, either through part of the place team or through enabling providers to make decisions delegated by commissioners.

To enable this approach, Adult Social Care's commissioning team will explore greater opportunity for commissioning lead at a place and neighbourhood level, and **will complete an exercise identifying what could be commissioned at each level** (county, locality etc). **Adult Social Care expects other partners to follow the same principle and conduct a similar exercise** and will also work with district councils.

Where Adult Social Care decides that commissioning is best lead at a place or neighbourhood level, the relevant commissioning team will need to develop **a clear system-wide framework for that area of commissioning, but with place or neighbourhood based plans within it.** Adult social care is then also content to **explore how sign-off of those place or neighbourhood level plans can sit within a multi-agency team at that level** – where accountability remains with the local authority but it enables the place or neighbourhood team to make the decision within the county-set framework. An example could be that the overall budget for a particular types of services is set at a county level, and the overall outcomes it needs to achieve – but then the commissioner and service works with locality colleagues to design the service at a place or neighbourhood level, and the multi-agency group will influence and decide on whether the plan is correct for the area.

NCC has lead the way in developing models of service delivery that empower our providers and the communities they serve to make decisions about how services are delivered that are flexible and lead by their expertise. Examples include the new NCC commissioned Social Impact Bond for Carers services, where an overall outcomes framework is set but with decision making on delivery sitting with the provider. NCC would be prepared to explore similar approaches, where there is a clear outcomes framework set for the locality and it can be assured it will deliver (as ultimate accountability will remain with the local authority). ASC is content to explore delegating (whilst maintaining ultimate accountability) responsibility to places or neighbourhoods in a similar way, with associated contractual mechanisms. However, it will only test or develop proposals once it has been evidenced that decision making at a locality level is working effectively.

To support and develop joint working the Public Health team would work to ensure shared approach to knowledge, information and intelligence to inform integrated commissioning:

- Health needs assessments – place and population
- Specialist needs assessments e.g. mental health/cancer; Themed e.g. A&E/urgent care
- Data and analysis for plans and bids

Our responsibilities

By taking these steps, we will be working towards development of a place-based approach that creates strong working relationships between health and care partners and our citizens, where social care also plays a prominent role. It will also support our local care association (NORCA) and care providers to have an active voice in the shaping of health and care across the system and be actively involved with future decision making. Finally, this approach will ensure that although ASC strongly advocates place and neighbourhood level decision making, we take measured steps towards that which are guided by meeting our resident's needs and retain

accountability for the Care Act with NCC. Any delegated decision making to a locality will be on the proviso that the locality structure contains clear, meaningful social care membership.

Integrated care needs organisations to work together at a place level. Public health advice and support for local arrangements will be nuanced and focused to both inform and respond to local priorities.

Theme 3: Resource allocation

A key aspect to developing a system that utilises integration to deliver better outcomes for its population is **utilising financial structures that support integration and joint working between professionals from different professions**. The development of an ICS presents NCC with an opportunity to shape how those financial structures and our allocation of resource across organisations will support integration, and make the most of opportunities to use joint financial ways of working to unlock opportunities. An ICS presents the opportunity to pursue that approach and embed further aims that could also reduce demand for high cost care whilst improving care market sustainability and quality.

Our aims and offer:

During the COVID-19 pandemic, social care worked closely with the CCG to develop a joint approach to modelling potential demand for social care and health services in the community, and shared information on available capacity in a way it never had before. Social care leadership in this space meant information was then available that actively benefited ASC's market development approach, and reciprocally benefited targeting of health capacity. There is an opportunity for ASC to lead the way in seeking this permanently.

To support local decision making and an opportunity to have greater influence over spend across the system, ASC would advocate for providing each locality a clear local budget (e.g. amount spent). In addition, it will explore genuinely pooled Better Care Fund budgets that could be delegated/influenced in each locality. ASC would also be open to exploring pooled budgets and joint financial arrangements across all integrated spend (incl. outside BCF), but it would need to be guided by the development of a model/principles of pooled budgets and their benefits to all system partners.

This overall approach could significantly enhance decision making at a local level. It would also provide greater oversight of system budgets and spend and the ability for NCC to influence that, embedding integrated approach into our policies as advocated by the joint health and wellbeing strategy.

Our responsibilities

Whilst there are significant opportunities presented by working together on resource allocation, there are also risks that will need to be mitigated. These risks apply to all individual organisations. Critical to the approach will be the overall principle that **NCC retains ultimate control and accountability for its budgets, and would retain its ability to adjust resource across the county to meet need**. NCC would look to effectively support localities or commissioning arrangements that empower decision making and innovation by providers and in localities, but would ensure that overall budget setting and control remains with the accountable organisation. Consequently, NCC would be utilising the ICS to deliver its aims but ensuring that should those aims not be being delivered it would retain control to adjust its involvement.

The approach advocated by NCC could also open the door to a greater degree of joint working between NCC and the CCG, where **potentially we could co-design programmes that enable joint cases of invest-to-save and consequently joint savings and quality improvement**. **This would be a significant move forward and potentially enable a number of significant financial benefits to the local authority**. For example, NCC could jointly invest in population health management tools with the CCG that support care homes to prevent escalating need of their residents, consequently reducing the number of hospital admissions – and seek joint savings with the CCG from that. However, whilst NCC support financial planning with other organisations, and share financial savings where investment in delivering is jointly shared, **it will not financially support organisations in financial recovery or take on liabilities or debt**.

The Norfolk and Waveney Health and Care Partnership



The Norfolk and Waveney Health and Care Partnership

We are a partnership of local health and care organisations working together to improve the health, wellbeing and care of people living in Norfolk and Waveney.

Our partnership includes local GP practices, hospitals, community care, social services and mental health teams, and together we provide services to more than a million people.

We work closely with our local healthwatch organisations, district councils, the voluntary, community and social enterprise sector and others.



Our three goals

1. To make sure that people can live as healthy a life as possible.

This means preventing avoidable illness and tackling the root causes of poor health. We know the health and wellbeing of people living in some parts of Norfolk and Waveney is significantly poorer – how healthy you are should not depend on where you live. This is something we must change.

2. To make sure that you only have to tell your story once.



Too often people have to explain to different health and care professionals what has happened in their lives, why they need help, the health conditions they have and which medication they are on. Services have to work better together.

3. To make Norfolk and Waveney the best place to work in health and care.

Having the best staff, and supporting them to work well together, will improve the working lives of our staff, and mean people get high quality, personalised and compassionate care.



Our five big changes

- 
- The Norfolk and Waveney Health and Care Partnership
1. We will help people to make healthier choices to prevent them from getting ill and we will treat and manage illnesses early on.
 2. Our GPs, nurses, social workers, mental health workers and other professionals will work together in teams, in the community, to provide people with more coordinated care.
 3. Our hospitals will work more closely together so people get treated quicker in an emergency and don't have to wait as long for surgery and other planned care.
 4. We will work together to recruit more staff and we'll invest more in the wellbeing and professional development of our workforce.
 5. New technology will modernise our health and care services, making it quicker and easier for people to get the care they need.
- 

Cabinet

Item No: 16

Decision making report title:	Schools' Capital Programme
Date of meeting:	5 October 2020
Responsible Cabinet Member:	Cllr John Fisher (Cabinet Member for Children's Services)
Responsible Director:	Sara Tough, Executive Director of Children's Services
Is this a key decision?	Yes

Executive Summary

The County Council has a duty to secure sufficient pupil places to meet the demands of the school-age population, and the long-term needs are set out in the School's Local Growth and Investment plan annually.

Norfolk County Council receives schools' capital grant funding to support its strategic plans for the provision of additional places and for improving the quality of existing maintained school buildings. This has been able to fully fund the capital programme for growth for a number of years so unlike many Local Authorities, Norfolk has not had to provide additional funding to the schools' capital programme for some years.

The cost-effective provision of high-quality learning environments is central to meeting the County Council's ambition to ensure high standards of achievement in schools.

In August, Cabinet approved the schools' capital programme from 2020-2023+, setting out the current funding envelope and the risks to the delivery of the programme from the potential shortfall of available funding.

This report sets out a request for capital borrowing to ensure programme delivery to meet the statutory duty.

Recommendations To

- Note the total funding for Schools' Capital Programme for the next three years and beyond
- Agree an initial £30m borrowing as part of the requirement of the programme and inclusion in the County's Council's Capital Programme for next year.
- Review the funding gap annually to take account of other sources of external funding which may come forward and opportunities for alternatives fully exploited.
- In the event of a continued funding gap, as a last resort council investment will be profiled as indicated under paragraph 2.17 (these figures may change based any new sources of funding)
- Recommend to Full Council that this is incorporated into the Capital Programme

1. Background and Purpose

- 1.1 The County Council has a duty to secure sufficient pupil places to meet the demands of the school-age population. The main financial source to support this duty is the annual schools' capital grant funding from the Government. This grant, along with funding from other sources, is used to support the Council's strategic plans for the provision of additional places and for improving the quality of existing NCC-maintained school buildings. In May/June of each year, Cabinet is asked to either approve the roll-forward its approved schools' capital building programme or approve a new programme approximately every three years. This report forms part of an annual reporting cycle as follows:
- 1.1.1 November – Portfolio Member update and identification of emerging capital pressures and priorities for the forward years
- 1.1.2 January - Growth and Investment Plan (summary of strategic pupil place pressures) to Cabinet
- 1.1.3 May/June – proposed revisions to capital programme in the light of funding allocations.
- 1.2 The Capital Priorities Group considers emerging business cases for investment and make a recommendation to the Executive Director of Children's Services as decision maker on schemes for inclusion into the programme and subsequent budget adjustments.
- 1.3 The group continues to support and monitor the progress of the capital programme and considers in detail projects of concern, based on a regular risk assessment.
- 1.4 The structure of this report is as follows:
- A summary of existing schools' capital funding sources;
 - A schedule of schemes in the approved programme for 2020-2023+
 - A proposal for NCC borrowing to support the agreed programme and profile of anticipated expenditure based on current information

2. Proposals

Priorities underpinning the programme

- 2.1 Three priorities have been set for the capital programme in recent years. Current unallocated sums are as follows but include programme level budget risks (eg. Covid -19 budget increases):

Priority	Scope	Unallocated as at 1 September 2020
A	Growth	£12m
B	Special Educational Needs	NCC Borrowing capacity only
C	Rationalisation, major capital maintenance and compliance	£12m
	TOTAL	£24m

Government funding sources for the NCC schools' capital programme are as follows:

2.2

- Government grant: 'Basic Need' for growth places at all state-maintained schools and 'Capital Maintenance' for major condition improvements at NCC- maintained schools
- SEND Government capital grant – all fully allocated to support children with EHCPs
- £2m CIL income from the Greater Norwich Growth Area. CIL has replaced Developer Contributions in all the Districts within the Greater Norwich Growth Area and between 2017 and 2021 an annual £2m allocation has been agreed for education provision, based on projected CIL income. Recent economic challenges have resulted in central Government encouraging Authorities to negotiate deferral of CIL payments to smaller and medium size developers. The current agreement by the Greater Norwich Growth Board is for the £2m annual income to be applied directly to construction schemes, however for 2021/22 onwards a proposal will be presented to the GNGB to use this income to offset NCC borrowing.

Capital grants payments are summarised in the table below

2.3

£m	2020/21	2021/22	2022/23
Basic Need	0.0m	7.80m	-
LA Capital Maintenance	5.28m	-	-
SEN provision capital	0.908m	-	-
CIL Income	2.00m	-	-

2.4

Other sources of capital funding available are:

- Developer funding – this funding is received from housing developers via District Council Section 106 agreements. Where the scale of development warrants it, a new school site can be

claimed free of charge.

- Free school programme – at present new school proposals may be eligible for free school funding from central Government. The current criteria include the need for both new pupil places and improved standards in an area. Applications from Sponsor Academies are made in ‘waves’ opened by the Department for Education and available land from the LA is preferable to assist delivery. Considerable schools’ capital has been previously channelled to deliver the Government free school programme and expansion of selective schools, but with a Spending Review pending there is no certainty of allocations for future programmes of work.

2.5 Any alternative sources of schools’ capital funding for provision of places which arise will be fully considered and utilised as appropriate. All opportunities arising to benefit from Free School Programme and any subsequent programme will be fully exploited to reduce the financial impact of delivery on the County Council.

2.6 Section 106 developer contributions for education potentially available from agreements is £112, 815,200 yet to be collected. When received subsequent to project completion, these contributions release schools’ capital previously invested into supporting the future programme. There is no certainty on this funding, if, for example, the planning approval expires or the housing concludes before the trigger for the S106 is reached.

2.7 **Proposals for the forthcoming mainstream schools’ capital programme**

A1-4 Growth

2.8 The programme in the next three to five years constitutes largely category A1 schemes either new primary schools within large housing developments or new secondary school provision.

New primary schools are planned in housing developments and therefore reliant on the output of the housing market. As a key element of infrastructure in a new community there is considerable pressure to bring new schools forward, but this needs to be balanced with the demand for additional places which can take longer in some parts of the County. All new schools are designated as Free Schools under legislation. They will be subject to 125 year lease from Norfolk County Council to the incoming Academy Trust assigned to open the school either via an LA presumption route or a DFE Free School wave.

2.9 The following table sets out all schemes approved for 2020-23+ to support pupil growth as a result of new housing development.

Project	Anticipated year construction commencement
Costessey Ormiston Victory Academy (expansion)	2021
Sprowston High Academy (expansion)	2021
New Blofield Primary (relocate and expansion)	2022
Holt Primary (relocation and expansion)	2022
Cringleford Primary (new school)	2023
Poringland Primary (new school)	2023
North Norwich High School (new school)	2024
Thetford new 2FE Primary (new school)	2025

These schemes have been accepted into in previous schools' mainstream capital programmes at design development stage but currently not all fully funded.

2.10

2.11

Schools' mainstream capital programme has been funded since 2014 by government grant, S106 contributions and past capital receipts. Basic Need allocations are not known beyond 2021/22. Without certainty of future capital allocations, the capital required to deliver for this forward programme up until 2023 is approximately £30m and beyond the available funding envelope for growth. A proposal for NCC funding is likely to require capital borrowing to ensure it can meet its statutory duty to provide sufficient school places.

2.12

A 420 place primary school costs on average £8m, a new classroom block at a high school around £7-9m without inflation applied. Costs are consistently reviewed and challenged to ensure that any reduction in cost is exploited to reduce the capital outlay. All building schemes are tendered to ensure best value.

2.13

There is a national focus from central Government on making the best use of schools' capital using Modern Methods of Construction (MMC), but the ambition for carbon zero school buildings requires sustainable building infrastructure and increased capital investment.

2.14

The nature of pupil forecasting means that identifying the precise time at which a new school will be required is a challenge, as it depends on a number of factors including the location of nearest schools and the existing capacity in surrounding schools. As a Local Authority, we are conscious of the need to ensure the stability of existing schools, and not to oversupply places and create unnecessary surplus. One way this has been managed is to use growth in addition as an opportunity to shape the education landscape and fulfil the policy desire to have primary schools of 420 (2Forms of entry). In areas of Infant and Junior schools this has meant change to primary as restated in the Cabinet Paper of January 2020.

It is therefore proposed that the principle of underwriting is agreed and the borrowing for phase one is approved to be included in the NCC capital

programme. Funding will be drawn down for the new schools when required based on surrounding schools being largely full to capacity.

2.15

Proposed profile of expenditure phase one

Year	2020/21	2021/22	2022/23
Borrowing Required	£0m	£20m	£10m
Schemes assumed for delivery	Ormiston and Sprowston Academy design development	Ormiston Victory Sprowston Academy construction Land acquisition costs	Blofield construction Design development for other schemes

2.16

The nature of pupil forecasting means that identifying the precise time at which a new school will be required is a challenge, as it depends on a number of factors including the location of nearest schools and the existing capacity in surrounding schools. As a Local Authority, we are conscious of the need to ensure the stability of existing schools, and not to oversupply places and create unnecessary surplus. One way this has been managed is to use growth in addition as an opportunity to shape the education landscape and fulfil the policy desire to have primary schools of 420 (2 Forms of Entry). In areas of Infant and Junior schools this has meant change to primary as restated in the Cabinet Paper of January 2020.

2.17

The second phase of the programme is set out below. A further request for borrowing will be presented as and when required.

Year	2023/24	2024/25
Anticipated budget Required	£20m	£30m
Schemes assumed for delivery	Cringleford construction Poringland construction North Norwich High design development	North Norwich High School construction Thetford Primary construction

3. Impact of the Proposal

3.1

A decision to support the schools' capital programme via borrowing will ensure the statutory duty for place planning can be discharged.

3.2

By ensuring the delivery of schools in new communities, this will secure important infrastructure as part of housing development.

4. Evidence and Reasons for Decision

- 4.1 The 'Norfolk multiplier' for new homes is 28.1 primary age children per 100 homes (4 per year group) and 14.5 secondary age children per 100 homes (3 per year group). This is an average, with some parts of the County producing higher numbers and other parts lower. New developments can produce new patterns of place demand, and therefore an average can allow for variation.

Development size	New primary places	New secondary places
500	140	73
800	225	116
1000	281	145
1500	422	218

5. Alternative Options

- 5.1 The alternative option would be to only build places within the capital grant. The implication of this is a likely sharp increase in school transport costs and number of journeys across the County to provide school places as children attend schools outside of their catchment area.

6. Financial Implications

- 6.1 There are financial implications on future revenue budgets of borrowing to fund capital expenditure. These depend on the amount and timing of borrowing, future interest rates, and the expected useful life of the assets. Assuming an interest rate of 2.75% and a life of 35 years, the impact on the Council's revenue budget of borrowing £30m would be £1.682m pa in the year immediately following the completion of construction. At 3.5% interest, the impact would be £1.907m pa. However, the impact will be reduced through the use of alternative sources of funds reducing the need to borrow. In addition, any capital receipts generated by the project will also reduce long term borrowing costs

7. Resource Implications

- 7.1 **Staff:** The schools' capital programme will be delivered within existing staffing capacity.
- 7.2 **Property:** New schools will result in development of the schools' estate. All new schools opened are academies under the Education and Inspection Act 2006, and as such are subject to a peppercorn 125 lease from Norfolk County Council.
- 7.3 **IT:** There are no ICT implications for this programme other than infrastructure delivered as standard within the new schools.

8. Other Implications

- 8.1 **Legal Implications** None identified
- 8.2 **Human Rights implications** None identified
- 8.3 **Equality Impact Assessment (EqIA) (this must be included)**

This programme has been assessed to ensure that it has no adverse impact on young people including those with disabilities, gender reassignment, marriage/civil partnerships, pregnancy/maternity, race, religious belief, sex or sexual orientation where appropriate, as it aims to secure a good place of education for every child. In particular it seeks to ensure that every school has sufficient capacity for strong leadership and governance to safeguard a good education for all.
- 8.4 **Health and Safety implications** (where appropriate)
- 8.4.1 **Investment in condition of the estate is frequently in support of health and safety and safeguarding of pupils on school sites.**
- 8.5 **Sustainability implications** (where appropriate) NCC has a target to carbon net zero by 2030 and this will have implications this has for school design. Investment in sustainable infrastructure is generally predicated on additional capital investment returned via reduced running costs. Any offset of costs in this case will not be recouped by NCC but the school as user of the building. Additional investment in sustainability will be considered in this context.
- 8.6 **Any other implications**
- 9. Risk Implications/Assessment**
 - 9.1 There is a long term risk to the Council's ability to deliver its statutory responsibility without sufficient investment in maintaining and expanding its assets. The schools' mainstream capital programme is aligned to the Schools' Local Growth and Investment Plan.
 - 9.2 The programme requires regular monitoring, management and budgetary control to deliver schemes on time and within budgets. This is addressed through the bi-monthly meetings of the Children's Services Capital Priorities Group, the oversight of the Executive Director of Children's Services and via the Cabinet Member's regular report.
 - 9.3 The programme is set out on best estimate of costs and through good procurement practice, the Council will continue where possible to manage down the capital expenditure and minimise need for borrowing. At a programme level, key risks have been incorporated into a risk register as beyond individual project capacity. An allowance has been identified for the programme so delivery is assured if one or more of these risks comes to fruition. The most recent example of this is Covid-19 or a similar pandemic.

- 9.4 There is a risk that external grants and payments from third parties will not be received for reasons outside the Council's control. The programme will be adjusted to reflect these circumstances and reduced available funding.

10. Select Committee comments

10.1 n/a

11. Recommendations

- 11.1
- Note the total funding for Schools' Capital Programme for the next three years and beyond
 - Agree an initial £30m borrowing as part of the requirement of the programme and inclusion in the County's Council's Capital Programme for next year.
 - Review the funding gap annually to take account of other sources of external funding which may come forward and opportunities for alternatives fully exploited.
 - In the event of a continued funding gap, as a last resort council investment will be profiled as indicated under paragraph 2.17 (these figures may change based any new sources of funding)
 - Recommend to Full Council that this is incorporated into the Capital Programme

12. Background Papers

12.1 [Schools' Capital Programme Cabinet Paper August 2020](#)

[Education Landscape and School Place Sufficiency Cabinet Report, January 2020](#)

[Children's Services Committee Paper May 2015](#)

[Children's Services Committee Paper May 2016](#)

[Children's Services Committee Paper May 2017](#)

[Children's Services Committee Paper May 2018](#)

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Cabinet

Item No: 17

Decision making report title:	Statement of Purpose of Norfolk Adoption Service 2020-2021
Date of meeting:	5th October 2020
Responsible Cabinet Member:	Cllr John Fisher - Cabinet Member for Children's Services
Responsible Director:	Sara Tough Executive Director of Children's Services
Is this a key decision?	Yes
If this is a key decision, date added to the Forward Plan of Key Decisions.	NA

Introduction from Cabinet Member

Every adoption service has a statutory requirement (Children Act 1989, Adoption and Children Act 2002, Voluntary Adoption Agencies (Amendment) Regulations 2005, Voluntary Adoption Agencies and the Adoption Agencies (Miscellaneous Amendment) Regulations 2003, National Minimum Standards for Adoption Services 2011, The Local Authority Adoption Service (England) (Amendment) Regulations 2007, Adoption Support Agencies (England) (Amendment) Regulations 2010, Adoption Agency Regulations 2013, Adoption Key List (Children's & Families Bill 2014), Adoption Statutory Guidance 2014/2015, Adoption Statutory Guidance 2015) to publish, and regularly update, a document which describes the ethos and goals of the adoption service, its management and oversight arrangements and the experience of its staff.

This Statement of Purpose (appendix 1) is a public document, approved by the Cabinet before being made available to adoptive families, adopted children and their birth parents, and staff working in the field of adoption. It is also inspected by OFSTED (Office of Standards in Education).

The cabinet paper will focus on a performance review of Norfolk Adoption Service.

Executive Summary

- The adoption service was graded as Outstanding by Ofsted November 2017 Ofsted told us our adoption service is outstanding and that the service delivers positive and timely outcomes for our children who have a plan for adoption
- Our adoption performance is in the top 10% of England
- Foster to Adopt is making a real difference to children's lives
- Family finding profiles are thoughtful and well written
- The quality of transition has been transformed by our moving to adoption project in conjunction the with University of East Anglia

- Post adoption support packages are comprehensive and individualised
- As an outstanding Adoption Service, we have partnered with Bromley Children's Services to assist them in being their improvement partner in driving performance and practice within their Adoption Service. This started and progressed. We also supported Thurrock in developing their adoption support service.

Key Achievements:

- Norfolk children, on average, are waiting for a shorter period between entering care and moving in with their adoptive family.
- Prospective adopters' assessments are of a good standard

As a result:

- The number of adopters approved in 2019/20 was 39 with a further two not approved by the end of the year; compared to 46 in 2018/19.
- The number of children matched with adoptive families in 2019/20 was 52; compared to 67 in 2018/19.
- The number of adoption orders granted in 2019/20 was 62 compared to 63 in 2018/19.
- Over the last year, we have worked with two voluntary adoption agencies and 7 local authorities as part of Adopt East Alliance to prepare a regionalisation approach of adoption services and there are now regular fortnightly meetings to progress matters.
- Early permanence decisions are being made quicker and with greater senior management oversight to ensure that children are placed swiftly and experience minimal delay including robust arrangements to track cases in public law.
- We achieved 8 foster to adopt placements for children compared with 11 placements the year before.
- We have adapted to Covid-19 pandemic by continuing with service delivery and adapting practice, ensuring that children placed for adoption continues.
- The Adoption Panel Advisor has continued supporting improved practice, promoting continued practice improvements through quality assurance, training and challenge.
- Our adoption buddies continue to offer support to other potential adopters and have been engaging with the marketing manager to help steer direction.

The key areas of challenge:

- The number of children with a plan for adoption has slightly increased. This is a trend reflected locally and nationally (79 children in 2019/20 compared to 75 the year before)
- Recruiting enough adopters to be matched with the children with a plan for adoption remains an issue however we have adapted and changed our marketing strategy.
- Variability in the quality of child permanence reports however a decision has been made not to hear cases where reports are poor.
- Some children with complex needs or large sibling groups remain difficult to place.
- To ensure all children with adoption as a permanence plan have good quality life story books and later life letters.
- Courts hearing more cases for direct contact between birth families and adopted children. Training has been held with CAFCASS regarding this issue.

Next year:

- We will continue learning and adapting during the pandemic. In the last few months, we have been on a steep learning curve: learning how to lead in a time of crisis, learning to manage rapidly and find ways to reach out to adopters and communities in different ways.

We will maintain a forward-thinking service continuing building efforts by increasing our capacity to engage with technology and understand the analytics

- Will continue learning from audits and find thematic auditing areas
- We will have implemented the changes required, as identified by the overall service audit
- Target recruitment on BME groups, those with an offer to large sibling groups and children with a disability.
- Continue to recruit and champion foster to adopt placements.
- Embed procurement process around adoption support applications and review our commissioning arrangements as part of the Adopt East Alliance.
- Continue to work with partners within Adopt East Alliance and progress this work.
- Work with colleagues to improve the quality of life story work.
- Progress a contact consultation service to front line workers regarding contact after adoption.
- When safe to do so (Covid-19), we are wanting to pilot birth parent support groups.
- Continuation of creative adoption support packages.
- Aligning kinship support to the adoption support model.

Recommendations

- Cabinet is invited to endorse and approve the Statement and Purpose and provide scrutiny and challenge to the adoption service.

1.	Background and Purpose																													
1.1.	Annual Approval of the Statement of Purpose of Norfolk’s Adoption Service 2020-2021.																													
2.	Proposals																													
2.1.	<p>Members are asked to scrutinise the information within the report and provide challenge to the service to ensure continued improved outcomes for Norfolk children and families.</p> <p>Members are asked to recommend approval to full Council of the Statement of Purpose and Functions for the Local Authority Adoption Service to comply with the Care Standards Act 2000.</p>																													
3.	Impact of the Proposal																													
3.1.	NA																													
4.	Evidence and Reasons for Decision																													
4.1.	<p>What is Adoption?</p> <p>Adoption is a way of providing a new and permanent family for children who cannot be brought up by their own parents. It's a legal procedure in which parental responsibility is awarded to the adopters who become the only adults with parental responsibility. Once an adoption order has been granted it can't be reversed except in extremely rare circumstances.</p> <p>Performance & Benchmarking</p> <p>Children Awaiting Adoption</p> <table><tr><td></td><td>31/03/2016</td><td>31/03/2017</td><td>31/03/2018</td><td>31/03/2019</td><td>31/03/2020</td></tr><tr><td>No. of children waiting with a decision but not yet placed as at 31 March.</td><td>40</td><td>55</td><td>60</td><td>63</td><td>59</td></tr><tr><td>No. of children waiting with a placement order but not yet placed as at 31 March.</td><td>30</td><td>30</td><td>40</td><td>31</td><td>44</td></tr><tr><td>Average length of time spent waiting (since entering care) for those with a placement order</td><td>370*</td><td>402</td><td>441</td><td>620</td><td>539</td></tr></table>							31/03/2016	31/03/2017	31/03/2018	31/03/2019	31/03/2020	No. of children waiting with a decision but not yet placed as at 31 March.	40	55	60	63	59	No. of children waiting with a placement order but not yet placed as at 31 March.	30	30	40	31	44	Average length of time spent waiting (since entering care) for those with a placement order	370*	402	441	620	539
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not yet placed (days)						
*note different definition in 2016 -						
Average time between a child entering care and moving in with its adoptive family. Where times for children who are adopted by their foster family are stopped at the date the child moved in with the foster family (days). 3-year average 2013-16						

Our performance in relation to the number of children with a Placement Order waiting to be matched has increased, despite proactive family finding, linking children with potential adopters prior to the making of the Placement Order, enabling the matching and introduction process to take place without delay. The reduction in the numbers of adopters being assessed both locally and nationally has been the main contributory factor and this remains.

Number of children being adopted

The latest national figures report that there had been a decrease in the number of children being adopted and this trend is reflected in the East of England and Norfolk.

The table below shows the number of adoption orders granted for England, the East of England and Norfolk from April 2012 to March 2019, plus additional Norfolk data for 2019/20:

Area	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20
England	5,550	5,360	4,690	4,370	3,850	3570	N/A
East of England	510	530	430	490	420	410	N/A
Norfolk	81	100	74	86	63	71	62

[Source: Office of National Statistics (Adoption Orders Granted) and Liquid Logic Norfolk Data]

2019/20 Source – ASGLB data for 2019/20

In the three years (from 2017/18) to 31st March 2020, 196 children in Norfolk were adopted compared with 260 in the 3 years to 31st March 2017.

In 2019/20, 14% of the children that stopped being looked after in Norfolk were adopted. This compares to an average across England in 2018/19 of 12% and the East of England average is 15%.

Data set regarding adoptions for 2019/20 are not currently available however the latest key headlines are that the number of children waiting has decreased. The number of new placement orders granted has increased slightly, however the number of families approved for adoption has decreased.

There has been an increase of children being made subject to Special Guardianship Orders and this trajectory continues to grow, meaning, in practice, that adoption is considered the last option for children regarding permanence decisions.

Recruiting Norfolk adoptive families

Regarding enquiries and applications from prospective adopters, in 2019/20 we had 39 applications which is less than the data for 2018/19. The ASGLB data shows there was a decrease in prospective adopters being approved in 2019/20 compared to last year. As a result of this, we have looked at our marketing strategy and have also reverted to enquiries via our business support colleagues rather than the portal.

An emerging trend seems to be that prospective adopters are contacting us earlier and after attending an open evening they are choosing to spend more time preparing to become adopters. The conversion rate of enquiries to adopters is similar to other authorities. As a result of open evenings which explain the legal and emotional commitment adoption involves, the majority of prospective applicants decide not to take their intent further. Over the past two years nationally there has been a reduction in the number of prospective adopters coming forward for assessment.

Finding adoptive families outside Norfolk

As highlighted earlier in this paper, the last 2 years saw a decrease in the number of children placed for adoption mirroring a national trend and resulting from case law RE: BS.

Last year 13 children were placed with families from other local authorities or voluntary agencies (23%) which follows the previous years. 6 of these children were placed within VAA's and 7 across other local authorities and of these, 4 children were placed within Adopt East families. These are the most complex children awaiting adoption in Norfolk and will have special needs or developmental uncertainty. If not adopted it is highly likely that most or all of these children would have spent their childhood in care. Year to date (April – August 2020) we have placed 13 children with families from other local authorities and voluntary agencies.

Matching Children with Adopters

Adoption is a key area of focus for the Government. The Department for Education (DfE) publication “An Action Plan for Adoption: Tackling Delay” (2012) has the key objectives of reducing the time it takes to recruit adopters and reducing the amount of time children wait

to be adopted. Performance against these objectives is measured nationally through the Department for Education (DfE) Adoption Scorecard. The two key measures are:

- In 2019/20 the average number of days between a child entering care and moving in with their adoptive family was 401 days for Norfolk, the Adoption Scorecard target is 426 days.
- In 2019/20 the average number of days between Norfolk Children's Services receiving authority to place a child for adoption and Norfolk deciding on a match to an adoptive family was 125 days for Norfolk, the Adoption Scorecard target is 121 days.

These figures do come with a caveat that the average timescales could increase if Norfolk find adoptive placements for those children who have waited the longest for adoption which can lead to much improved outcomes for children.

Post adoption support

The Adoption Support team works with adopted children and their families after the adoption order.

As most children have experienced developmental trauma, the intensive casework often involves therapeutic services including Therapy and Developmental re-parenting and we have also started to commission in-depth multi-disciplinary assessments to help develop on-going support plans.

In 2019-20 the Adoption Service worked with 235 families (297 children), including 45 new referrals this year (50 children) and this amounted to 255 post adoption support for individual children over this year and the team have made 321 applications to the adoption support fund during 2019/20.

Although as 3.8 details, where therapeutic intervention is required of a specialist nature (complex need), we seek funding from the Adoption Support Fund in order that such a need can be met. For those children and young people who do not require such specialist therapeutic support and where such a need can be met within the Adoption Support Team, such work is delivered directly to families from skilled and experienced adoption support workers within the Norfolk Adoption Service.

Another area of adoption support provided by the Norfolk Adoption Service is the Letterbox contact service where adopters and birth families can exchange messages. Between April 2019 and March 2020, over 3,000 exchanges were made between parties facilitated by the Adoption Support Letterbox service.

Many queries arise from these exchanges and some have to be reviewed or have direct contacts supervised as a consequence. Where required, birth parents are also given support to write their contact messages for children who have been adopted.

The Adoption Support Team provides access to information and intermediary services for adopted adults. In total during 2019/20 there were 254 families who had access to adult adoptee adoption support. This includes 90 new referrals for the Adopted Adult and Birth Relative Intermediary Service (BRIS) consisting of; adopted adults (52), rising 18's (15), BRIS (22) and descendant (1). In March 2020 the active case load number stood at 147.

The Department for Education (DfE) has continued to provide financial assistance to adoptive families via the adoption support fund. Since 1st April 2019 to 31st March 2020 we have successfully bid for just under £1.2 million worth of therapy for 255 adopted children in Norfolk

The regionalisation of adoption services

The Adoption Service is fully engaged with the Adoption Change Agenda, as set out in 'Regionalising adoption' DfE June 2015 and 'Adoption: a vision for change' DfE, March 2016.

Norfolk was part of the Central East Regional Adoption Agency project, but the decision was taken for Norfolk to step away from this project as it was no longer meeting Norfolk's adoption requirements. The Central East RAA is no longer in operation.

Norfolk County Council is part of Adopt East, an alliance of Adoption Services (partners) and Voluntary Adoption Agencies (Norfolk, Essex, Suffolk, Southend, Luton, Hertfordshire, Bedford Borough, Thurrock, AdoptionPlus and Barnardo's). Being a partner of the Adopt East will provide opportunity to share best practice, join up marketing and recruitment material, identify efficiencies in relation to provision of adoption support services. The priorities of the Alliance are: -

- Decisions about placements are always made in the child's best interests
- Service delivery has at its heart innovation and practice excellence
- Social Workers are highly skilled professionals who make high quality evidence-based decisions and do not tolerate damaging delay for children in their care
- Matches are made without unnecessary delay
- Fostering for Adoption to offer children early permanence placements
- Every adoptive family has access to an ongoing package of appropriate support with a high-quality specialist assessment of need
- The voice of adopters and their children is at the heart of national and local policy making and delivery of services

	<p>Complaints</p> <p>Between April 2019 and March 2020, Norfolk County Council received 10 complaints relating to the adoption service, all of which were resolved at an early stage compared with 15 the year before. The 10 complaints are above the average for local authorities in England which is 3, but this is to be expected due to the far higher numbers of enquiries and applications we process in Norfolk compared to the England average for local authorities. Only 1 adoption case was presented to the Local Government and Social Care Ombudsman in February 2020 and this was not upheld.</p> <p>Norfolk Adoption Service is four times larger than the average English adoption agency. A review of all complaints evidences that there are no systemic issues were highlighted within the service. The Adoption Service has taken the learning from the issues raised to improve its service delivery and quality of practice.</p>
5.	Alternative Options
5.1.	NA
6.	Financial Implications
6.1.	NA
7.	Resource Implications
7.1.	Staff: NA
7.2.	Property: NA
7.3.	IT: NA
8.	Other Implications
8.1.	<p>Legal Implications</p> <p>NA</p>
8.2.	Human Rights implications
	NA
8.3.	Equality Impact Assessment (EqIA) (this <u>must</u> be included)

	As can be seen in the purpose and function documents, our Adoption Service is committed to policy, procedures and practice which promote equality and address the poor outcomes for children.
8.4.	Health and Safety implications (where appropriate)
	NA
8.5.	Sustainability implications (where appropriate) The key challenges for the Service are: <ul style="list-style-type: none"> - Ensuring children have families which meet their needs and that permanence is delivered in a timely manner. - Recruitment of adopters to meet the needs for children who need to be adopted, including those with a disability and larger sibling groups. - Working alongside corporate strategies to ensure the Adoption service aligns with these.
8.6.	Any other implications NA
9.	Risk Implications/Assessment
9.1.	NA
10.	Select Committee comments
10.1.	
11.	Recommendations
11.1.	Recommend the approval of the Statements of Purpose for all the Norfolk Adoption Service, so that the service fully complies with Adoption Regulations and National Minimum Standards.
12.	Background Papers
12.1.	The statement of purpose for Norfolk Adoption Service is available on Members Insight.

Officer Contact

If you have any questions about matters contained in this paper, please get in touch with:

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Cabinet

Item No: 18

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Date of meeting:	5th October 2020
Responsible Cabinet Member:	Cllr John Fisher - Cabinet Member for Children's Services
Responsible Director:	Sara Tough Executive Director of Children's Services
Is this a key decision?	Yes
If this is a key decision, date added to the Forward Plan of Key Decisions.	NA

Introduction from Cabinet Member

Every fostering service has a statutory requirement (Children Act 1989, Fostering Services (England) Regulations 2011, Fostering Services (England) Regulations 2013, Care Planning and Fostering Regulations (Amendments) 2015) to publish, and regularly update, a document which describes the ethos and goals of the fostering service, its management and oversight arrangements and the experience of its staff.

This Statement of Purpose (appendix 1) is a public document, approved by the Cabinet before being made available to foster families, fostered children, their birth parents and guardians, and staff working in the field of fostering.

The Cabinet paper will focus on a performance review of Norfolk Fostering Service.

Executive Summary

- The engagement and feedback from foster carers, partners, the Fostering Advisory Partnership and staff, in relation to our service development, practice improvement have all contributed to a changed cultural landscape.
- The Children and Young Persons Act 2008 places a duty on Local Authorities to find enough appropriate Fostering provisions in its local area
- The Fostering Service is committed to provide stability, care and security to looked after children and ensure that Foster Carers can meet the individual needs of children. As such the Recruitment Marketing Strategy outlines how we aim to provide placement choice.

- The importance of placing children within their family and friend's network, within their community and with their siblings remains paramount in securing stability for the child as well as ensuring their education is not disrupted and their well-being promoted.

Key Achievements:

- We have continued implementing the recommendations from Impower to support the development of the in- house Fostering Service, the goal being to enable greater in-house placement sufficiency, better use of resources and the progress has been closely monitored during the monthly performance meetings and bi-monthly steering group meetings. This led to 56.44% children being placed in inhouse foster provisions.

As a result:

- The Fostering Service has continued to grow and develop our cohort of foster carers. The recruitment target of 48 approvals was almost met, having 45 fostering households approved during this period. During this period, we also approved 5 kinship foster carers. We had 17 Foster caring households transferring over from Independent fostering agencies.
- Although there was a reduction in Connected Carers Assessments, there is a sharp increase in Special Guardianship Assessments. Further analysis shows that the number of Special Guardianship financial arrangements that were set up for the financial year 2019 to 2020, was 164 which is a considerable increase of more than 100% for the last financial year 2018 to 2019, which was 81, and 74 in the previous financial year 2017 to 2018. This is indicative of an increase in children that are no longer residing in the Local Authority's care system, with a higher form of permanence achieved for them.
- There has been a continued and strengthened relationships developed between Fostering Service and fostering panel including panel chairs in terms of improved quality of practice. The feedback gained from panel and Panel advisory group meetings were correlated with the monthly auditing findings and this informed the direction for further development.
- As a result, Norfolk Fostering Service has started bringing annual reviews and changes of approval to the Fostering panel on a regular basis, thus ensuring consistent, robust and regular scrutiny
- The Fostering Panel Advisor has continued supporting improved practice, promoting continued practice improvements through quality assurance, training and challenge.
- The newly created Enhanced Fostering Team has now been embedded in the Fostering Service and has started targeted and focused work around matching children from residential placements with families.
- The Fostering Advisory Partnership group, through collaborative partnership working, has led to improved practice and service developments including a new portal and fostering information Hub, communication plan and clear targets for the Task and Finish group.
- Linking in with the Norfolk In Care Council and creating a matching document for foster carers and children.
- Our Cohort of Foster Care Ambassadors, Buddies and trainers has increased, The Ambassadors have been influential in championing and encouraging individuals into becoming a Foster carer for Norfolk Fostering Service and they facilitated events within their communities.

- We have continued to celebrate the achievements of foster carers by hosting a range of events to acknowledge these such as; Annual Celebration event marking foster carers first year of service, anniversary cards, FOSCARS (Fostering Oscars).
- We now have a quarterly newsletter that brings together different parts of the Corporate Parent, thus maintaining ongoing communication with our foster carers

The key areas of challenge:

- Deliver the Sufficiency targets-recruiting more mainstream carers (55 for 2020-2021) as well as securing additional 10 Enhanced foster carers matches.
- Increase placement choice for children requiring a foster home, keeping children close to their community and providing greater choice to enhance matching considerations
- Ensure that the diversity in our community is reflected in our recruitment, retention and approval of foster carers, so that we can meet the cultural and diversity needs of Norfolk's Looked After Children
- Increase capacity within the Linked Families short break team and remodel the CWD offer in order that the service can provide greater sufficiency and placements for children and young people with disabilities/complex needs.
- Review the current payment model that is in line with the carers' assessed skills set and placement offer to ensure consistency across the service.

Next year:

- We will continue learning and adapting during the pandemic. In the last few months, we have been on a steep learning curve: learning how to lead in a time of crisis, learning to manage rapidly and find ways to reach out to foster carers and communities in different ways. We will maintain a forward- thinking service continuing building efforts by increasing our capacity to engage with technology and understand the analytics
- We are hoping to recruit 55 new fostering households and 10 Enhanced Foster carers
- We will have a revised model of Foster Carer fees and allowances
- Will continue learning from audits and find thematic auditing areas
- We will have implemented the changes required, as identified by the overall service audit
- We will develop a digital Children's Guide
- We will create a digital Memory Box that will log the children's memories and will have the functionality of recording the children's life story book
- We will have our own Foster carer Saving policy
- We will develop and strengthen the offer for Children with disabilities

Recommendations

1. Cabinet is invited to endorse and approve the Statement and Purpose and provide scrutiny and challenge to the fostering service.

1.	Background and Purpose
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1.1.	Annual Approval of the Statement of Purpose of Norfolk's Fostering Service 2020-2021.
2.	Proposals
2.1.	<p>Members are asked to scrutinise the information within the report and provide challenge to the service to ensure continued improved outcomes for Norfolk children and families.</p> <p>Members are asked to recommend approval to full Council of the Statement of Purpose and Functions for the Local Authority Fostering Service to comply with the Care Standards Act 2000.</p>
3.	Impact of the Proposal
3.1.	NA
4.	Evidence and Reasons for Decision
4.1.	<p>Norfolk County Council (NCC) has identified an imperative and opportunity to increase the size and placement share of the in-house fostering service.</p> <p>With support from IMPOWER, NCC has developed proposals to grow and develop the in-house fostering service based on in depth analysis -including a foster carer survey, staff survey, business analysis -and co-production with staff and foster carers.</p> <p>Numbers of children in Foster Care, Foster Carers, number of Carer Households and Placement Stability.</p> <p>At 31st of March, we had 296 mainstream fostering households, 27 kinship households and 27 Linked families.</p> <p>On 31st March 20, there were 369 children placed in 296 mainstream foster care and 27 kinship households with 43 children placed providing an overall occupancy of 1.28 and 1.25 in mainstream.</p> <p>At 31st of March we had 24 deregistration's of mainstream fostering households and 1 Linked foster carer and the reasons were a mixture of retirement, gaining Special guardianship orders, concerns or terminations of approval.</p> <p>We have made changes to the content of the foster carers' annual review of approval to ensure that the analysis reflects the National Minimum Fostering Standards and Regulations 2011. The reviews are written by the Supervising Fostering Social Worker and either presented to panel and endorsed by the Agency Decision Maker or</p>

submitted to the Fostering Managers for consideration. All the completed reviews are scrutinised by the team manager who monitors compliance with the Regulations before final sign off. We also set the scene for creating a reviewing mechanism that ensures that all reviews are presented to panel every 3 years. We have also improved the technological infrastructure and we are able to use the electronic portal to complete reviews more efficiently.

Recruitment & Retention of Foster Carers

During 2019/20 we attended 52 outdoor events across the region, at each event we had at least 2 ambassadors on our stand to enable on the spot conversations, with Word of mouth remaining the most powerful recruitment avenue.

We continue to ensure that initial visits take place (responding to any enquiries in 24 hrs, 72 hrs, if the period involves weekend or Bank Holiday's and an Initial visit completed and signed off in 10 days). The time taken for applications to be returned has also decreased from an average 59.9 days (March-June 2018), 13 days (March-June 2019) to 8 days (March-June 2020) (from ROIF taken to ROIF returned). Local research has also identified the need to communicate regularly and consistently with applicants during the process, therefore a buddying system was implemented.

We have received a number of 528 enquiries in total for the year, an increase of 115 compared to 2018-2019. This led to 45 approvals. We saw a significant increase in enquiries received from Foster carers registered with Independent fostering agencies which resulted in 17 approved transfers.

The service also helped carers celebrate one year milestones in their fostering career, by organising a celebration Lunch where they received a certificate of recognition from the Head of Service or the leader of the Council. We had held three events prior to lockdown and the carers response to these has been very well received especially at our supermarket events. We also held the Foster carers Conference in October 2019 and the Foster carers long service Award in April 2019.

Concerns and Allegations against Carers and Child Protection Enquiries

There were 23 allegations made during the reporting period, 14 were no further action and 9 were presented to panel. We had one case presented to the Independent Reviewing Mechanism which endorsed Norfolk's decision.

Our foster carers are provided with individual membership of the Fostering Network – this provides access to a comprehensive website which includes library items on

fostering, help lines, legal and medical advice, stress counselling and a new on-line community. It also provides the support of a solicitor and a worker who provides advice, mediation and advocacy for our foster carers. The Fostering Network is well used by our carers.

Incidents of Restraint

There was 1 incident of restraint on children by Norfolk foster carers between April 2019 and March 2020 compared to 2 the previous year. All incidents of restraint are reviewed by the Head of Fostering.

Support for and Supervision of Foster Carers

All foster carers receive regular support and supervision they need in order to care properly for children placed with them. Foster cares receive supervision every 4-6 weeks, very rarely at intervals of 12 weeks. All foster carers have an annual review.

Norfolk Fostering Service should complete one unannounced visit to each fostering household per year. As 9 April 2020, 35 carer households had not had an unannounced visit within timescales visits. Work is underway within the Fostering Service to address this deficit. As a percentage 89% of unannounced visits are in time scale.

Foster Carer Training

Between 1st April 2019 – 31st March 2020 we have delivered 104 courses, 12 were cancelled - 8 cancelled due to lack of numbers; 4 courses were cancelled due to Covid19. 1799 delegates attended the training. 205 people booked to attend a course but did not attend. Following feedback from carers, the Fostering Service and the Fostering Manager courses for 2020-2021 have been linked to different age groups.

Foster carers are encouraged to complete a certificate in 'Training, Support and development Standards for Foster Care'. Foster carers are meant to complete this training within 12 to 18 months after their approval. As at the 9 April 2020, 37 fostering households had not completed the training to meet the Standard in the required timescale albeit the number dropped to 16 in the next period as LCS was not updated accordingly. However, this number only reflects the cases where there is an understanding that the TSD was completed but the evidenced has not been logged. This is a priority for the Fostering Service.

Complaints

	The number of complaints has decreased for this reporting period, having had 18 complaints: 3 partially upheld and all closed. 2 complaints were related to the mainstream assessment and applicants not meeting the criteria of eligibility, 2 relating to mainstream support and 14 relating to Special Guardianship reviewing processes and payments.
5.	Alternative Options
5.1.	NA
6.	Financial Implications
6.1.	NA
7.	Resource Implications
7.1.	Staff: NA
7.2.	Property: NA
7.3.	IT: NA
8.	Other Implications
8.1.	Legal Implications NA
8.2.	Human Rights implications
	NA
8.3.	Equality Impact Assessment (EqIA) (this <u>must</u> be included)
	As can be seen in the purpose and function documents, our Fostering Service is committed to policy, procedures and practice which promote equality and address the poor outcomes for children.
8.4.	Health and Safety implications (where appropriate)
	NA
8.5.	Sustainability implications (where appropriate) The key challenges for the Service are: <ul style="list-style-type: none"> - Ensuring that our young people have placements that meet their needs

	<ul style="list-style-type: none"> - Working alongside corporate strategies to ensure the Fostering service aligns with these. - Ensure a diverse placement choice for children who experience care, in line with the Sufficiency strategy
8.6.	Any other implications NA
9.	Risk Implications/Assessment
9.1.	NA
10.	Select Committee comments
10.1.	
11.	Recommendations
11.1.	Recommend the approval of the Statements of Purpose for all the Norfolk Fostering Service, so that the service fully complies with Fostering Regulations and National Minimum Standards.
12.	Background Papers
12.1.	The statement of purpose for Norfolk Fostering Service is available on Members Insight.

Officer Contact

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Cabinet

Item 19

Decision making report title:	Annual Review of NCC Residential Children's Homes
Date of meeting:	05 October 2020
Responsible Cabinet Member:	Cllr John Fisher - Cabinet Member for Children's Services
Responsible Director:	Sara Tough, Executive Director – Children's Services
Is this a key decision?	Yes

Introduction from Cabinet Member

Annual Approval of the Statement of Purpose of Norfolk's Residential Children's Homes Service and a Summary Review of the Year September 2019 to August 2020.

Members in their role as the registered provider of these homes are required, under law (Children's Home Regulations 2015 (as amended); Care Standards Act 2000), to approve each children's home's Statement of Purpose and Functions.

It is a requirement that each of our children's homes has a clear Statement of Purpose which details the aims and objectives and how the standards will be met. The nine standards are:

- Quality and purpose of care standard
- Children's wishes and feelings standard
- Education standard
- Enjoyment and achievement standard
- Health and well-being standard
- Positive relationships standard
- Protection of children standard
- Leadership and management standard
- Care planning standard

Each home must also provide a guide for children which explains the purpose of the home, the complaints procedure and access to advocacy services. Each home's Statement of Purpose is available on Members Insight and hard copies will be in the Members' room.

Executive Summary

This paper reports to Members on the performance of and outcomes achieved by Norfolk's Residential Children's Homes Service.

The key performance outcomes achieved for the service this year (September 2019 to August 2020) are:

- Ofsted inspection outcomes which are above the national average with 8/9 homes rated 'Good' or 'Outstanding' overall and all 9 homes rated as 'Good' or 'Outstanding' for leadership and management. During the last six months, due to Covid 19, none of our Children's Homes have been inspected. Ofsted plan to resume their inspections in September but will not be grading the homes.
- Our residential homes and the quality of their support and practice have been pivotal in our successful bid to the DfE for funding and formal partnership with North Yorkshire and the No Wrong Door model. However, due to Covid 19 there has been a delay in implementing No Wrong Door in Norfolk and we are currently waiting for the DfE to confirm funding.
- We are continuing with internal projects to improve our service, including solo/dual placement homes; a CWD emergency provision; and CWD outreach team.
- Capital refurbishment planned over the next two years to improve the fabric of the homes and further enhance children and young people's experience.
- The service continues to provide and facilitate education for the young people we look after, supporting young people to identify goals for their future and achieve economic wellbeing. We have worked in partnership with The Virtual School and have appointed a Higher-Level Teaching Assistant, who is a qualified teacher, to provide support for the young people accessing our service.
- Our short breaks services have worked with families on the edge of care, offering support and respite to promote families staying together and reducing the number of children becoming looked after.
- Covid 19 resulted in lockdown for the whole country. During this time our Residential Service and Semi-Independent Accommodation provision have continued to offer placements for Norfolk children. Nationally many short-breaks services ceased, however, our short-breaks service has continued to operate on a reduced capacity basis to allow for social distancing, the personal care requirements of our young people, and for deep cleaning between visits.

Recommendations

Recommend the approval of the Statements of Purpose for all the Local Authority children's homes to Full Council to comply with the Care Standards Act 2000.

1. Background and Purpose

- 1.1. Annual Approval of the Statement of Purpose of Norfolk's Residential Children's Homes Service and a Summary Review of the Year September 2019 to August 2020. Members in their role as the registered provider of these homes are required,

under law (Children's Home Regulations 2015 (as amended); Care Standards Act 2000), to approve each children's home's Statement of Purpose and Functions.

2. Proposals

- 2.1 Members are asked to recommend approval to the Committee of the Statement of Purpose for the Residential Children's Homes to comply with the Care Standards Act 2000.
- 2.2 We strive to provide high quality care that is tailored to the needs of each individual young person. Our skilled and dedicated teams of practitioners, qualified social workers and managers act as good role models, using training and theory to inform their practice. Our ambition is that, through this individual approach and targeted support, young people in our care will be safe, happy and well cared for. Through respect for themselves and others, they will be able to build meaningful relationships, now and in the future. We support young people to identify aspirations and endeavour that each young person achieves a well-rounded education, incorporating academic and vocational qualifications as well as vital life skills. We provide a secure base and promote appropriate attachments to assist them in successful transitions to independence. We aspire for young people in our care to be the best version of themselves in everything they do.

3. Impact of the Proposal

- 3.1 N/A

4. Evidence and Reasons for Decision

- 4.1 Norfolk's Residential Children's Home Service currently has six children's homes; three residential short-breaks children's homes; four supported flats, which are housing Unaccompanied Asylum-Seeking Children; and 9 Semi-Independent Living houses. We work closely with other statutory and voluntary sector services supporting children and families in need. Accommodating children is always a last resort and the authority must be satisfied that the care threshold is met. Over the past year, the service has accommodated the majority of young people referred to us, unless their risk assessment identifies that the placement in Norfolk's Residential Children's Home Services would not be suitable. We continually review and adapt our services based on feedback from young people and other professionals, to ensure they meet the needs of all young people including those with challenging behaviours. Service development is discussed monthly at Residential Managers' meetings.
- 4.2.1 Our homes deliver a range of interventions to children and young people within residential care, depending on their individual needs:

- 4.2.2 Norwich Road and The Lodge provide eight beds between them, offering emergency accommodation for children aged between 6-17, where there is an immediate need, following a crisis breakdown at home or at their current placement. This accommodation is used while an alternative, appropriate placement is sourced.
- 4.2.3 Waterworks Road and Frettenham are two-bedded Emergency/Crisis Intervention Homes. The aim of the homes is to provide emergency and time-limited residential care. They are specialist homes for young people (male and female) aged between 8 and 17 years.
- 4.2.4 Aylsham Road Short Breaks provides planned, short term stays of residential care to children and young people aged between 5 and 17 who are considered on the edge of care. They also offer emergency time-limited stays to support families in crisis.
- 4.2.5 Loki House is a four-bedded home offering flexible term accommodation to young people aged 7-17, with targeted packages of care.
- 4.2.6 Easthills is a long-term home which provides support and accommodation for 4 young people aged 8-17 until independence.
- 4.2.7 Marshfields is a short breaks home providing 4 beds for children and young people aged 5-17, who have severe learning and/or physical disabilities including children and young people with complex health needs and challenging behaviour.
- 4.2.8 Linked Family's Short Breaks Fostering Service is linked to Marshfields residential home and has offered short breaks foster placements for children with disabilities.
- 4.2.9 Foxwood is a 6-bed home providing overnight short breaks for children with physical disabilities, learning disabilities and sensory impairments, aged 5 to 17 years.
- 4.2.10 Our self-contained supported flats currently provide accommodation for up to 9 Unaccompanied Asylum-Seeking Children.
- 4.2.11 Our Semi-Independent accommodation (SIA) consists of 9 houses offering placements for 25 young people. By the end of the year we will have 8 more placements available when two more SIA houses become operational.

4.3 **What Children and Young People say about the service**

- 4.3.1 Listening to young people's experiences of care is incredibly important to us. We actively gather feedback from young people through keywork sessions and residents' meetings, as well as from families and professionals. This is considered at Residential Managers meetings to identify areas for development and to improve the service.

- 4.3.2 The following is a selection of comments about Norfolk's Residential Children's Home Service from children and young people who have been accommodated during the past 12 months:
- 4.3.3 *A young person accommodated at Norwich Road said that she felt safe here, that she felt supported by the team. She said that she was supported to look for an apprenticeship and college courses and was helped to choose which would be best for her. She felt that she was able to talk to the team about anything if she needed to and that she liked the staff here.*
- 4.3.4 *A young person who was moving on wrote a letter to the staff team at Loki House saying 'I hope this lets you know how much you all mean to me and how much I will miss you all. I'm truly thankful that I have been able to meet such generous, kind, amazing people, you all mean so much to me.'*
- 4.3.5 *Via a Talking Mat, a young person told us, smiling face: the beach, bedroom two and the sensory room. Sad face: Waving goodbye symbol. Staff said goodbye to who/what? The young person put the photo of Marshfields on the Mat. Staff confirmed, waving goodbye to Marshfields makes you feel sad? The young person signed yes.*
- 4.3.6 *"Staff have helped me to eat more regularly again...all the staff are there to help me and I feel I can go to any of them."*

4.4 **Complaints**

- 4.4.1 Each home has a complaints book in which all complaints are recorded. Young people have open access to a telephone should they wish to make a complaint at any time. Contact numbers for Ofsted, the Children's Rights Director and Voice, and the independent advocacy service, are available to young people, as are complaints leaflets.
- 4.4.2 The homes' welcome books, available in a variety of formats to make them accessible for all ages and levels of ability, provide information and advice on how to complain. All residential staff have mandatory training on complaints and there is a Norfolk County Council complaints team which can offer consultation and advice to both staff and young people.
- 4.4.3 From September 2019 to August 2020, the service has received 12 complaints in total. This is two less than we received during the previous year. Four of the 12 complaints were from neighbours (two about young people's disruptive behaviour in the community, one about an overhanging tree and one about parking). Three complaints were from parents and five were made by three young people. In all instances, managers responded to the complaints and resolved the issues. All complaints are responded to as per procedure in order to find resolution and improve practice where appropriate and build positive community relationships.

4.4.4 All young people have the opportunity to discuss any complaints with the manager and explore a suitable outcome. At every house meeting, the young people are given feedback which is recorded. The managers have engaged with the local community to address any concerns and improve relationships. This has been supported by the local police community support officer when needed.

4.5 Service development over the last year:

4.5.1 A full review of the service and each home was undertaken to ensure we are meeting the needs of our children in care population and adapting our remit if necessary.

4.5.2 The second phase of the Semi-Independent Living Service has seen four more houses becoming operational, increasing the number of beds available from 13 to 25. Two more houses are due to be operational by the end of the year which will add an additional 8 beds to the capacity of the service.

4.5.3 We have continued to recruit Relief Bank staff within the residential service to improve continuity for young people and to help with the expansion of the 16-18 Semi-Independent Living service.

4.5.4 Given the challenges sometimes of finding suitable education provision for our harder to reach young people, we have worked in partnership with the Virtual School to employ a Higher-Level Teaching Assistant who is directly linked to the Residential Service. The post holder started at the end of February 2020 and Covid 19 restrictions have affected her progress, however, she has been providing educational activities and virtual sessions with some of our young people and will be resuming face-to-face sessions in September.

4.5.5 Due to the expansion of the service, we have appointed a Service Manager reporting to the Head of Residential and Semi-Independent Living Service, to ensure effective operational delivery within budget of the Residential and Semi-Independent Living Service, in line with the Vital Signs vision, our legal obligations and Ofsted requirements.

4.5.6 We have continued to promote professional development for all our staff to ensure they have the skills to work with our young people.

4.5.7 We have provided residential staff with new training provided by Inspire Training Group in Conflict Management Physical Intervention (CMPI) de-escalation and positive handling strategies. The training was sourced by Learning and Development to better meet the ever-changing needs of the service. This was particularly crucial for our Children with Disabilities homes.

4.5.8 We have offered 10 placements for student social workers across our homes.

- 4.5.9 We have received approval to re-purpose Springwood into an emergency home for children with disabilities.
- 4.5.10 We have received approval to establish a CWD outreach team who will support families and carers in their own homes.
- 4.5.11 The purchase of a property in the NR20 area is in progress which will become a solo/dual placement children's home. It is part of the project to increase our capacity to offer suitable cost-effective placements for young people with complex behavioural and emotional needs who would benefit from being in a single/dual placement.

4.6 Ofsted Inspection Outcomes

- 4.6.1 Each residential home is inspected twice a year by Ofsted who conduct a full and an interim inspection. The latest judgement (as at the end of August 2020) from the most recent full inspection of each home is shown in the table below:

The table below shows 1 'Outstanding', 7 'Good' and 1 'Requires improvement' Ofsted overall inspection judgements; and 2 'Outstanding' and 7 'Good' judgements for the effectiveness of leaders and managers.

Home	No. of beds	Overall inspection findings	The overall experiences and progress of children and young people living in the home are	How well children and young people are helped and protected	The effectiveness of leaders and managers
Marshfields	4	Outstanding	Outstanding	Outstanding	Outstanding
Aylsham Road	4	Good	Good	Good	Outstanding
Foxwood	6	Good	Good	Good	Good
Norwich Road	4	Good	Good	Good	Good
Loki House	4	Good	Good	Good	Good
Waterworks Road	2	Good	Good	Good	Good
Frettenham	2	Good	Good	Good	Good
Easthills	4	Requires improvement to be good	Requires improvement to be good	Requires improvement to be good	Good

The Lodge	4	Good	Good	Good	Good
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4.6.2 If a home receives a grading of 'Good' or above then it will only be inspected on an annual basis, unless Ofsted have any concerns. In the case of the rating 'Requires improvement to be good' and below, the inspections will be twice a year.

4.6.3 During the last six months, due to Covid 19, none of our Children's Homes have been inspected. Ofsted plan to resume their inspections in September but will not be grading the homes.

4.6.4 Ofsted statistics as at 31st March 2020 show that 80% of children's homes across the country received an 'Outstanding' or 'Good' overall rating and 71% received an 'Outstanding' or 'Good' rating for the effectiveness of leaders and managers. Our children's homes have exceeded this, with 89% achieving an 'Outstanding' or 'Good' overall rating and 100% achieving an 'Outstanding' or 'Good' rating for the effectiveness of leaders and managers.

4.7 **Achievements for Young People**

4.7.1 Our children and young people have a wide range of achievements to be proud of, including:

4.7.2 *Due to his extensive complex needs, JF has always struggled in the school setting. Nonetheless, he worked hard to overcome barriers since he has been at Loki. Staff took him to collect his GCSE results last week. He achieved a level 3 in English, and two level 5s for double science (the highest science grades the school has ever had!). This is in addition to the level 5 in maths he achieved last year, one year ahead of schedule.*

4.7.3 *A young person who had struggled to attend any education in the last 2 years was able, after assessment, to engage with our residential teacher in virtual sessions each day. This has enabled her to regain some confidence and enjoy achieving academically again. She was then able to move to a residential / education provision ensuring that her needs were met and that she could continue to achieve best outcomes.*

4.7.4 *A young person has made the transition into short-breaks having never stayed away from family. Achieved through supporting and engaging with his communication methods and allowing him to explore his environment and sensory based activities.*

4.7.5 *A young person had been transitioned from a secure bed where she had assaulted staff on a daily basis, resulting in many restraints. The risks posed by this young person were significantly high. They included assaults, significant self-harm, risk taking behaviour, running away, allegations and damages. In the first two months*

we saw significant assaults and some damages. We saw one minor incident of self-harm. By the end of the six months she remained with us, we had no assaults, no self-harm, no attempts to run away and no damages. The young person worked with us and was completing some education, something they had not engaged in for years.

4.7.6 *A young person was adamant that he didn't want foster care because he didn't want to replace his family however, following a lot of work and dedication, he changed his mind and successfully transitioned into foster care.*

4.7.7 *A young person has developed a much greater acceptance of the company of staff. This has been through her own development and also through the increased use of appropriate communication tools by staff.*

4.8 **Children Missing from Norfolk's Residential Children's Homes Service**

4.8.1 A missing from care procedure is in place for the Residential Children's Home Service, which includes all forms of exploitation.

4.8.2 Within our service, the definition of missing from care includes children and young people who leave the residential home without permission, those who do not return to the home at the agreed time, and those who are absent overnight. Each young person has an individual care plan, which identifies strategies to implement for a young person who is absent without authorisation or is missing from care.

4.8.3 The table below shows the number of times children and young people went missing from Norfolk's Residential Children's Home Service during the period from 1st September 2019 to 31st August 2020:

Children / Young People Missing from Norfolk's Residential Children's Home Service

	2019/20 Sep - Aug
Total number of times children / young people went missing	293
Number of children / young people who went missing	25
Number of overnight missing episodes (included in the total number of times children / young people went missing)	78
Number of children / young people who have been absent without authorisation (they were not missing but they were absent from the home)	6

- 4.8.4 This year we have seen a 39% decrease in the number of young people who have gone missing from care within the service. There has also been a decrease in the number of times young people went missing. The number of young people who had episodes of unauthorised absence (not missing, but absent from the home) has also reduced, by 60%. A substantial amount of the missing episodes above relate to a small number of the young people in our care.
- 4.8.5 We have excellent links with the multi-agency teams around these young people to ensure the best strategies and robust safety measures are put in place to manage these episodes. We continue to work with partner agencies to address the risk of children in care going missing and have a working protocol to regulate practice. The service has built close working relationships with the Missing Persons Coordinator, Police Safer Neighbourhood Teams (police), Youth Offending Team, and Child Exploitation Team.
- 4.8.6 Our staff are aware of the warning signs to look for and use targeted keyworker sessions to discuss and raise awareness in the young people should they feel they are becoming at risk. Being informed and aware is key to effective intervention. One of the homes managers regularly attends multi agency networking meetings around the prevalent concerns and information concerning all forms of exploitation.
- 4.8.7 We regularly communicate with the Youth Offending Team, the police, and social work teams in respect of the information we receive from our young people and intelligence from the police. Finding out early about these links between young people who are at risk is vital to early intervention, preventing further criminalisation and vulnerability to being exploited.

4.9 Physical Intervention and Positive Handling

- 4.9.1 All the residential staff have been trained in Conflict Management Physical Intervention (CMPI) de-escalation and positive handling strategies. As per national guidance and local policy the Residential Children's Homes Service will only use restrictive physical intervention as a last resort when the young person places him/herself or others at risk of injury or may cause significant damage to property. If such risks exist, consideration is given to effective strategies that will be employed to minimise the risk.
- 4.9.2 For the period of September 2019 – August 2020 there were a total of 85 incidents of physical intervention across the service. There were 18 in our short-breaks homes. The other 67 were in the rest of the service, with the majority (62) taking place at The Lodge, Norwich Road, and Waterworks Road, involving five young people with complex needs. All restraints were necessary to ensure the safety and well-being of the young people. All restraints carried out in the homes are reviewed by the Home's Manager, Regulation 44 Visitors and Ofsted.

4.10 Significant Incidents Reported

- 4.10.1 Ofsted must be notified (Regulation 40 Notifications) of all significant incidents that occur in any residential children's home. The reasons for notifications for 2019/20 by Norfolk's Residential Services are shown in the following table:

Total Regulation 40 Notifications by Classification Type

Regulation 40 Notification Classifications	Sep 2019 – Aug 2020
Serious incident - police called to home	88
Referral of a person working in a home	4
Allegation of abuse against the home or a person working there	3
Instigation & outcome of any child protection enquiry involving child in the home	2
Other incident relating to a child that the registered person considers to be serious	38
Total Regulation 40 Notification Classifications	135

4.11 Outcomes for Permanency

- 4.11.1 From September 2019 to August 2020 Norfolk Residential Children's Homes Service have provided accommodation for 164 children and young people who reside in Norfolk (this number has decreased since last year mainly due to the effect of Covid 19 on the numbers of young people able to access short breaks). Of these, 97 were accessing short term breaks, 12 are still currently accommodated and 55 young people have moved on following interventions delivered by the service:
- 4.11.2 6 young people returned home
12 moved to foster care (3 to agency placements and 9 to in-house placements)
6 moved to independent living or supported lodgings
10 moved to other children's homes
9 moved internally to our in-house children's homes
8 moved to specialist placements
3 moved to secure training centre
1 moved to an educational placement

4.12 Number of Children Accommodated in the Homes and their Occupancy Rates

- 4.12.1 The table below shows the occupancy rates for all residential homes during the period 1st September 2019 to 31st August 2020:

Occupancy Rates & Children / Young People Accommodated by Children's Homes

	% Bed Nights Occupied	Number of placements of Children/Young People
Easthills Road	94%	8
Frettenham	98%	4
Loki House	61%	10
Norwich Road	44%	19
The Lodge	49%	24
Waterworks Road	56%	2

4.12.2 Norwich Road and The Lodge have continued to offer emergency provision, but in some cases due to the level of need of the young people in placement, they have not been able to run at full capacity.

4.12.3 Loki House has had difficulty matching young people with their long-term resident, so they have not been able to run at full capacity.

4.12.4 Waterworks Road has been used as a one-bedded provision over the majority of the last twelve months due to the complexities of the young person accommodated.

4.12.5 The dynamics within any home are affected by the mix of young people. This can be both positive and negative. Over the last year there have been some occasions where we have had to restrict the accommodation of young people due to complex needs and matching. At times, this matching has been unavoidable due to local and national shortages of sufficient and effective placements.

4.12.6 Number of Children offered Short Breaks:

	% Bed Nights Occupied	Number of Children/Young People Accessing Short Breaks
Aylsham Road	65%	Offered short breaks for 39 children
Foxwood	59%	Offered short breaks for 32 children
Marshfields	40%	Offered short breaks for 26 children

4.12.7 In some cases, the occupancy rate has been affected in the homes due to the level of need and risk assessment of the young people. In addition, although nationally many short-breaks services ceased due to Covid 19, our short-breaks service has continued to operate on a reduced capacity basis to allow for social distancing, the personal care requirements of our young people, and for deep cleaning between visits.

4.13 Improvements made to our Children's Homes

4.13.1 **What the managers have to say**

- 4.13.2 The home has improved partnership working in response to the evolving needs of the young people we have support. This has included working within other homes alongside other teams and sharing knowledge and skills. The team has also worked alongside mental health staff, gaining new skills. We have worked collaboratively with the young people who have lived here, using feedback and residents' meetings to make the home more homely and introducing Wi-Fi to the home for young people to use.
- 4.13.3 We have worked in dynamic ways, the team being flexible and forward-thinking in their approach, carrying out outreach, and working alongside parents. This has led to us receiving recognition as a team with a huge ability to provide bespoke planning and intervention as a response to the needs of young people. This has supported alternatives to care and at times avoided the accommodation of children or promoted a swift return to the family with support.
- 4.13.4 We have worked hard to develop and maintain an efficient relationship with our local community Police force. Our proactive approach has promoted relationships between our young people and the Norfolk Police Constabulary, helping to break down judgemental barriers. During a particularly difficult time with a young person who caused significant criminal damage to the home, our local PC regularly visited the home to build up a relationship with him. Overtime, this helped them to form a relationship, allowing quicker staff de-escalation which in turn helped the young people to understand his behaviours.
- 4.13.5 The team now have a deeper understanding of the complexities of working with and managing CCE risks which is recognised in the feedback provided at Assistant Director level. In particular, staff managed to quickly develop rapport with a young person who had extreme high CCE risks and frequently went missing from care. There was a lot of professional anxiety around the management of his CCE risks to keep him safe. The home co-led on risk management and always followed practice guidance in line with his safety plan. We recognised the importance of multi-agency working by making sure that we shared information in a timely and effective way with his professional network.
- 4.13.6 We have been trialling alternative options to capture the child's voice, such as Talking Wall and mobile Talking Mats. This has enabled expression, recording, insight, understanding, action, conversation, connection, relationship building, choice-making and inclusion.
- 4.13.7 We have provided additional support (emergency short-breaks and increased duration and frequency in short-breaks) to two particular young people in distress, family in crisis and on the edge of care. This has added stability and prevented family breakdown. The young person's Social Worker fed-back to the Regulation 44 Visitor, *"They have been amazing. Xxxx went into crisis before Christmas and they*

pulled out all the stops. Xxxx Mother was grateful that someone heard her and so grateful for the help. They work really well therapeutically with Xxxx.”

4.13.8 All young people maintained contact with family members during lockdown, some virtually and some face to face.

4.13.9 We offered support and advise to another Young Person through her pregnancy, which enabled her to keep her baby and move back to family home. We also offered outreach to support the transition back home.

4.14 Future Development

4.14.1 No Wrong Door approach: Once Department of Education funding has been confirmed, we will be working with North Yorkshire County Council to rescope two of our residential homes to work in a new way with young people.

4.14.2 Springwood will be developed as a new unit providing emergency support to Children with Disabilities including an outreach support team.

4.14.3 Purchase of properties to provide solo/dual placements for young people with complex behavioural and emotional needs with the first home becoming operational in the new financial year.

4.14.4 Two more Semi-Independent Houses to become operational by the end of 2020.

4.14.5 Form stronger links with the commissioning team, to facilitate data sharing and enable evidence-based decision making.

4.14.6 Continue to recruit staff to our Relief Banks to meet the needs of the expanding service.

4.14.7 Norse will be carrying out works to make improvements to all of our children's homes as part of a capital project.

5.0 Alternative Options

5.1 N/A

6.0 Financial Implications

6.1 Financial Monitoring Information

6.2 Each placement in Norfolk's Residential Service children's homes in 2019/20 was on average £3,853 per week. This compares favourably with the agency placement costs of £4,135 for the basic package of care. Anything extra would incur further charges.

7.0 Resource Implications

7.1 **Staff:** N/A

7.2 **Property:** N/A

7.3 **IT:** N/A

8.0 Other Implications

8.1 **Legal Implications**

8.2 **Human Rights implications**

8.3 **Equality Impact Assessment (EqIA) (this must be included)**

8.3.1 As can be seen in the purpose and function documents, all our homes are committed to policy, procedures and practice which promote equality and address the poor outcomes for this group.

8.4 **Impact on Children and Young People in Norfolk**

Children's Services deliver a range of residential homes to meet the needs of young people who require residential care. As can be seen from the quality of care as judged by Ofsted, and our own quality assurance checks, our children's homes are having very positive effects on the outcomes achieved by our young people.

8.5 **Health and Safety implications (where appropriate)**

8.6 **Sustainability implications**

8.6.1 The key challenges for the Service are:

8.6.2 Ensuring the service meets the Ofsted criteria and expectations

8.6.3 Ensuring that our young people have permanence plans that meet their needs

8.6.4 Assessing the group dynamics and matching process

8.6.5 Reviewing residential services in line with the sufficiency strategy

8.6.6 Working alongside corporate strategies to ensure the residential services aligns with these.

9.0 Risk Implications/Assessment

N/A

10.0 Select Committee comments

N/A

11.0 Recommendations

Recommend the approval of the Statements of Purpose and Functions for all the Local Authority children's homes to Full Council to comply with the Care Standards Act 2000.

12.0 Background Papers

The statement of purpose for each home is available on Members Insight.

Officer Contact

If you have any questions about matters contained in this paper, please get in touch with:

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If you need this report in large print, audio, braille, alternative format or in a different language please contact 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

Report title:	Corporately Significant Vital Signs report
Date of meeting:	05th October 2020
Responsible Cabinet Member	Cllr FitzPatrick, Cabinet Member for Innovation Transformation and Performance
Responsible Director:	Fiona McDiarmid, Executive Director strategy & Governance
Is this a key decision?	No

Executive Summary/Introduction from Cabinet Member

The purpose of this report is to provide the Cabinet with an update on the Council's current performance towards achieving its strategic outcomes.

Each quarterly report provides an opportunity to review current performance, validate the actions being taken to address gaps in performance and identify further opportunities for improvement using the resource and knowledge of the Council as a whole.

This paper outlines the actual performance of the Council against its targeted performance for quarter one of 2020/21.

Quarter One Performance Summary

The table below provides a summary of how the Council's Corporately Significant Vital Signs performed at the end of quarter one.

	Totals
Green	14 vital signs met or exceeded the target.
Amber	2 vital signs are within the accepted tolerance of the set target, with performance due to be back on track in the following reporting period.
Red	13 vital signs are below or behind the target set.
Not reported	5 vital signs are not reported this quarter. The data for VS:210, VS:317, VS:407, VS:412 and VS:413 are not reported this quarter due to data availability and/or methodological changes.

COVID-19 and Corporately Significant Vital Signs

The Corporately Significant Vital Signs were agreed prior to COVID-19 and, in some cases, may not provide an overview of performance in the COVID-19 context. The revised performance reporting framework, due to launch in April 2021, will include vital signs that measure our progress towards COVID-19 recovery.

Cabinet are asked to:

1. Review and comment on the current performance data and planned actions as set out in Appendices 1 and 2.

1. Background and Purpose

- 1.1. Vital signs provide measurements of operational processes (internal) and strategic outcomes (external). Poor performance represents a risk to the organisation in terms of our ability to meet legal responsibilities, maintain financial health and meet the needs of our citizens.
- 1.2. The Corporately Significant Vital Signs are closely aligned to the four principles underpinning the Strategy:
 - Offering our help early to **prevent and reduce** demand for specialist services
 - **Joining up** our work so that similar activities and services are easily accessible, **done well and done once**
 - Being **business-like** and making best use of **digital technology** to ensure value for money
 - Using evidence and data to **target our work** where it can make the most difference.
- 1.3. Each vital sign has a target which has been set based on the performance required for us to work within a balanced budget and meet statutory requirements. Where the measure relates to the delivery of services benchmarking data has also been used to assess our performance against that of our statistical neighbours.
- 1.4. This report provides an update on the monthly, quarterly and annual Corporately Significant Vital Signs and contains:
 - Key explanatory points on each vital sign
 - A dashboard of the current performance, trends and historical performance in Appendix 1 and;
 - Individual report cards for each vital sign in Appendix 2.

1.5 New set of corporately significant vital signs

- 1.6 The move to a new Cabinet system of Governance, the launch of Together, For Norfolk and the impact of COVID-19 provides an opportunity to review the current vital signs to align them to the revised priorities. Work towards this is ongoing with an anticipated launch date of April 2021.

2. Current performance

- 2.1 **Table 1.0.** below outlines the vital signs that have met or positively exceeded the target at the end of quarter one.

Service	Vital Sign
Adult Social Services	203: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)
	204: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)
	400: Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months

Children's Services	401: Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months
	402: Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2 yrs)
	403: Percentage of Children Starting to be looked-after who have previously been looked-after
	410: Rate of Looked-After Children per 10,000 of the overall 0-17 population
	415: Number of Children subject to a Permanent Exclusion
Community and Environmental Services	311: % of Norfolk homes with superfast Broadband coverage
Workforce indicators	615: Sickness absence - percentage lost time
	639: Vacancy rate
Financial Indicators	502: Capital programme tracker
	503: Ratio of corporate net expenditure compared to frontline net expenditure
	504: Savings – Efficiencies compared to Front Line

2.2 **Table 1.1.** below outlines the vital signs that have not met the target and indicates where performance has improved since the previous quarter.

Service	Vital Sign	Previous Quarter Comparison
Adult Social Services	202: % of people who require no ongoing formal service after completing reablement	
Children's Services	404: Child in Need (CIN) with up to date CIN Plan	↗
	406: LAC with up to date Care Plan	
	408: Looked After Children with up to date Health Assessment	↗
	416: Percentage of Education, Health & Care Plans completed within timescale	
	417: Percentage of Relevant and Former Relevant Care Leavers in EET	↗
Community and Environmental Services	349: Number of apprenticeship starts	
	352: Customer Satisfaction (with council services)	
Workforce Indicators	637: New Employee Retention	↗
	638: Performance Development % of written goals agreed	↗
Financial Indicators	500: Budget monitoring – forecast vs budget at a County level	
	501: Savings targets delivered - by Service	
	505: Capital Receipts	↗ Annual comparison

2.3 Please note with the emergence of the COVID-19 Virus some performance deviates from expected plans and trajectories over the coming months.

3.0 Services Performance

3.1 The following section outlines the vital signs that are being monitored to maintain a view of the current and forecast pressures for Adults Social Services and Children's Services and also to monitor progress of the activities that are being delivered to establish a more sustainable model.

3.2 Adult Social Services

3.3 Promoting Independence is the Adult Social Services strategy for accelerating the delivery of improved outcomes for people who require adult social care within the ongoing challenging financial context.

3.4 People who live in their own homes tend to have better outcomes than those cared for in residential care and the Care Act 2014 requires that the council does all that it can to prevent or delay the need for formal or long-term care. Therefore, two vital signs track the number of people in residential care. This is split into two cohorts, people between 18 and 64 and those who are 65 and over; performance of these indicators has been positive over the last year with downward trends.

203: Permanent admissions to residential and nursing care per 100k population (18-64)

Historic admissions to residential care for people aged 18-64 were very high in Norfolk at nearly three times the family group average. Our priority focus has been to transform services for people with learning disabilities. This should see fewer people with learning disabilities in permanent residential and nursing care, because of wider choices of accommodation.

Over the last year, the highest proportion of residential admissions have been for people with mental health issues. The need for alternatives to residential care for people with mental health issues is growing and reflects a lack of supported living and other housing and community support.

A range of actions are being taken to reduce the rate of permanent admissions to residential and nursing care such as:

- The development of further accommodation-based enablement schemes and new supported housing schemes for people with the most complex needs, including those moving out of hospital, is in progress.
- Carrying out an options appraisal to inform the recommissioning of our shared lives provision.
- The Development of a comprehensive housing needs register, and engagement with people who use our services to help shape an accommodation strategy.

204: Permanent admissions to residential and nursing care per 100k population (65+)

There appears to be a real reduction in the rate of permanent admissions, as overall numbers of people in long term residential care has reduced slightly in the last year. As overall numbers of people aged 65+ within all residential care settings has not reduced by the same amount, it is likely that reductions in permanent admissions are offset by increases in short-term placements.

The last 12 weeks have seen an urgent requirement to ensure people do not stay in hospital any longer than is necessary. Additional short-term beds have been

commissioned to support this, so we may well see an increase of short-term placements.

We also do not yet know whether people at home may have avoided contact due to COVID-19 and as a result their condition may have deteriorated which could lead to an increase in the need for admission to residential care.

- 3.5 A key element of the Adults' Strategy is to intervene and keep people living independently. The Council has provided a reablement service for several years to help people get back on their feet after a crisis.

202: The effectiveness of Reablement Services - % of people who do not require long term care after completing reablement.

With the COVID-19 outbreak many people initially were reluctant to have face to face visits from Norfolk First Response plus there were fewer hospital discharges. However, the number of visits each day have increased in March but not yet matching those levels seen pre-Covid and leaves this figure performing below target.

Cawston Lodge was commissioned in May and is currently mothballed. The system is considering what is required for the Winter of 2020 and/or if there is to be a second wave.

Actions to bring this performance indicator back within target include:

- a review of Norfolk First Response linked to the new Discharge to Assess arrangements
- To continue to work on targeted recruitment to vacancies within the council's Home-Based Reablement services.

210: Delayed transfers of care attributable to Adult Social Care.

Delayed Discharges of Care reporting was suspended during COVID-19 and therefore, there is no data reported for this quarter. The NHS has indicated it will not be re-introduced before April 2021.

3.6 Children's Services

- 3.7 The Children's Services strategy focuses on meeting the needs of children by ensuring that they are:
- Resilient and able to learn
 - Build positive, long-lasting relationships
 - Receive family-based care

- 3.8 The number of Looked After Children (LAC) and those returning to being looked after are key indicators of how successful we are being in our early interventions and in identifying the right children to return to their families.

410: Rate of Looked After Children per 10,000 of the overall 0-17 population

The number of Looked After Children has decreased from 1,115 to 1,082 in this quarter giving us a rate per 10,000 of 64.5 this means our number of LAC per 10,000 of the overall population 0-17 is now lower than that of the national average. However, the result this quarter remains higher than our statistical neighbour.

We've seen a positive reduction in admissions to care from 24 in April to 17 in June, and the number ceasing care has risen from 12 in April to 26 in June.

Currently, 7% (76) of the LAC population are Unaccompanied Asylum Seeker Children (UASC). We anticipate that the number of UASC will continue to increase over the coming period given the national crisis and ensuring Norfolk receives its quota accompanied by central government funding.

403: Percentage of children starting to be looked after who have previously been looked after

December 2019 saw a marked increase in the number of children needing to come back into the care of the Local Authority, compared to data from previous months. In 2020 we have seen that number decrease.

The percentage of LAC who started to be Looked After and who had been Looked After in the preceding 12 months of start date is 5.1%, and is a slight increase on the previous quarter which was 2.6% but falls within our target rate of <15%.

402: Children Starting a Child Protection Plan for a 2nd/subsequent time within 2 years of a previous plan ceasing

The rate in June 2020 is 10.5% which, despite being an increase on the previous quarter, is well within the target of 15%. This quarter continues to reflect the small month to month fluctuations that we've seen in previous quarters, but the rate continues to remain between 9% to 11% across the three months in this quarter.

Norfolk is one of the best performing local authorities in the eastern region for this measure. This is testament to the quality of decision making and intervention that has enabled families to protect their children for an enduring period of time once the Child Protection Plan has ceased. It is indicative of more children receiving appropriate support in a timely way when they need it, affecting required change, and not requiring the need for ongoing statutory intervention at this level.

400: Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months

Early Help Services aim to offer support early and ensure the support that is offered delivers long-term sustainable outcomes that prevent re-referral. The rate of re-referrals for this quarter is at 13.1%, considerably lower than the 20% target.

There's been a drop in overall contacts during the COVID-19 lockdown resulting in overall reductions in referrals to Children's Social Care. As lockdown restrictions were lifted contacts and referrals began to increase, and this is reflected in the steady increase in re-referrals in May and June when compared to April.

401: Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months

The overall Child In Need population has reduced from 1,400 in April to 1,342 in June. There's also been a drop in overall contacts during the COVID-19 lockdown resulting in reductions in referrals to Children's Social Care. As a result, this Vital Sign is within its target range.

405: Child Protection (CP) - % children seen

Visiting children regularly informs planning and safety factors. Additionally, it ensures we mitigate risk and understand the child's lived experience as part of the care planning process.

In April, May and June there's been an increase of seeing children as part of managing the risks of COVID-19. This is reflected in the performance figures here. Visits continued to be conducted in person or virtually by rare exception where there was a clear and justifiable reason agreed by a manager

- 3.9 A good quality care plan alongside regular health assessments are essential to ensure that Looked After Children receive the correct services and support to achieve their full potential.

406: LAC with up to date Care Plan

The number of Looked After Children has decreased from 1,115 to 1,082 in this quarter. Despite COVID-19 and the limitations that lockdown imposed, the number of cases being reviewed has increased marginally from 92.7% in April to 93.4% in June. The number of children being visited has also increased from 96.8% in April to 98.5% in June.

408: LAC with up to date Health Assessment (HA)

Norfolk Community Health & Care's Review Health Assessments performance has improved in recent months as they have increased their LAC Nurse capacity which is evidenced in the rise in performance from 82.2% in April to 87.0% in June 2020. However, this Vital Sign is down on the targeted 100% performance for this quarter.

LAC Health Assessments are currently being undertaken by video or telephone due to restrictions around COVID-19.

- 3.10 Participating in full time education or employment with accredited training is a key indicator and demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life and contribute fully within their communities.
- 3.11 In addition to this, several measures monitor the quality of the educational establishments in Norfolk, the participation in education and the identification of educational, health and social needs and additional support needed to meet these needs.

414: Percentage year 12 and 13 cohort participating in full time education or employment with accredited training (EET)

Norfolk's participation rate in June is 90.2%. This is slightly lower than our statistical neighbours rate of 90.6% and lower than that of our target of 92%. Although Norfolk's employment without training rate is 2.7% this exceeds the national rate of 2.0%.

The combined NEET and 'not known' percentage for Norfolk is 7.1% and greatly exceeds the national average of 5.7%. This is because we have diverted resource earlier than usual during COVID-19 into supporting year 11 and 12 students who may be at risk of becoming NEET.

Actions to improve this include identifying and supporting young people in year 11 and 12 who are at risk of not continuing in learning with a specific focus on home educated, vulnerable groups and progression from year 12 to 13. Decreasing the number of young people who enter employment without accredited training through the promotion of apprenticeships and work with providers to reduce the number of young people who 'drop out'.

417: Relevant and Former Relevant Care Leavers (19-21) in Employment, Education and Training

We have changed the age parameters for these measures to 19-21-year olds in line with the benchmarking. However, we continue to monitor the data across all age groups.

At the end of quarter one this Vital Sign remains considerably lower than the target set. In June, 53.7% of Norfolk's 19-21-year-old care leavers were engaged in employment, education or training against a target of 70%.

Although performance has fallen below our target it is a steady increase on the previous quarter result. This performance is above the national average of 53.2% and considerably higher than the rate of our statistical neighbour's average of 47.8%.

There are several actions that are currently in progress to ensure that the rate of relevant and former relevant care leavers between the age of 19-21 in EET improves such as:

- Corporate Parenting Strategy subgroup has been set up and is working on providing opportunities for EET for Care Leavers
- Paper to be written for Corporate Board exploring an increase in apprenticeships and Internships/volunteer opportunities for LAC and Care Leavers to improve CVs and offer employment opportunities and;
- Work with Members to commence a Members mentoring scheme.

416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

EHCP timescale performance has been an area of leadership focus since 2018 and has been overseen within the SEND and AP Transformation Programme.

Performance directly relates to the significant increase in the rates of assessments for EHCPs carried out by the Local Authority with thresholds for such set out in statutory legislation.

Referrals for assessment and assessments carried out continue to rise and has outstripped additional capacity and so we have not yet seen a significant performance improvement. Performance for this quarter has increased to 19.8%, compared with 15% for the previous quarter.

Further investment is being made in the EHCP workforce as part of the 20/21 budget to continue to respond to the rising referral rate.

Recruitment is actively underway and additional resource is estimated to be in place in the autumn term.

415: Number of Children subject to a Permanent Exclusion

Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

The number of confirmed exclusions in Summer 2020 is Nil with one unconfirmed exclusion. It should be noted that this figure will have been affected by school closures due to COVID-19.

Following the partial reopening of schools, the Inclusion and Norfolk Steps Teams provided support for schools in relation to 224 pupils who were previously at risk of exclusion. The Inclusion and Norfolk Steps continue to work closely with schools to support the return to school of those pupils most vulnerable to exclusion. Advice and guidance documents have been produced and shared with schools regarding how best to support pupils on return to school, particularly those most likely to find this transition challenging.

349: Number of Apprenticeship starts

Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay). This performance indicator is currently red.

Data for the period August 2019 to April 2020 (latest published data) shows a more positive picture for Norfolk when compared to the national picture. Although apprenticeship starts have fallen by 11% for Norfolk (4210 compared to 4740 during the same period last year), this is still lower than the national decrease of 12%.

The picture by age breakdown is also generally positive when compared nationally:

- Starts for 16-18-year olds were down by 11% in Norfolk compared to a national decrease of 16%
- Starts for 19-24-year-old were down by 9% compared to a national decrease of 12% however;
- Starts for 25+ were down by 12% compared to a national decrease of 10%.

The number of apprenticeship starts across the different levels is as follows:

- Intermediate starts fell by 16% better than the national decrease of 24%, Norfolk has seen large decreases at this level over the past few months, so it is encouraging to see that this is being arrested.
- Starts at advanced level fell by 10% compared to 13% nationally and;
- Higher starts were down by 2% whilst nationally there was an increase of 11%, this may again be reflective of the disproportionately lower numbers of levy payers in Norfolk which is where many higher-level starts have been generated.

3.12 Community and Environmental Services

- 3.13 In addition to the social care measures we monitor a number of indicators relating to access to wider services across Norfolk:

317: on call (retained) fire station availability

As previously reported, the data for this Vital Sign is not currently accessible due to ongoing reporting issues since the introduction of the new command control software (Vision 4).

The NFRS Intelligence Unit is working to re-write the relevant reports to ensure detailed data is accessible for future performance reporting. However, the service is monitoring availability as part of day to day service management and no significant performance issues have been identified since the previous reporting quarter.

325: Customer Satisfaction (with council services)

This indicator measures customer satisfaction across a wide range of council services and communication channels.

Email satisfaction decreased to 76% for July 2020, based on the 611 completed surveys. Phone satisfaction was 82% for July 2020, based on the 2,427 completed surveys. This decrease impacts the overall satisfaction which has dropped to 81% against a target of 90%.

During July 2020 we encountered major phone issues; once callers had navigated our IVR they were disconnected and directed straight to our GovMetric survey. This led to numerous customers stating they were unhappy because they hadn't talked to anyone. Of all the negative phone comments left, 74% were related to the telephony issue. Moving to a dispersed operating model (everyone working from home) has meant the phone offer has experienced some technical issues which has impacted on the customer experience.

Excluding the feedback received where line issues were mentioned, telephone satisfaction was 90% and overall satisfaction 88%.

311: % of Norfolk Homes with superfast broadband coverage

Access to superfast broadband will provide businesses and individuals access to the resources needed to maintain independence and a strong economy. Currently 95% of properties in Norfolk can access fast broadband which meets the target of 95%.

Work continues to extend this coverage through the Better Broadband for Norfolk partnership.

3.14 Financial and Workforce Measures

- 3.15 A number of financial and workforce measures are monitored to review how effectively the council is maximising the resources available for service delivery. All of these indicators are NCC-wide measures.

3.16 Financial indicators

500: Budget monitoring – Forecast vs. Budget

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves, this measure monitors the forecast spend vs. the budget. Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 3 (June) was an overspend of £7.784m on a net budget of £430.421m.

General Balances are £19.7m and service reserves and provisions are forecast to total £75.2m. COVID-19 financial pressures have been considered in the forecasts.

Within the forecast overspend are significant financial pressures identified in Adult Social Services, Community and Environmental Services, and Finance, mainly relating to COVID-19 related pressures (net of grants received).

Within Adults, the areas of highest pressures, the main area of forecast overspend is on Older People and Mental Health services within the Purchase of Care budget.

503: Ratio of Corporate net expenditure compared to Frontline

The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

The ratio of corporate to frontline costs, both Budget and actual has been consistent over the past few years when adjusted for adjustments to reflect evolving changes in the way services are managed, and for year-end capital accounting adjustments.

The actual ratio forecast for 2020-21 is slightly higher than budget due to the relative impact of Covid-19 related costs in several public facing services within Corporate departments.

501 Savings targets delivered – by Department

Making savings is key to supporting the delivery of a balanced budget and ensuring that the Council maintains a robust financial position. Savings are identified across the council each financial year and the savings identified for 2020/21 is £40.244m.

Historically the Council has a good record of achieving budgeted savings delivering £325.706m of savings in the period 2011-12 to 2018-19, against budgeted savings of £363.768m (90%).

In the current year, 2020-21, as at Period 3 (Quarter 1), a shortfall of £17.780m is forecast against a wide range of the total budgeted savings of £40.244m. (44% of planned savings). This is out of line with previous year trends for delivery and is substantially due to the impact of the response to COVID-19, which has absorbed organisational capacity and impacted on both the operating environment and underlying assumptions within saving plans.

An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Work is underway across services to re-establish delivery of saving programmes and minimise delay / non-delivery.

504 Savings – Efficiencies compared to Front Line

This figure demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over savings which impact on front line delivery. Savings of £40.244m are budgeted for 2020-21 of which £33.679m are planned to be efficiencies (84%).

The Council has a good track record of savings, with a focus on delivering efficiencies while minimising service reductions.

In the period 2011-12 to 2018-19, against budgeted savings of £363.768m, £246.130m (68%) were planned to come from efficiencies. Actual savings achieved for the period saw £229.650m from efficiencies against total savings of £325.706m (71%).

The forecast outturn position (as at Period 3), is for a significant shortfall in the delivery of savings of £17.780m, across the full savings programme due to the impact of COVID-19. Further details are set out in monitoring reports to Cabinet. An element of the funding received from Government for the COVID-19 response is

intended to support the non-delivery of savings. Forecasts for the subsequent years reflect the 2020-21 MTFS and are assumed to be broadly in line with budget.

Please note: the title of this vital sign has been amended to clarify that it reflects the ratio of efficiency savings compared to front line / service reductions across the whole Council savings programme, rather than support services compared to service departments.

502: Capital Programme Tracker

Members set a capital budget each year in the expectation that capital projects will be delivered, and budgets controlled.

Actual spend for the three months to June, after adjusting for year-end accruals was £14m. Year end accruals account for approximately 2 months of capital expenditure, so this represents roughly 1 month's expenditure. In 2019-20, average monthly capital spend was £15.5m.

Based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling this is 102% of anticipated expenditure at this stage of the year.

505: ANNUAL Capital Receipts

Where the Council owns property which it does not need, disposals can release capital receipts and reduce running costs. Capital receipts are hard to predict, as can be seen from the detail provided in the report card in Appendix 1, which shows actual receipts against capital programme aspirations across a three-year period.

Capital receipts of £8.87m were generated in 2019/20 against a forecast of £10.3m.

Capital receipts of £10.047m are forecast to be generated in 2020-21. This is 95% of capital programme projections and is good in comparison to the performance in previous years.

3.17 Workforce

- 3.18 A number of measures are monitored to understand the total available capacity and engagement of the organisation to deliver our services.

615: HR: % lost time due to sickness

Supporting employees to be healthy, positive and productive at work is a priority and staff absence is also an indicator of the overall relationship between the employee and employer.

The sickness absence rate to the end of June 2020 was 3.4% below the target of 3.5% and compared to 4.16% at the same point last year. The average lost time due to sickness absence for local government is 2.7% (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available) and for large employers (5,000+ employees) is 4.3% (CIPD Health and Wellbeing at work survey 2018).

This equates to 203 fte in lost productivity. Sickness absence has consistently decreased since the start of lockdown. This is in line with trends reported by other organisations (CIPD website). The ceasing of all but critical services, the move to

working from home and the reduction in social interactions for all of us is likely to have contributed to this.

Looking at sickness from a departmental perspective Adults (4.37%) and Children's Services (3.61%) continue to have the highest levels of absence and we continue to work proactively with these services. All other departments have absence rates at under 3.26%, with Strategy & Governance the lowest at 2.25%.

637: New employee retention

Improving our retention rate will reduce costs associated with recruitment and training and improve service performance, this indicator measures how many new entrants to NCC stay in post for longer than two years.

The new employee retention rate increased considerably to 76.47% between March and June, which is very close to our stretching target of 80%. There is considerable fluctuation month to month however, the overall trend is an improving one.

As a percentage of all leavers, Children's have around 55% of leavers having less than two years' service, Adults have around 47% whereas, CES have just over 25% of leavers failing to reach two years' service.

Recent work to identify mechanisms to retain social workers will be measured carefully however, it is too soon to show the impact of this. As at end of June annual turnover of Social Worker roles is at 10.7% in Children's and 11.3% in Adults. Departments are asked to urgently correlate their turnover data and employee survey feedback for insight to act upon.

It is likely that the pandemic will lead to some instability in the job market for some time and it is currently difficult to predict the impact this will have but with many organisations reducing or pausing recruitment this may be advantageous for NCC recruitment and retention.

638: HR Performance Development (Previously appraisals) Percentage of written goals agreed

External research identifies that goals linked to future plans and conversations between managers and building on employee strengths are critical for effective people performance. This is the third year that services are operating to plans on a page supporting the linkage between performance development and organisational goals

At end of June 2020, 58% of staff had their date of written goals agreed recorded. This upward trajectory is continuing with 74% recorded at mid-August 2020 compared to 48% in 19/20. Actions taken to provide dashboard information at Directorate and Service level on completions and non-completions for 20/21 together with new functionality within My HR and Payroll has improved ease of recording and tracking.

Agreed actions to take to improve this Vital Sign include:

- Recognising delay with the COVID-19 pandemic, Strategic HRBPs and Directorate Management Teams to focus effort where date of written goals agreed have not been recorded.
- Target communications from September 2020 with mid-year reviews providing the opportunity for a reminder of the target.

639: Vacancy Rate (Accuracy of establishment data)

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being. Accurate data allows for recruitment planning to fill vacancies in a timely way and identify challenges in recruitment for professional groups.

The vacancy rate for this quarter was 11.7%, so is broadly in line with the target rate. The overall trend continues to move downwards with a rolling average of 11.27% in June 2020.

COVID-19 has had an impact on the workforce with considerably fewer leavers in the three months of lockdown. The numbers in June are increasing again, but still below pre-lockdown levels, which reflects the more uncertain market place.

4. Impact of the Proposal

4.1 Information Report

5. Evidence and Reasons for Decision

5.1 N/A

6. Alternative Options

6.1 Information Report

7. Financial Implications

7.1 N/A

8. Resource Implications

8.1 Staff N/A

8.2 Property N/A

8.3 IT N/A

9. Other Implications

9.1 Legal Implications N/A

9.2 Human Rights implications N/A

9.3 Equality Impact Assessment (EqIA) (this must be included) N/A

9.4 Health and Safety implications (where appropriate) N/A

9.5 Sustainability implications (where appropriate) N/A

9.6 Any other implications N/A

10 Risk Implications/Assessment

10.1 This report is intended to be read with the Risk Management Report.

11 Select Committee comments

11.1 N/A

12 Recommendations

12.1 This report is for information and therefore, there are no recommendations.

13. Background Papers

13.1 Information within Appendices 1 and 2

Officer Contact

If you have any questions about matters contained in this paper, please get in touch with:

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If you need this Agenda in large print, audio, Braille, alternative format or in a different language please contact Corinne Lawrie 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.






Appendix 1: Corporately Significant Vital Signs Dashboard – Monthly Indicators

Ref	Monthly	Direction Bigger or Smaller is better	Apr 19	May 19	Jun 19	Jul 19	Aug 19	Sep 19	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20	May 20	Jun 20	Jul 20	Target	Trend	Past Performance
202	{ASC} % of people who require no ongoing formal service after completing reablement	Bigger	74.3%	73.5%	75.6%	74.4%	76.0%	74.3%	74.7%	66.8%	65.9%	61.1%	60.0%	62.4%	58.1%	60.3%	59.5%	N/A	69%	↓	
203	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	Smaller	21.55	24.09	21.94	20.76	21.55	21.55	20.76	19.78	19.78	19.00	19.78	21.15	23.31	21.74	20.37	N/A	22.70	↓	
204	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	Smaller	539.01	583.05	571.79	563.34	555.82	542.68	529.54	527.66	533.29	560.1	548.3	538.9	563.8	536.11	520.62	N/A	571.1	↓	
210	{ASC} Number of days delay in transfers of care per 100,000 population (attributable to social care)	Smaller	5.09	6.43	6.59	6.68	6.86	6.91	6.99	7.03	7.13	6.21	6.35	N/A	N/A	N/A	N/A	N/A	3.4	↑	
317	{NFRS} On call (retained) fire station availability	Bigger	87.3%	86.3%	83.6%	83.7%	80.0%	82.7%	83.3%	84.2%	85.3%	87.3%	N/A	N/A	N/A	N/A	N/A	N/A	90%	↓	
325	Customer satisfaction (with council services)	Bigger	93.3%	92.7%	86.9%	86.6%	88.3%	90.4%	88.8%	88.4%	88.9%	92.5%	92.9%	90.8%	91.6%	91.5%	89.3%	80.7%	90%	↓	
400	{ChS} Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months	Smaller	5.6%	3.6%	2.0%	3.0%	1.4%	0.8%	7.4%	9.4%	13.8%	12.3%	5.6%	7.7%	7.5%	9.8%	13.1%	N/A	20%	↑	
401	{ChS} Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months	Smaller	19.5%	19.0%	18.5%	18.0%	21.3%	18.4%	18.8%	15.7%	17.2%	19.8%	19.8%	17.4%	26.4%	22.8%	16.8%	N/A	20%	↓	
402	{ChS} Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2 yrs)	Smaller	9.9%	10.6%	10.3%	10.2%	9.6%	9.2%	8.9%	9.9%	11.1%	10.9%	9.9%	9.3%	10.0%	9.8%	10.5%	N/A	<15%	↑	
404	Child in Need (CIN) with up to date CIN Plan	Bigger	68.2%	69.6%	74.7%	72.7%	67.3%	71.4%	67.4%	65.1%	65.2%	67.8%	62.6%	68.1%	70.0%	74.4%	75.3%	N/A	100%	↑	
405	{ChS} Child Protection (CP) - % children seen	Bigger	90.2%	90.2%	92.8%	93.7%	93.7%	91.3%	94.3%	88.9%	93.1%	90.5%	95.3%	94.8%	97.6%	98.4%	99.1%	N/A	100%	↑	
406	{ChS} LAC with up to date Care Plan	Bigger	97.6%	94.8%	95.1%	97.2%	94.6%	84.3%	92.8%	92.5%	94.8%	94.3%	95.4%	95.1%	95.3%	93.9%	94.3%	N/A	100%	↑	
408	{ChS} LAC with up to date Health Assessment (HA)	Bigger	88.6%	88.8%	89.1%	87.0%	86.2%	85.2%	84.6%	82.3%	81.0%	82.7%	81.8%	79.0%	82.2%	86.2%	87.0%	N/A	100%	↑	
414	{ChS} Percentage of all young people in EET	Bigger	89.9%	89.3%	89.3%	89.1%	85.4%	86.9%	90.1%	91.7%	91.9%	91.3%	91.5%	91.0%	90.4%	90.2%	90.2%	N/A	92%	↓	
417	{ChS} Percentage of Relevant and Former Relevant Care Leavers in EET	Bigger	50.1%	52.9%	52.6%	50.7%	49.7%	50.8%	50.6%	51.1%	52.7%	53.9%	52.6%	53.0%	52.9%	53.5%	53.7%	N/A	70.0%	↑	
500	{Finance} Budget monitoring – forecast vs budget at a County level	On plan	-£0m	£5.7m	£6.1m	£5.01m	£4.62m	£4.37m	£3.82m	£3.7m	£1.92m	£1.38m	£1.38m	-£0.08m	-£0m	£1.58m	£7.78m	N/A	£0.0m	↑	

Appendix 1: Corporately Significant Vital Signs Dashboard – Monthly Indicators

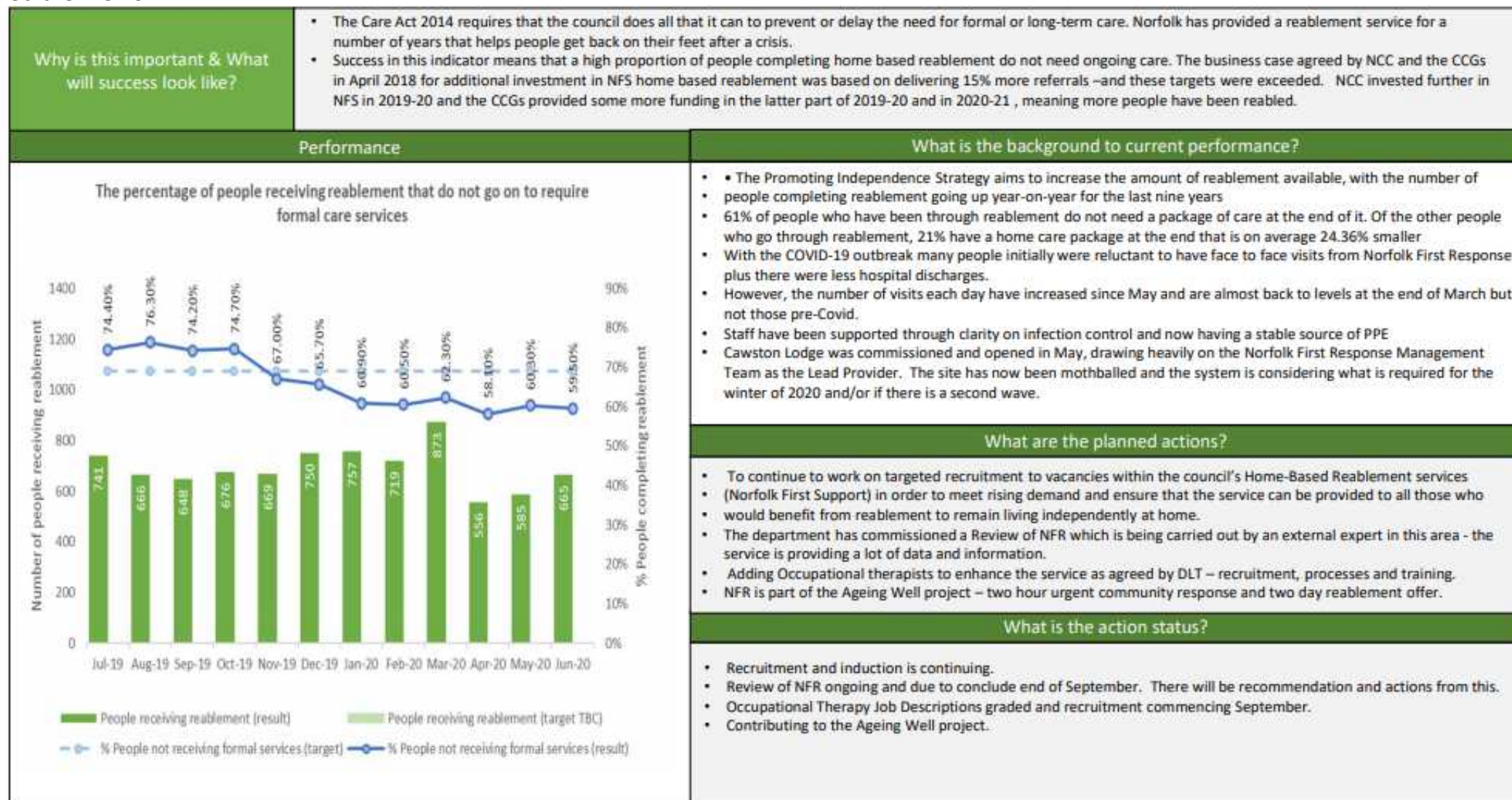
Ref	Monthly	Bigger or Smaller is better	Apr 19	May 19	Jun 19	Jul 19	Aug 19	Sep 19	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20	May 20	Jun 20	Target	Trend	Past Performance
501	{Finance} Savings targets delivered - by Service	Bigger	£31.61m	£26.9m	£26.9m	£26.9m	£26.9m	£26.69m	£26.69m	£26.69m	£26.69m	£26.21m	£26.21m	£26.85m	£40.24m	£22.14m	£22.46m	£40.2m	-	
502	{Finance} Capital programme tracker	Bigger	55.0%	55.0%	82.9%	86.7%	77.6%	81.7%	78.7%	76.7%	75.7%	74.7%	72.6%	80.8%	N/A	N/A	102.2%	100.0%	↗	
503	{Finance} Ratio of corporate net expenditure compared to frontline net expenditure	Smaller	5.8%	5.8%	5.8%	5.8%	5.8%	5.8%	6.4%	6.6%	6.6%	6.5%	6.5%	6.5%	N/A	N/A	6.9%	6.8%	↗	
504	{Finance} Savings - support services compared to front line	Bigger	88.5%	89.3%	89.3%	89.3%	89.3%	89.2%	89.2%	89.2%	89.2%	89.0%	89.0%	89.3%	83.7%	85.0%	85.0%	84.0%	↗	
615	{HR} Sickiness absence - percentage lost time	Smaller	3.90%	3.95%	4.10%	4.20%	3.95%	3.80%	3.80%	3.77%	3.72%	3.71%	3.64%	3.70%	3.60%	3.54%	3.40%	3.50%	↘	
637	{HR} New Employee Retention	Bigger	59.26%	56.20%	62.07%	68.97%	61.70%	68.63%	57.14%	75.68%	62.71%	57.14%	71.70%	68.50%	63.64%	68.33%	76.47%	80.0%	↗	
639	{HR} Vacancy rate	Smaller	16.50%	13.50%	13.50%	16.40%	12.2%	10.2%	12.8%	13.2%	9.9%	10.4%	10.2%	13.1%	11.7%	9.7%	11.7%	12.00%	↗	

Appendix 1: Corporately Significant Vital Signs Dashboard – Quarterly, Termly and Annual Indicators

Ref	Quarterly	Bigger or Smaller is better	Dec 19	Mar 20	June 20	Target	Trend	Past Performance
311	{BBfM} % of Norfolk homes with superfast Broadband coverage	Bigger	94%	95%	95%	95%	↗	
349	{PE} Number of apprenticeship starts	Bigger	1820	3,080	4,210	5,021	-	Data is cumulative
403	{ChS} Percentage of Children Starting to be looked-after who have previously been looked-after	Smaller	13.10%	2.6%	5.1%	<15%	↗	
410	{ChS} Rate of Looked-After Children per 10,000 of the overall 0-17 population	Smaller	65.5	65.1	64.5%	69.4	↘	
416	{ChS} Percentage of Education, Health & Care Plans completed within timescale	Bigger	12.7%	15.0%	19.8%	55%	↗	
638	{HR} Performance Development % of written goals agreed	Bigger	48%	52%	58%	95%	↗	
Termly			Autumn 19	Spring 20	Summer 20			
415	{ChS} Number of Children subject to a Permanent Exclusion	Smaller	83	38	0			
Ref	Annual		2017/18	2018/19	2019/20			
505	Capital Receipts	Bigger	£1.31m	£5.06m	£8.87m	£10.3m		

Appendix 2: Individual Report Cards

202: The effectiveness of Reablement Services -% of people who do not require long term care after completing reablement



203: Permanent admissions to residential and nursing care per 100k population (aged 18-64)

Why is this important & What will success look like?

- People that live in their own homes, including those with some kind of community-based social care, tend to have better outcomes than people cared-for in residential and nursing settings. It is usually less expensive to support people at home -meaning that the council can afford to support more people in this way. In our Learning Disability and Autism strategies, people tell us they want more choice of where they live and who they live with.
- Norfolk's rates have historically been higher than the 'family group' average. Success would mean rates sustained below this rate, and subsequent reductions in the overall number of people in residential and nursing care. It would also mean the delivery of genuine alternatives to residential care for those that need intensive long-term support

Performance



What is the background to current performance?

- Historic admissions to residential care for people aged 18-64 were very high in Norfolk at nearly three times the family group average.
- One priority focus has been to transform services for people with learning disabilities. This should see fewer people with learning disabilities in permanent residential and nursing care, because we are able to offer different choices of accommodation
- Analysis of choices for younger people with learning disabilities highlighted shortcomings in options for people, with a lack of 'step-down' or step-up facilities for people as an alternative to permanent accommodation. In response, we have developed two accommodation-based enablement schemes that focus on developing skills and supporting a move to the right permanent accommodation with the right support. The need for alternatives to residential care for people with mental health issues is growing, and reflects a lack of supported living and other housing and community support.
- Over the last year, the highest proportion of residential admissions have been for people with mental health issues.
- The reporting period here is pre-COVID-19, following which fewer people we support have been able to change their accommodation, but work continues to develop alternatives to residential accommodation.
- We have launched a new Preparing for Adult Life Service which works across adults, children's, education and health to support and improve transitions between children's and adults services.
- There is an active Shared Lives service in Norfolk, but fewer people are supported than in many comparative authorities

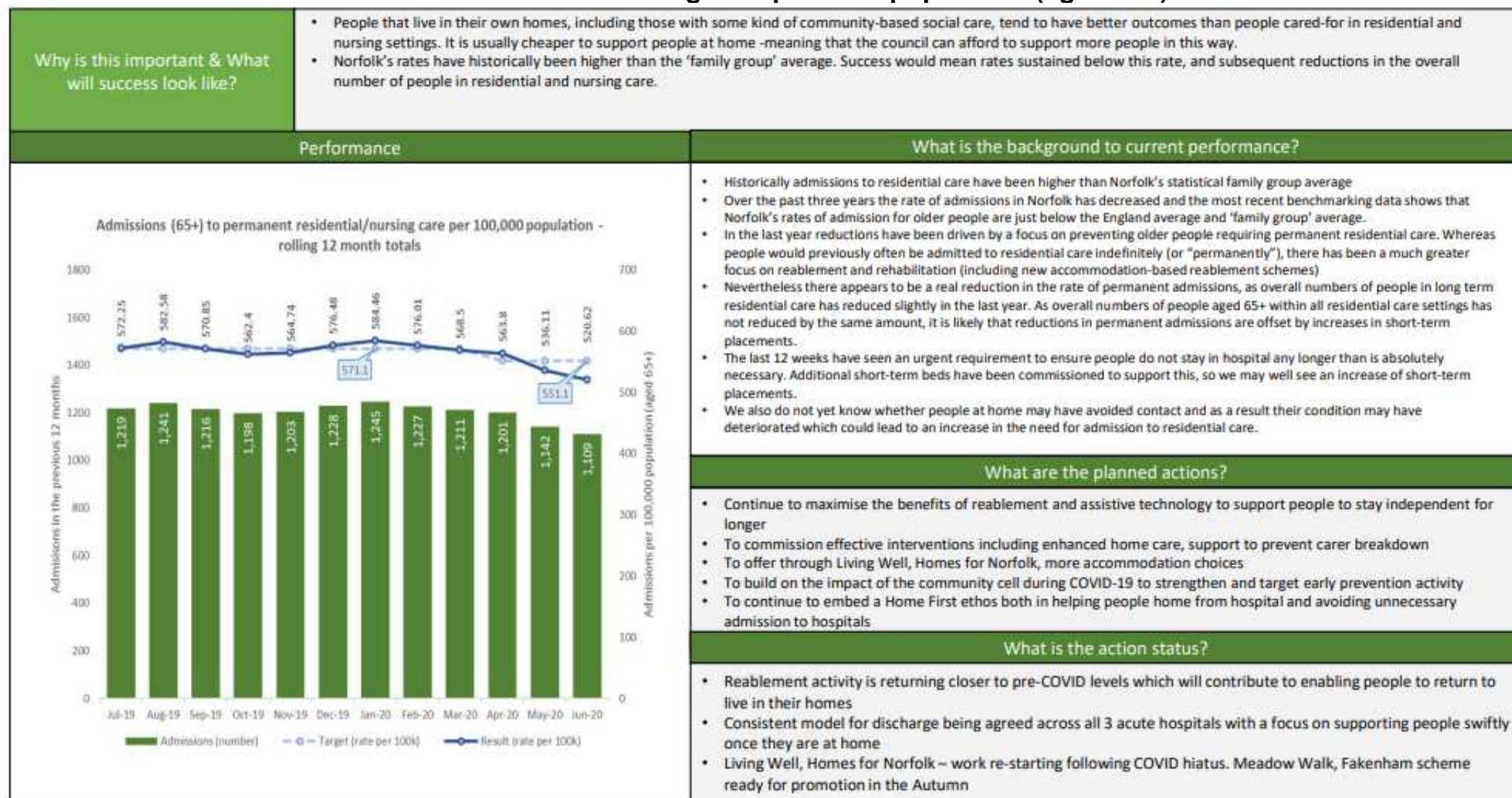
What are the planned actions?

- Development of further accommodation-based enablement schemes and new supported housing schemes for people with the most complex needs, including those moving out of hospital, is in progress.
- Carrying out an options appraisal to inform the recommissioning of our shared lives provision.
- Actions to increase the take up of direct payments so more people can manage and arrange their own bespoke care
- Development of a comprehensive housing needs register, and engagement with people who use our services to help shape an accommodation strategy
- Building a business case for bespoke specialist accommodation for those with the most complex needs.
- Creating alternatives to residential care for individuals with severe, enduring mental health issues.

What is the action status?

- Reviewing of all supported housing and residential services for people with learning disabilities has re-started, following a pause during COVID.
 - There is now a managed list of supported living voids held by commissioning colleagues which will feed into this programme.
- The development of these alternatives for MH is a priority for MH commissioners and ops, core part of the MH transformation plan and NCC savings plan in the medium term.

204: Permanent admissions to residential and nursing care per 100k population (aged 65+)

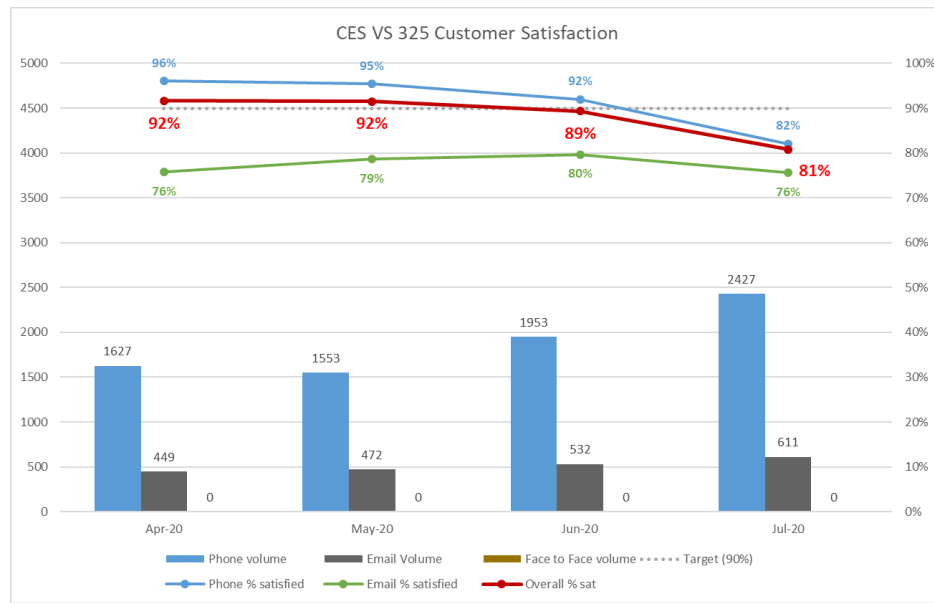


325: Customer Satisfaction

Why is this important?

This measures the organisations ability to attract the right calls and deal with them effectively. Where people are phoning to chase an earlier contact / request it is a signal of inefficiency in the organisation – it also adds unnecessary cost in dealing with a second customer contact.

Performance



What is the background to current performance?

Email

Email satisfaction decreased to 76% for July 2020, based on the 611 completed surveys.

People unhappy with the outcome of a blue badge application was the main cause for dissatisfaction and application volumes are increasing following lockdown easing.

Phone

Phone satisfaction was 82% for July 2020, based on the 2,427 completed surveys. This decrease impacts the overall satisfaction which has dropped to 81%.

During July 2020 we encountered major phone issues, once callers had navigated our IVR they were disconnected and directed straight to our GovMetric survey. This led to numerous customers stating they were unhappy because they hadn't talked to anyone.

Of all the negative phone comments left, 74% were related to the telephony issue. It is currently being looked at by IT and Capita and improvements have been made, investigations are still ongoing. Excluding the feedback received where line issues were mentioned, telephone satisfaction was 90% and overall satisfaction 88%.

What will success look like?

- Over 90% of customers are satisfied with the service they receive
- As the customer service programme progresses the number of avoidable customer contacts by service should reduce, as customers are more able to self-serve online.

Action required

- IT to investigate and fix the issue where customers can leave multiple feedback.
- IT to complete investigation of calls not connecting to an agent

Responsible Officers

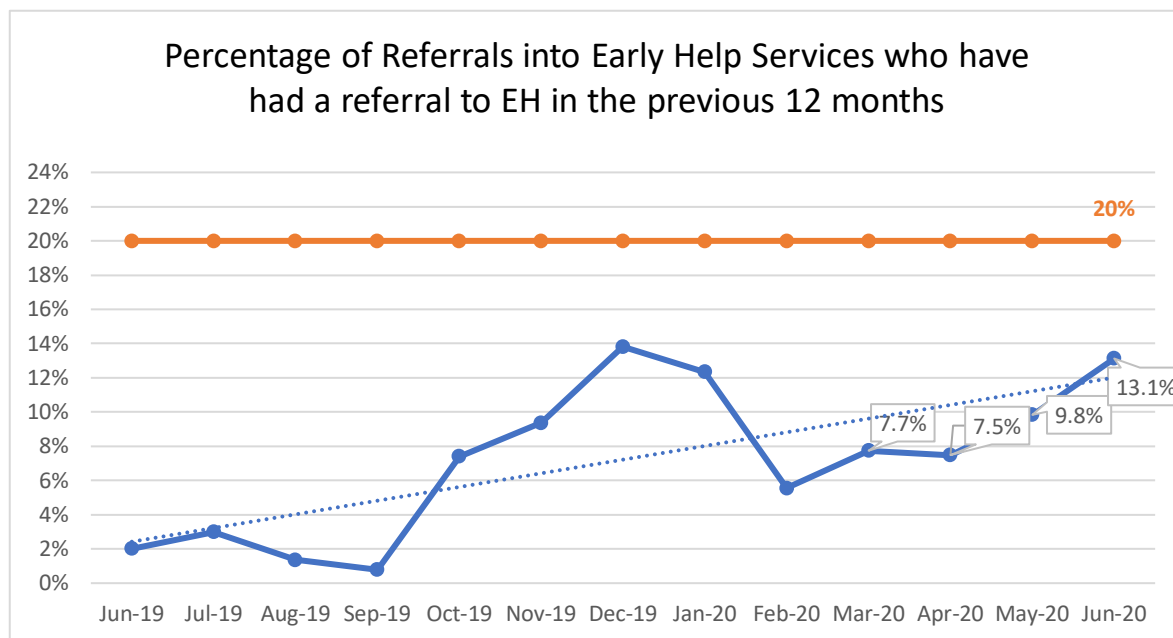
Lead: Ross Cushing, Contact Centre Delivery Manager; Data: Paul Green, Customer Services Reporting Officer

400: Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months

Why is this important?

To ensure we are providing good and sustainable outcomes for children who have previously had a Referral into Early Help Services

Performance



What is the background to current performance?

- An overall reduction of contacts impacted by the lockdown due to Covid-19 pandemic
- Lower level contacts coming to the front door CADS
- An overall reduction of referrals across Social Care
- As contacts and referrals have increased so have re-referrals

What will success look like?

- A reduction of re-referrals into services

Action required

- Continued focus upon quality, to ensure interventions are effective
- Continued close working relationship to strengthen the intervention ability in Community and Partnerships.

Responsible Officers

Lead: Daniel Newbolt (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

401: Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months

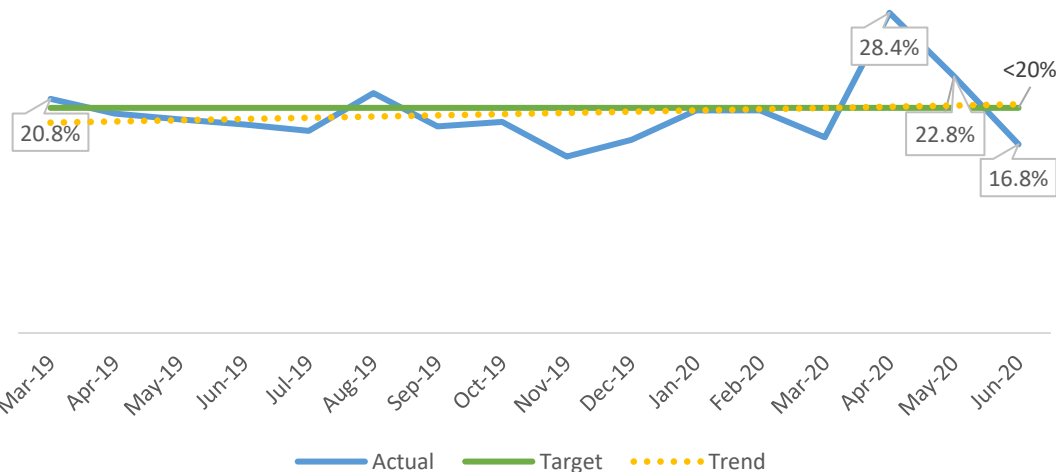
Why is this important?

To ensure we are providing good and sustainable outcomes for children who have previously had a Child In Need Referral

Performance

What is the background to current performance?

Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months



- An overall reduction of contacts impacted by the lockdown due to Covid-19 pandemic
- Lower level contacts coming to the front door CADS
- An overall reduction of referrals across Social Care
- The overall CIN population has reduced from 1400 in April to 1342 in June
- The spike shown in March and April is against a backdrop of the CIN population dropping from 1630 to 1455 in March and therefore a lower denominator in this period

What will success look like?

- A reduction of re-referrals into services

Action required

- Further improving the effective involvement of family networks meaning resultant plans are more sustainable.
- Improvement in step-down process to ensure plans are overseen and contingency plans adhered to.

Responsible Officers

Lead: Daniel Newbolt (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

402: Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)

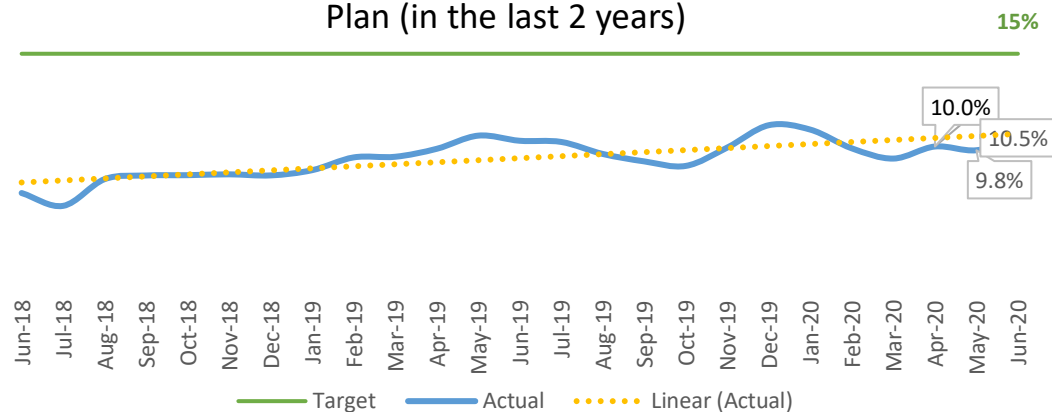
Why is this important?

To ensure we are providing good and sustainable outcomes for children who have previously had a Child Protection Plan

Performance

What is the background to current performance?

Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)



- There has been a reduction in the number of strategy discussions compared to the final quarter of 2019/20
- There has been a reduction in the number of section 47 discussions compared to the final quarter of 2019/20
- The overall CPP population has reduced from 652 to 628 in the last quarter
- Overall re-referrals to Social Care are reducing in the quarter from 29.9% in April to 16.8% in June

What will success look like?

- A reduction of the % of children who are subject to child protection plan for a second or subsequent time

Action required

- Further improving the effective involvement of family networks meaning resultant plans are more sustainable

Responsible Officers

Lead: Daniel Newbolt (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

403: Percentage of children starting to be looked after who have previously been looked after

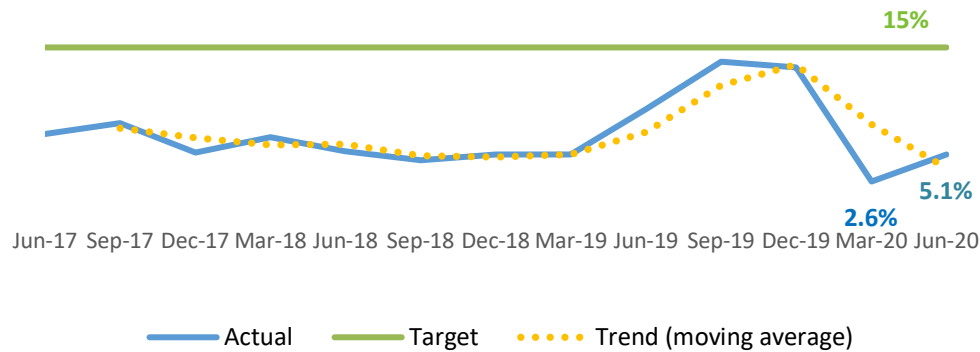
Why is this important?

To ensure we are providing good and sustainable outcomes for children who have previously been looked after

Performance

What is the background to current performance?

Percentage of Children Starting to be looked-after who have previously been looked-after



- The Looked After Children population has decreased from 1115 to 1082 in the quarter
- There has been a reduction in admissions to care from 24 in April to 17 in June, a downward trajectory

What will success look like?

- A reduction of the number and percentage of children who are readmitted to care

Action required

- Edge of care services to continue to be effectively utilised alongside family network planning and effective reunification plans to ensure children who leave care do not return to care.

Responsible Officers

Lead: Daniel Newbolt (Assistant Director CSC)

Data: George Potter (Senior Systems & Reporting Manager)

405: Child Protection (CP) - % children seen

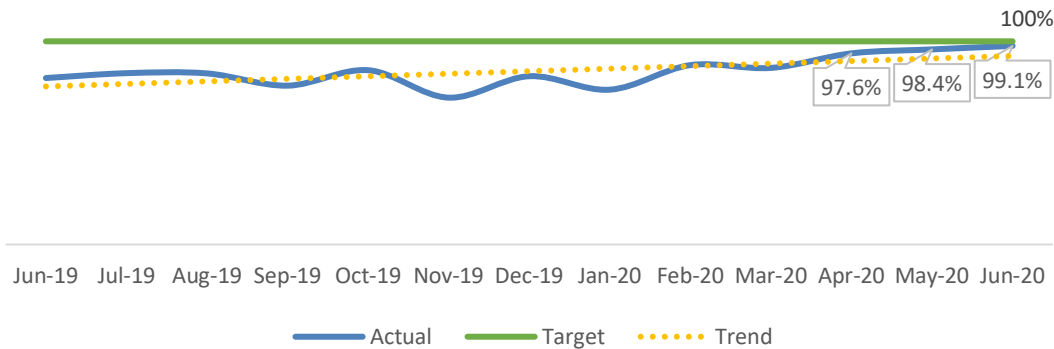
Why is this important?

By visiting children regularly this informs planning and safety factors. Additionally, it ensures we mitigate risk and understand the child's lived experience as part of the care planning process

Performance

What is the background to current performance?

Child Protection (CP) - % children seen



- An increase of seeing children as part of managing the risks of Covid 19
- Visits continued to be conducted in person or virtually by rare exception where there were over-riding risks to children
- The overall CPP population has reduced from 652 to 628 in the last quarter

What will success look like?

- Children seen within timescales
- Good quality visits to children

Action required

- Continued prioritisation of child protection visits to children in person, especially in the context of the effects of Covid restrictions.

Responsible Officers

Lead: Daniel Newbolt (Assistant Director CSC)

Data: George Potter (Senior Systems & Reporting Manager)

406: LAC with up to date Care Plan

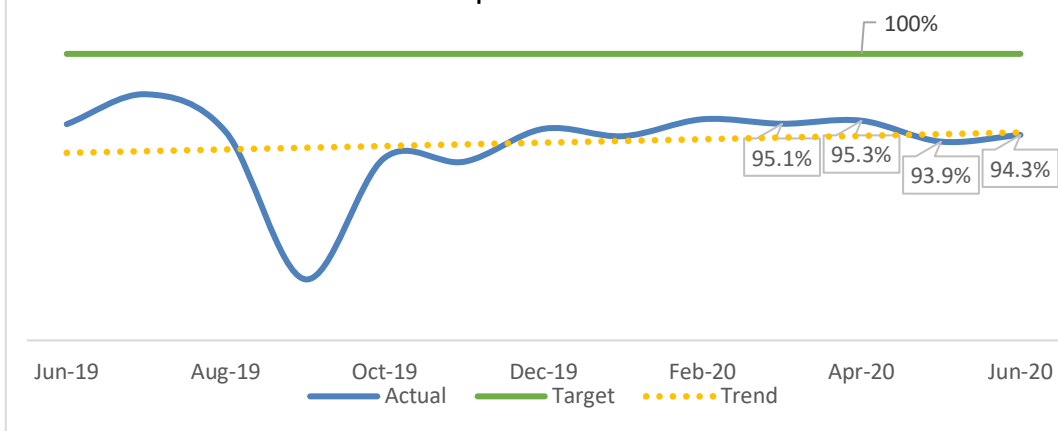
Why is this important?

By ensuring LAC have an up to date care plan we can ensure their needs are met and provide stability to their placement

Performance

What is the background to current performance?

LAC with up to date Care Plan



- The Looked After Children population has decreased from 1115 to 1096 in the quarter
- There has been a reduction in admissions to care from 24 in April to 17 in June, a downward trajectory
- The number ceasing care has risen from 12 in April to 26 in June an upward trajectory
- Despite the lockdown cases being reviewed in timescale has increased marginally from 92.7% in April to 93.4% in June
- Despite the lockdown children being visited has increased from 96.8% in April to 98.5% in June
- Childs participation in their reviews is at 97.1% in June
- 67.2% of children attended their reviews in June
- 6% of reviews were co-chaired by children or young people in June.

What will success look like?

- A large proportion of LAC with an up to date Care Plan – at least 90%
- Plans that include the decisions of the most recent LAC Review
- Good quality Plans that include the child's voice
- Care plans are written in a way that children can understand and engage with their own plan

Action required

- Sharing of good practice across the County in FAST and LAC to ensure that the child's voice is captured effectively
- Sharing of good practice in how to write a plan so that children can understand them
- Clear expectations communicated to all social workers who work with LAC to ensure timeliness and quality
- IRO QA monitoring of care plans to be effectively utilised by Heads and TMs to continue work on quality
- Use of manager audits to ensure quality of plans remains a focus

Responsible Officers

Lead: Kate Dexter Assistant Director for Corporate Parenting Manager)

Data: George Potter (Senior Systems & Reporting

408: LAC with up to date Health Assessment (HA)

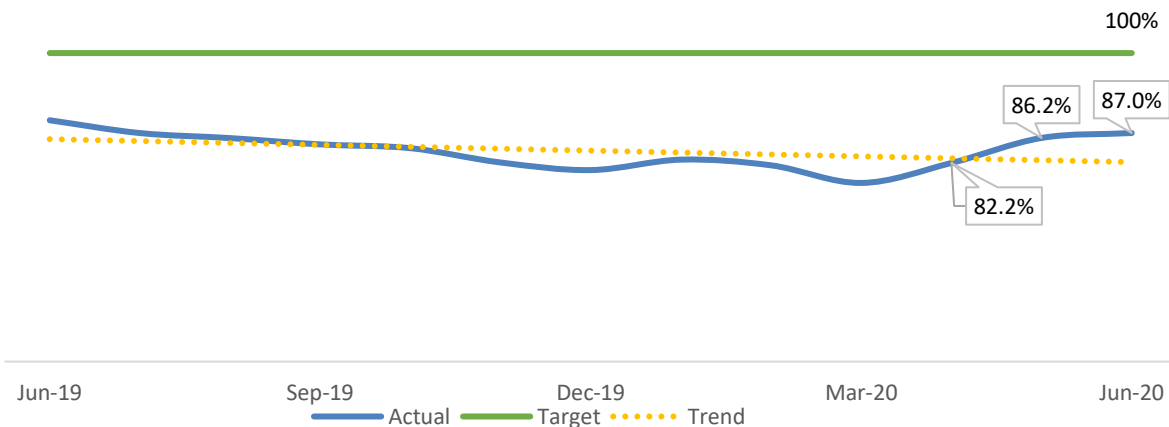
Why is this important?

To ensure that we are a good Corporate Parent to the children in our care, that their health needs are assessed regularly

Performance

What is the background to current performance?

LAC with up to date Health Assessment (HA)



- Norfolk Community Health & Care (NCH&C) LAC Health Team's Nurse capacity has not been consistent over the past 6 months which has impacted on clinic availability for RHAs. However, NCH&C's RHA performance has improved in recent months as they have increased their LAC Nurse capacity which is evidenced in the rise in the RHA performance from 82.2% in April to 87.0% in June 2020.
- East Coast Community Healthcare (ECCH) LAC Health Team have not experienced delays in completing RHAs.
- Cambridgeshire Community Services (CCS) who undertake the monthly RHAs for children under 5 years old have completed the majority of their RHAs in timescale.
- LAC Health Assessments are currently being undertaken by video or telephone due to restrictions around COVID-19.

What will success look like?

- All Looked After Children having regular health checks within timescale

Action required

- NCC to continue to work with our health colleagues to improve timeliness of review assessments further, particularly for out of county assessments
- SW teams to ensure requests for assessments continue to be sent to health colleagues in good time

Responsible Officers

Lead: Kate Dexter Assistant Director Corporate Parenting Data: George Potter (Senior Systems & Reporting Manager)

414: Percentage of year 12 and 13 cohort participating in fulltime education, or employment with accredited training (EET)

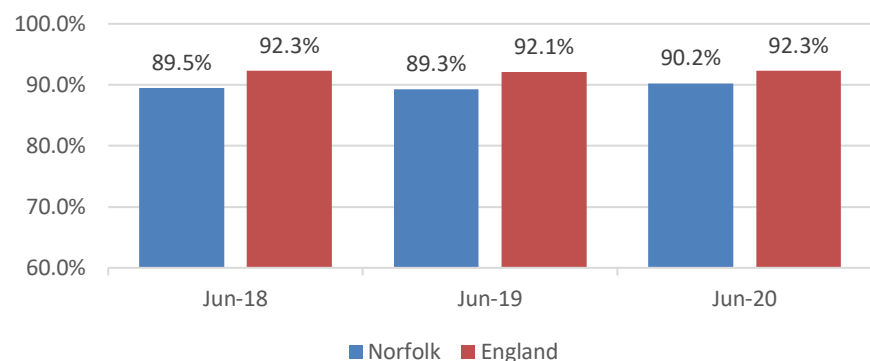
Why is this important?

This demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life. The Department for Education requires us to report this data to them each month.

Performance

What is the background to current performance?

Norfolk Participation - Year 12/13 - June 2020



- Those participating post-16 include those in fulltime education or employment with accredited training e.g. apprenticeships. Those who are employed but not undertaking accredited training are not counted as participating in EET
- Norfolk's Employment without training (2.7%) is higher than England's (2.0%)
- The combined NEET and 'not known' percentage for June in Norfolk at 7.1% is higher than the national average of 5.7%. This is because we have diverted resource earlier than usual in this Covid19 period into supporting year 11 and 12 students who may be at risk of becoming NEET.
- Updates from schools and colleges in April, May and June inform the LA when young people have left a course early. This affects the participation figures

What will success look like?

- Closing the gap for young people who are disadvantaged and achieving sustained participation in EET that is better than England

Action required

- Identifying and supporting young people in year 11 and 12 who are at risk of not continuing in learning with a specific focus on home educated, vulnerable groups and progression from year 12 to 13
- Decreasing the number of young people who enter employment without accredited training through promotion of apprenticeships
- Work with providers to reduce the number of young people who 'drop out' and providing support for those who do to re-engage

Responsible Officers

Lead: Karin Porter, Participation & Transition Strategy Manager

Data: Peter Kean-Cockburn

417: Relevant & Former Relevant Care Leavers (aged 19-21) in Employment, Education or Training

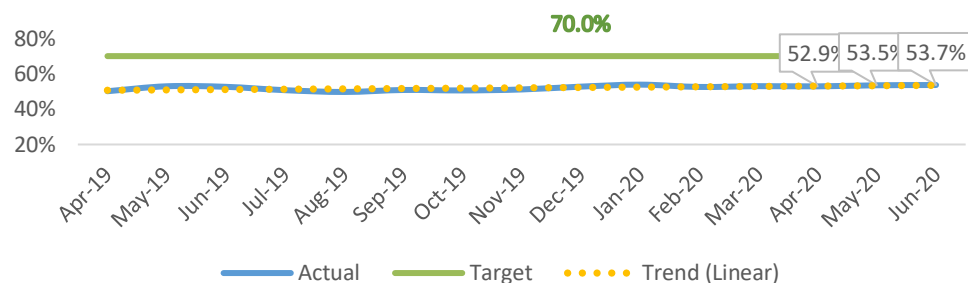
Why is this important?

To ensure that Care Leavers are afforded the opportunities that will give them lifelong skills and financial stability

Performance

What is the background to current performance?

Percentage of Relevant and Former Relevant Care Leavers in EET



- The trajectory is for us to be increasingly in touch with Care Leavers to know their current situation
- In June we were in touch with 88.8% of our Care Leavers
- In June 90.2% of Care Leavers were in Suitable Accommodation

What will success look like?

- All Care Leavers reaching their potential by being in Employment, Education or Training

Action required

- Corporate Parenting Strategy subgroup set up is working on EET for Care Leavers
- Paper to be written for Corporate Board exploring an increase in apprenticeships and Internships/volunteer opportunities for LAC and Care Leavers to improve CVs and offer employment opportunities
- Work with Members to commence a Members mentoring scheme
- SW Apprenticeships (Adults and Children) opened up to Care Leavers with guaranteed interview scheme
- Guaranteed interview scheme with Norfolk hospital
- Post 16 advisor post moved to Virtual School to ensure joined up approach to 16+ EET
- Work with Districts to explore employment opportunities
- Exploration of guaranteed interview scheme within NCC

Responsible Officers

Lead: Kate Dexter (Assistant Director Corporate Parenting) Data: George Potter (Senior Systems & Reporting Manager)

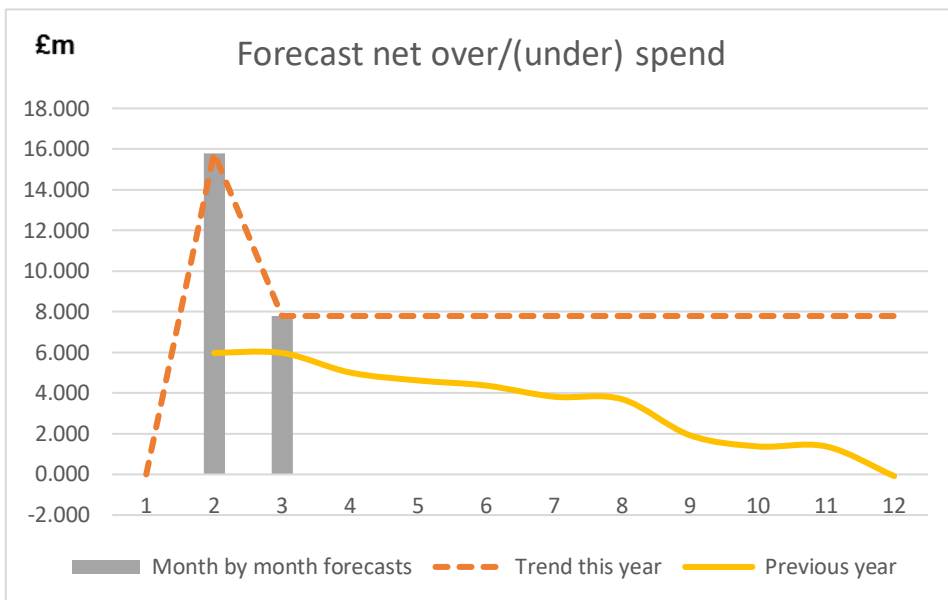
500: Budget monitoring – Forecast v Budget

Why is this important?

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves.

Performance

What is the background to current performance?



Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 3 (June) was an overspend of £7.784m on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total £75.2m. Covid-19 financial pressures have been taken into account in the forecasts.

Within the forecast overspend are significant financial pressures identified in Adult Social Services, Community and Environmental Services, and Finance, mainly relating to Covid-19 related pressures (net of grants received).

Within Adults, the areas of highest pressures, the main area of forecast overspend is on Older People and Mental Health services within the Purchase of Care budget.

The adjacent graph shows a forecast P3 (end of June 2020) overspend of **£7.784m** for 2020-21.

What will success look like?

- A balanced budget, with no net overspend at the end of the financial year.
- Where forecast overspends are identified, actions are put in place to mitigate and minimise these overspends.

Action required

- Chief Officers have responsibility for managing their budgets within the amounts approved by County Council.
- Chief Officers take measures throughout the year to reduce or eliminate potential over-spends.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

501: Savings targets delivered – by Service

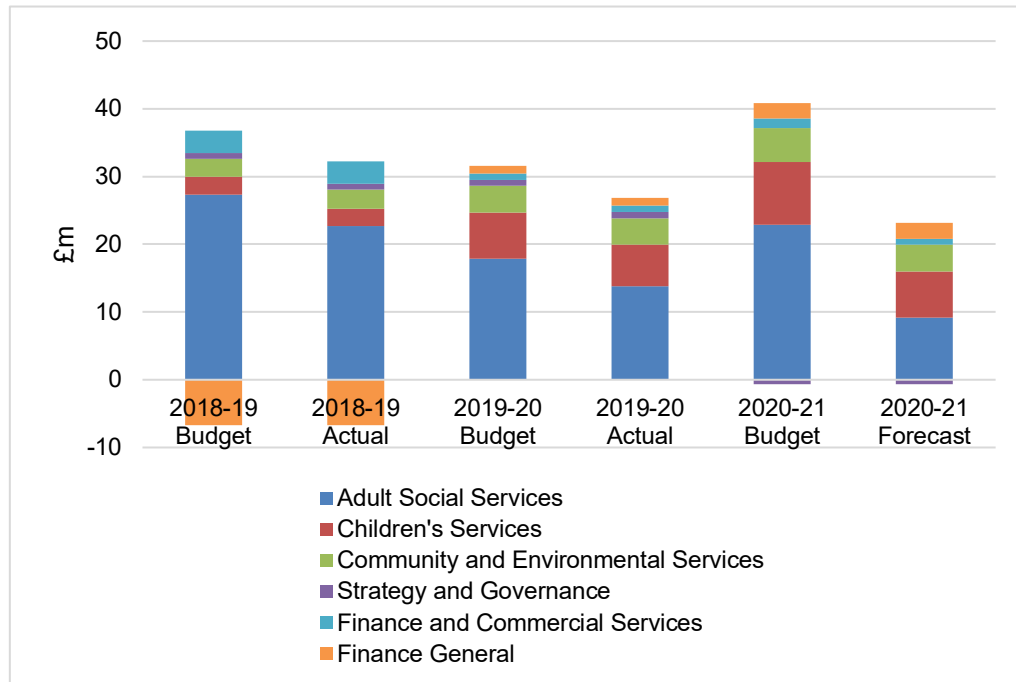
Why is this important?

Making savings is key to supporting delivery of a balanced outturn position and ensuring the Council maintains a robust financial position.

Performance

What is the background to current performance?

Budgeted Savings compared to Actual / Forecast by Service



At Period 3, the savings forecast to be achieved for 2020-21 are £22.464m, this is 44% below budget.

- Historically the Council has a good record of achieving budgeted savings, delivering £325.706m of savings in the period 2011-12 to 2018-19, against budgeted savings of £363.768m (90%).
- In 2019-20 savings of £26.853m were delivered, a shortfall in savings of £4.752m, compared to budgeted savings of £31.605m (85%). The shortfall principally related to achievement of Adult Social Services savings linked to Promoting Independence, and also savings relating to Transport and Digital / New Technology. In the main these are ultimately expected to be delivered, although not in line with the original timescales.
- In the current year, 2020-21, as at Period 3 (Quarter 1), a shortfall of £17.780m is forecast against a wide range of the total budgeted savings of £40.244m. (44% of planned savings). This is out of line with previous year trends for delivery and is substantially due to the impact of the response to COVID-19, which has absorbed organisational capacity and impacted on both the operating environment and underlying assumptions within saving plans. An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Work is underway across services to re-establish delivery of saving programmes and minimise delay / non-delivery.

What will success look like?

- Planned levels of savings are achieved and/or COVID-19 delays minimised, supporting the Council to deliver a balanced outturn position for 2020-21.
- A robust financial position ensuring stability for the budget-setting process for future years.

Action required

- Actions to deliver individual saving plans taken in 2020-21, and/or to restart delivery of savings to minimise 2021-22 impacts and/or alternative options identified.
- The shortfall in savings is reported to Cabinet monthly, and details of mitigating actions are also set out in that report.

Responsible Officers

Lead: Harvey Bullen, Assistant Director – Finance
Data: Titus Adam, Financial Projects and Planning Manager

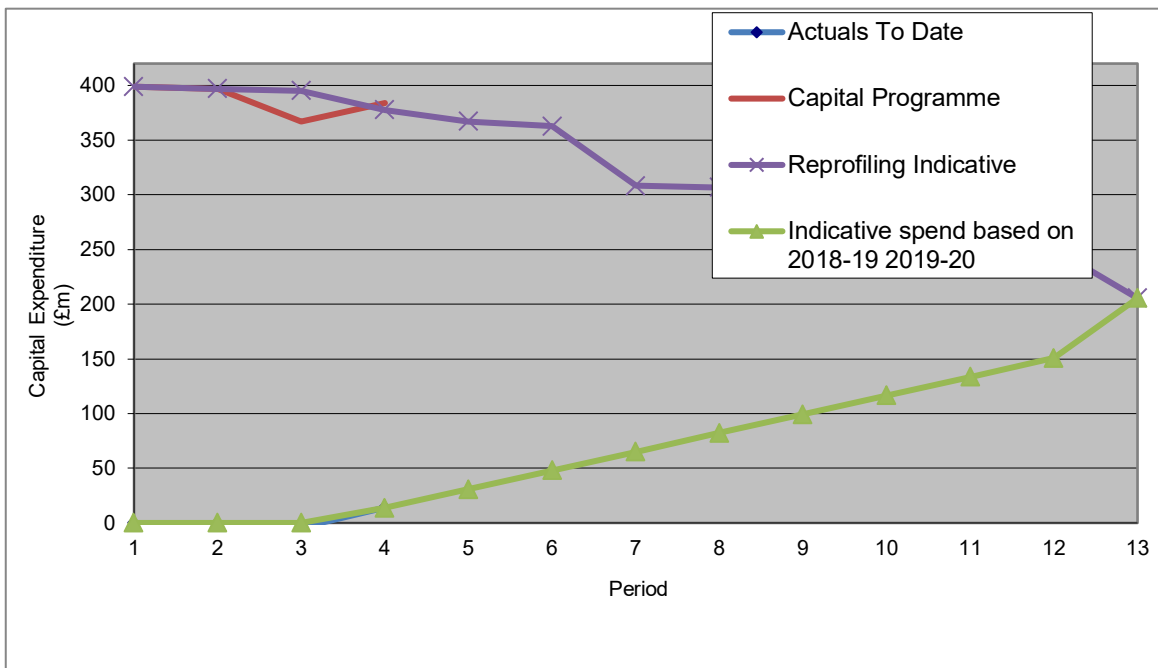
502: Capital Programme Tracker

Why is this important?

Members set a capital budget each year in the expectation that capital projects will be delivered and budgets controlled.

Performance

What is the background to current performance?



Actual spend for the three months to June after adjusting for year-end accruals was £14m. Year end accruals account for approximately 2 months of capital expenditure, so this represents roughly 1 month's expenditure.

In 2019-20, average monthly capital spend was £15.5m.

Based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling this is 102% of anticipated expenditure at this stage of the year.

Actual spend to P3 after clearing year end accounting accruals, was £14m. This is in line with indicative spend based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling.

What will success look like?

- Expenditure in line with indicative calculations based on budgets and historic patterns of expenditure.
- Capital projects and programmes remain within budget and are delivered on time.

Action required

- Capital budgets continue to be re-profiled into future years to reflect likely project spend.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

503: Ratio of Corporate net expenditure compared to Frontline

Why is this important?

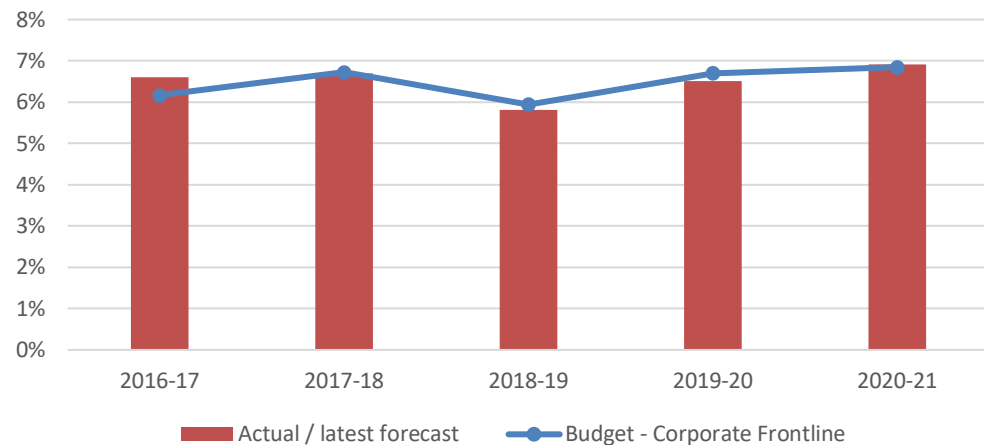
The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

Performance

What is the background to current performance?

Budgeted ratio of Corporate to Frontline compared to Actual / Forecast

Corporate costs as percentage of front line



- The ratio of corporate to frontline costs, both Budget and actual has been consistent over the past few years when adjusted for adjustments to reflect evolving changes in the way services are managed, and also for year-end capital accounting adjustments.
- The actual ratio forecast for 2020-21 is slightly higher than budget due to the relative impact of Covid-19 related costs in a number of public facing services within Corporate departments.

At end June 2020 (P3), the forecast ratio is 6.9% against a budget ratio of 6.8%.

What will success look like?

- Corporate costs of Resources and Finance and Property departments minimised and delivered in line with budget plans.
- Corporate: Frontline ratio is maintained or improved in future years as efficiencies in support services are delivered.

Action required

- Where overspends are identified, action is taken to deliver savings plans and achieve an overall outturn position in line with the approved budget.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

504: Savings – Efficiencies compared to Front Line

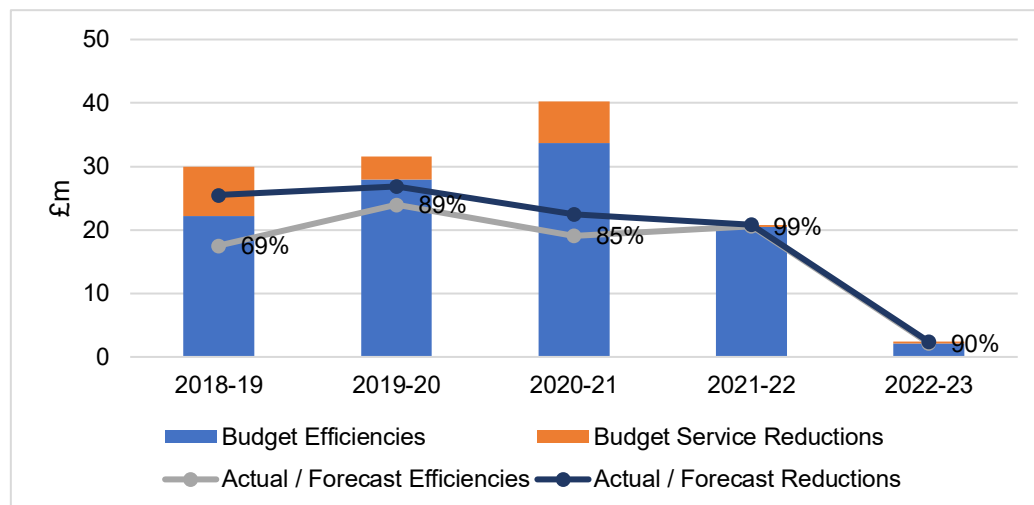
Why is this important?

Demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over those which impact on front line delivery (ceasing or reducing a service) to users, partners, and members of the public.

Performance

What is the background to current performance?

Budgeted Efficiencies and Service Reductions compared to Actual / Forecast, with percentage of Efficiencies



As at Period 3, the percentage of savings forecast to be achieved from efficiencies is 85%, this is in line with the budgeted percentage (84%).

- The Council has a good track record of savings, with a focus on delivering efficiencies while minimising service reductions.
- In the period 2011-12 to 2018-19, against budgeted savings of £363.768m, £246.130m (68%) were planned to come from efficiencies. Actual savings achieved for the period saw £229.650m from efficiencies against total savings of £325.706m (71%)
- In 2019-20 £23.978m came from efficiencies out of total savings delivered of £26.853m (89%). There was a shortfall in the overall delivery of savings in the year of £4.752m.
- Savings of £40.244m are budgeted for 2020-21 of which £33.679m are planned to be efficiencies (84%).
- The forecast outturn position (as at Period 3), is for a significant shortfall in the delivery of savings of £17.780m, across the full savings programme due to the impact of COVID-19. Further details are set out in monitoring reports to Cabinet. An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Forecasts for the subsequent years reflect the 2020-21 MTFS and are assumed to be broadly in line with budget.

What will success look like?

- Savings delivered in line with budget plans, with a focus on efficiency savings – 84% of total savings delivered from efficiencies.
- Council budget balanced with the impact on front line service delivery to the public minimised as far as possible.
- Improvements in support service effectiveness and efficiency achieved.

Action required

- Actions to deliver individual saving plans taken in 2020-21, along with mitigating actions as part of COVID-19 response.
- The shortfall in savings is reported to Cabinet monthly, and details of mitigating actions are also set out in that report.

Responsible Officers

Lead: Harvey Bullen, Assistant Director – Finance

Data: Titus Adam, Financial Projects and Planning Manager

615: HR % lost time due to sickness

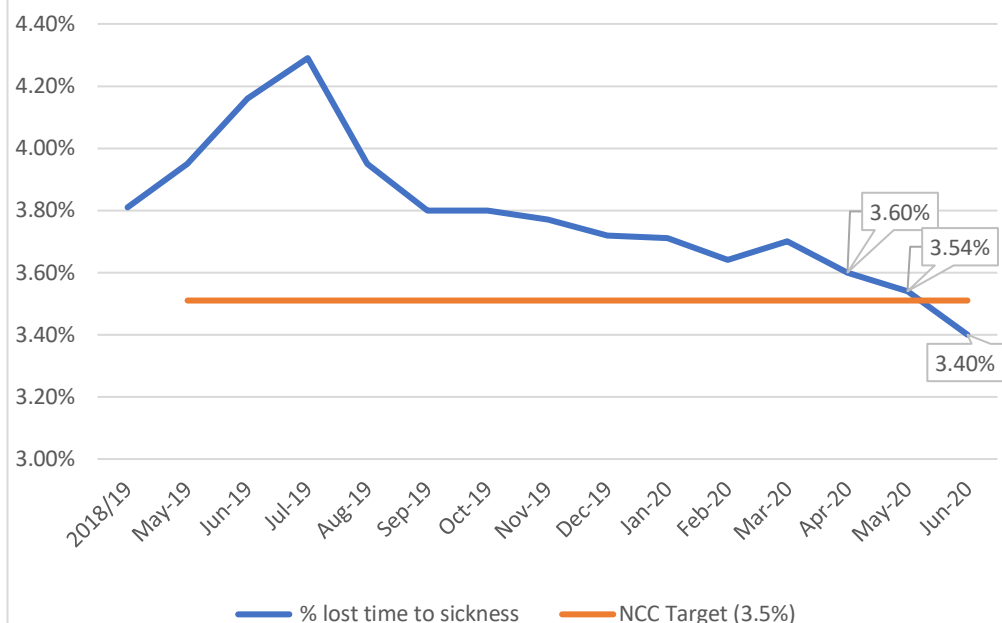
Why is this important?

Supporting employees to be healthy, positive and productive at work is a priority. Staff absence is an important indicator to measure the overall relationship between the employee and employer.

Performance

What is the background to current performance?

% lost time to sickness



- The **sickness absence** rate to the end of June 2020 was **3.4%** below the target of **3.5%** and compared to **4.16%** at the same point last year. The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available) and for large employers (5,000+ employees) is **4.3%** (CIPD Health and Wellbeing at work survey 2018).
- This equates to 203 fte in lost productivity.
- Sickness absence has consistently decreased since the start of lockdown. This is in line with trends reported by other organisations (CIPD website). The ceasing of all but critical services, the move to working from home and the reduction in social interactions for all of us is likely to have contributed to this.
- Adults (**4.37%**) and Children's Services (**3.61%**) continue to have the highest levels of absence and we continue to work proactively with these services
- All other departments have absence rates at under **3.26%**, with Strategy & Governance the lowest at **2.25%**

For the period July 19 to June 20 **39.42%** of sickness absence episodes were due to short term viral infections, however the biggest number of **days** lost (NCC **32.81%**) continues to be due to mental health issues. This is, perhaps not surprisingly an increase (30.08% in the last reporting period). Living with the pandemic has caused an increase in anxiety and mental health strain on many people and is widely reported on nationally. We continue to support employees through the various programmes available at NCC and we will monitor this trend closely as well as reviewing if there is more we can do.

What will success look like?

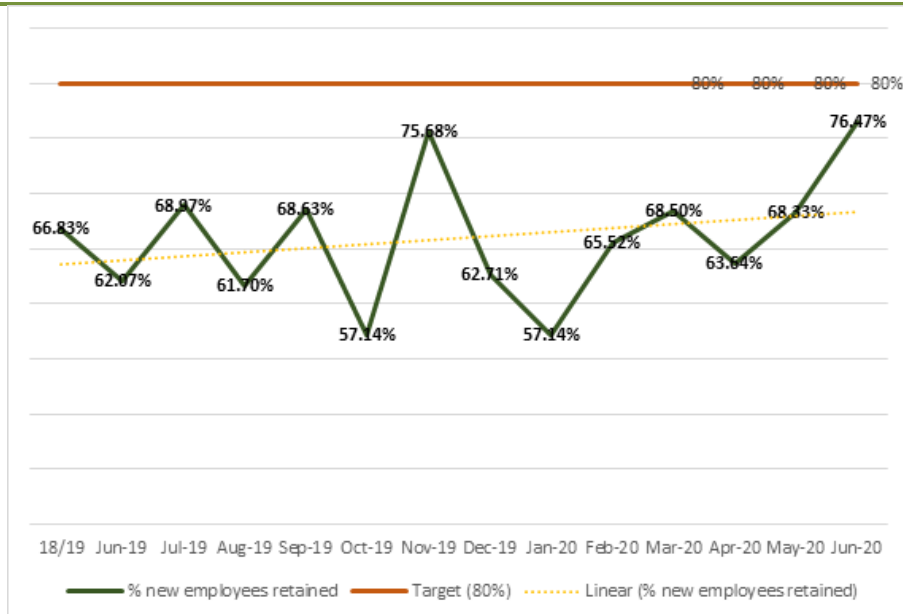
- Continuing to achieve our sickness absence target. The target is **3.5%**
- The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available)
- The average absence rate for large organisations (5,000+ employees) is **4.3%** (CIPD Health and Wellbeing at work survey 2018).

Action required

- HR & Finance Replacement system will help automate management information, currently reliant on self-reporting
- More proactive support for managers, ensuring that all absence cases have a clear case management plan
- Focussed support is being provided to ASSD and Children's, both in terms of absence management and well-being e.g. seeking advice from occupational health and supporting managers with absence review meetings, undertaking well-being assessments and signposting to additional services such as [Norfolk Support Line \(NSL\)](#) and the [musculoskeletal scheme](#) where appropriate.
- Proactive support from HR to managers across NCC to target action on key cases will commence following launch of the dashboards.
- Review mental health and well-being services available to ensure they are appropriate
- Continue to promote mental health support available

637: New employee retention

Why is this important?	
Evidence shows that where there is a mismatch in terms of employee skills, experience and engagement with the organisation (ie the employee deal) to those required in the post they have been recruited to, will make an early exit from NCC more likely. Improving our retention rate will reduce costs associated with recruitment and training and improve service performance.	
Performance	What is the background to current performance?
New employee retention rate 2019/20	This measures how many of the new entrants to NCC stay in post for longer than 2 years. The measure excludes fixed term and temporary contracts to avoid planned short term appointments skewing the data.



The new employee retention rate increased considerably to 76.47% between March and June, which is very close to our stretching target of **80%**. It is likely that the COVID pandemic will have had an impact on this as many organisations reduced or paused recruitment.

The average retention rate for the financial year 2019-20 is **64.14%**.

Turnover for the last 12 months is **13.2%** (**9.7%** voluntarily) with **969** (**715** voluntarily) employees leaving NCC employment. Of those, **236** had less than one year's service on leaving. There was a total of **1,064** new starters to NCC during the same period. The relationship between recruitment and retention is an important one. If we are successful at retaining colleagues, the recruitment demand will reduce.

Currently the retention rate is only just below our stretching target of **80%**, however there is considerable fluctuation month to month, with an overall improving trend. Our average retention rate during 2019-20 was **66.2%** which is broadly comparable with the 2018 national CIPFA survey where the average retention rate was **70%**. It is likely that the pandemic will lead to some instability in the job market for some time and it is currently difficult to predict the impact on NCC.

As a percentage of all leavers, Children's have around **55%** of leavers having less than two years' service, Adults have around **47%** whereas CES have just over **25%** of leavers failing to reach two years' service.

Recent work to identify mechanisms to retain social workers will be measured carefully, however it is too soon to show the impact. As at end of June annual turnover of Social Worker roles is at 10.7% in Children's and 11.3% in Adults.

Departments are asked to urgently correlate their turnover data and employee survey feedback for insight to act upon.

What will success look like?

- 80%** of our new entrants to NCC will be retained longer than 2 years. This is a stretching benchmarked target when comparing data from the annual CIPFA HR benchmarking survey, however given recruitment challenges for certain key groups, this must be a key priority.

Action required

- Identify the total costs of a leaver and the likely cost of not meeting this target – HR Q2 (ONGOING)
- Provide dashboard data monthly to departments (COMPLETED)
- Carry out deep dive of areas with poor retention rates to understand root cause and identify possible improvement actions – HR Q2/3 2019/20 with HR Business Partners with leadership teams (ONGOING)

Responsible Officers

Lead: Sarah Shirtcliff, Director for People Data: Teresa Baker, HR Customer Delivery Manager and Dave Nugent, Workforce Insight Lead

638 HR: Performance Development (previously appraisals) - % Written Goals agreed

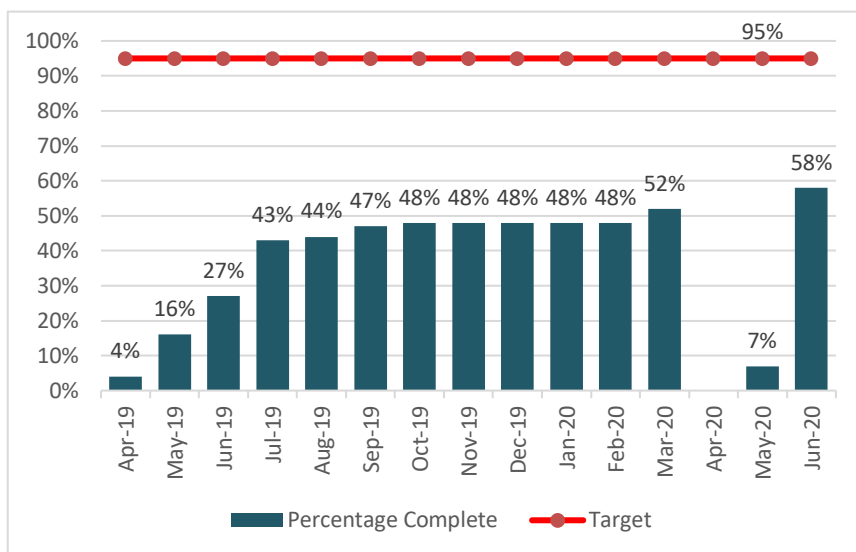
Why is this important?

The new approach to Performance Development is intended to contribute to the people development of an effective performance culture.

Performance

What is the background to current performance?

% Performance Development written goals agreed



Note No reporting in April 2020 due to COVID Pandemic

- External research identifies that goals linked to future plans and conversations between managers and building on employee strengths are critical for effective people performance.
- This is the third year that services are operating to plans on a page supporting the linkage between performance development and organisational goals
- The goal is for all employees between April and June annually to have a PDP and followed up mid-year Oct-Nov. * For Education with a different financial year the annual discussion is Aug-Sept.
- 2,237 staff in the 2020 staff survey told us that the most important factor in their contribution is whether 'there is a clear link between my Performance Development Discussion and my team's goals'. Speaking openly about work related issues as an opportunity to improve things is the second most important factor for staff engagement and motivation. These remain the same key drivers from 2019 although their priority order has swapped.
- At end of June 2020 **58%** of staff had their date of written goals agreed recorded. This upward trajectory is continuing with **74%** recorded at mid-August 2020 compared to 48% in 19/20. Actions taken to provide dashboard information at Directorate and Service level on completions and non-completions for 20/21 together with new functionality within My HR and Payroll has improved ease of recording and tracking.

What will success look like?

- 95% of employees having agreed written goals

Action required

- Recognising delay with the COVID pandemic, Strategic HRBPs and Directorate Management Teams to focus effort where date of written goals agreed have not been recorded. Adult Social Care is modelling excellent practice having achieved 89% at mid-August 2020. Target communications from September 2020 with mid-year reviews providing the opportunity for a reminder of the target.

Responsible Officers

Lead: Sarah Shirtcliff, Director for People: Ruth Grant (Strategic OD Lead) Dave Nugent (Workforce Insight and Data)

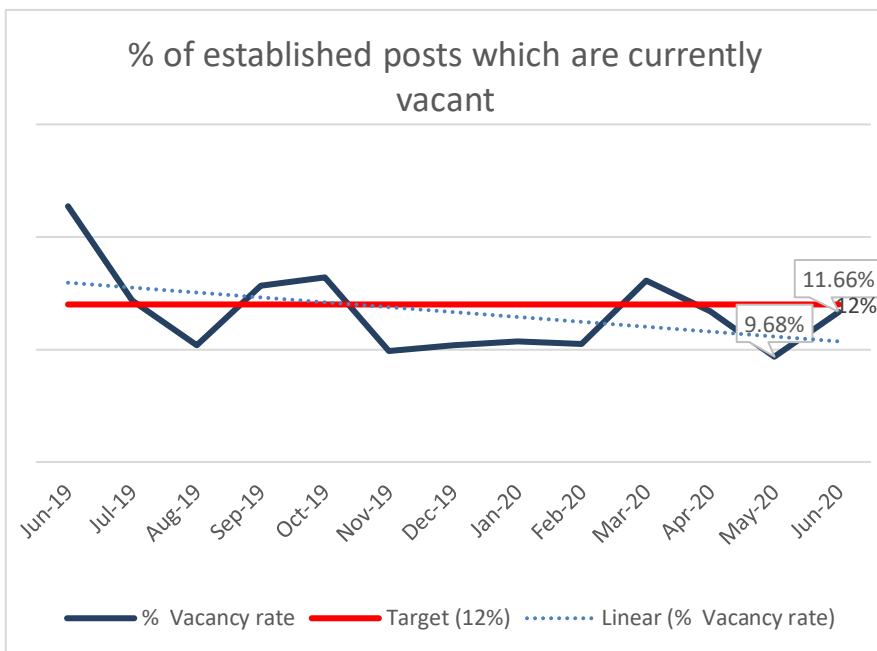
639: Vacancy Rate (requires accuracy of establishment data)

Why is this important?

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being. Accurate data allows for recruitment planning to fill vacancies in a timely way and identify challenges in recruitment for professional groups.

Performance

What is the background to current performance?



The vacancy rate for June 20 was 11.7%, so is broadly in line with the target rate. The overall trend continues to move downwards with a rolling average of 11.27% in June 2020.

12% is the target set which broadly mirrors the turnover rate to ensure an optimal workforce and delivery of people costs within budget, while maintaining services. Any deviation above or below could carry risk. If the vacancy rate is above 12% there is a risk to service delivery. It is normal to have some level of vacancy rate as managers manage budget opportunities and to reflect the time to hire.

This measures the number of FTE posts which are shown as vacant as a percentage of the total established FTE posts in the HR system (Oracle).

Oracle data may not be up to date, nor reflective of current organisational structures as it is reliant on the departments to update their data. Managers may believe that as they have updated other sources such as Budget Manager, all data is accurate. Unfortunately, Oracle and Budget Manager are not integrated systems.

Therefore, it is difficult to fully reconcile the various data sets to accurately update, maintain and report on establishment, however we are implementing some changes to RMS to make it easier for managers to keep establishment accurate

COVID has had an impact on the workforce with considerably fewer leavers in the three months of lockdown between 50 and 75% of those in February. The numbers in June are increasing again, but still below pre lockdown levels, which reflects the more uncertain market place.

In the longer term, the HR& Finance System Transformation project will deliver an end to end solution with integrated HR and Finance data. In the interim several tactical solutions are being implemented as described below.

What will success look like?

- NCC will have a vacancy rate of 12% of established posts
- We will hold and maintain accurate establishment data

Action required

- Task and Finish Group sponsored through Business Transformation to enable joint working between HR and Finance on improving establishment control
- Establishment dashboards developed by the HR Workforce Insight Team Q3 19/20.
- Encourage managers to act on the information in the dashboard to update Oracle, as the primary data source for all subsequent systems While the expectation is that the dashboard will encourage managers to maintain their own establishments, the effect of this won't become apparent until the dashboards are shared lower down each organisation. At present it is limited to the first two tiers. This is envisaged to happen during Q1 2020/21.

349: Number of Apprenticeship starts

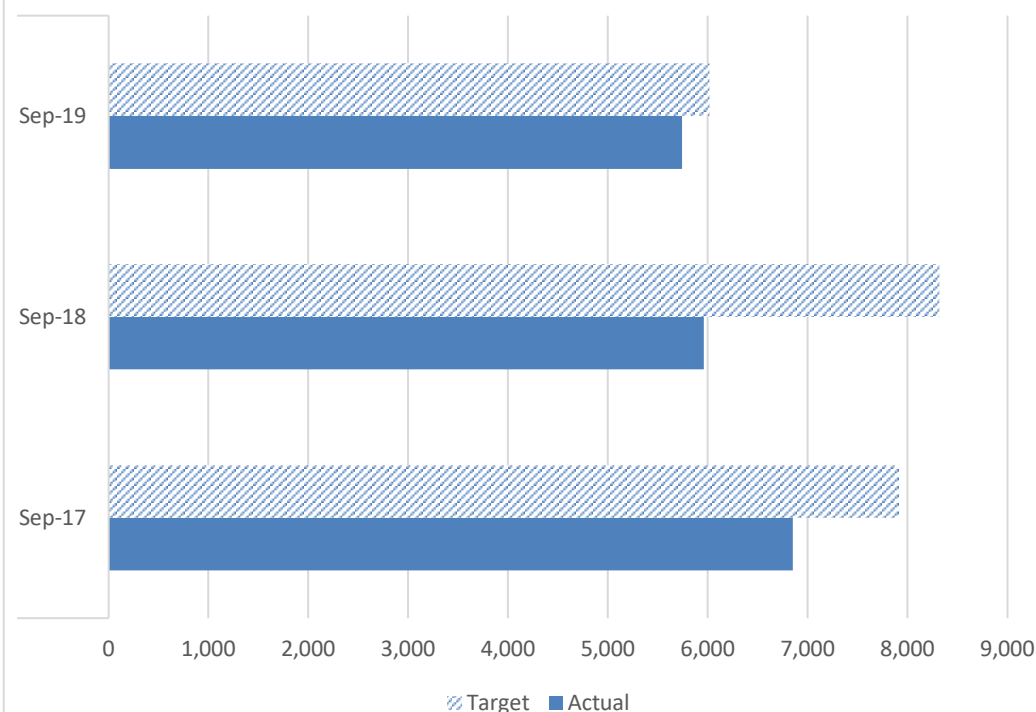
Why is this important?

Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay). Apprenticeships can offer a route into employment, provide upskilling or re-skilling opportunities and higher level qualifications, enabling individuals to progress through the various levels.

Performance

What is the story behind current performance?

Actual and Target for Number of Overall by Academic Year



Apprenticeship Starts	2014/15	2015/16	2016/17	2017/18 (Aug-July)	2018/19 (Aug-July)	2019/20
	Actual	Actual	Actual	Actual	Actual	Target
All starts – all levels/ages	7,290	7,670	6,850	5,960	5,740	6,199

Recently released data for the period August 2019 – April 2020 shows a more positive picture for Norfolk in that whilst starts have fallen by 11% for Norfolk with total starts of 4210 compared to 4740 during the same period last year, it was lower than the national decrease of 12%

In terms of the age breakdown starts for 16-18-year olds were down by 11% compared to a national decrease of 16% with 19-24-year-old starts down by 9% (national 12%) and 25+ by 12%, nationally the decrease was 10%.

Looking at the levels, intermediate starts fell by 16% better than the national decrease of 24%, Norfolk has seen large decreases at this level over the past few months, so it is encouraging to see that this is being arrested. Starts at advanced level fell by 10% compared to 13% nationally but higher starts were down by 2% whilst nationally there was an increase of 11%, this may again be reflective of the disproportionately lower numbers of levy payers in Norfolk which is where many higher-level starts have been generated.

What will success look like

Success will be measured by the overall achievement of annual target whilst maintaining quality, level and range.

Action required

Much activity is taking place that will raise the profile of apprenticeships and hopefully arrest the decrease in starts seen in recent times.

Current activity:

- launch of new logo across all social media platforms; including new FB page and new public page on LinkedIn

		<ul style="list-style-type: none"> • Plan to launch an employer incentive programme Recruit Retain Reward (RRR) on 1st Aug, in partnership with Apprenticeships Suffolk • RRR designed to align with national incentives • Bid to Norfolk Strategic Fund in development to support extension for RRR • New website – in development
Responsible Officers	Lead: Jan Feeney	Data: Jan Feeney 21/7/20

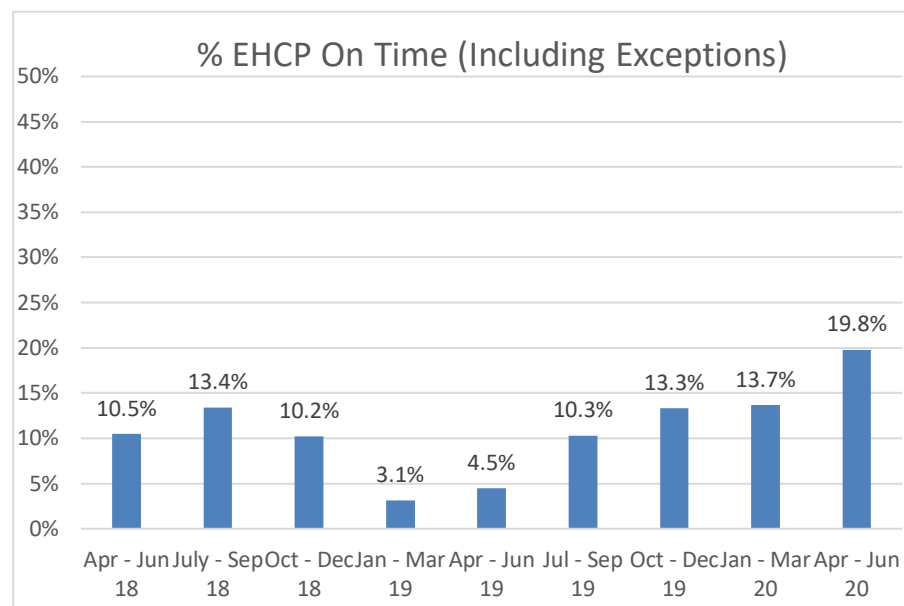
416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

Why is this important?

Completion/conversion of the EHCP within required timescales in order to establish and secure best possible outcomes across education, health and social care.

Performance

What is the background to current performance?



- EHCP timescale performance has been an area of leadership focus since 2018 and has been overseen within the SEND and AP Transformation Programme.
- Performance directly relates to the significant increase in the rates of assessments for EHCPs carried out by the Local Authority with thresholds for such set out in statutory legislation.
- Rates of assessments carried out have risen by 70% since 2016.
- Referrals for assessment and assessments carried out continue to rise and has outstripped additional capacity and so we have not yet seen a significant performance improvement.
- Further investment is being made in the EHCP workforce as part of the 20/21 budget to continue to respond to the rising referral rate. Recruitment is actively underway and additional resource is estimated to be in place in the autumn term.
- EHCP systems and processes have not been robust enough to track and manage progress through the timescale at a granular level.

What will success look like?

- Success will be where Norfolk's timescale completion rates reflect at least the national average which currently stands at 60%.
- Norfolk's overall ambition is to have timescale completion rates of 90%+.
- The overall number of days taken to issue an EHCP has been gradually improving and there is a steady reduction in the numbers of cases out of timescales.

Action required

- The Executive Director Childrens service has established a Rapid Action Team to lead and oversee improvement and to identify and address performance blockers.
- New operational leadership is being established to bring improved monitoring and challenge and improvement to process and practice.

Responsible Officers

Lead: Nicki Rider, Interim Head of Education High Needs SEND Service

Data: Dom Mingaye, Data Manager Education Achievement and Early Years Service

415: Number of children subject to a Permanent Exclusion

This report is based on mainstream schools and only Confirmed Exclusions (as per DfE methodology)

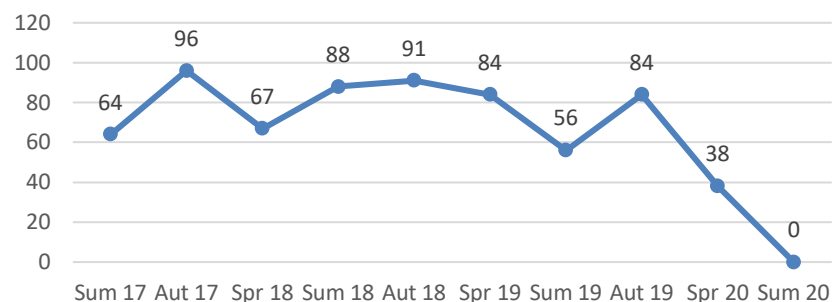
Why is this important?

Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

Performance

What is the background to current performance?

Number of children subject to a Permanent Exclusion (Norfolk Mainstream Schools / Confirmed Exclusions only)



- Nil confirmed in Summer (One unconfirmed)
- The number of exclusions in Spring 2020 was significantly lower than in the previous two years - it should be noted that this figure will have been affected by school closures due to COVID-19. *However, there was a decline in the number of exclusions during the period schools were open, in comparison to the same period in the previous year.*
- Following the partial reopening of schools, the Inclusion and Norfolk Steps Teams provided support for schools in relation to 224 pupils who were previously at risk of exclusion
- The Inclusion and Norfolk Steps are currently working closely with schools to support the return to school of those pupils most vulnerable to exclusion
- Advice and guidance documents have been produced and shared with schools regarding how best to support pupils on return to school, particularly those most likely to find this transition challenging

What will success look like?

Fewer children subject to Permanent Exclusions from schools & colleges

Action required

For pupils who need short term intensive interventions to stabilise challenging behaviours to receive this whilst remaining in mainstream settings through a combination of bespoke support and accessing alternative provision as appropriate.

For pupils to make timely reintegrations from the Short Stay School for Norfolk when appropriate.

Responsible Officers

Lead: Andy Tovell, Head of Service, Education Vulnerable Groups Achievement & Access
Data: Dom Mingaye, Data Manager, Education Achievement and EY Service

410: Rate of Looked-After Children per 10,000 of the overall 0-17 population

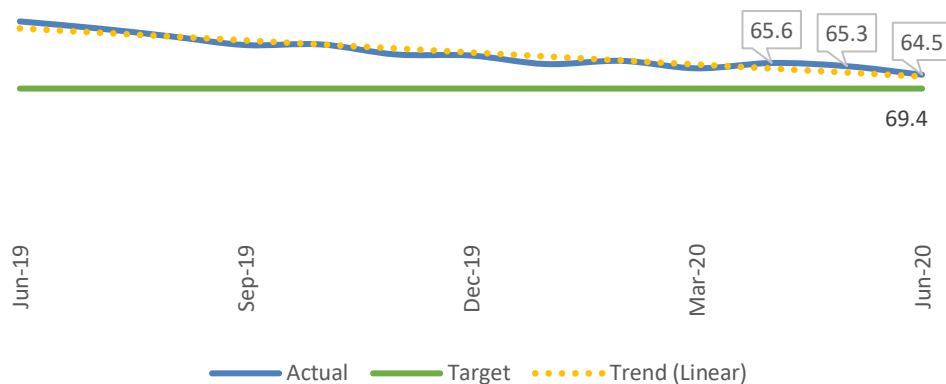
Why is this important?

The rate of LAC enables a comparison across National, Regional and Statistical Neighbours

Performance

What is the background to current performance?

Rate of Looked-After Children per 10,000 of the overall 0-17 population



- The Looked After Children population has decreased from 1115 to 1082 in the quarter
- There has been a reduction in admissions to care from 24 in April to 17 in June, a downward trajectory
- The number ceasing care has risen from 12 in April to 26 in June an upward trajectory
- 76 (7%) of the LAC population are Unaccompanied Asylum Seeker Children
- UASC population is likely to continue to increase given the national crisis
- We have matched national average but remain above statistical neighbour

What will success look like?

- A reduction of LAC to a rate to that of similar local authority areas

Action required

- Continue with transformation work on Edge of Care and reunification services such as No Wrong Door, Stronger Families, Family Networking model and LAC/LC Transformation
- Work with the Courts to ensure Court time available to discharge orders and prioritise adoptions
- Continue review of permanence for all children using LAC Reviews and Permanence Monitoring meetings to identify children who should return to parents/connected people and other plans such as Special Guardianship

Responsible Officers

Lead: Kate Dexter Assistant Director Corporate Parenting Data: George Potter (Senior Systems & Reporting Manager)

Cabinet

Item 21

Decision making report title:	Risk Management
Date of meeting:	5th October 2020
Responsible Cabinet Member:	Cllr. Andrew Proctor, Cabinet Member for Governance and Strategy
Responsible Director:	Simon George, Executive Director of Finance and Commercial Services
Is this a key decision?	No

Introduction from Cabinet Member

Risk management is required by regulations and as part of the Council's Constitution. It contributes to achieving corporate objectives, the Council's key priorities and Business Plan and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework. This report sets out the key messages and the latest corporate risks.

Executive Summary

The COVID-19 outbreak, which started in late 2019 and developed rapidly during early 2020, meant that the Council deployed the Civil Contingencies Act 2004 [1] provisions and in order to follow government guidance on remote working and social distancing suspended Council meetings. In May the Council successfully deployed remote Council meetings. Decisions have been taken by Cabinet Portfolio Holders or the Head of Paid Service, as allowed for in the Council's Constitution. Business and officer meetings, briefings, communication and training continued successfully in a virtual format exploiting and leveraging the Council's Microsoft TEAMS facilities. The system has shown capacity for over 4,500 simultaneous users. The Government passed a Coronavirus Act 2020 in March 2020 and has subsequently issued supporting regulations. The Council has participated in the Norfolk Resilience Forum and has held effective Gold and Silver, and latterly Recovery Group meetings regularly throughout the outbreak.

Many areas of the Council are now moving into a recovery phase with services and Council premises beginning to re-open where temporarily shut. Risk Management continues to play an active role in Norfolk County Council's recovery response.

Recommendations

1. To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in July 2020.
2. To consider and agree the corporate risks as at September 2020 (Appendix C).

1. Background and Purpose

- 1.1. This report sets out the latest corporate risks for the Cabinet to consider and agree. **Appendix A** provides a summary of the latest proposed changes to corporate risks since July 2020, with the current general corporate risk register scores visually summarised in **Appendix B**, which also shows proposed score changes. Details of all risks on the general corporate risk register are located in **Appendix C**.

The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's [Constitution](#). There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution.

2. Proposals

- 2.1. The key corporate risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice.
- The review of corporate risks has taken place with risk owners, and reviewers, and Corporate Board as a group.
- It is proposed to split risk RM003 into two parts, covering information compliance in part a) and information security in part b).
- For risk RM004, it is proposed to reduce the risk score for this risk.
- For risk RM007, it is proposed to de-escalate this risk from corporate to departmental level.
- It is proposed to split risk RM022 into two parts; part a) relating to Human Resources (e.g. staff, legal implications), and part b) relating to Growth and Development (e.g. external funding for projects)
- Risk RM032 has been updated to incorporate the areas of current high risk noted within the corporate COVID-19 operational risk register.

- It is proposed to close part b) of risk RM032 relating to the Council's supply chain, as this has stabilised for the key supply areas covered in the risk.
- With the Council moving in many areas into a recovery phase, the operational and strategic COVID-19 risk registers are currently being reviewed by the Recovery Group to understand where we need to consolidate risks owing to duplication.
- The Audit Committee continues to be responsible for monitoring the adequacy and effectiveness of the systems of risk management.
- This corporate risk management report should be read in conjunction with the performance and finance reports.

Further details of proposed risk changes can be viewed at **Appendix A**.

3. Impact of the Proposal

- 3.1 Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015. Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.
- 3.2 Details of the proposals above in 2.1 can be viewed in Appendix A, offering further rationale and impact of the proposals.

4. Evidence and Reasons for Decision

- 4.1. Not applicable as no decision is being made.

5. Alternative Options

- 5.1. There are no alternatives identified.

6. Financial Implications

- 6.1. There are financial implications to consider, which are set out within the risks at **Appendix C**.

7. Resource Implications

- 7.1. **Staff:** The risk of COVID-19 negatively impacting on staff can be seen within risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)**. There are also staffing resource implications to consider as part of risk **RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term**. With the implications of COVID-19 on the economy, there are early signs that NCC is attracting more candidates as the public sector is seen as a more secure employer. This will continue to be closely monitored in the months ahead.
- 7.2. **Property:** Risk assessments continue to be carried out by the Health, Safety, and Wellbeing team at sites where services are preparing to be restarted, to ensure that it is appropriate to reopen with adapted measures, ensuring that the Council follows advice with regards to social distancing. The Health, Safety and Wellbeing team are working closely with Children's Services to ensure the safe re-opening of schools for children and staff, as well as with other services including museums and libraries used by the public.
- 7.3. **IT:** The Council's Information Management Technology team are continuing to closely monitor cyber security threat levels, and continue to roll out the technology advances that are helping Members and officers to carry out their duties effectively.

8. Other Implications

8.1. Legal Implications

There are no current specific legal implications to consider within this report.

8.2. Human Rights implications

There are no specific human rights implications to consider within this report.

8.3. Equality Impact Assessment (EqIA) (this must be included)

None applicable.

8.4. Health and Safety implications (where appropriate)

There are health and safety risk implications as set out in the corporate risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery, and RM032b - Effect of COVID-19 on supply chain**. Mitigations are in place to ensure that the health, safety and wellbeing of all Council staff continues as a top priority to ensure that services continue to be adapted for continued delivery.

8.5. **Sustainability implications** (where appropriate)

There are no specific sustainability implications to consider within this report. Any sustainability risks identified as part of the Council's [Environmental Policy](#) (page 58) will be recorded and reported appropriately.

8.6. **Any other implications**

There are no other risk implications to consider within this report.

9. Risk Implications/Assessment

- 9.1. The risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

10. Select Committee comments

- 10.1. There are no recent Select Committee comments to note within this report.

11. Recommendations

- 11.1.
- To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in July 2020.
 - To consider and agree the corporate risks as at September 2020 (Appendix C).

12. Background Papers

There are no further background papers to note.

Officer Contact

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Key Changes to Corporate Risks

The quarterly review of the corporate risk register has generated changes. These are captured below as follows;

<i>Risk Number</i>	<i>Risk Score Change</i>	<i>Risk title Change</i>	<i>Risk Description Change</i>	<i>Mitigations Change</i>	<i>Risk Owner Change</i>	<i>New / Adapted Corporate Risk</i>
<i>RM001</i>						
<i>RM002</i>						
<i>RM003a</i>	✓	✓	✓	✓	✓	✓
<i>RM003b</i>	✓	✓	✓	✓	✓	✓
<i>RM004</i>	✓					
<i>RM006</i>						
<i>RM010</i>						
<i>RM013</i>						
<i>RM022a</i>		✓	✓			✓
<i>RM022b</i>		✓	✓			✓
<i>RM023</i>						
<i>RM024</i>						
<i>RM026</i>						
<i>RM027</i>						
<i>RM028</i>						
<i>RM029</i>						
<i>RM030</i>						
<i>RM031</i>						
<i>RM032a</i>				✓		

Existing Risk Adaptations

RM003 – Potential for failure to comply with information compliance and information security requirements

There is a proposal to split this risk into two parts to separate information compliance from information security, which are two distinct risk areas requiring individual mitigation.

New risks proposed are;

RM003a – Failure to comply with statutory information compliance requirements

RM003b – Failure to comply with relevant information security requirements

RM022 – Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union, which may impact on Council objectives, financial resilience and affected staff ('Brexit')

There is a proposal to split this risk into two parts to recognise the risk areas of staff and services separately to the risk areas of external funding and growth and development of Norfolk businesses.

New risks proposed are;

RM022a - Implications of Brexit for Council staff and services

RM022b - Implications of Brexit for external funding / Norfolk businesses

Risk De-escalation

RM007 - Risk of inadequate data quality resulting from poor data governance, leading to poor decisions being made affecting outcomes for Norfolk citizens

There is a proposal to manage this risk at a departmental level on departmental risk registers instead of at a corporate level on the corporate risk register, as departments own the data that they use to inform key decisions. The risk will be tailored to each department's data requirements.

Proposed Risk Score Changes

RM004 - The potential risk of failure to deliver effective and robust contract management for commissioned services

Proposed reduction from current score of 12 to 9 (impact reduced from 4 to 3). This is due to the contract pipeline reporting to Corporate Board and discussions with departments/senior managers being established, and internal audits of the contract management control environment in the three service directorates carried out with no major findings for improvement identified.

Proposed Score Changes (cont.)

RM003a - Failure to comply with statutory information compliance requirements

RM003b - Failure to comply with relevant information security requirements

RM003a – Risk score reduced from 12 to 9 (impact lowered from 4 to 3) owing to progress made against SOCITM report recommendations which reduces the impact of failing to comply with statutory information compliance requirements.

RM003b - Risk score reduced from 12 to 9 (impact lowered from 4 to 3) due to improved measures that have been implemented but acknowledgment that further activities would reduce the risk further, with numerous new challenges in a COVID-19 landscape.

Proposed mitigation changes

RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)

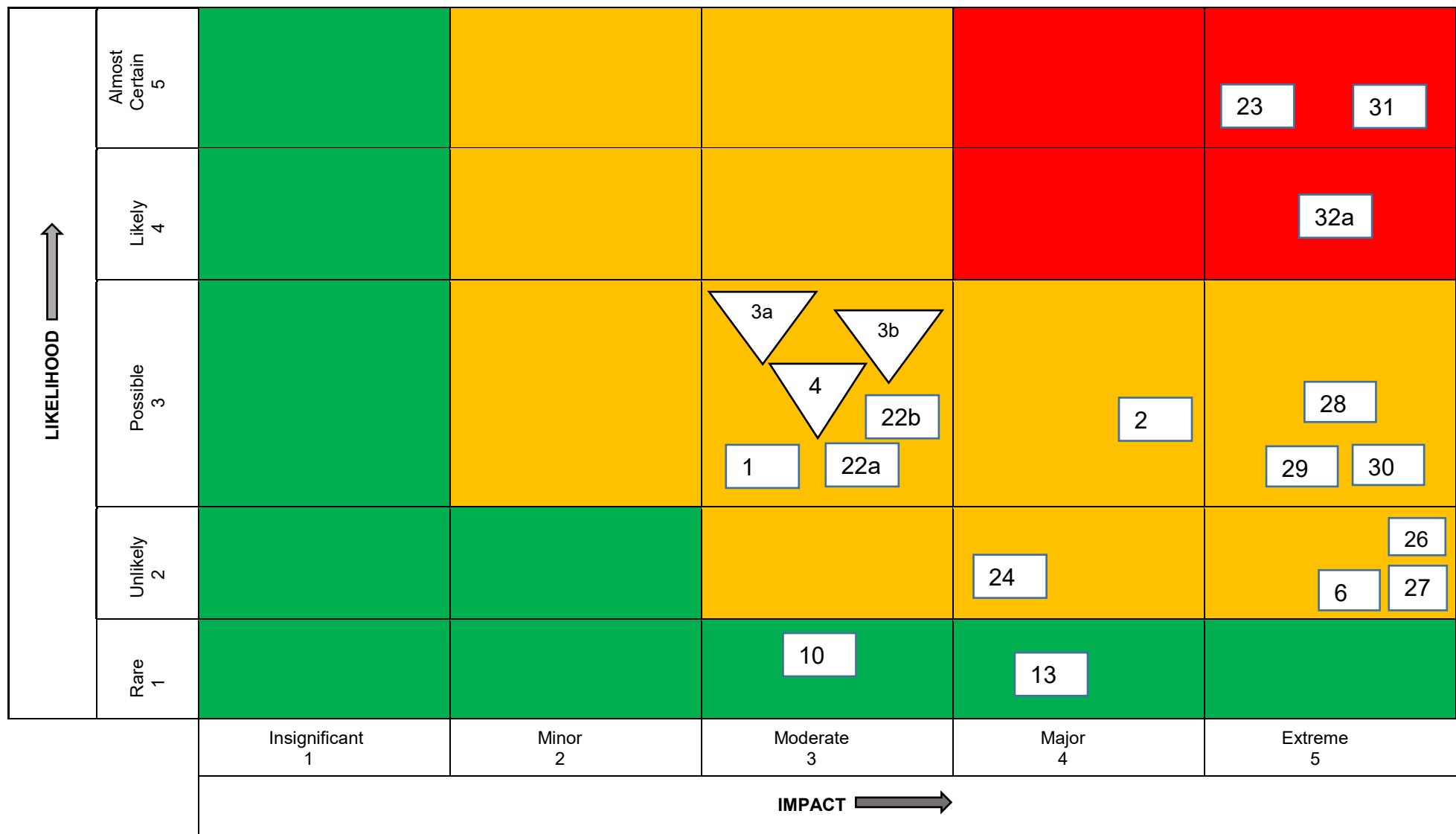
Mitigations have been amended to reflect the key current higher risk areas relating to staff, service users, and service delivery captured in the COVID-19 operational risk register.

Proposed Risk Closure

RM032b – Effect of COVID-19 on supply chain

It is proposed to close part b) of risk RM032 relating to the Council's supply chain, as this has stabilised for the key supply areas covered in the risk, including vehicle parts, IMT hardware, and PPE. The current risk score has been reduced accordingly from 8 to 4.

Generic Corporate Risks - Heat Map

**Key**

= Risk score increase



= no score change



= risk score decrease

No.	Risk description	No.	Risk Description
RM001	Not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.	RM022a	Implications of Brexit for Council staff and services
RM002	The potential risk of failure to manage significant reductions in local and national income streams.	RM022b	Implications of Brexit for external funding / Norfolk businesses
RM003a	Potential for failure to comply with statutory information compliance requirements.	RM023	Lack of clarity on sustainable long-term funding approach for adult social services at a time of increasing demographic pressures and growing complexity of need.
RM003b	Potential for failure to comply with relevant information security requirements	RM024	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023).
RM004	The potential risk of failure to deliver effective and robust contract management for commissioned services.	RM026	Legal challenge to procurement exercise.
RM006	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.	RM027	Risk of failure of new Human Resources and Finance system implementation.
RM010	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.	RM028	Risk of failure to monitor and manage health and safety standards of third-party providers of services.
RM013	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions	RM029	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term.
		RM030	Non-realisation of Children's Services Transformation change and expected benefits.
		RM031	NCC Funded Children's Services Overspend
		RM032a	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)

Risk Number	RM001					Date of update	08 September 2020			
Risk Name	Not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan									
Portfolio lead	Cllr. Martin Wilby					Risk Owner	Tom McCabe			
Risk Description						Date entered on risk register		03 June 2019		
1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • Congestion, delay and unreliable journey times on the transport network • A lack of the essential facilities that create attractive conditions for business activity and investment, and sustainable communities, including good connectivity, public transport, walking and cycling routes, open space and green infrastructure, and funding for the infrastructure necessary to enable the county council to perform its statutory responsibilities, eg education. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	3	2	6	Mar-21	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment. 1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment. 1.3) Engage with providers of national infrastructure – Highways England for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks. 1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. 1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the emerging Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner. 1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.										
Progress update										

Progress update

Overall: Impact of Covid-19 likely to affect funding streams in both the short and longer-term.

1.1) DfT has approved NWL to progress to the next stage of development the Department has made a contribution of £1,024,000 towards the costs of developing an Outline Business Case. Continuing to progress work on Long Stratton Bypass, West Winch Housing Access Road and A47/A14 Pullover Junction King's Lynn. Strategic Outline Business Case for Transforming Cities funding submitted at the end of May.

1.2) Developing schemes and projects including the following, part-funded from Pooled Business Rates: King's Lynn Transport; Norwich Western Link; West Winch Housing Access Relief Road.

1.3) Re-evaluating A47 Alliance work following government announcement of the roads programme in the budget, with no further A47 investment announced. Continuing to work Great Eastern Main Line (Norwich to London): Network Rail have produced a draft study setting out infrastructure constraints for Norwich in 90 services. Local authorities study on wider economic benefits progressing and now in final draft form. Continuing to work on Ely Task Force: Network Rail has produced a business case for infrastructure improvements required to unlock a range of additional passenger and freight services. Continuing to support East West Rail Consortium: Eastern Section prospectus published.

1.4) Review of Planning Obligations Standards completed, current standards adopted by Cabinet in September 2019. Government review of planning system (consultation) published in August 2020. County Council proposed response to be agreed at October 2020 Cabinet.

1.5) Continuing to work with Transport East on transport strategy; liaising with DfT, Network Rail and Highways England on strategic road and rail schemes; attending wider partnership groups including LEP Transport Board.

Risk Number	RM002					Date of update		08 September 2020		
Risk Name	The potential risk of failure to manage significant reductions in local and national income streams									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			31 May 2019		
This may arise from global or local economic circumstances (i.e. Brexit), government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Strategy savings required for 2018/19- 2021/22 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website. Overall risk treatment:Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	4	8	Mar-21	Amber
Tasks to mitigate the risk										
Medium Term Financial Strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by Corporate Board and members. Regular finance monitoring reports to Cabinet. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received.										
Progress update										

Progress update

Following the December 2019 General Election the Government announced the Final Local Government Finance Settlement for 2020-21 on 6.02.20 and after being debated in the House of Commons this was confirmed on 25.02.20. County Council on 17.02.20 approved the 2020-21 budget and future Medium Term Financial Strategy taking into account the Final Local Government Finance settlement for 2020-21.

The council's external auditors gave an unqualified audit opinion on the 2018-19 Statement of Accounts and were satisfied that the County Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31.03.2019.

The implications of the COVID-19 response, coupled with continued uncertainty and the further delay of the significant planned reforms for local government finance, represents a major challenge for the Council in developing its Medium term Financial Strategy. Cabinet on 8.06.20 considered the latest financial position and agreed the process for setting a balanced budget for 2021-22 and updated the Medium term Financial Strategy to include a further year (2024-25). Further reports will be presented to Cabinet during the year incorporating future Government funding announcements and updates on the budget planning process in order that County Council can agree the 2021-22 Budget and level of council tax at its February 2021 meeting.

Risk Number	RM003a					Date of update		08 September 2020		
Risk Name	Failure to comply with statutory information compliance requirements									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Andrew Stewart		
Risk Description					Date entered on risk register			05 June 2019		
There is a risk of failing to comply with statutory information compliance requirements (e.g. under GDPR, FOI, EIR) which could lead to reputational damage and financial impact. Risk treatment: treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	3	9	2	3	6	Mar-21	Green
Tasks to mitigate the risk										
1. Mandatory Training in place for all colleagues - ongoing 2. Development and monitoring of MI for responding to Data Subject Rights Requests, FOIs, EIRs and breaches - ongoing 3. Developing a positive relationship with the ICO - ongoing 4. Implementation of activities determined by the SOCITM report in March 2020 by December 2020 <ul style="list-style-type: none">•Deliverable 1: Define a clear Information Governance approach for Norfolk County Council (incorporating clear responsibilities and measures of success) by December 2020.•Deliverable 2: Deliver a management information suite to allow effective management, analysis and assurance of the Information Governance Service by November 2020.•Deliverable 3: Review all current “record management” type processes to ensure efficient, proportionate and up to date by December 2020.•Deliverable 4: Appoint to all roles required (including DPO, SIRO and Member lead) and ensure reflected in the constitution by October 2020.•Deliverable 5: Relaunch the Information Compliance Group with clear accountabilities by October 2020.•Deliverable 6: Review and update all Information Governance related policies, standards and procedures by October 2020.•Deliverable 7: Define and deliver effective Information Governance training and engagement across NCC, Members and Partners by December 2020.•Deliverable 8: Review and deliver identified opportunities for Smarter Working by December 2020.•Deliverable 9: Define a clear future vision for the Information Governance Service and resource appropriately by October 2020. 5. Departmental risks focussing on quality of data held by NCC - December 2020										
Progress update										

Progress update

Head of Information Governance appointed to take forward the SOCITM recommendations and embedding the information governance agenda in NCC. This will enhance many of the mitigations to a higher standard, reducing the risk further over the next two years.

- Mandatory training on course to be updated for November 2020 which will reach all colleagues
- MI being developed to give the full picture of performance and compliance across Information Governance remit
- Significant recruitment taking place in September 2020 to enable focus on both backlog and ongoing statutory and non statutory Information related activities (e.g. DSR, EIR, FOI, Police, breaches)

Progress against implementation of deliverables from the March 2020 SOCITM report is as follows;

Deliverable 1: New Framework written and measures of success being finalised – reliance on what can be delivered under deliverable 2 before publication.

Deliverable 2: High level MI now in place to allow better management of the Service with requirements for next iteration being finalised to allow IMT to scope for delivery

Deliverable 3: Initial review completed and recommended approach now being looked at.

Deliverable 4: Paper being prepared to outline the proposed new structure for agreement and implementation.

Deliverable 5: New Terms of Reference and plan to share with ICG in September 2020 for implementation.

Deliverable 6: Review undertaken and next steps identified to ensure all accessible on myNet

Deliverable 7: New mandatory training due for delivery in November 2020 and improving relationships / profile of IG across the Council.

Deliverable 8: Progress being made on webforms to improve efficiency, Sharepoint solution for DPIA and ISA storage underway and Digital DPIA progress.

Deliverable 9: Significant recruitment undertaken – 6FTE recruited and 2FTE vacant. Future vision being discussed to ensure an effective Service.

5) The Risk Management Officer is attending DMT's to ensure that the risk on data quality is owned and actioned by departments.

Risk score of 9 at present due to issues identified in SOCITM report that need addressing to reduce the likelihood of the risk manifesting. The impact should anything happen would likely result in local media attention, depending on the severity of the issue.

Risk Number		RM003b				Date of update		08 September 2020		
Risk Name		Failure to comply with relevant information security requirements								
Portfolio lead		Cllr. Tom Fitzpatrick				Risk Owner		Geoff Connell		
Risk Description					Date entered on risk register			05 June 2019		
There is a risk of failing to comply with relevant information security requirements (e.g. NIS, PSN, PCI-DSS) which could lead to reputational damage and financial impact. Risk treatment: treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	3	9	1	3	3	Mar-21	Green
Tasks to mitigate the risk										
1. Mandatory Training in place for all colleagues - ongoing 2. Development and monitoring of MI for breaches - ongoing 3. Implementation of improved security measures - ongoing 4. External networking to ensure best practice - ongoing										
Progress update										
- Rollout of new Mandatory training to all colleagues in 2020 - Implementation of improved security measures e.g. E5 Licencing - Focus on improved storage and retention to reduce risk - Involvement with National cybersecurity organisation										
Risk score of 9 at present due to improved measures that have been implemented but acknowledgment that further activities would reduce the risk further, with a number of new challenges in a COVID landscape. The impact should anything happen would likely result in local media attention, depending on the severity of the issue.										

Risk Number	RM004					Date of update		08 September 2020		
Risk Name	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 June 2019		
Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes. The council spends some £700m on contracted goods and services each year. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	3	9	2	3	6	Mar-21	Amber
Tasks to mitigate the risk										
1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately. Next steps: - Develop robust process to respond to CreditSafe alerts - Develop robust process to spot other early warning signs eg late filing of accounts, media monitoring 2) Continue to report the pipeline of expiring contracts to Corporate Board every six months. Continue to discuss the pipeline of expiring contracts with CES DMT every quarter. Next steps: - Start to discuss the pipeline of expiring contracts with other departmental management teams or individual senior managers on a quarterly basis from quarter 3 of 2019 3) Through the contract compliance and optimisation workstream of the Smarter Workstream priority under the Norfolk Futures programme, implement measures to ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively. Next steps: Implement phased plan as agreed at corporate board 3 December 2019 4) Develop a standard specification for service transition that can be used as the basis for new sourcing exercises and used to manage transitions effectively by end June 2019 5) Internal audit to undertake audits of the contract management control environment in the three service directorates in second half of the financial year.										
Progress update										

Progress update

- 1) Process developed with finance to respond to CreditSafe alerts. Creditsafe contract to be reviewed to see whether it remains the best solution.
- 2) Pipeline reporting frequency at Corporate Board increased to quarterly and process is in place for monthly review by Director of Procurement and Executive Director of Finance
- 3) Contract compliance and optimisation workstream plan was approved at Corporate Board in December 2019 and phased implementation was under way, prior to COVID-19. Implementation of phased plan paused whilst efforts are focussed on the COVID-19 response.
- 4) Transition/handover checklist developed and in use. Mitigation implemented.
- 5) Internal audit has undertaken audits of the contract management control environment in the three service directorates in second half of the financial year, with no major findings to be improved.

This risk is scored at 9 (likelihood 3, impact 3) due to the contract pipeline reporting to Corporate Board and discussions with departments/senior managers being established, and internal audits of the contract management control environment in the three service directorates carried out with no major findings for improvement identified. To bring this risk down to 6 by the end of the financial year will require further development of the implementation plan, and continued support to staff who have contract management as part of their job to ensure they have the relevant skills and support to manage contracts effectively.

Risk Number	RM006					Date of update		08 September 2020		
Risk Name	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			13 June 2019		
The failure to deliver agreed savings or to deliver our services within the resources available, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service users. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-21	Green
Tasks to mitigate the risk										
1) Clear robust framework, 'Together for Norfolk - Business Plan' in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand. 2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets. 3) A robust annual process to provide evidence for Members to make decisions about spending priorities. 4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures. 5) Sound engagement and consultation with stakeholders and the public around service delivery. 6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.										
Progress update										

Progress update

Regular budget and performance monitoring reports to Cabinet now set out how the Council is delivering against the 2020/21 budgets and priorities set for each of our services.

The Council has a robust and established process, including regular reporting to Members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about Government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports. There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2020-21 spend reported to Cabinet on a monthly basis and monitoring of COVID-19 spend reported to Corporate Board regularly. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2020-21. There will be an updated MTFS position reported to Cabinet in September, savings proposals published for consultation in October, budget setting meeting of Full Council in February, and monitoring reports taken to Cabinet in 2021-22. Work is being carried out by Departmental Leadership Teams, the Recovery Group and the Business Transformation Programme on future savings required. Savings proposals were taken to the Budget Challenge session in July and will be presented again in September for Member review and then taken to October Cabinet.

The risk score is currently at 10 (Likelihood 2, Impact 5) to reflect the ongoing close scrutiny of in year spend against budget set.

Risk Number	RM010					Date of update		08 September 2020		
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Portfolio lead	Cllr. Tom Fitzpatrick					Risk Owner		Simon George		
Risk Description					Date entered on risk register			01 July 2019		
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood, or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: Treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	1	3	3	1	3	3	Mar-21	Met
Tasks to mitigate the risk										
1) Full power down completed periodically 2) Replace ageing Local Area Network (LAN) equipment 3) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory) 4) Implement Cloud-based business systems with resilient links for key areas 5) Replace voice services (contact center / desk phones) with cloud based Microsoft Teams 6) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including; 7) We will be running a number of Cyber Attack exercises with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack 8) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 9) Implement new data centre to reduce the risk of power failure, loss of data connectivity and reduce ICT hardware failures										
Progress update										
1) Full power down completed as required by Property programme plans 2) New Local Area Network equipment has been procured and we are now implementing with County Hall. 3) Access services have been migrated to the new DR site so work can continue if County Hall unavailable 4) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly. 5) Contact services have been migrated to a cloud based system. Soft telephony has been successfully rolled out at an accelerated pace following COVID-19. 6) We are still working through the cyber audit actions which are more complex than first thought. 7) The Cyber Attack exercise with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack. We delivered an 'EXECSIM' exercise with the corporate board to ensure we are fully prepared in the event of a Cyber Attack, communications and approach at a senior level (Jan 2020). We are scheduling a National Cyber Security Centre (NCSC) 'Exercise in a box'										

Progress update

session for IMT to test our approach during a cyber attack and we will follow this up with a NCSC 'Exercise in a box' exercise for the business leads, resilience team and IMT to jointly rehearse a cyber attack.

8) We have already held a Business Continuity exercise to understand and reduce the impact of risk scenarios and this will be re-run within 12 months to further reduce the risk. Large scale remote access exercise successfully carried out in February 2020, with over 3000 staff working remotely from a non-NCC based site. Since COVID-19 has resulted in the majority of the workforce working from home, the network has been able to cope effectively with a vastly increased number of users working remotely. Exercise Steel will build on the work of Exercise Horseshoe.

9) The new data centre is now live.

The score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure.

Risk Number	RM013					Date of update		08 September 2020		
Risk Name	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.									
Portfolio lead	Cllr. Greg Peck					Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 July 2019		
The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incurring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	4	1	4	4	1	4	4	Mar-21	Met
Tasks to mitigate the risk										
<p>1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.</p> <p>The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.</p> <p>The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.</p> <p>2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Strategy and Governance for the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.</p> <p>3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.</p> <p>4) To ensure that governance procedures are being discharged appropriately to Independence Matters. The Executive Director for Finance and Commercial Services' representative attends as shareholder representative for Independence Matters.</p> <p>5) Approve the Outline Business Case for Repton Property Developments Ltd.</p> <p>6) Shareholder representation required from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.</p>										
Progress update										

Progress update

- 1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register.
- 2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned LA company. The shareholder committee meets quarterly and monitors the performance of Norse. A member of the shareholder board, the shareholder representative, also attends the Norse board.
- 3) The Council has reviewed its framework of controls to ensure it is meeting its Teckal requirements in terms of governance and control, and a series of actions has been agreed by the then Policy and Resources Committee. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected. All County Council subsidiary limited company Directors have been approved in accordance with the Constitution. The new Chairman of Norse has initiated change with one Director looking after NCS and NPS, with a view to maximising returns back to NCC. A further strengthening of the Board is proposed with the appointment of two independent Non-Executive Directors with one vote each. As with Repton the appointments would be made through a transparent process of advertisement, interview and appointment.
- 4) The ED of F&CS directs external governance. An external company is undertaking a review of Norse Group's financial performance, discharging the Executive Director for Finance and Commercial Services' responsibility as per the Constitution.
- 5) The Outline Business Case for Repton Property Developments Ltd has been approved.
- 6) There is Shareholder representation from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

Risk Number	RM022a					Date of update		08 September 2020		
Risk Name	Implications of Brexit for Council staff and services									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			00 January 1900		
There are important risk implications to the Council in the following areas: The legal base – substantial change needed structured around No Deal scenario and likelihood of No Deal. Council services dependent on a migrant workforce – for example nationally, 7% of existing adult social care staff come from other EU nations. There is a risk that initially, implications for Norfolk County Council of the UK leaving the EU are not known or understood, causing uncertainty in Council business, planning, and service delivery. Risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Dec-20	Amber
Tasks to mitigate the risk										
1) Human Resources to support managers and staff who may be directly affected by this issue. 2) Understand the risks and implications of Brexit to service delivery, wider community and business continuity. This includes managing particular risks around the supply of food and fuel, to enable us to support vulnerable people.										
Progress update										
1) Potential loss of staff for NCC and our service providers was looked at in Feb '19 & is under constant review. Signposting to HM Govt websites was undertaken and correspondence sent to service providers. Most recent update: - Keeping HR Direct up to date with developments to advise staff - Refreshing employee information on peoplenet - Undertook exercise to refresh employee data on nationality status - Provided information to key stakeholders within social care on the pilot - Surveyed Heads of Services/Departments regarding impacts 2) The NCC Brexit corporate risk register completed identifies all Brexit risks & mitigations & is available on Sharepoint. There is now a transition period until the end of 2020, while the UK and EU negotiate additional arrangements. The current rules on trade, travel, and business for the UK and EU continue to apply during the transition period. By 1 January 2021 we will either start a new relationship with the EU or leave without a trade deal. The risk is scored at 9 (likelihood 3, impact 3) whilst we continue to monitor the national scenario. Planning continues in the meantime as far as possible.										

Risk Number	RM022b					Date of update		08 September 2020		
Risk Name	Implications of Brexit for external funding / Norfolk businesses									
Portfolio lead	Cllr. Graham Plant					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			00 January 1900		
There are important risk implications to the Council in the following areas: The Council's EU funded programmes supporting the local economy. Place-based impact – there will be real and varied impacts and opportunities in our local economy. There is a risk that initially, implications for Norfolk County Council of the UK leaving the EU are not known or understood, causing uncertainty in external funding / implications for Norfolk businesses. Risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Dec-20	Amber
Tasks to mitigate the risk										
1) Regular meetings are taking place with the Ministry for Housing, Communities and Local Government (MHCLG) and the Department for Business, Energy and Industrial Strategy (BEIS) regarding a managed exit from EU funded programmes to ensure NCC's liabilities are met.										
We have agreed the principles and framework for regional investment post Brexit to ensure the level of current funding is protected, including asking for funds to be devolved locally, so that the economic benefit of the funding is secured.										
We jointly commissioned work with the LEP and Suffolk County Council to understand the business impact of Brexit within the New Anglia area and particular sectors likely to be affected, such as agriculture (potential for post-Brexit tariffs making export of some products unviable). Also, signposting to information from Government on preparations businesses should make is available at www.newanglia.co.uk .										
Progress update										
The Treasury Guarantee confirms that funding is assured in the event of a deal for projects committed by 31 December 2020. The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from MHCLG that they will meet our liabilities in order to close the Programme. MHCLG have raised the issue with Ministers, as well as our MA status after we leave the EU. This will now fall under the detailed work around payment mechanisms following the confirmation of extended programme completion.										
The Green Paper regarding the Shared Prosperity Fund has still not yet been published and is not expected until the 2020 Autumn Statement, at the earliest. We continue to work with New Anglia and other relevant partners and will report the proposals and our response to members when it has been published.										
MHCLG have advised they will issue a new set of planning assumptions around a no deal Brexit in due course. NCC Brexit Silver Group and Resilience Reps looked at reasonable worst case planning assumptions in Operation Yellowhammer. Work we had done prior to the original leave date meant that we had covered these potential impacts already.										

Progress update

We have raised the issue of Trading Standards (their ability to act as a National Body certified by the EU, charging for highway services) with the LGA to play into their negotiations with DExEU.

A task force has been set up, asking each Directorate to provide a summary of the risk posed to them and their service provision by Brexit. Service delivery risks involving the availability of fuel and supply of food are being managed, to ensure that the Council is prepared for any such eventualities. These two issues have been subject of individual NRF multi-agency task & finish groups. Information has been fed back to NCC Silver Group meetings and resilience reps, for them to consider impacts. Covered in full in NCC Brexit Risk Register. Our revised Business Impact Analysis requires departments to identify fuel requirements to deliver critical activities. NCC prepares the NRF Fuel Emergency Plan so we are well embedded into the process.

The NCC website now offers information for businesses and individuals, including our EU No Deal Exit Strategy <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/preparing-for-brexit>

The risk is scored at 9 (likelihood 3, impact 3) whilst we continue to monitor the national scenario. Planning continues in the meantime as far as possible.

Risk Number	RM023					Date of update		08 September 2020		
Risk Name	Failure to respond to changes to demography, funding, and government policy, with particular regard to Adults Services.									
Portfolio lead	Cllr. Bill Borrett					Risk Owner		James Bullion		
Risk Description					Date entered on risk register			18 August 2017		
Whilst acknowledging the pressures on adult social services, and providing some one-off additional funding, the Government has yet to set out a direction of travel for long-term funding. At the same time, the pressures of demography and complexity of need continue to increase. This makes effective strategic planning highly challenging and there is a risk that short-term reductions in support services have to be made to keep within budget; these changes are likely to be counter to the long-term Promoting Independence strategy. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	2	4	8	Mar-22	Amber
Tasks to mitigate the risk										
1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future. 2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care. 3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system. 4) Judicious use of one-off winter funding, as announced by Government. 5) Close tracking of government policies, demography trends and forecasts. 6) A new set of NCC corporate priorities which aims to address longer-term demand management in children’s and adult services. 7) As part of the Covid-19 recovery governance, a specific financial recovery workstream has been created to look at how we can mitigate financial risks. 8) The service is working to reinstate approaches that will enable some savings programme work to recommence.										
Progress update										

Progress update

- 1) Demand and demography modelling continues to be refined through the cost and demand model. Five main themes for transformation: Services for people with a learning disability; maximising digital technology; embedding strengths-based social work through Living Well; 3 conversations; health and social care integration and housing for vulnerable people.
 - 2) Sector based plans for providers which model expected need and demand associated with demographic and social change
 - 3a) Strengthened investment in prevention, through additional reablement, social prescribing, local initiatives for reducing social isolation and loneliness
 - 3b) Workforce – continued recruitment campaign to sustain levels of front line social workers and occupational therapy staff.
 - 3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care.
 - 4) Close joint working with NHS, through the STP, to shape and influence future integration of health and social care
 - 5) We are still awaiting the Green Paper on Social Care; will now review the NHS 10-year Plan and establish how this will impact on the direction of travel for health and social care.
 - 6) Collaboration with children's services to develop a preparing for adult life service to strengthen transition experience for young people, and to improve service and budget planning.
 - 7a) Covid-19 has caused a seismic and immediate refocus of services, process and planning. The financial consequences of this continue to emerge, but it is having a material impact on the ability to deliver the full level of planned savings in both 2020-21 and 2021-22. As a result, alongside the longer term delivery of Promoting Independence, the immediate priority and context for Adult Social Services' is the post-pandemic recovery – with services facing unprecedented challenges this year (2020-21) and continued uncertainty – particularly relating to demand, funding and sustainability of wider market.
 - 7b) We continue to engage with MPs, Government Ministers and departments to promote the need for long term sustainable funding for Adult Social Care.
- Risks directly related to COVID-19 are detailed on the Council's strategic corporate COVID-19 risk register.
- We have revised the target score to be achieved by 2022 to allow for the impact of the pandemic and to allow time for the government to publish the green paper.

Risk Number	RM024					Date of update		08 September 2020		
Risk Name	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023)									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			14 June 2019		
There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes put timescales at risk and/or contractor prices increase project costs. Event: The 3RC is completed at a later date and/or greater cost than the agreed budget, placing additional pressure on the NCC contribution. Effect: Failure to construct and deliver the 3RC within budget would result in the shortfall having to be met from other sources. This would impact on other NCC programmes. Overall risk treatment: Treat, with a focus on maintaining or reducing project costs and timescales.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	4	8	2	4	8	2	3	6	Jan-23	Amber
Tasks to mitigate the risk										
The project was agreed by Full Council (December 2016) as a key priority infrastructure project to be delivered as soon as possible. Since then, March 2017, an outline business case has been submitted to DfT setting out project costs of 120m and a start of work in October 2020. 80% of this project cost has been confirmed by DfT, but this will be a fixed contribution with NCC taking any risk of increased costs. Mitigation measures are: 1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings. 2) NCC project team to include specialist cost and commercial resource (bought in to the project) to provide scrutiny throughout the scheme development and procurement processes.This will include independent audits and contract/legal advice on key contract risks as necessary. 3) Programme to be developed that shows sufficient details to enable overall timescales to be regularly monitored, challenged and corrected as necessary by the board. 4) Project controls and client team to be developed to ensure systems in place to deliver the project and to develop details to be prepared for any contractual issues to be robustly handled and monitored. 5) All opportunities to be explored through board meetings to reduce risk and programme duration. Overall risk treatment: Reduce, with a focus on maintaining or reducing project costs and timescales										
Progress update										

Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. There is a risk that the scheme development could see changes to the scheme, and therefore to the agreed business case, and any changes will need to be addressed/agreed with DfT. Progress against actions are: 1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. Progress update report provided to Audit Committee on 31 July 2018. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there are no significant concerns identified that undermine the project delivery). Internal audit on governance ongoing during Feb 19 - report now finalised (dated 14 August 2019) and findings were rated green. 2) Specialist cost and commercial consultants have been appointed and will continue to review project costs. The first element of work for the cost consultant was to review project forecasts. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget is considered sufficient - this work was previously used to update the business case submitted to and accepted by DfT. A further budget review was completed following appointment of the contractor (initial assessments based on tendered submissions provided sufficient confidence to award the contract - in accordance with delegated authority).

3) An overall project programme has been developed and will be owned and managed by the dedicated project manager. Any issues will be highlighted to the board as the project is delivered. Programme updated to fully align procurement and Development Consent Order (DCO) processes. Following the award of the contract, from January 2019, the programme is now focussed on delivering the DCO. Development Consent Order submitted to the Planning Inspectorate (PINS) by end of April 19 as per agreed timescales. The start of DCO examination was 24 September 2019, with a finish date on 24 March 2020. The approval of the DCO is now expected not later than 24 September 2020. 4) Learning from the NDR and experience of the commercial specialist support has been utilised to develop contract details ahead of the formal commencement of the procurement process, which was 27 February 2018. Further work fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019). 5) The project board will receive regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates. The project currently remains on budget and the programme to complete the works and open the scheme in early 2023 is still on track.

Risk Number	RM026					Date of update		08 September 2020		
Risk Name	Legal challenge to procurement exercise									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			04 June 2019		
That alleged breach of procurement law may result in a court challenge to a procurement exercise that could lead to delay, legal costs, loss of savings, reputational damage and potentially significant compensation Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-21	Green
Tasks to mitigate the risk										
<p>Review processes and practice in light of recent caselaw, in particular Amey Highways Ltd v West Sussex County Council [2019] EWHC 1291 (TCC) and Lancashire Care NHS Foundation Trust & Anor v Lancashire County Council [2018] EWHC 200 (TCC).</p> <p>1) At team meeting w/c 10 June 2019, remind procurement staff of need to escalate any proposal to run a procurement exercise in an unreasonably short timescale</p> <p>2) Take pipeline to corporate board every six months and to directorate management teams quarterly to minimise risk of rushed procurement exercises.</p> <p>3) Seek corporate board sign-off for new approach with consistently adequate timelines,fewer evaluators and greater control over choice of evaluator</p> <p>4) Review scale of procurement exercises, avoid unnecessarily large exercises that increase risk and complexity and the scale of any damages claim.</p> <p>5) Make incremental change to instructions to evaluators and approach to scoring and documenting rationale, and test on tender NCCT41801 in w/c 3 June 2019</p> <p>6) Review standard scoring grid and test 'offline' on tender NCCT41830 w/c 10 June 2019</p> <p>7) Review template provisional award letter w/c 17 June</p> <p>8) Develop standard report to decision-maker w/c 17 June</p> <p>9) Make more significant changes to instructions to evaluators and pilot new approach on a future tender.</p> <p>10) Pilot new scoring grid in a future tender</p> <p>11) Institute formal annual review of sourcing processes in light of developments in case law. Review each December; add to senior staff objectives.</p> <p>Additional tasks identified February 2020:</p> <p>12) Update HotDocs to include definitive versions of new templates - by 31 March 2020</p> <p>13) Formal sign-off of updated process by Nplaw- by 31 March 2020</p> <p>14) Further formal training for procurement officers - by 30 April 2020</p>										
Progress update										

Progress update

- 1) Reminder given at team meeting - complete
- 2) Pipeline report frequency now quarterly. Pipeline being discussed with EDs or senior commissioners before each board - complete
- 3) Corporate board has signed off the new approach - complete
- 4) Ongoing as need to consider each procurement on a case by case basis.
- 5) Evaluator guidance was updated immediately. More significant changes have also now been implemented - see 9. Complete.
- 6) Scoring grid was updated as planned. Complete.
- 7) Template provisional award letter has been reviewed and updated. Complete
- 8) Existing reports have been reviewed and new report is being developed. Complete.
- 9) Evaluator guidance updated and in use as standard. Feedback from evaluators is positive. A new mechanism for capturing feedback on tenders is now in use after extensive piloting.
- 10) Scoring grid has now been updated and is in use as standard. - Complete
- 11) Added to senior staff objectives. Reviewed January 2020; no new issues identified beyond those in this risk 26

Additional tasks 12 to 14 to be implemented in March and April 2020 have been paused in the wake of managing the COVID-19 response.

Risk Number		RM027				Date of update		08 September 2020		
Risk Name		Risk of failure of new Human Resources and Finance system implementation								
Portfolio lead		Cllr. Tom FitzPatrick				Risk Owner		Fiona McDiarmid		
Risk Description					Date entered on risk register			16 August 2019		
Risk that there is a significant impact to HR and finance services through potential lack of delivery of the new HR & finance system. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	2	2	4	Sep-21	Green
Tasks to mitigate the risk										
1) Programme has moved from procurement phase to Implementation as planned 2)Rigorous monitoring of risk occurs at Programme level on a weekly basis with significant risks escalated to Programme Board for management. Particular attention is being paid to the risk to the project of being impacted by any Covid-19 resurgence that may affect NCC and / or Implementer teams causing a delay and associated cost. Mitigation of this includes agreement to protect the project team resources such that they remain aligned to the programme (at one stage 50% of team had been moved to C-19 response) 3) Programme management team from NCC and Systems Implementer jointly develop plan with formal sign off underpinned by contractual stage payments 4) Initial impact of Covid-19 mitigated by the addition of a new transition stage into the plan 5) Programme governance revised to reflect move to Implementation 6) Corporate Select Committee continue to oversee the programme										
Progress update										
1) Cabinet via delegated approval to Exec Director S&G (in consultation with ED for FCS, the Leader and Cabinet Member for Innovation, Transformation and Performance) endorsed the award of the contract to Oracle Consulting Services implementing a cloud Oracle solution as planned. 2) On-going visibility of the plans via Programme Board, also the Corporate Select Committee continues to offer oversight. 3) Strong engagement from HR and Finance into the familiarisation stage of the programme which supports system design decisions 4) Eight benefit themes applied to the project from the outset underpin all design discussion / decision, programme board are responsible for delivering against these benefits. 5) Governance managed by project board and programme board for project plans and budget. 6) Strong management of the familiarisation process by both NCC and the Systems Implementer to ensure remote ways of working are not impacting the quality of the engagement or decision-making 7) Robust risk management in place, particularly in respect of C-19 and the potential impact this could have on timescales and costs 8) Business impacts being captures as familiarisation with the software solution develops - will inform procurement of a change partner to support business adoption of new ways of working that underpin realisation of savings										

Risk Number	RM028					Date of update		08 September 2020		
Risk Name	Risk of any failure to monitor and manage health and safety standards of third party providers of services									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Fiona McDiarmid		
Risk Description					Date entered on risk register			29 July 2019		
The potential for the Council not proactively monitoring and managing 3rd party providers to ensure the standards of health and safety. There is a risk of prosecution for health and safety failings, reputational damage and a failure to deliver services. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	2	5	10	Mar-21	Green
Tasks to mitigate the risk										
1) HSW team to undertake remote monitoring of high risk areas e.g accomodation providers										
2) Departments to investigate specific concerns raised by the surveys										
3) Departments to review their approach to contract management and implement sustainable improvements in monitoring with the support of Health and Safety Team (HSW)										
Progress update										
1) Monitoring undertaken by HSW Q3 2017/18 Report taken to the then CLT with findings Q4 2017/18 - actions 2 & 3 agreed at the former CLT.										
2) Departments have reviewed their approach to contract management and integrated responsibilities into roles in revised structures.										
3) Monitoring is actively in place for a number of services and is due to commence for other services throughout 2020/21. Monitoring of service providers has significantly improved.										
The Health and Safety Team have been focussing efforts on carrying out risk assessments ahead of the re-opening of sites for service delivery. This work has included supporting departments to seek assurance on 3rd party providers approach to being COVID-Secure as their services re-open/scale up.										

Risk Number	RM029		Date of update		08 September 2020					
Risk Name	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Fiona McDiarmid					
Risk Description			Date entered on risk register		29 July 2019					
<p>There is a risk that a range of critical new/future skills are not available within NCC in the medium to longer term. The lack of these skills will create problems for, or reduce the effectiveness of service delivery. An inability or failure to consider/identify these until they are needed will not allow sufficient time to develop or recruit these skills. This is exacerbated by: 1.The demographics of the workforce 2.The need for changing skills and behaviours in order to implement new ways of working including specialist professional and technical skills (in particular IT, engineering, change & transformation; analytical; professional best practice etc) associated with the introduction or requirement to undertake new activities and operate or use new technology or systems - the lack of which reduces the effective operation of NCC . 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 8. Brexit uncertainty impacting in some sectors Overall risk treatment: Treat</p>										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	5	15	2	5	10	Mar-21	Green
Tasks to mitigate the risk										
<ul style="list-style-type: none">• Identification of what new critical skills are required in services – As each directorate makes their changes to make savings / manage demand• Identification of pathways to enable staff to learn, develop and qualify into shortage areas – As each directorate makes their changes to make savings / manage demand• Challenge ourselves, is there another way this can be delivered?• Explore further integration with other organisations to fill the gaps in our workforce - ongoing• Develop talent pipelines working with schools, colleges and universities• Undertake market rate exercises as appropriate and review employment packages• Explore / develop the use of apprenticeships; this will help grow talent and act as a retention tool• Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements.										
Progress update										

Progress update

We are utilising the apprenticeship levy to focus on critical areas e.g. Social Work, Fire Service Workforce Development Plans in services are in development focusing on areas of critical service delivery. We are also developing an improved approach to workforce planning through accessing regional expertise and support

We have developed key Organisational Development priorities of future and roles of work in NCC, supporting an effective organisation, recruiting for strengths, creating life friendly careers and the deal in service of our people vision. Implementation plans are in development for these areas

We are a Cornerstone Employer, and have a silver award for the Armed Forces Convenance, supporting an inclusive approach to recruitment

We are revising our mandatory training policy to support key skills and knowledge of our workforce

Implementation of HR & Finance system will give us capability to improve our workforce planning through real time reporting, improved data and access to talent information. This system will be implemented on a phased basis.

We are developing our branding of NCC to attract people with the future skills we need to continue

to be successful and deliver NCCs vision and strategy

We are working with partners to establish joined up recruitment and systems streamlining needs

We have reshaped our core learning and development offer to the organisation through the Norfolk Development Academy and Social Care Academy e.g. digital skills, leadership and management skills

The Human Resources Team have been focussing their staff resources on addressing work related to COVID-19. This risk will continue to be mitigated with an ongoing commitment to ensuring that the Council continues to operate effectively with the required skillsets of its staff in place going forward. Government initiatives being introduced to try and mitigate the impact of COVID-19 on the economy may offer more opportunities to help mitigate this risk. Further information is expected in September and we will evaluate these before updating in the next period. There are also early signs that NCC is attracting more candidates as the public sector is seen as a more secure employer and people explore moving out of major cities. It is too early however to reduce the level of risk on this basis.

Risk Number	RM030					Date of update		08 September 2020		
Risk Name	Non-realisation of Children’s Services Transformation change and expected benefits									
Portfolio lead	Cllr. John Fisher					Risk Owner		Sara Tough		
Risk Description					Date entered on risk register			08 August 2019		
There is a risk that Children’s Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	5	5	Mar-23	Amber
Tasks to mitigate the risk										
1) A demand management and prevention strategy and associated business cases have been completed and a 5 year transformation programme has been established covering social care and education 2) Significant investment has been provided to delivery transformation including £12-15 million for demand management and prevention in social care and £120m for capital investment in Specialist Resource Bases and Specialist Schools 3) A single senior transformation lead, operational business leads and a transformation team have been appointed / aligned to direct, oversee and manage the change 4) Scrutiny structures are in place through the Norfolk Futures governance processes to track and monitor the trajectories of the programme benefits, risks and issues 5) Services from corporate departments are aligned to provide support to transformation change e.g. HR, Comms, IT, Finance etc 6) Interdependencies with other enabling transformation programmes e.g. smarter working will be aligned to help maximise realisation of benefits.										
Progress update										

Progress update

21/8 - As part of the recovery phase the majority of transformation projects have restarted, but there is ongoing support needed to manage the continued response to COVID. It is still anticipated there will be a delay to benefits realisation and these assumptions are being built into the business planning process for 2021-22.

8/6 – It is anticipated there will be a 6 month impact on benefits realisation as a result of the COVID 19 crisis. There is also the potential for a delayed surge in demand for services as lockdown is lifted and new need is identified.

Majority of transformation, operational and corporate resource has been redirected to support emergency COVID response during lockdown. Resources are now beginning to focus on restarting transformation during re-set and recovery phase.

1) Leads and transformation team in place. Roles involved in transformation will increase and decrease in line with programme demand. Currently increasing our capacity to support projects as part of the SCARF and SEND & AAP transformation programmes.

2) SEND transformation workstreams are established, project mandates agreed and the capital programme for the first build is underway. Current profile of £12-15m investment is £2m per year. The Council has also agreed additional £5m front-line staffing investment pa from 2020-21.

3) SEND consultation stages / work with IMPOWER completed and design stage underway for Specialist Resource Bases (SRBs) and revised Inclusion Model.

4) Governance structures and reporting processes in place and being actively used through stocktake meetings and trajectory reports. Transformation Board has refreshed to focus on Benefits Realisation and has cross council representation both Members and Officers.

5) High level of engagement from corporate departments. Finance and HR use business partner model to embed expertise directly in department. Resource requirements are being managed in line with demand.

6) Business transformation “interlocks” are being used to manage interdependencies between programmes in Children’s Service and the Business Transformation Programme. Other change programme are managed as required e.g. the alignment of the roll-out of new mobile devices and apps to enable greater mobile working.

Risk Number	RM031					Date of update		08 September 2020		
Risk Name	NCC Funded Children's Services Overspend									
Portfolio lead	Cllr. John Fisher					Risk Owner		Sara Tough		
Risk Description					Date entered on risk register		01 September 2019			
There is a risk that the NCC Funded Children's Services budget results in a significant overspend that will need to be funded from other parts of Norfolk County Council										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	4	5	20	Dec-20	Amber
Tasks to mitigate the risk										
<p>Improved monitoring systems identified and revised CSLT tier 2, 3 & 4 structure proposed. Transformation programme that is targeting improvement to operating model, ways of working, and placement & sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention & placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs. In turn, this will enable the most expensive areas of NCC funded spend (placement costs and staffing costs) to be well controlled and to remain within budget. Cohorts will be regularly analysed to ensure that all are targeted appropriately.</p> <p>The Functioning Family Therapy service has been launched. Family Group Conferencing is being reintroduced.</p> <p>Recognition of underlying budget pressures within recent NCC budgets and within the MTFs, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.</p>										
Progress update										
<p>Improved monitoring systems in place and becoming embedded: LAC tracker, Permanance Planning Meetings, DCS Quarterly Performance meetings, weekly Getting to Good Meetings and Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by members and CLT. Multiple Transformation projects under-way and delivered, for example the new social care delivery model, the Fostering Recruitment Transformation and use of an enhanced fostering model, with further projects in development, such as our LAC and LC transformation. The new operating model was on track to go live from April 2020 but went live on 15 June due to COVID related delay. Norfolk has been successful in being awarded DfE funding to introduce the No Wrong Door model in partnership N Yorks. This is a proven model at working with adolescents differently improving outcomes and reducing costs. Due to COVID this project is currently paused until at least August 2020. There is a decision point with the DfE on 26 August to agree that the programme can restart from September 2020.</p> <p>Children Looked After numbers have now been in steady sustained decline for a 12 month period, which will result in reduced overall placement costs. The rate of reduction has slowed during COVID, but remains stable. Where numbers have reduced, there are a number of very high cost placements that have impacted financial savings. A number of existing transformation projects are in train to support these young people more effectively and reduce costs over the medium term.</p>										

Risk Number	RM032a					Date of update		08 September 2020		
Risk Name	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			27 February 2020		
There is a risk of disruption to service delivery if there are widespread cases of COVID-19 in Norfolk affecting the health, safety and wellbeing of Norfolk County Council and contracted partner employees. This could impact on Norfolk County Council financially and reputationally. Cause: Not effectively containing COVID-19. Event: Widespread positive cases of COVID-19 across Norfolk, affecting NCC staff, partners, and service users. Effect: There are potential effects on staff, partner organisations, and service user's health, safety and wellbeing if there is widespread exposure to COVID-19 within Norfolk. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	4	5	20	3	2	6	Mar-21	Green
Tasks to mitigate the risk										
1) Coordination of communications to make staff, service users, and contracted third parties aware of the latest guidance from Public Health England to help to contain cases of COVID-19, provide reassurance of the Council's response to COVID-19, contribute to the support structure, and demonstrate leadership. Action owner: James Dunne										
2) Ensuring staff continue to be provided with information on safe working, particularly for those working in the community. To continue to ensure that measures to support mental health are available. Action owner: Derryth Wright										
3) Modelling to be carried out to give best estimates on the prevalence of COVID-19 in Norfolk. Action Owner: Tim Winters										
4) Adaptation of Business Continuity arrangements to meet service demands. Business Continuity Plan owners will need to review BCP's with their management teams to ensure that they reflect changes since COVID-19 which could affect current plans around such events as a loss of ICT, loss of a key system, shortage of key personnel, recognising other current priorities of services. Action Owner: Heads of Service										
5) Assessment of financial impact. Action Owner: Harvey Bullen										
6) Identifying nuanced implications of pupils returning to school and working to ensure that all aspects of this are managed. Action Owner: Chris Snudden										
7) To consider how and when sites might be re-opened for staff on a prioritisation basis using any revised government guidance, where and when it is safe to do so, liaising with services about use of model risk assessments. Action Owner: Derryth Wright										
8) To ensure that children with disabilities (CWD) and their families are able to access short breaks to prevent family breakdown or potential harm to vulnerable children.										
Progress update										

Progress update

- 1) Communications continue to go out to all staff advising on how to seek further guidance issued by Public Health England. External communications to third parties are reviewed to ensure that external communications as well as internal communications are consistent. Communications are providing reassurance of the Council's response to COVID-19, contributing to the support structure, and demonstrating leadership. Members are receiving a Members Briefing document.
- 2) Staff continue to receive guidance on safe working, including the use of personal protective equipment provided. The Health and Safety team continue to issue regular communications and provide well-being support to ensure people have access to any mental health support they may need including Norfolk Support Line, Mental Health First Aid Champions, wellbeing officers, and online e-Learning on personal resilience, all of which are available to staff. Support channels continue to be widely communicated to staff. Risk assessment form available for managers to complete for individuals who require access to an office for reasons of deteriorating mental health. Managers to review absence levels and identify gaps. Smarter working programme and engagement sessions to identify any specific individuals or areas requiring additional support. This is important to help to mitigate the risk of staff feeling isolated from prolonged home working. Significant changes re. PPE have been incorporated in the guidance. Risks covering health and wellbeing are being managed on the corporate COVID-19 strategic risk register, which was reported to July 2020 Cabinet and Audit Committee. The wellbeing staff survey will provide insight to the wellbeing of the workforce both pre- and during COVID-19.
- 3) Modelling is currently being carried out to provide further understanding of the numbers of expected cases in Norfolk. We are also modelling to align numbers of resources to how many we think we need e.g. for social care discharges, community food distribution, and projected mortality rates. There are some COVID-19 epidemic curve forecasts being produced at a national and regional level. These are for mortality, hospital admissions and infection prevalence. We are looking to take these and apply them to our local population like we have done previously. This will give us a couple of scenarios around which to (managed by NCC) includes a Multi-disciplinary team with the ASSD Quality team working with PH consultants to manage outbreaks and to offer wrap around support to care homes. Enhanced arrangements continue to be in place for governance & oversight, infection control, testing, PPE & clinical equipment, workforce support and financial support, which has reduced the care homes element of this overall risk. Business Continuity Plans across the Council continue to be reviewed to ensure they incorporate changes to service delivery.
- 5) There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2020-21 spend reported to Cabinet on a monthly basis and monitoring of COVID-19 spend reported to Corporate Board regularly. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2020-21. There will be an updated MTFs position reported to Cabinet in September, savings proposals published for consultation in October, budget setting meeting of Full Council in February, and monitoring reports taken to Cabinet in 2021-22. Work is being carried out by Departmental Leadership Teams, the Recovery Group and the Business Transformation Programme on future savings required. Savings proposals were taken to the Budget Challenge session in July and will be presented again in September for Member review and then taken to October Cabinet.
- 6) The Council is working to understand the nuanced implications of the returning to school for school children. Staff with children continue to show great flexibility around family needs. The Health and Safety team are working with Children's Services (CS) on the general monitoring programme, with Children's Services identifying which schools require additional support. Health and Safety are providing feedback to CS with common themes needing to be addressed.
- 7) The Council is now in its normalisation and recovery phase, with services beginning to re-open where previously temporarily closed. The Health and Safety team continue to work with services on additional activities for reopening. Separate risk assessment templates have been produced for some specific activities to help speed up the process of opening up more services including undertaking visits to people's homes and visiting sites/premises managed by other organisations. Government advice continues to be followed, including expectations about the continuation of home working and advice on physical distancing measures. The recovery structure has been finalised and circulated. All of the highest-prioritised services identified for re-starting have now had at least their initial consultation with a Health and Safety officer, with many at a more advanced stage of sign off for re-opening. Additional resource (1FTE net) has been procured for the Health and Safety team to increase risk assessment processing capacity.
- 8) CWD short breaks is one of the prioritised areas to resume face to face services under Theme G, with additional support over the summer period provided in response to growing evidence of fatigue and strain amongst families, but this is unlikely to be sufficient to mitigate all needs.