

Communities Committee

Date: **Wednesday 19 November 2014**

Time: **10.00am**

Venue: **Edwards Room, County Hall, Norwich**

Persons attending the meeting are requested to turn off mobile phones.

Membership

Mr P Smyth - Chairman

Mrs M Wilkinson – Vice Chair

Mr C Aldred

Mr J Childs

Ms E Corlett

Mrs H Cox

Mr A Dearnley

Mrs M Dewsbury

Mr N Dixon

Mr H Humphrey

Mr J Law

Mr W Northam

Mr D Roper

Mr M Sands

Mr N Shaw

Mr D Thomas

Mr J Ward

**For further details and general enquiries about this Agenda
please contact the Committee Officer:**

Nicola LeDain on 01603 223053
or email committees@norfolk.gov.uk

Under the Council's protocol on the use of media equipment at meetings held in public, this meeting may be filmed, recorded or photographed. Anyone who wishes to do so must inform the Chairman and ensure that it is done in a manner clearly visible to anyone present. The wishes of Members or any members of the public not to be recorded or filmed must be respected.

A g e n d a

1. To receive apologies and details of any substitute members attending

2. Minutes

(Page 4)

To agree the minutes from the meeting held on 21 October 2014.

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

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

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

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

5. Local Member Issues/Member Questions

Fifteen minutes for local members 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 or 01603 223053) by **5pm on Friday 14 November 2014.**

6. Update on Key Service Issues and Activities

(Page 14)

Report by Interim Director of Environment, Transport and Development

7. 2013/14 Report on the Council's Mandatory Public Health Functions

(Page 24)

Report by Interim Director of Public Health

8. Establishment of Four New Member Working Groups

(Page 28)

Report by Interim Director of Environment, Transport and Development

- 9. Regulation of Investigatory Powers Act 2000** (Page 30)
Report by Practice Director nplaw and Interim Director, Environment Transport and Development
- 10. Enabling Communities** (Page 81)
Report by Director of Community Services
- 11. The Norfolk County Council Engagement Framework 2014-17** (Page 87)
Report by Head of Business Intelligence and Performance Service & Corporate Planning & Partnerships Service
- 12. Compliments and Complaints Performance Review: April 2013 – March 2014** (Page 103)
Report by Interim Director of Environment, Transport and Development
- 13. Performance Monitoring and Risk Report** (Page 113)
Report by Head of Business Intelligence and Performance Service & Corporate Planning & Partnerships Service
- 14. Communities Committee Finance Monitoring Report at Period 06 2014-15** (Page 140)
Report by Interim Director of Environment, Transport and Development
- 15. Forward Plan** (Page 151)
Report by Interim Director of Environment, Transport and Development

Group Meetings

Conservative	9:00am	Cranworth Room, County Hall
UK Independence Party	9:00am	Room 504
Labour	9:00am	Room 513
Liberal Democrats	9:00am	Room 530

Chris Walton
Head of Democratic Services
County Hall
Martineau Lane
Norwich
NR1 2DH

Date Agenda Published: 11 November 2014



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Communities Committee

**Minutes of the Meeting Held on Tuesday 21 October 2014
10:00am Edwards Room, County Hall, Norwich**

Present:

Mr P Smyth (Chair)

Mr C Aldred
Mr B Bremner
Mr B Borrett
Mr J Childs
Ms E Corlett
Mrs H Cox
Mr A Dearnley
Mrs M Dewsbury

Mr H Humphrey
Mr N Dixon
Mr W Northam
Mr D Roper
Mr M Sands
Mr N Shaw
Mr J Ward

1. Apologies and substitutions

- 1.1 Apologies were received from Jason Law (substituted by Bill Borrett) and Margaret Wilkinson (substituted by Bert Bremner).

2. To agree the minutes of the meeting held on 17 September 2014.

- 2.1 The Minutes of the meeting held on 17 September 2014 were agreed as an accurate record by the Committee.
- 2.2 It was noted that other Service Committees had agreed to request a report of decisions taken by Chief Officers following consultation with the Chairman/Vice-Chairman in between committee cycles. The Chairman responded that he had no objection to this in principle, but pointed out that any decisions that were made would only be in accordance with the wishes of the committee. It was also agreed that a version of the bi-weekly 'Situation Report' that did not contain exempt information could be appended to the minutes of the relevant committee meeting.

3. Declarations of Interest

- 3.1 No interests were declared.

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

- 4.1 The Chairman indicated he had asked for a briefing from the Interim Director of Public Health on Ebola. The Interim Director explained the background and

current developments with regard to Ebola and wished to make it clear that in her view Norfolk was well prepared. The Chief Medical Officer had suggested that at least one case would be found in the UK in the next three months and if that occurred in Norfolk then she wished to reassure the committee that it would be transferred to a specialist centre.

5. Local Member Issues / Member Questions

- 5.1 No member questions had been received prior to the meeting.

6. Internal and External Appointments

- 6.1 The committee received a report by the Temporary Director of Strategy and Resources setting out the external and internal appointments which came within the remit of this committee. The committee reviewed these bodies and made decisions on whether to retain them and/or make appointments to them as set out in Appendix A to these minutes.
- 6.2 The committee also considered a mechanism for member feedback from external bodies. It was suggested that feedback be taken from time to time in an appropriate manner, but that an expectation be set that there would be an annual report from each of the appointees to outside organisations to this committee for publication.
- 6.3 The Committee **RESOLVED:-**
- to make appointments to those external and internal bodies as set out in Appendix A to these minutes;
 - to agree the above mechanism for member feedback from external bodies on which members represent the Council.

7. Financial and Strategic Planning 2015/18

- 7.1 The Director of ETD explained that the Council had already approved and implemented £69m of savings. There were an additional £40m of savings to be implemented which had been consulted on as part of the 2015/16 budget. Set out in Appendix A to the report was the Committee's schedule of additional savings to close the financial gap for 2015/16. Section 2 of the report set out service specific context and 2.3 set out specific proposals for services and gave more detail on individual savings. There were no material in-year savings pressures for this committee to address.
- 7.2 Members were asked to explore savings options for recommendation to Policy and Resources Committee on 27 October 2014 which that committee would then consider for public consultation. Following this, there would be some initial feedback to the Committee in November followed by a detailed report in January 2015 on the results of the consultation which would then be reported to Policy and Resources Committee in January and on to full Council to set the budget on 16 February 2015.

- 7.3 Some concern was expressed at the proposal to reduce staffing in Libraries. It was explained that this saving would be in temporary posts and projects. With regard to mobile libraries, Officers were continually looking to make constructive improvements and it was not suggested that any savings would impact on the mobile library service. The Director of Community Services added that he was clear that there needed to be a wider medium term review of the library service in Norfolk for the Council to clearly articulate its expectations of that service.
- 7.4 Some members expressed concern that they felt there was generally insufficient information on which to make decisions on but commended the approach taken by the Fire and Rescue Service. Further information on the progress made on implementing the Council motion on the Mobile Library Service was sought, and in particular how it had resulted in better working with partners. It was suggested that trust status for the Museums Service should be reconsidered as the Council needed to challenge how it currently delivered services and it was hoped that innovative solutions would be developed or revisited. The Director of Community Services agreed that it would be helpful for the Committee to have as part of its work programme the development of some terms of reference relating to work in that area. Members supported the approach of taking a strategic review to library service delivery. In response to a member question concerning the budget reductions in the Fire and Rescue Service that had already been made, the Chief Fire Officer explained that in his view the Council continued to deliver a safe service and gave details about how the savings had been delivered in a way that minimised risk.
- 7.5 With regard to Local Healthwatch, the Head of Communications and Customer Services explained that discussions had been held with the organisation as to the proposed reduction in its grant and it was comfortable with the proposal. It was intended to have on-going decisions with them about future funding. A number of members stressed that in addition to reducing spending, it was equally important to address further opportunities to generate further income. It was pointed out that whilst the Council had to consult the public on its spending proposals, the committee should be aware that once it had heard the views of the public, its initial proposals may not be those which were finally adopted. Members reinforced the importance of looking to generate additional income
- 7.6 A number of members stated they would have wished to have seen further information on the budget proposals and the Chairman pointed to the additional information circulated by Email on 14 October. The Chief Fire Officer explained how he intended to deliver the additional £95,000 saving, through a priority based budget approach and an ICT refresh and joint fleet management initiatives. He was confident that the service would not need to lose additional staff. It was commented that the priority based budget/zero based budget approach adopted by the Fire Service should be used more widely throughout the Council and the Chairman was asked to follow up and champion this approach. With regard to questions around the detail of some proposed savings, it was noted that staff and organisations potentially affected by them had not yet been notified. With regard to the suggested Arts savings, it was noted that these made up approximately 43% of the arts grants and 34% of the whole arts budget. The Assistant Director

of Community Services (Cultural Services and Head of Libraries and Information and Adult Education) agreed to circulate more information on this outside of the meeting. Councillor Humphrey proposed and it was duly seconded the following amendment:

In 7.1, add at the end “for consultation purposes”

In 7.2 delete “or identify replacement savings to equivalent value and add at the end “recognising that more work is required;”

In 7.4 add at the end “and seek further opportunities for further income”.

The amendment was carried

7.7 The Committee **RESOLVED** to:-

1. Endorse the schedule of additional savings set out in Appendix A for consultation purposes;
2. Accept the individual savings as set out in the schedule, recognising that more work is required;
3. Note any risks set out in section 2.5 relating to savings already consulted and agreed upon;
4. Review arrangements to ensure tight control on revenue budgets, highlight any issues or risks to Policy and Resources Committee and seek further opportunities for further income.

8. Head of Communications and Customer Services

- 8.1 The Chairman informed the committee that this would be the last meeting attended by Joanna Hannam, Head of Communications and Customer Services who would shortly be leaving the authority. A number of members spoke of Mrs Hannam’s contribution to the work of the authority and her commitment to serving the whole of the authority and speaking up for Norfolk. The Chair thanked Mrs Hannam for all her work in terms of the Communities Committee.

The meeting closed at 12:05pm.

CHAIRMAN



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Appendix A

Communities Committee Appointments 2014/15

A. Communities Committee Boards/Working Groups

1. Area Museums Committees:

As below, plus 1 named substitute for each Group represented. These bodies are provided for in the Museums Agreement. They are area based committees so their composition will be determined by the group representation in the areas concerned.

Breckland – 5

3 Conservative - Will Richmond, Mark Kiddle-Morris; Harry Humphrey
2 UKIP - Stan Hebborn, Paul Smyth

Great Yarmouth – 4

2 Labour - Pat Hacon and Mick Castle
2 UKIP - Rex Parkinson-Hare, Jonathan Childs

King's Lynn & West Norfolk – 5

1 Labour - David Collis
2 Conservative - Harry Humphrey and Michael Chenery
2 UKIP - Toby Coke, Stephen Agnew

North Norfolk – 5

2 Lib Dem - James Joyce, Eric Seward
2 Conservative - Michael Chenery, Tom FitzPatrick
1 UKIP - Michael Baker

Norwich – 6

3 Labour - Deborah Gihawi, Mike Sands, Bert Bremner
1 Lib Dem - Brian Watkins
2 Green - Adrian Dearnley, Elizabeth Morgan

It was agreed to look again in the future at the make-up of the Area Committees

2. Community Engagement Steering Group – 7

Provides guidance and acts as a sounding board for officers on issues around community engagement.

2 Conservative - Judy Leggett and Harry Humphrey
1 UKIP - Stephen Agnew

2 Labour - Julie Brociek-Coulton and Mike Sands
1 Green – TBA
1 Lib Dem – Dan Roper

1 of the appointments should be a member of Children's Services Committee and 1 of Adult Social Care Committee

3. Fire Joint Consultative Forum – 7

1 Labour (Emma Corlett)
1 Lib Dem (Dan Roper)
4 Cons (Wyndham Northam, Harry Humphrey, Nigel Dixon and Nigel Shaw)
1 UKIP (Jonathan Childs)

4. Joint Road Casualty Reduction Partnership Board (4 – 1 from Communities Committee)

A partnership that brings together appropriate public, private and voluntary sector commissioner and provider organisations in Norfolk to reduce the number and severity of road traffic casualties on roads in Norfolk, and to increase public confidence that all forms of journeys on roads in the county will be safe.

The Partnership Board requires a member from the following Committees

Environment, Development and Transport
Communities
Health and Well-Being Board
Children's Services

Jonathan Childs to represent EDT.

5, Norfolk Community Safety Partnership Sub Panel (3 County and 7 District Members)

3 County Councillors (1 Conservative, 1 Labour, 1 UKIP)

1 Con (Harry Humphrey)
1 Labour (Mike Sands)
1 UKIP (Colin Aldred)

B. Communities Committee Outside Bodies

1. Whitlingham Outdoor Education Centre Partnership (1)

Roger Smith

The Partnership exists to promote and co-ordinate the recreational activities delivered by forum members in the Whitlingham area, particularly in areas in and adjacent to Whitlingham Country Park.

2. LGA Fire Services Commission (1)

Paul Smyth

3. Visit Norwich Limited (1)

Mike Sands

To make the Norwich area a competitive city area destination in domestic and international markets by developing, integrating and supporting all aspects of the visitor economy and attracting new investment, more visitors and increased spend.

4. The Forum Trust Ltd (1)

Bert Bremner

The Forum Trust is the independent, self-financing, charitable organisation which manages The Forum building.

5. Theatre Royal Trust – The Board (1)

Head of Democratic Services was asked to put forward any nominations received from Groups to Spokespersons for their consideration and if possible make an appointment under delegated powers.

6. St. George's Trust (1)

Michael Carttiss

St George's Theatre Trust is a charity re-created in 2010 to operate St George's Theatre on behalf of Great Yarmouth Borough Council.

7. Norfolk Rural Community Council (1)

Margaret Dewsbury

Norfolk Rural Community Council is an independent charity founded in 1986 to support communities across Norfolk. It lobbies on rural issues at strategic level, providing a voice for the local communities of Norfolk.

8. Norfolk Playing Fields Association (2)

1 Vacancy
Will Richmond

The Association aims to encourage and develop the playing of all games, sports and pastimes, and to extend the benefits of playing fields, playgrounds and open spaces to all members of the community.

9. Norfolk Association of Local Councils Executive Committee (1)

Head of Democratic Services was asked to put forward any nominations received from Groups to Spokespersons for their consideration and if possible make an appointment under delegated powers.

NALC represents and supports the work of Parish and Town Councils in Norfolk

10. Norfolk Can Inspire (1) (Chairman of NCC is a Trustee)

Chairman of the Council

NCI is a registered Charity set up to help create opportunities for work experience with community/voluntary groups to help people (particularly those with no academic qualifications) more employable.

11. Norfolk and Norwich Association for the Blind (1)

Jonathan Childs

Aims are to provide accommodation and care, community visiting services and educational and recreational facilities for the visually impaired and blind in Norfolk.

12. Norfolk and Norwich Novi Sad Association (NCC Chairman is Honorary Vice-President)

Chairman of the Council

The Norfolk and Norwich Novi Sad Association was set up in 1985 to support the twinning of the two cities and to further twinning links and activities.

13. Norfolk Arts Forum (2)

Paul Smyth
Margaret Dewsbury

Norfolk Arts Forum was established in 1984 to raise the profile of the arts. One of the appointees should be the lead member for the Arts (Chairman of the Committee).

14. Kings Lynn Festival – Vice President (1) (Chairman of Council)

Chairman of Council

15. H.M.P. Bure Liaison Group (3 local members)

Local members:

Wroxham Division (Tom Garrod)

Hoveton and Stalham (Nigel Dixon)

Aylsham (David Harrison)

This Group acts as a channel of communication between those individuals, organisations and bodies whose policy and practice in relation to the operation of HMP Bure might affect local communities within close proximity to the prison establishment.

16. Hunstanton Convalescent Trust (1)

John Dobson

The HCT is a charity who helps people who are on a low income, physically or mentally unwell and in need of a convalescent or recuperative holiday, with a preference for those living in Norfolk and Cambridgeshire.

17. Great Yarmouth Sports and Leisure Trust (1)

Pat Hacon

Established for public benefit primarily for the community and visitors to the Borough of Great Yarmouth and the surrounding area. To provide or assist in the provision of facilities for recreation or other leisure time occupation in the interest of social welfare and to promote and preserve good health through community participation in healthy recreational activities.

18. Friends of Gressenhall Committee (1)

Mark Kiddle-Morris

19. East of England Trading Standards Association Member Group (1)

Paul Smyth

- To develop a Member body of the EETSA to provide political engagement in relation to EETSA's activities.
- To provide governance and scrutiny for EETSA's activities through monitoring.
- To provide support to the development of EETSA across the region.

- To keep an overview of EETSA's activities and those of other regional Trading Standards Associations.
- To monitor EETSA and to receive regular reports on progress in the development and implementation of infrastructure.

20. Broads Tourism (1)

John Timewell

21. Active Norfolk Board (1)

Margaret Wilkinson

Role is to provide a coherent and structured approach to the development of sport and physical activity in Norfolk through a strong and integrated partnership. The partnership involves all those involved in sport and physical activity but, principally, the Local Authorities, School Sports Partnerships and the National Governing Bodies of Sport. Funded mainly by Sport England but also receives funding and support from the County Council and all the Local Authorities.

22. West Norwich Partnership (1 plus 1 substitute)

This body is no longer active, therefore no appointment is required

23. West Norfolk Partnership (1 plus 1 substitute)

Jason Law
(Sub vacant)

The Partnership is a group of organisations that represent the public and voluntary sector. Current priorities include Health and Social Care, Improving Attainment and Rural Communities.

24. South Norfolk Alliance (1)

Margaret Dewsbury

The South Norfolk Alliance is the Local Strategic Partnership (LSP) for South Norfolk.

25. Norfolk Museums Development Foundation (2)

This Foundation has been established for the purposes of fundraising for the Museums Service

Elected members representation to be:

- Chair of the Joint Museums Committee (Cllr Ward)
- Elected Member with lead responsibility for Cultural Services at NCC (Paul Smyth)

Communities Committee

Item No 6

Report title:	Update on key service issues and activities
Date of meeting:	19 November 2014
Responsible Chief Officer:	Tom McCabe
Strategic impact Providing regular information about key service issues and activities supports the Council's transparency agenda, by publishing information about the Council's activities, and enables Members to keep updated on services within their remit.	

Executive summary

Officers provide Committee Members with fortnightly updates on key issues and activities. These update will also be reported to this Committee to enable Members to discuss the latest position and identify any areas where the Committee would like to receive further information or update. The latest updates (dated 14 and 31 October) are included at Appendices A and B.

In the interests of transparency, this report will also include details of any decisions taken under delegated authority by the Director in consultation with the Chairman and Vice Chairman.

Recommendations:

- 1. To review the latest service updates at Appendices A and B and identify any areas where the Committee would like to receive further information or update.**

1.0 Proposal

Service updates

- 1.1 Since 14 October 2014, Officers have been providing Members with a fortnightly news update; two updates have been provided on 14 and 31 October. The aim is to give Committee Members a swift update of key issues and activities relating to the services which fall under the remit of this Committee.
- 1.2 At the request of the Chairman, these updates will also be reported to this Committee as a standard agenda item for each Committee meeting. This will enable Members to discuss the latest position and identify any areas where the Committee would like to receive further information or update.

Delegated decisions

- 1.3 In the interests of openness and transparency, this report will also include details of any decisions taken under delegated authority by the Director in consultation with the Chairman and Vice Chairman. This will include any delegations agreed by this Committee, i.e. as part of a recommendation in a report considered by the Committee, and any other similar delegations agreed. For completeness, decisions relating to petitions received will also be included, where the number of signatures do not meet the threshold to trigger a discussion at Committee or Full Council. Decisions on how to

respond to petitions are taken by the Director in consultation with the Local Member, Committee Chair and Vice Chair.

- 1.4 Since the date of the last Committee meeting 21 October 2014, and the date of this report was written (7 November) there have been no delegated decisions (as described in para 1.3).

2.0 Evidence

- 2.1 See updates attached at Appendices A and B.

3.0 Financial Implications

- 3.1 There are no financial implications arising from this report.

4.0 Issues, risks and innovation

- 4.1 There are no other implications arising from this report.

Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, e.g. equality impact assessment, please get in touch with:

Officer Name: Sarah Rhoden **Tel No:** 01603 222867

Email address: sarah.rhoden@norfolk.gov.uk



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Communities Committee fortnightly news update

This news update gives committee members a swift update known plans/activities within their remit and highlights any new issues they may wish or need to take account of.

If a service has nothing significant to report, the relevant column will state '**NSTR**' (Nothing significant to report)

Committee Spokespeople continue to have the opportunity of receiving more detailed briefings, including those that may be of a more confidential or complex nature at the scheduled spokes meetings through which they are able to keep their own members further updated as necessary.

News Update for the period ending: 14/10/2014		
Service	Service Update key bullet points	Contact
Consultation and Community Relations	<ul style="list-style-type: none"> The service is heavily involved in the communication and consultation planning associated with the 2015/16 Budget Assuming council agreement, Head of Service post will be deleted w/e/f 20 October. From 23 October, from 23 October the service will transfer to the new Communities and Environmental Services Directorate under the leadership of Tom McCabe pending permanent recruitment to that post. Make Your Mark 2014 - Norfolk Members of Youth Parliament (MYPs) had great success increasing the number of young people taking part in the Make Your Mark ballot, which closed on 10 October. 19,338 Norfolk young people from 27 schools voted in the ballot to tell us what's most important to them. In terms of votes collected, Norfolk is the 5th highest local authority in the UK, which marks a significant increase on the 2013 ballot (6,200). 	Paul Jackson
Customer Services	<ul style="list-style-type: none"> Development of new Customer Services Strategy, and working with HP on council-wide business case for digital delivery (channel shift) is proceeding well. Partnership consultation on strategy about to start. We expect both to be ready to come before the committee in January (not November as currently scheduled) and then onto Council. Currently under discussion is the need for such a critical corporate strategy to go on all committee agendas for that month. Assuming council agreement, Head of Service post will be deleted w/e/f 20 October. From 23 	Ceri Sumner

	<p>October – the service will transfer to the new Communities and Environmental Services Directorate under the leadership of Tom McCabe pending permanent recruitment to that post.</p>	
Cultural Services	<ul style="list-style-type: none"> <p>Digifest Throughout October Norfolk libraries are running a series of Digifest events to help older people get to grips with technology. The variety of events follow the success of the award-winning Surf's Up courses for older people in Norfolk's libraries and some of the events are being run in tandem with the County Council's Adult Education Service. Over 40 Norfolk libraries will be hosting at least one event, with the variety of activities and help sessions ranging from sharing the first steps in getting to grips with digital photography to how to shop online. Libraries will also be holding classes for how to make using mobile phones easy, making the most out of your tablet, further Surf's Up sessions and Intergenerational IT drop-in at Poringland library which sees young people assisting the older generation with their computing skills. Places on each of the courses are limited so people wishing to attend should book in advance. Click here to view further information.</p> <p>Recruitment to the Adult Education Service's 2014-15 academic year programme is strong, with a significant increase in the take up of Apprenticeships.</p> <p>Norfolk Museum Service has established the new Norfolk Museums Development Foundation to support its fundraising capabilities. This month the board of trustees was appointed and the foundation was registered formally by the Charity Commission.</p> <p>Arts Council England announced NMS will continue to lead museum development across the East of England with a grant of nearly £1.2 million for 2015-18.</p> <p>Promoting the positive message of building regular physical activity into one's lifestyle is vital if we are to be successful in supporting Norfolk residents to live longer and enjoy healthier lives. The '150 minutes' video, developed by Active Norfolk in collaboration with NCC Public Health is a fun way to spread the word and let people know where to go if they would like some help on their own journey to leading an active and healthy life.</p> 	<p>J Holland</p> <p>J Holland</p> <p>S Miller</p> <p>S Miller</p> <p>B Jones</p>

	Click here to view further information	
Emergency & Resilience	<ul style="list-style-type: none"> Continued work to action and embed the lessons identified from the December 13' tidal surge Review of business training via NORMIT Carrying out Assurance of the Clinical Commission Group's and their provider's Emergency Planning Response and Recovery arrangements. Assisting with Exercise Boadicea – a major exercise at two large hospitals 	
Norfolk Fire and Rescue Service	<ul style="list-style-type: none"> Budget and IRMP 2014-17 - on track - NSTR. Priority Based (zero) budgeting review (PBB) to determine 2015-16 budget in detail has commenced. Process completes December 2014. NFRS Estates - Kings Lynn South Fire Station - one month delay due to third party supply chain delays. Remains on budget and to specification. Redevelopment of the existing North Lynn station will commence on completion of the new build. Fire Fighter Pensions - matters still under discussion between FBU and DCLG. Legislation will not be laid before parliament before 20 Oct at earliest. Significant incidents. Double fatality at a house fire in GT Yarmouth, now subject to police investigation. 	
Public Health	<ul style="list-style-type: none"> The 150 minutes DVD was launched at the Forum https://www.youtube.com/watch?v=NcOC8yCAIfQ Promotion of the autumn flu campaign to encourage uptake by at risk groups. Negotiations with the Local Pharmaceutical and Local Medical Committees on changes to GP and Pharmacy contracts with Public Health Support to the Central Norfolk System Pressures Group in addressing current pressure on Accident and Emergency Services Mention in the Telegraph for the Norfolk County Council "Get into summer" campaign run in conjunction with the communications team. Norfolk County Council first in the country to procure an integrated sexual health and HIV service with NHS England and to tender for an 	

	integrated 0-19 public health service with NHS England.	
Registration Services	<ul style="list-style-type: none"> • Developing online booking/payment mechanisms for key income generating activities. Formally requesting resources from ICT/Web/Finance to enable hook up, assure security & end2end testing • “Marry in Norfolk” rebranding next month – could be of media interest, especially as brochure partnership with Archant in place 	
Trading Standards	<ul style="list-style-type: none"> • National Consumer Week takes place 3 to 7 November with this year’s theme being “Good neighbours stop rogue traders”. The Service will be promoting No cold calling zones and our Trusted Trader scheme • Court hearings scheduled relating to new psychoactive substances (nps), illicit tobacco, food labelling, home improvements and livestock welfare • Service reorganisation (to realise budgetary savings) is progressing with the management team appointed. Staff selection interviews are to take place in October/November 	

Communities Committee fortnightly news update

This news update gives committee members a swift update known plans/activities within their remit and highlights any new issues they may wish or need to take account of.

If a service has nothing significant to report, the relevant column will state '**NSTR**' (Nothing significant to report)

Committee Spokespeople continue to have the opportunity of receiving more detailed briefings, including those that may be of a more confidential or complex nature at the scheduled spokes meetings through which they are able to keep their own members further updated as necessary.

News Update for the period ending: 31/10/2014		
Service	Service Update key bullet points	Contact
Consultation & Community Relations	<ul style="list-style-type: none"> The service launched the online Norfolk budget and services 2015-18 consultation at lunchtime, 29 October (coverage by EDP and radio Norfolk). The team is working with departments on further engagement with service users and stakeholders. Facilitated Adults and Children's Services engagement with Norfolk Specialist Partners (voluntary sector) on the budget and consider future joint working on tackling the financial challenges ahead. The team supports the young person's editorial board of the EDP's Future Voices supplement. The fifth edition published 29 Oct, profiles mental health (a top issue for Norfolk young people highlighted in the recent Make Your Mark ballot) and the upcoming NCC young person's 'Take Over Day' on 21 November. 	P Jackson
Customer Services	<ul style="list-style-type: none"> Development of new Customer Services Strategy and working with HP on council-wide business case for digital delivery (channel shift) is continuing. Partnership consultation is due to complete on 6th November and the Customer Service team have attended a number of meetings with external organisations to gain feedback strategy. The annual customer service complaints report will be brought to the November Communities Committee. Recruitment is currently underway for 1 permanent and 1 temporary complaints manager in response to a retirement and increased volume respectively. 	C Sumner

	<ul style="list-style-type: none"> From 3 November, Customer Services are working with Norfolk Police 101 phone service by part funding 1 FTE and providing project support for improvements to customer phone access. 	
Cultural Services	<ul style="list-style-type: none"> Norfolk Libraries will be working alongside colleagues in Public Health in a £50k project to deliver public health improvements in Norfolk. Slipper Exchanges have been held in a number of libraries in October. More than 150 people attended the Cromer Library event and Health Colleagues ran out of slippers. 	J Holland
	<ul style="list-style-type: none"> In October Norfolk Libraries held a Digifest with over 80 IT learning events for older people including Explore your Tablet, First Steps in Digital Photography and Mobile Made Easy. With the aid of the Big Lottery Fund the service has recently purchased 12 i-pads to assist with IT learning. We continue to work with volunteers from John Lewis to promote IT learning and have just started being a venue for Barclays Digital Eagles. 	J Holland
	<ul style="list-style-type: none"> Children in Need, Friday 14th November. - Look out for the Norfolk and Norwich Millennium Library on the BBC Children in Need programme. The Millennium Library is being used as a venue for the Norfolk children's choir, which will be joining other choirs across the UK to perform live. There will be some disruption in the library during the day for technical preparation and rehearsals and the library will be closed early at 7:50 pm to enable the choir to be in place and ready to broadcast at 8:05. The library will open as usual from 9.00 am on Saturday 15th. In 2013 over 10 million people watched the Children in Need show. 	J Holland
	<ul style="list-style-type: none"> The Accreditation Scheme sets nationally agreed standards for museums in the UK. It encourages museums to focus on forward planning, effective collections management and to be responsive to user needs. It supports museums and governing bodies to assess performance and identify key areas of development. All ten museums in the care of Norfolk Museums Service are currently Accredited however that status is only awarded for a three year period. On October 14th NMS submitted applications to maintain the Accreditation status for all of its sites except Lynn, Cromer and Ancient House museums - all Accredited in 2012. The assessment will take 	S Miller

	<p>Sports Foundation</p> <ul style="list-style-type: none"> • Launch of cards promoting the Sexual Assault referral Centre for inclusion in pharmacy bags • Preparing a policy on Serious Incidents in Council Commissioned Clinical Services • Offender Health Needs Assessment now on JSNA site • Preparations underway for Norfolk says No to Domestic Violence in week beginning 24th November 	
Registration Services	<ul style="list-style-type: none"> • Developing new 'pick your own' marriage ceremonies to increase the variety of our offer • Staff training and new ceremonies being devised for Civil Partnership to Marriage conversions which come online in December • Work underway on online ordering and payment mechanisms for copy certificates 	
Trading Standards	<ul style="list-style-type: none"> • National Consumer Week 3 to 7 November with the theme "Good neighbours stop rogue traders". The Service will be promoting our Trusted Trader scheme, targeting the home improvement sector and running Rogue Trader workshops for care professionals and community volunteers • Court hearings scheduled relating to new psychoactive substances (nps), illicit tobacco, and home improvements • Calibration laboratory due to be commissioned following relocation from County Hall to Hethel Engineering Centre (HEC) <p>Service reorganisation (to realise budgetary savings) to be completed by end of November</p>	D Collinson

Communities Committee

Item No 7

Report title:	2013/14 Report on the Council's Mandatory Public Health Functions
Date of meeting:	19 November 2014
Responsible Chief Officer:	Lucy Macleod, Interim Director of Public Health
Strategic impact	

Executive summary

The Council acquired five mandatory responsibilities with the Public Health transfer in 2013. This Report provides an overview for Members on performance of those mandatory duties for the year ending March 31 2014.

Recommendations:

Members are asked to note the Report

1. Background

1.1 With the transfer of the public health function on 1 April 2013, the Council acquired five mandatory functions and a range of associated non-mandatory functions.

1.2 For 2013/14 these were:

- Ensuring appropriate access to sexual health services
- Protecting the health of the population
- Ensuring NHS commissioners receive the public health advice they need
- Meeting the requirements of the National Child Measurement Programme
- Ensuring that the NHS Health Check assessment is available to all 40 – 74 years olds over a five year period.

2. Performance in 2013/14

Sexual Health

- 2.1 The Council currently commissions sexual health services from a range of providers. At a lower level this might be advice services from pharmacies, GPs and third sector organisations, through health promotion activity and then up to the higher level of various contraceptive services to diagnosis and treatment of sexually transmitted infections.
- 2.2 On transfer from the NHS in April 2013, a comprehensive needs assessment for Sexual Health was undertaken which suggested that the accessibility of sexual health services could be improved. The cost of the contracts was also higher than the budget which transferred from the NHS.
- 2.3 Services have now been re-procured with a contract awarded to Cambridge Community Services in September. The new service comes into operation in March 2015.
- 2.4 It is anticipated that the re-procurement will save around £900,000 per year and improve access to patients. Norfolk County Council was the first local authority in the country to agree a Section 75 with NHS England to integrate HIV treatment and

management with the main sexual health service. This will initially bring in £900,000 income to the service, albeit this may subsequently be adjusted to take account of patient flows.

2.5. Protecting the health of the population

The public health team provides support to the Clinical Commissioning Groups in terms of infection control advice and works with them and with the community nursing providers and the hospitals to reduce the incidence of Healthcare Associated Infections. The DPH meets regularly with hospital and Community Provider Directors of Infection Prevention and Control in this regard. Public Health Consultants also provide out of hours support to the Public Health England on-call rota, providing advice and action in the case of communicable disease outbreaks.

2.6 Norfolk is required to have a Local Health Resilience Partnership jointly chaired by the DPH and NHS England. This group takes responsibility for Emergency Preparedness Response and Resilience (EPRR) in health matters and reports to the Local Resilience Forum. During 2013/14, the LHRP worked with the health systems in Norfolk to obtain the assurance that they were meeting their requirements in terms of EPRR. Supporting this activity there is an emergency planning post hosted by ETD, but funded by Public Health and the CCGs.

2.7 Public Health staff are working with Integrated Health and Social Care Commissioning teams to reduce infection risks and improve the education of carers in Care Homes. It is also the role of the DPH to provide challenge to the screening and immunisation services commissioned by the NHS England Area Team and we have put mechanisms in place to do this.

2.8 Supporting NHS Commissioners

Good population health outcomes, including reducing inequalities, rely on the quality and accessibility of healthcare services provided by the NHS as well as work to protect and improve health. Healthcare public health advice is critical in giving NHS commissioning this population focus.

2.9 NCC provides independent healthcare public health advice that is based on sound, verifiable evidence to support all five CCGs in Norfolk. The shape of this service is evolving to reflect the individual needs of CCGs. The key areas of public health advice being:

- Assessing needs of the local population
- Developing and applying the evidence base for health conditions Service Provision
 - reviewing current services and developing new ones
- Developing systematic processes to help decide priorities
- Procuring services – designing, shape, structure of supply, managing demand
- Monitoring and evaluation of services
- Developing clinical policies to regulate healthcare quality and provision
- Conducting clinical audit to ensure quality and appropriateness of services

2.10 Some examples of some recent work include:

Clinical Audit

For example looking at why patients are admitted as emergency cases, but not kept in for treatment. This work informs wider systems planning and impacts on the integration of health and social care in terms of the potential to save money to fund out of hospital services.

Policy development

Evidence based advice to CCGs around the effectiveness of interventions and thresholds for treatment in hospital services.

Individual Funding Requests

Public Health also provides support for the Individual Funding Requests to the Drugs and the Non-routine Treatments Panels.

2.11 National Child Measurement Programme

NCC has a responsibility to ensure that children in state schools are weighed and measured in Reception and Year 6 in order to monitor and address childhood obesity issues. The mandatory targets are set around the number of schools and the percentage of children in the appropriate years who participate. The verified figures for 2013/14 have not yet been published, but the internal contract management data suggests that targets have been met across the county.

2.12 Health Checks

Cardio vascular disease (CVD) is the biggest cause of preventable deaths and health inequalities in the UK. The NHS Health Check is a national risk assessment and prevention programme that identifies people at risk of developing heart disease, stroke, diabetes, kidney disease and vascular dementia and helps them take action to avoid, reduce or manage their risk of developing these health problems. The health check is for people aged 40 – 74 without existing CVD, takes 20 – 30 minutes and people are assessed every five years.

In order to provide accessibility and patient choice in a large rural county, the service is delivered by a range of providers. Currently 95 GP's and 55 Pharmacies provide the service. Almost 80% of NHS Health Checks are delivered in GP practice and 20% delivered in the community by Pharmacy (both "on site" and "off site" at community events and in workplaces). The service is also delivered by the occupational health services of two large employers and in three Norfolk prisons. Providers are paid by the check and therefore it is difficult to estimate accurately at the beginning of the year how much funding is required for the programme. The budget is adjusted as the year progresses.

In 2013/14 a total of 24,625 people in Norfolk had an NHS Health Check (see table 1). This was 65% of the delivery target. 49,860 eligible people (85% of the target) were offered an NHS Health Check.

Location	Number	%
GP's	19,658	80%
Pharmacy	3,919	16%
Workplace & prison	1048	4%
Total	24,625	100%

Table 1: Location and Number of NHS Health Checks delivered across Norfolk 2013 - 2014

In Norfolk since 2009 a total of 114,540 people have received an NHS Health Check.

In 2013/14, checks offered and taken up were around the national average, but below the average performance in the East of England.

Unfortunately the current published cumulative data does not take into account the NHS Health Checks offered and delivered between 2009 – 13 and as Norfolk was an early implementer this is significant. Also as targets are based on an estimate of the eligible population, the Public Health team is working with the Local Medical Committee to get a more accurate figure for the eligible population. Work is also underway with practices to improve uptake.

3. **Conclusion**

In the areas that can be measured, Norfolk County Council performed at or above the national average for the mandatory public health functions. Feedback for the other areas suggests that performance is satisfactory.

4 **Recommendation**

The report is for noting

5. **Other Implications**

5.1 **Legal Implications:** No issues.

5.2 **Human Rights:** No issues.

5.3 **Equality Impact Assessment (EqIA)**

Addressing inequalities within the population is a core public health principle. Each contract must ensure the gap between those in worst health receive the most benefit from the services. Equality Impact assessment will be an important part of the process.

5.4 **Communications:** No issues

5.5 **Health and Safety Implications:** No issues.

5.6 **Environmental Implications:** No issues.

5.7 **Section 17 – Crime and Disorder Act:**

There are no direct implications under Section 17 as a result of this Report

5.8 **Risk Implications/Assessment:** No issues

6. **Action Required**

The Report is for noting

Officer Contact

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

Officer Name : Lucy Macleod
lucy.macleod@norfolk.gov.uk

Tel No : 01603 638407

email address :

Communities Committee

Item No 8

Report title:	Establishment of four new Member Working Groups
Date of meeting:	19 November 2014
Responsible Chief Officer:	Tom McCabe, Interim Director Environment, Transport and Development
Strategic impact Working Groups enable a small group of Members to develop a more in-depth knowledge in a particular subject area and to focus on that subject area in a way that Committees would not have the time to be able to do so. As such, they have a useful purpose in assisting committees in the decision making process.	

Executive summary

At previous meetings, the Committee has discussed the need to progress several important pieces of work. It is suggested that specific Member Working Groups are established with focussed terms of reference who can then make recommendations to the Committee for consideration.

The proposed Working Groups focus on Libraries, Fire and Rescue, Public Health and Adult Education (as set out in para 1.3), consisting of four to six Members with the aspiration that at least three political parties are covered by the membership.

The timescales for the Public Health review can be discussed between the Committee Chair and the Director of Public Health. For the other reviews, it is proposed that a suggested terms of reference is brought to the Committee in January 2015 and formal work starts in February 2015.

Recommendations:

- 1. To approve the establishment of a Libraries working group and agree the membership.**
- 2. To approve the establishment of a Fire and Rescue working group and agree the membership.**
- 3. To approve the establishment of a Public Health working group and agree the membership.**
- 4. To approve the establishment of a Adult Education working group and agree the membership.**

1.0 Proposal

- 1.1** At previous meetings, the Committee has discussed the need to progress several important pieces of work. One way to do this is to establish specific Member Working Groups with a focused terms of reference who can then make recommendations to the committee for consideration. It is important to note that working groups have no decision making powers themselves.

- 1.2 It is suggested that each working group should consist of four to six Members with the aspiration that at least three political parties are covered by the membership.
- 1.3 The proposed working groups are:
- Libraries – to undertake a strategic review of the service and to consider the role of libraries in the local community.
 - Fire and Rescue – to undertake a strategic review of the service and to consider the future shape of service provision.
 - Public Health – to review the role and interaction of Public Health within the wider NCC family with a view to optimising the integration and the mutual delivery of public health outcomes.
 - Adult Education – to monitor the delivery of the service and how it is delivering against the national performance framework.
- 1.4 It is suggested that the Libraries, Fire and Rescue and Adult Education groups aim to hold an initial scoping meeting that reports back to Committee in January 2015 with a suggested terms of reference and that the formal work starts in February 2015 after the 2015/16 budget has been agreed. An indicative timescale would see initial options reported back to Committee three months later in May and with a final report in the summer – which would allow this to feed into the 2016/17 budget process.
- 1.5 The timetable for the Public Health review can be discussed between the Committee Chair and Director of Public Health.

2.0 Financial Implications

- 2.1 There are no implications arising from this report. Any implications, financial or otherwise, relating to the remit of the Working Groups will be considered by the relevant Working Group and recommendations made to this Committee as needed.

3.0 Issues, risks and innovation

- 3.1 As para 2.1 above.

Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, e.g. equality impact assessment, please get in touch with:

Officer Name: Tom McCabe **Tel No:** 01603 222501

Email address: tom.mccabe@norfolk.gov.uk



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Communities Committee

Item No 9

Report title:	Regulation of Investigatory Powers Act 2000
Date of meeting:	19 November 2014
Responsible Chief Officer:	Victoria McNeill, Practice Director nplaw and Tom McCabe, Interim Director, Environment Transport and Development
Strategic impact At a Cabinet meeting on 13 September 2010 Cabinet agreed to receive an annual report of the Council's use of RIPA and to approve the Council's Policy and Guidance annually. This is the report for 2013/14.	

Executive summary

This report details the use of RIPA by the Council for 2013/14, the outcome of the inspection of the Council by the Office of Surveillance Commissioners and summarises changes to the Council's Policy and Guidance.

Recommendations:

- 1. Committee notes the use of RIPA by the Council for 2013/14;**
- 2. Committee notes the outcome of the Inspection of the Council by the Office of Surveillance Commissioners; and**
- 3. Committee approves the revised Policy and Guidance document for RIPA.**

Proposals

1. Committee notes the use of RIPA by the Council for 2013/14

1.1 A report setting out the RIPA authorisations obtained by the Council from 1 April 2013 to 31 March 2014 is attached at appendix 1.

1.2 The report gives the date, general purpose or reason for which authority was granted together with the grade of senior manager that granted the authority. It is not possible to give further details as this may breach confidentiality legislation, offend the sub-judice rules, interfere with the proper investigation of potential offenders, or disclose other operational information which could hinder past, current or future activities, investigatory techniques or investigations.

In summary, the total number of authorisations granted in 2013/14 were as follows:-

- Surveillance: Five
- Covert human intelligence source: One (see definition in Appendix A to the attached policy and guidance)
- Acquisition of communications data (Telecoms): None

1.3 It can be seen from the information in Appendix 1 that, across the whole of the Council, the only activities covered by RIPA were authorised in relation to trading standards investigations.

2. Committee notes the outcome of the Inspection of the Council by the Office of Surveillance Commissioners

- 2.1 The Council was inspected by the Office of Surveillance Commissioners (OSC) during the year, in relation to Directed Surveillance and CHIS.
- 2.2 The outcome of the inspection was positive. The Inspector recommended some revisions to the policy and guidance document, for the training needs of the Fire and Rescue Service to be reviewed and for the Council to consider conducting juvenile test purchasing operations under Directed Surveillance authorisations.
- 2.3 All of the recommendations have been accepted by the Council. The revisions to the policy and guidance document have been incorporated into the latest version (a copy of which is attached at appendix 2) and are referred to below. Juvenile test purchasing operations are being conducted under Directed Surveillance authorisations. Training needs have been reviewed with the Fire and Rescue Service and a training session is to be arranged with nplaw.

3. Committee approves the revised Policy and Guidance document for RIPA

- 3.1 The Council's revised Policy and Guidance is attached at appendix 2.
- 3.2 The Policy and Guidance has been altered to take into account the revisions recommended by the OSC Inspector. References to urgent oral authorisations have been removed; definitions of Directed Surveillance and Intrusive Surveillance have been included in the main body of the document, the sections on cancellation altered and the definition of a covert human intelligence source (CHIS) improved. A few other minor alterations suggested by the Inspector have also been made. Appendix D has also been altered to reflect the need for Directed Surveillance authorisations for juvenile test purchasing operations.

4. Evidence

- 4.1 The RIPA Orders and revised Codes of Practice set out expectations for local authorities in relation to the oversight of RIPA authorisations for Directed Surveillance and CHIS. The recommendations set out in this report meet the requirements of the Orders and revised Codes of Practice. . There are, therefore, no other reasonably viable options to the recommendations above.

5. Financial Implications

- 5.1 There are no financial implications.

6. Issues, risks and innovation

6.1 Legal Implications: The RIPA and associated regulations and orders set out the expectations for local authorities in relation to covert surveillance.

6.2 Human Rights: RIPA was enacted to ensure that, in conducting surveillance, public authorities have regard to the Human Rights Act 1998 and to Article 8 of the European Convention on Human Rights (the ECHR) – the right to a private and family life.

6.3 Equality: RIPA requires the authority's decision makers to take into account a person's human rights including any potential discrimination. Monitoring of the use of RIPA in relation to individuals could be considered for the future but is not considered necessary at this stage.

6.4 Risks: The RIPA Orders and revised Codes of Practice set out expectations for local authorities in relation to the oversight of RIPA authorisations and this report sets

out how the authority can comply with these expectations. As such the risk associated with the actions set out in this report are low.

7. Background

7.1 A report by the Practice Director nplaw and the Director of Environment Transport and Development was prepared for the Cabinet meeting on 13 September 2010. This report set out the background to the Regulation of Investigatory Powers Act 2000 (RIPA) and the Council's use of RIPA. At that meeting Cabinet agreed to receive an annual report of the Council's use of RIPA and to approve the Council's Policy and Guidance annually. Further reports were prepared for the Cabinet meetings on 5 May 2011, 11 June 2012 and 7 October 2013.

Background papers:

Report to cabinet 13.09.10:

<http://www.norfolk.gov.uk/download/cabinet130910item10pdf>

Report to cabinet 09.05.11:

<http://www.norfolk.gov.uk/download/cabinet090511item14pdf>

Report to cabinet 11.06.12:

<http://www.norfolk.gov.uk/download/cabinet110612item16pdf>

Report to cabinet 07.10.13: no link available

Officer Contact

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

Officer Name: Victoria McNeill **Tel No:** 01603 223415 **Email**
address: victoria.mcneill@norfolk.gov.uk



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RIPA AUTHORISATIONS 2013-2014

NO.	DATE	NATURE OF AUTHORISATION	REASON FOR AUTHORISATION	GRADE OF AUTHORISING OFFICER	DEPT.
1.	28.05.13	Directed Surveillance	Misleading marketing/Fraud Act offences	N	ETD
2.	03.06.13	Covert human intelligence source	Counterfeit goods	O	ETD
3.	3.06.13	Directed Surveillance	Counterfeit goods	O	ETD
4.	14.08.13	Directed Surveillance	Counterfeit goods	M	ETD
5.	11.12.13	Directed Surveillance	Underage sale of alcohol	O	ETD
6.	23.01.14	Directed Surveillance	Underage sale of alcohol	O	ETD



Regulation of Investigatory Powers

Act 2000

Policy and Guidance Notes

nplaw

Norfolk Public Law

Last Updated September 2014

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1. INTRODUCTION

- 1.1 The Regulation of Investigatory Powers Act 2000 (“RIPA”) is designed to ensure that public bodies respect the privacy of members of the public when carrying out investigations and that privacy is only interfered with where the law permits and there is a clear public interest justification.
- 1.2 The essence of these provisions is to give effect to the provisions in the Human Rights Act which are designed to protect the privacy of members of the public but subject to the right of public authorities to infringe that human right where necessary in a democratic society for the prevention of crime. If applied correctly, the Act also protects the County Council and its officers.
- 1.3 This Policy and Guidance is intended as a practical reference guide for Council Officers/investigators who may be involved in covert operations. Officers involved in covert operations must familiarise themselves with the Home Office Codes of Practice on Covert Surveillance and Property Interference, Covert Human Intelligence Sources and Acquisition and Disclosure of Communications Data, together with the Home Office guidance on the judicial approval process and crime threshold for directed surveillance, in order to ensure that they fully understand their responsibilities. The Home Office Codes and guidance are available from www.homeoffice.gov.uk/.
- 1.4 The right to respect for one's private and family life is enshrined in Article 8 of the Human Rights Act 1998 (HRA) which renders it unlawful for a public authority to act in a way which is incompatible with any of the Convention rights. As with many of the rights in the HRA, the right to privacy is not an absolute right and is subject to certain exemptions. RIPA and regulations provide an exemption from the right to privacy in certain circumstances, and allow public bodies to interfere with the individual's right to privacy in circumstances which amount to covert surveillance.
- 1.5 The Council is committed to implementing the provisions of RIPA to ensure that any covert surveillance carried out during the course of investigations is undertaken properly and that the surveillance is necessary and proportionate to the alleged offence/s. The Council seeks to ensure that this Policy Statement remains consistent with the Council's objectives.
- 1.6 This Policy and Guidance ensures that:
 - proper procedures are in place in order to carry out covert surveillance;
 - an individual's right to privacy is not breached without justification;
 - the potential invasion of privacy caused by using techniques regulated by RIPA, are properly justified in a clear, concise paper/electronic trail;
 - proper authorisation and judicial approval is obtained for covert surveillance;
 - covert surveillance is considered as a last resort, having exhausted all other avenues;
 - the seriousness of the offence is considered, in addition to the requirement to weigh up the benefits to the investigation, when considering whether to authorise covert techniques under RIPA;
 - an officer is designated as the Single Responsible Officer (SRO) for ensuring that all authorising officers meet the standards required by the Office of Surveillance Commissioners (OSC); and

- the Environment Transport and Development Committee has a strategic oversight role in/of the Council's RIPA process.

2. WHAT DOES RIPA DO?

- 2.1 RIPA places controls on the use of certain methods of investigation. In particular, it regulates the use of surveillance, “covert human intelligence sources” and the acquisition and disclosure of Communications Data. This guidance covers these aspects of the Act.
- 2.2 RIPA’s main implications for the Council are in respect of covert surveillance by Council officers and the use of “covert human intelligence sources”. It also covers the Council’s limited dealings with the acquisition and disclosure of Communications Data.
- 2.3 Surveillance is covered in sections 4 to 5 of this guidance. The use of “covert human intelligence services” is covered in Section 6. Communications Data is dealt with in Section 7.

3. JUDICIAL APPROVAL AND THE SERIOUS CRIME THRESHOLD

- 3.1 From 1 November 2012 local authorities have been required to obtain judicial approval prior to using covert techniques. Local authority authorisations and notices under RIPA will only be given effect once an order has been granted by a Justice of the Peace (JP).
- 3.2 Additionally, local authority use of **directed surveillance** under RIPA is now limited to the investigation of crimes which attract a six month or more custodial sentence, with the exception of offences relating to the underage sale of alcohol and tobacco. This threshold does **not** apply to the use of CHIS or to the acquisition and disclosure of communications data.
- 3.3 The Home Office has published guidance for local authorities and magistrates, which is available at <http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/>
- 3.4 Local authority officers will need to be formally designated to appear before the court for the purpose of seeking judicial approval.

4. PRINCIPAL RESPONSIBILITIES

The Senior Responsible Officer

- 4.1 The Codes of Practice on Covert Surveillance, CHIS and Communications Data set out the responsibilities of the Senior Responsible Officer, which are broadly the same. The following is a composite list.
- 4.2 The senior responsible officer (SRO) is responsible for:
- (a) the integrity of the process in place within the local authority to authorise directed surveillance, for the management of CHIS and the acquisition of communications data;
 - (b) compliance with Part 1 and II of the Act and with the Codes;
 - (c) oversight of the reporting of errors to the relevant oversight Commissioner and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors;
 - (d) engagement with the relevant Commissioners/inspectors when they conduct their inspections and;
 - (e) where necessary, oversight of the implementation of post-inspection action plans recommended or approved by the relevant oversight Commissioner;
- 4.3 Also, in relation to covert surveillance and CHIS, the SRO is responsible for:
- (f) ensuring that all authorising officers are of an appropriate standard in light of any recommendations in the inspection reports prepared by the OSC; and
 - (g) where an inspection report highlights concerns about the standards of authorising officers, this individual will be responsible for ensuring the concerns are addressed.
- 4.4 The Home Office consider it good practice, in relation to directed surveillance, for the SRO to be a member of the Corporate Leadership Team (COG). The Director of Environment, Transport and Development has therefore been nominated as the SRO for the Council for directed surveillance and CHIS. He has also been nominated the SRO for communications data. He has delegated day to day responsibility for oversight of the RIPA process to the Team Leader, Local Authority Services Team.

Environment Transport and Development Committee responsibilities

- 4.5 Following on from the role undertaken previously by Cabinet, the Communities Committee now reviews this Policy and Guidance, on an annual basis, to ensure fitness for purpose. This higher level review provides an additional safeguard against inappropriate or disproportionate use of the RIPA powers.
- 4.6 The Communities Committee receives reports on the use of RIPA, to ensure that RIPA is being used consistently and in accordance with this Policy Statement.

Reports are presented in such a way, that individuals and/or organisations who have been/are the subject of an authorisation, are not identifiable.

- 4.7 The Committee is not involved in making decisions on specific authorisations.

External oversight of the Council's RIPA processes: The Office of Surveillance Commissioner and the Interception of Communications Commissioner's Office.

- 4.8 There are two separate national bodies which carry out audits to ascertain standards within those enforcement bodies which carry out covert surveillance and access communications data. These are respectively the Office of the Surveillance Commissioner (OSC) and the Interception of Communications Commissioner's Office (IOCCO).

- 4.9 The last inspection by the IOCCO was 6 March 2012.

- 4.10 The last inspection by the OSC was carried out on 15 October 2013.

5. COVERT SURVEILLANCE

Introduction

- 5.1 The Act is designed to regulate the use of "covert" surveillance, which is surveillance carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place. If activities are not hidden from the subjects of the investigation, it is not covert.
- 5.2 Two types are regulated by RIPA - "directed" and "intrusive" surveillance. These terms are defined in Appendix A and also below:
- **Directed Surveillance** is defined in the Act as surveillance which is covert, but not intrusive and undertaken for the purposes of a specific investigation or operation. It involves the observation of a person or persons with the likelihood of gathering private information to produce a detailed picture of a person's life, activities and associations. Private information about a person can include information relating to their business and professional activities as well as their private or family life. Any covert surveillance which is likely to intrude upon anyone's privacy to more than a marginal extent should be treated as directed surveillance. This may include covert CCTV surveillance.
 - **Intrusive Surveillance** is covert surveillance carried out in relation to anything taking place on residential premises or in any private vehicle and involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device. If a device is not on premises or in a vehicle but provides information of the same quality and detail as if it were, this will be considered "intrusive". Surveillance devices designed or adopted principally for the purpose of providing information about the location of a vehicle are not considered intrusive. Residential premises includes hotel or prison accommodation if being used for living accommodation plus houses, boats, barracks, etc BUT not any common area to which a person is allowed access in connection with his or her occupation of any accommodation. Private vehicles include those for domestic, family and leisure use. It includes any vessel, aircraft or hovercraft.

RIPA provides for the authorisation of covert surveillance provided it is necessary and proportionate.

- 5.3 General observation forms part of the duties of some Council Officers. Where an incident occurs during officers normal duties, which is unforeseen and an officer has to respond immediately to the situation, what the officer does will not require an authority. This "unforeseen" activity where an officer was merely reacting to events does not need to be covered by the procedures in these Guidance Notes.
- 5.4 Generally, the provisions of the Act do not include the use of overt CCTV surveillance systems. Members of the public are aware that such systems are in use, for their own protection and to prevent crime. However, where CCTV systems are used for covert surveillance the Act will apply.

Application to the County Council

- 5.5 The County Council cannot carry out Intrusive Surveillance. These powers are reserved to bodies such as the Police and HM Revenue and Customs. If a County Council officer is asked by another agency to co-operate with Intrusive Surveillance, advice should immediately be obtained from the Local Authority Services Team, nplaw, who will give advice as to possible risks to and concerns

for officers and equipment. Similarly, the County Council cannot conduct entry on, or interference with, property or with wireless telegraphy (known as “property interference”).

5.6 The County Council may however authorise Directed Surveillance.

5.7 The County Council may be asked to carry out directed surveillance for another agency, or may ask others to carry out surveillance on its behalf. It is for the service carrying out the surveillance to be authorised by the service responsible for the operation. When acting with another body, the operation can be covered by that authority’s authorisation.

Authorising Directed Surveillance and obtaining judicial approval: The Rules

5.8 It is crucial that all directed surveillance is properly authorised and judicially approved. No officer may commence any form of directed surveillance operation unless it is authorised and approved in accordance with this guidance. Failure to secure proper authorisation/approval and to comply with this procedure could lead to evidence being excluded by the courts and to complaints against the Council. The Council is subject to audit and inspection by the Office of the Surveillance Commissioner and it is important that we can demonstrate compliance with RIPA.

Who can authorise directed surveillance?

5.9 Regulations made under the Act say that the most junior level at which authorisations can be given is by what it refers to as Director, Head of Service, Service Manager or equivalent. However, authorisations should be given by those officers set out in Appendix B. Officers named on this designated list should have full training in respect of RIPA and the considerations that must be made before granting authorisation.

5.10 If anyone authorised is not available, for example in cases of urgency, anyone holding a senior position can be delegated to authorise. Advice can also be sought from anyone senior to an authorising officer in difficult or sensitive cases, and also from the Local Authority Services Team, nplaw.

5.11 Where practicable, the authorising officer should not be directly involved in the case giving rise to the request for authorisation. Where it is not practicable for authorisation to be given by an officer who is not directly involved, this should be noted with reasons on the authorisation form.

On what grounds can directed surveillance be authorised?

5.12 In the case of local authorities, directed surveillance can only be authorised if it is necessary for the purpose of preventing or detecting crime and the offence(s) under investigation must be punishable by a maximum custodial sentence of six months or more or relate to the underage sale of alcohol or tobacco.

5.13 It is very important to consider whether the surveillance is necessary. If an investigation can be carried out by means which do not involve directed surveillance, then these should be used.

5.14 If there are no other means then this should be stated on the authorisation form.

5.15 The crime under investigation should be fully detailed.

Is the proposed surveillance proportionate?

- 5.16 Authority should not be given unless the person authorising the request is satisfied that the surveillance is proportionate.
- 5.17 The authorising officer should make sure that any interference with the privacy of an individual is justified by the end being sought. If the benefit to be obtained from surveillance is marginal, the person authorising should think very carefully about whether the use of surveillance is proportionate. The Activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means. Suggested areas to consider include, prevalence of offence, expense of the operation and other means by which the information can be obtained.
- 5.18 In addition, the activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair.
- 5.19 The authorisation must detail all methods that have been considered and why they have not been implemented, in order to demonstrate that full attention has been given to the proportionality of the proposed surveillance.
- 5.20 Further guidance on proportionality can be found in part 9 of Appendix C.

Is the proposed surveillance discriminatory?

- 5.21 The County Council is under a legal obligation to avoid either direct or indirect discrimination in carrying out its functions. As surveillance can interfere with rights contained in the European Convention on Human Rights, discrimination can also amount to a breach of the Human Rights Act. Departments need to be sensitive to this issue and ensure that they apply similar standards to seeking or authorising surveillance regardless of ethnic origin, sex or sexual orientation, disability, age etc. They should be alert to any assumptions about people from different backgrounds which may not even be consciously held.

Will the surveillance involve “collateral intrusion”?

- 5.22 In other words, will the surveillance intrude upon the privacy of people other than those who are the subject of the investigation? Those authorising the surveillance should be sensitive to the privacy rights of third parties and consider very carefully whether the intrusion into their privacy is justified by the benefits of undertaking the surveillance. If there is considered to be a risk of collateral intrusion, consideration must be given to minimising this risk (for example deletion of unwarranted photographs etc).

What is legally privileged information, personal confidential information or confidential journalistic material?

- 5.23 Confidential material’ is described by RIPA as being:
- (a) matters subject to legal privilege;
 - (b) confidential constituent information between the MP and a constituent in respect of constituency matters;
 - (c) confidential personal information; or
 - (d) confidential journalistic material.

- 5.24 Authorisations in respect of confidential material can only be granted by the Head of Paid Service (the Managing Director) and in her absence, by the Director of Environment, Transport and Development, or his/her substitute.
- 5.25 A substantial proportion of communications between a lawyer and client may be subject to legal privilege. Matters subject to legal privilege must be kept separate from enforcement investigations or criminal prosecutions, as they will not be admissible in court. In the very rare circumstances where legally privileged information may be acquired and retained, the matter must be reported to the Authorising Officer by means of a review. The Authorising Officer will decide whether the authorisation should continue. The attention of the Commissioner should be drawn to legally privileged information, during the OSC inspection and the material made available to the inspector, if requested.
- 5.25 Oral and written communications are held in confidence if subject to an express or implied undertaking to hold the communications in confidence or where such communications are subject to a restriction on disclosure or an obligation of confidentiality contained in legislation e.g. consultations between a health professional and a patient, information from a patient's records or information relating to the spiritual counselling of a person.
- 5.26 Confidential journalistic material includes material acquired or created for the purposes of journalism and held subject to an undertaking to hold it in confidence, as well as communications resulting in information being acquired for the purposes of journalism and held subject to an undertaking. The attention of the Commissioner should be drawn to confidential journalistic material during the OSC inspection and the material made available to the inspector, if requested.
- 5.27 Acquiring material in the manner referred to above, is likely to be rare for the Council.

Activities/operations involving directed surveillance

- 5.28 It is safest to assume that any operation that involves planned covert surveillance of a specific person or persons (including Council employees) likely to obtain private information, of however short a duration, falls within the definition of directed surveillance and will, therefore, be subject to authorisation under RIPA.
- 5.29 The consequence of not obtaining an authorisation may render the surveillance action unlawful under the HRA, or any evidence obtained may be inadmissible in Court proceedings.
- 5.30 It is strongly recommended that Council Officers seek an authorisation, where the surveillance is likely to interfere with a person's Article 8 rights to privacy. Obtaining an authorisation will ensure that the surveillance action is carried out in accordance with the law and is subject to stringent safeguards against abuse.
- 5.31 Proper authorisation of directed surveillance should also ensure the admissibility of evidence under the common law, PACE and the Human Rights Act.
- 5.32 Directed surveillance might be used, for example:
- For fraud or similar offences, where there is a need to observe premises in order to establish who the owner/occupier is, to find out who the occupier has

associations with, or to establish whether or to what extent they are being used as business premises.

- Where the Council directs another person/organisation to act as its 'agent' for the purposes of obtaining private information e.g. where Council Officers specifically ask residents to maintain diary notes of the incidence of sales of alcohol to young persons.
- By placing a stationary mobile or video camera outside a building or the use by officers of covert recording equipment to record suspected illegal trading activity, such as the sale of counterfeit goods or 'mock' auctions.

5.33 It will not be necessary to obtain authorisation for directed surveillance when using surveillance devices such as standard video cameras, still cameras, or binoculars, which are utilised on an overt basis.

Activities/operations not involving directed surveillance

5.34 Directed surveillance is conducted where it involves the observation of a person or persons with the intention of gathering private information to produce a detailed picture of a person's life, activities and associations. Private information includes any information relating to the person's private or family life.

5.35 However, it does not include general observation which is part of an Enforcement Officer's normal work.

5.36 General observation duties of the Council's Enforcement Officers whether overt or covert, frequently form part of their day to day activities and the Council's legislative core functions – such activities will not normally require a directed surveillance authorisation as the obtaining of private information is highly unlikely.

5.37 Examples of activities/operations which are unlikely to involve directed surveillance are:

- Enforcement officer's attendance at a car boot sale where it is suspected that counterfeit goods are being sold. In such a case, the officer is not carrying out surveillance of particular individuals - the intention is, through reactive enforcement, to identify and tackle offenders;
- A one-off test purchase at retail or similar premises accessible to the public;
- A one-off identification/confirmation of the existence of a premises address by officer observation;
- Anything which constitutes an immediate response e.g. a council officer with regulatory responsibilities may by chance be present when an individual is potentially infringing the law and it is necessary to observe, follow, or engage in other surveillance tactics as an instant response to the situation to gather further information or evidence. Once this immediacy has passed, however, any further directed surveillance of the individual, must be subject to an urgent RIPA authorisation.

5.38 In circumstances where such activities/operations are considered to fall outside the scope of RIPA, it is good practice to record the reasons for this decision.

5.39 Appendix D of this Policy and Guidance Notes provides additional guidance regarding 'Test Purchases of Age Restricted Products'

Authorising Directed Surveillance: The Procedure

Applying for authorisation.

- 5.40 Applications for authorisation must be made in writing on the correct form. The form to seek authorisation is reproduced at Appendix E to these Policy and Guidance Notes. A written authorisation is normally completed as far as possible by the investigating officer before being submitted to the Authorising Officer for approval.
- 5.41 A written application for authorisation for directed surveillance should describe in detail any conduct to be authorised and the purpose of the investigation or operation. The application should also include:
- the reasons why the authorisation is necessary in the particular case and the grounds (i.e. for the purpose of preventing or detecting crime) stated in Section 28(3) of the 2000 Act; The offence under investigation should be fully detailed.
 - the reasons why the surveillance is considered proportionate to what it seeks to achieve;
 - the nature of the surveillance;
 - the identities, where known, of those to be the subject of the surveillance; (although there is no requirement to know the identity of those who are to be the subject of the surveillance);
 - the approximate cost of the surveillance;
 - the results of consultation with other enforcement agencies or community leaders
 - an explanation of the information which it is desired to obtain as a result of the surveillance;
 - the details of any potential collateral intrusion and why the intrusion is justified;
 - the details of any confidential information that is likely to be obtained as a consequence of the surveillance;
 - the level of authority required (or recommended where that is different) for the surveillance; and
 - a subsequent record of whether authority was given or refused, by whom and the time and date. If the authorising officer has not granted the authorisation in full and has amended the terms of the application, this must be recorded on the application form and reasons given for the decision.
- 5.42 Each application must be given a Unique Reference Number, which will then be used to locate the application on the Central Register.
- 5.43 Guidance on completing an application for authority for directed surveillance can be found in Appendix C.
- 5.44 When an authorisation has been granted, the terms of the authorisations must be followed exactly. Any deviation might lead to the authorisation being considered invalid. If as a result of initial observations, the investigating officer wishes to

deviate from the terms of the authorisation, then either a fresh authorisation or renewal requesting revised authority must be made.

5.45 If the surveillance involves juveniles or vulnerable adults then special consideration should be given to the following:

- If possible authorisation should be at the highest level. (If considering use of a juvenile or vulnerable adult as a CHIS – Authorisation should not be granted unless a risk assessment has been considered covering physical dangers and psychological aspects. Use of an appropriate adult should be considered.
- No authorisation can be granted to use a source under age 16 years to give information against his/her parents).

The judicial approval process

5.46 Once an application has been authorised by an authorising officer, it will not take effect until it has been approved by a Justice of the Peace (JP).

5.47 The process for seeking judicial approval is as follows:-

- The local authority must contact HMCTS to arrange a hearing.
- The JP should be provided with a copy of the authorisation/notice, all supporting documentation and a partially completed judicial approval/order form. (The original authorisation/notice should be shown to the JP at the hearing.)
- A hearing will take place in private, usually attended by the case investigator, who will be best placed to answer the JP's questions about the investigation. However, in some cases, for example where there are sensitive issues, it may be appropriate for the Authorising Officer to attend to answer questions.
- The JP will consider the application and record his/her decision on the order section of the application/order form.

5.48 The JP may decide to:-

- Approve the grant or renewal of the authorisation/notice;
- Refuse to approve the grant or renewal of the authorisation/notice;
- Refuse to approve the grant or renewal and quash the authorisation/notice.

5.49 The form for seeking judicial approval is reproduced at appendix E to these Policy and Guidance Notes.

Duration of authorisations

5.50 A written authorisation granted by an authorising officer will cease to have effect (unless renewed) at the end of a period of **three months** beginning with the day on which it took effect. An authorisation cannot be granted for a period of less than three months. However, it should be noted that all authorisations **should** be

cancelled as soon as the decision is taken that directed surveillance should be discontinued.

Reviews

- 5.51 Regular reviews of authorisations should be undertaken to assess the need for the surveillance to continue. Particular attention is drawn to the need to review authorisations frequently where the surveillance provides access to confidential information or involves collateral intrusion. If a minor change has occurred in the investigation, then these can be dealt with by way of renewal. If the scope of the investigation has changed then a fresh authorisation is required.
- 5.52 In each case authorising officers within the Council should determine how often a review should take place. This should be as frequently as is considered necessary and practicable, but at no longer than monthly intervals. The Review form in Appendix E should be completed on review.

Renewals

- 5.53 If at any time before an authorisation would cease to have effect, the authorising officer considers it necessary for the authorisation to continue for the purpose for which it was given, s/he may renew it in writing for a further period of **three months**. A single renewal may also be granted orally in urgent cases and may last for a period of **seventy-two hours** (but see paragraph 5.53 above). Renewals must also be judicially approved, following the process outlined in paragraph 5.49 above.
- 5.54 A renewal takes effect at the time at which, or day on which the authorisation would have ceased to have effect but for the renewal. An application for renewal should not be made until shortly before the authorisation period is drawing to an end, but taking into consideration that time must be allowed for obtaining judicial approval. Any person who would be entitled to grant a new authorisation can renew an authorisation. Authorisations (other than oral authorisations in urgent cases) may be renewed more than once, provided they continue to meet the criteria for authorisation.
- 5.55 All applications for the renewal of an authorisation for directed surveillance should be made on the form attached at Appendix E to this guide and should record:
- whether this is the first renewal or every occasion on which the authorisation has been renewed previously;
 - any significant changes to the information given in the original application for authorisation;
 - the reasons why it is necessary to continue with the directed surveillance;
 - the content and value to the investigation or operation of the information so far obtained by the surveillance;
 - the results of regular reviews of the investigation or operation.
- 5.56 Authorisations may be renewed more than once, if necessary, and the renewal should be kept/recorded as part of the central record of authorisations (see paragraph 5.64).

Cancellations

- 5.57 The authorising officer who granted or last renewed the authorisation **must** cancel it if he is satisfied that the directed surveillance no longer meets the criteria upon which it was authorised. Where the authorising officer is no longer available, this duty will fall on the person who has taken over the role of authorising officer. If in doubt about who may cancel an authorisation, please consult the Local Authority Services Team, nplaw. Cancellations are to be effected by completion of the form in Appendix E to this Note.
- 5.58 It is essential that there is a completed cancellation for each authorisation once surveillance has been completed. An authorisation cannot simply be left to expire.
- 5.59 As soon as any decision is taken to discontinue surveillance, instruction must be given to those involved to stop all surveillance. The date and time of such an instruction must be included in the Notification of Cancellation form.
- 5.60 It is also good practice to retain a record of the product obtained from the surveillance and whether or not objectives were achieved. The Authorising Officer should give directions on the handling, storage or destruction of the product of surveillance.

Record Keeping and Central Record of Authorisations

- 5.61 In all cases in which authorisation of directed surveillance is given the individual department is responsible for ensuring that the following documentation is kept securely for a period of at least three years from the date of authorisation:
- a copy of the application and a copy of the authorisation together with any supplementary documentation and notification of the approval given by the authorising officer;
 - a copy of the judicial approval application form/order;
 - a record of the period over which the surveillance has taken place;
 - the frequency of reviews prescribed by the authorising officer;
 - a record of the result of each review of the authorisation;
 - a copy of any renewal of an authorisation, together with the supporting documentation submitted when the renewal was requested;
 - the date and time when any instruction was given by the authorising officer.
 - a copy of the cancellation document
- 5.62 In addition, copies of the following must be sent to the Local Authority Services Team, nplaw immediately upon completion:
- all completed forms authorising and approving directed surveillance;
 - all completed forms authorising and approving renewal of directed surveillance;

- all completed forms cancelling directed surveillance.

5.63 These will be held securely by the Local Authority Services Team, nplaw and form part of a Central Record of Authorisations. Each application will be accessible by virtue of its Unique Reference Number. The Team Leader, Local Authority Services Team will review the Central Record on a bi-monthly basis and complete a central record of authorisations in accordance with paragraph 2.14 of the Code of Practice on Covert Surveillance. The Central Record should be available for inspection by the Office of Surveillance Commissioners upon request.

6 SURVEILLANCE OPERATIONS NOT REGULATED BY RIPA:

- 6.1 The Regulation of Investigatory Powers Act 2000 (RIPA) aims to ensure that covert surveillance carried out for the purposes of a specific investigation or operation is undertaken in a manner which is human rights compliant. This is achieved through a system of self authorisation by senior officers, who have to be satisfied that the surveillance is necessary and proportionate to what is sought to be achieved, followed by judicial approval.
- 6.2 Local authorities are only required to seek authorisations under RIPA for covert surveillance carried out for the purposes of preventing or detecting crime. No RIPA authorisations can be sought for covert surveillance being undertaken for other purposes. Nor should they be sought for crime prevention or detection purposes, if that purpose is not linked to one of the authority's regulatory functions. This was stated by the Investigatory Powers Tribunal in the case of *C v The Police and the Secretary of State for the Home Department* (14/11/2006, No: IPT/03/32/H), who held that surveillance of employees is unlikely to be for a regulatory function of the authority.
- 6.3 This means that there may be circumstances when the Local Authority wishes to carry out surveillance and will not be able to rely on a RIPA authorisation (eg surveillance of employees). Not being able to seek an authorisation under RIPA means there is a greater risk of a human rights challenge, as privacy rights under Article 8 are likely to be interfered with. This can be reduced by following a similar self- authorisation process, which can be achieved by using the form in Appendix F and which should be completed by the officer and authorised by a person identified in Appendix B.
- 6.4 The Authorising Officer should consider the same issues as if he were responding to a request under RIPA, particularly the necessity of the operation, whether it is proportionate and whether there are any other methods of obtaining the information. If there is any doubt as to the issue of a Local Authority regulatory role and its ordinary functions, then advice should be sought from the Local Authority Services Team, nplaw.
- 6.5 When considering surveillance of employees, it is also important to ensure compliance with the Data Protection Act 1998 and in particular Part 3 of the Data Protection Act Employment Practices Code.

7 COVERT HUMAN INTELLIGENCE SOURCES:

Authorising Use of Covert Human Intelligence Sources (CHIS)

- 7.1 Similar principles and procedures apply to authorising the use of covert human intelligence sources. The use of CHIS is also subject to judicial approval and the process outlined at paragraph 5.49 should be followed.
- 7.2 Officers' attention is drawn to the explanation of the nature of a covert human intelligence source in Appendix A. If necessary, Appendix E5, E6, E7 and E8 can be utilised to authorise the use of a CHIS.
- 7.3 The considerations for authorising a CHIS are broadly similar to those of directed surveillance, but there are some additional matters which must be considered.
- 7.4 There are rules about the use of vulnerable adults or juveniles as sources and there are also special requirements with regard to the management, security and welfare of sources. Refer to the Covert Human Intelligence Sources Code of Practice for detailed guidance.
- 7.5 In summary:
- when deploying a source, the Council should take into account the safety and welfare of that source, when carrying out actions in relation to an authorisation or tasking, including the foreseeable consequences to others, of that tasking.
 - before authorising the use or conduct of a CHIS, the Authorising Officer should ensure that a risk assessment is carried out to determine the risk to the source of any tasking and the likely consequences, should the role of the source become known. The ongoing security and welfare of the source, after the cancellation of the authorisation, should also be considered at the outset.
 - the person responsible for the day to day management of the source's welfare and security e.g. departmental manager, will bring to the attention of the Authorising Officer, any concerns about the personal circumstances of the source, insofar as they might affect:
 - i. the validity of the risk assessment;
 - ii. the conduct of the source, and
 - iii. the safety and welfare of the source.
- 7.6 Where deemed appropriate, the concerns about such matters should be considered by the Authorising Officer and a decision taken on whether or not to allow the authorisation to continue.
- 7.7 A separate person within the organisation should be appointed to oversee the use made of CHIS. The Director of Environment, Transport and Development, as senior responsible officer, has assumed this role and has delegated day to day responsibility for this oversight to the Team Leader, Local Authority Services Team.
- 7.8 The records kept by the authority should be maintained so as to protect the confidentiality of the source.

Activities/operations involving CHIS

- 7.9 If a department is considering the use of a CHIS, advice must be sought from the Local Authority Services Team, nplaw.
- 7.10 Activities/operations not involving CHIS
- 7.11 The following situations will not normally require a relationship to be established for the covert purpose of obtaining information and therefore do not involve a CHIS:
- One-off test purchase transactions carried out in the normal course of business, where Enforcement Officers are operating as would a member of the public and do not establish a personal or other relationship. For example, the purchase of a music CD for subsequent expert examination would not require authorisation, but where the intention is to ascertain whether a trader is taking delivery of suspected fakes and a relationship is established between the trader and the Officer, then authorisation should be sought beforehand. Please refer to Appendix D of this Policy Statement for additional guidance regarding 'Test Purchases of Age Restricted Products'
 - The task of ascertaining purely factual information e.g. the location of cigarette vending machines in licensed premises;
 - Where members of the public volunteer information to an Officer as part of their normal duties;
 - Where the public call telephone numbers set up by the Council to receive information; and
 - Where members of the public are asked to keep diaries of incidents in relation to anti-social behaviour – however such activity will be regarded as directed surveillance, requiring an authorisation.
- 7.12 In circumstances where such activities/operations are considered to fall outside the scope of RIPA, it is good practice to record the reasons for this decision.

8. ACCESSING COMMUNICATIONS DATA

Introduction

- 8.1 Since 5 January 2005, RIPA has regulated access to Communications Data. This is defined in Appendix A. These guidance notes should be read in conjunction with the current Code of Practice issued under Section 71 of RIPA. Copies of the Code are held by nplaw and/or are available via www.homeoffice.gov.uk/.

Application to the County Council

- 8.2 The County Council are only entitled to seek the acquisition of communications data defined as service user information and subscriber information (see Appendix A for definition). The County Council is not authorised to acquire what is defined as traffic data (see Appendix A).

Acquisition of communications data: The interception of postal, telephone, email and other electronic communications

- 8.3 It is an offence to intercept communications sent by public postal services and public telecommunications systems except in very specific circumstances. It can be an offence to intercept communications sent by private telecommunications systems.
- 8.4 It is unlikely that the Council would wish to intercept communications of this nature, even if it could do so legally. In the very unlikely event that you are considering intercepting communications, you should take no steps to do so before seeking advice from the Local Authority Services Team, nplaw.
- 8.5 There may be circumstances in which it is appropriate and legitimate to intercept communications sent and received by employees. However, once more, great care needs to be taken, not only in respect of RIPA, but in respect of employment law and human rights issues. You should not intercept communications sent by or received by employees without first seeking advice from the Head of Human Resources and/or the Local Authority Services Team, nplaw.

Authorising the acquisition and disclosure of communications data and obtaining judicial approval

- 8.6 It is crucial that the acquisition of communications data is properly authorised and judicially approved. No officer may seek the acquisition of any form of communication data unless he is authorised and the application approved in accordance with this guidance. Failure to secure proper authorisation and approval and to comply with this procedure could lead to evidence being excluded by Courts and complaints against the Council. The Council is subject to audit and inspection by the interception of Communications Commissioner's Office and it is important that we demonstrate compliance with RIPA.
- 8.7 Acquisition of communications data under the Act involves four roles:
- (a) the applicant;
 - (b) the single point of contact (SPOC);
 - (c) the designated person;
 - (d) the senior responsible officer

8.8 The Act provides two alternative means for acquiring communications data by way of:

- (a) an authorisation under Section 22(3); or
- (b) a Notice under Section 22(4)

The Applicant

8.9 The Applicant is a person involved in conducting an investigation or operation who makes an application in writing or electronically for the acquisition of communications data. The Applicant should complete an application form setting out for consideration by the designated person the necessity and proportionality of the specific requirement for acquiring communications data.

The Designated Person

8.10 The designated person is a person holding a prescribed office in the same public authority as the Applicant. Authorisations and Notices to acquire communications data should ordinarily be given only by those officers set out in Appendix B who are specifically designated to approve applications for the acquisition of communications data.

8.11 The designated person must consider the application and record his considerations at the time in writing or electronically. If the designated person believes it is appropriate in the specific circumstances of the case, an authorisation may be granted or a notice given. Designated persons should assure that they grant authorisations or give notice only for purposes and only in respect of types of communications data that a Designated Person of their office, rank or position and the relevant public authority may give or grant. Designated persons shall assess the necessity for any conduct to acquire or obtain communications data, taking account of any advice provided by the Single Point of Contact (SPoC).

8.12 Designated persons should not be responsible for granting authorisations or giving notices in relation to investigations or operations in which they are directly involved. If it appears unavoidable or it is necessary to act urgently or for security reasons then a designated person may grant an authorisation or notice in relation to an investigation in which they are directly involved but the reason why such person was required to authorise that particular case, should be noted on the application form.

8.13 Designated persons should have undertaken some training in relation to human rights principles and have current working knowledge of the rules and requirements of RIPA and the use of this guidance.

The Single Point of Contact

- 8.14 The Single Point of Contact (SPoC) is either an accredited individual or a group of accredited individuals trained to facilitate lawful acquisition of communications data and effective co-operation between a public authority and a communications service provider. To become accredited an individual must complete a course of training appropriate for the role of a SPoC. An accredited SPoC promotes efficiency and good practice in ensuring any practical and lawful requirements for communications data are undertaken. The SPoC provides objective judgment and advice to both the Applicant and the Designated Person, in this way the SPoC provides a guardian and gatekeeper function ensuring that public authorities act in an informed and lawful manner.
- 8.15 Norfolk County Council is a member of the National Anti-Fraud Network (NAFN). NAFN is a 'One Stop' data and intelligence provider for all public bodies. As part of their portfolio they offer a comprehensive SPoC service. Norfolk County Council now has no in house SPoCs and NAFN should be used for this service.

The Senior Responsible Officer

- 8.16 The senior responsible officer role is set out at paragraphs 3.1 to 3.4 above.

On what grounds can the acquisition of communications data be authorised.

Is the proposed request for the acquisition of communications data necessary?

- 8.17 In the case of Local Authorities, acquisition and disclosure of communications data can only be authorised if it is **necessary** for the purpose of preventing or detecting crime or preventing disorder. It is extremely important to consider whether the acquisition of the particular communications data is necessary. If an investigation can be carried out by means which do not involve such acquisition then these should be used. If there are no other means then this should be stated on the authorisation form.

Is the proposed request for the acquisition of communications data proportionate?

- 8.18 Authority to acquire communications data should not be given unless the person authorising the request is satisfied that the application is **proportionate**. The designated person should make sure that any interference with the privacy of an individual is justified by the end being sought. If the benefit to be obtained from acquiring communications data is marginal, the person authorising should think very carefully about the use of such an investigation technique. The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means.
- 8.19 Suggested areas to consider include the seriousness of the offence, the expense of the operation and other means by which the information could be obtained. In addition the activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair.

Might the acquisition of communications data involve collateral intrusion?

- 8.20 The designated Person needs to consider whether the application might intrude upon the privacy of people, other than those who are the subject of the investigation. The designated person should be sensitive to the privacy rights of third parties and consider very carefully whether the intrusion into their privacy is justified by the benefit of the investigation. If there is considered to be a risk of collateral intrusion, consideration must be given to minimising this risk during the authorisation process.

The procedure - Applying for authority to acquire communications data

- 8.21 Applicants and Designated Persons (DP) must submit, approve and track applications through the central NAFN website, using the NAFN online forms. An allocated SPoC will then check for legal compliance and, where necessary, provide feedback before submitting for final authorisation from the DP.
- 8.22 Once an application is authorised by the DP it must be subject to judicial approval as per paragraph 5.49 above. NAFN will provide the applicant with a 'Court Pack' containing:
- Final case application
 - Judicial application/order form
 - Relevant Assurance(s), Authorisation(s) and/or Notice(s)
 - These documents will enable the applicant to present their application at court.
 - If the application is approved all documentation must be returned to NAFN for subsequent processing via the secure online system. The NAFN SPoC administers all requests promptly to obtain the data required. Results are uploaded to the secure website for retrieval, with all aspects of administration covered by NAFN, including the tracking of reportable/recordable errors, cancellations, and withdrawals.
- 8.25 The application should describe in detail the communications data to be acquired and the purpose of the investigation operation. The application should also include:
- (1) the name
 - (2) the office, rank or position held by the person making the application
 - (3) the operation name to which the application relates
 - (4) a unique reference number

- (5) the specific purpose for which the data is required
- (6) a description of the communications required specifying where relevant any historic or future date and where appropriate time periods
- (7) an explanation as to why the acquisition of that data is considered necessary and proportionate and what is thought to be achieved by acquiring it
- (8) Consideration of any meaningful collateral intrusion and why that intrusion is justified in the circumstances.
- (9) an identification and explanation of the timescale within which the data is required.
- (10) an assessment by the SPOC
- (11) the application should record whether it was approved or not by a Designated Person by whom and when the decision was made.

8.26 An authorisation provides for persons within a public authority to engage in specific conduct relating to a postal service or telecommunications system to obtain communications data. An authorisation may be appropriate where a communications service provider is not capable of obtaining or disclosing communications data or a designated person believes the investigation or operation may be prejudiced if the communications service provider is required to obtain or disclose the data or there is an agreement in place between the public authority and a communication service provider relating to appropriate mechanisms for disclosure of communications data or a designated person considers there is a requirement to conduct a telephone subscriber check but the communications service provider as yet to be conclusively determined as the holder of the communications data. The authorisation is not served upon a communications service provider, although there may be circumstances where the provider may require or may be given assurance that conduct being undertaken is lawful. That assurance may be given by disclosing details of the authorisation itself.

Notices

8.27 The giving of a notice is appropriate where a communications service provider is able to retrieve or obtain specific data and to disclose that data unless the grant of an authorisation is more appropriate. A notice may require a communications service provider to obtain any communications data if that data is not already in their possession. The decision of a Designated Person whether to give a notice shall be based upon information presented to them in an application. The notice should contain enough information to allow the communications service provider to comply with the requirements of the notice. A notice must:

- (a) be given in writing or if not in the manner that produces a record of its having been granted;
- (b) specify the purpose for which the notice has been given;

- (c) describe the communications data to be obtained or disclosed under the notice specifying where relevant, any historic or future date and where appropriate time periods;
- (d) include an explanation that complies with the notices as a requirement of the Act;
- (e) specify the office, rank or position held by the designated person and the designated persons name should also be recorded;
- (f) specify the manner in which the data should be disclosed, the notice should contain sufficient information to enable a communications service provider to confirm the notice is authentic and lawful;
- (g) record the date and when appropriate to do so at the time when the notice was given by the designated person;
- (h) where appropriate the notice should provide an indication of any urgency or time within which the communications service provider is requested to comply with the requirements of the notice. In giving notice a designated person may only require a communications service provider to disclose the communications data to the designated person or a specified person working within the same public authority.

Duration of authorisations and notices

- 8.28 Relevant to all authorisations and notices is the date upon which the authorisation or notice takes effect, which is the date on which judicial approval is given. From that date when the authorisation or notice becomes valid it has a validity of a maximum of one month, this means that the conduct authorised should have been commenced or the notice served within that month. All authorisations and notices must relate to the acquisition or disclosure of data for a specified date or period. Any periods should clearly be indicated in the authorisation or notice. A start date and end date should be given and where a precise start and end time are relevant, these must be specified. Where an authorisation or notice relates to the acquisition or obtaining of specific data that will or may be generated in the future, the future period is restricted to no more than one month

Renewal of authorisations and notices.

- 8.29 Any valid authorisation or a notice may be renewed for a period of up to one month by the grant of a further authorisation or the giving of a further notice and again judicial approval must be obtained before the renewal can take effect. A renewed authorisation or notice takes effect upon the expiry of the authorisation or notice it is renewing. Renewals may be appropriate where there is a continuing requirement to acquire or obtain data that will or may be generated in future. The reasoning for seeking renewal should be set up by an Applicant in an addendum to the application upon which the authorisation or notice being renewed was granted or given. The Designated Person should give careful consideration to renewal of an authorisation or notice and should:

- (a) consider the reasons why it is necessary and proportionate to continue with the acquisition of the data being generated; and
- (b) record the date and when appropriate to do so the time when the authorisation or notice is renewed.

8.30 The designated person should specify the shortest period in which the objective for which the data is sought can be achieved. To do otherwise would impact on the proportionality of the authorisation or notice and impose unnecessary burden on a communications service provider.

Cancellations and Withdrawals

8.31 A designated person who has given notice to a communications service provider shall cancel the notice if at any time after giving the notice, it is no longer necessary for the communications service provider to comply with the notice or the conduct required by the notice is no longer proportionate to what is sought to be achieved. Equally where a designated person considers an authorisation shall cease to have effect because the conduct authorised becomes unnecessary or no longer proportionate to what is sought to be achieved, the authorisation shall be withdrawn. The community service provider should be advised of the withdrawal of an authorisation.

8.32 Cancellation of a notice must be:

- (a) undertaken in writing;
- (b) identified by reference to its unique reference number, the notice being cancelled;
- (c) record the date and when appropriate to do so, the time when the notice was cancelled and
- (d) specify the office rank or position held by the designated person cancelling the notice.

8.33 Withdrawal of an authorisation should be:

- (a) be undertaken in writing;
- (b) identified by reference to its unique reference number, the authorisation being withdrawn;
- (c) record the date and when appropriate to do so the time when the authorisation was cancelled;
- (d) record the name, the office, rank or position held by the designated person withdrawing the authorisation.

Keeping of records

- 8.34 Completed original documents must be retained centrally by the SPOC, in written or electronic form, for a period of at least three years from the date of authorisation. The documents should be classified and stored securely in accordance with the Government protected marking scheme. In addition, a record should be kept of the date and, when appropriate to do so, the time when each notice or authorisation is given or granted, renewed or cancelled. These records should be available for inspection by the Interception of Communications Commissioner upon request. (The retention of documents is a service provided by NAFN.)
- 8.35 On an annual basis the Local Authority Services Team, nplaw must send to the Interception of Communications Commissioner, information as to the number of applications submitted to the designated person, the number of notices issued, number of authorisations issued and the number of times an urgent notice is given orally. The Local Authority Services Team, nplaw should liaise with the Commissioner as to guidance on format or timing of submission of this information. (The reporting of this information is a service provided by NAFN.)

Errors

- 8.36 Proper application of the contents of this guidance should reduce the scope for making errors but if an error occurs in the grant of an authorisation or the giving of a notice or as a consequence of any authorised conduct or any conduct undertaken to comply with a notice, a record should be kept and a report made to the Commissioner. (The recording and reporting of errors is a service provided by NAFN.)

9. COMPLAINTS

9.1 Where any person expresses their dissatisfaction with:

a surveillance operation carried out by the Council or with a communications data issue and they are either unwilling to accept an explanation or are dissatisfied with the explanation offered or they wish to complain about any other aspect of the Council's operation under RIPA, they must be informed of the existence of the Investigating Powers Tribunal.

9.2 Every assistance shall be given to the person to complain to the Council's Corporate Complaints Officer or to make contact with the Tribunal and make their dissatisfaction known to it.

9.3 The address for the Investigatory Powers Tribunal is
PO Box 33220
London
SW1H 9ZQ.
Tel: 0207 035 3711
Website address: www.ipt-uk.com

9.4 These procedures are mutually exclusive.

10. FURTHER INFORMATION

- 10.1 There is much helpful information on the Home Office web site about RIPA. See <http://www.homeoffice.gov.uk/ripa/ripact.htm>
- 10.2 The Local Authority Services Team, **nplaw** will be happy to advise further on issues connected with RIPA.
- 10.3 Departments also need to consider what their training needs are in this area and the Local Authority Services Team, **nplaw** is also willing to discuss what help it can offer with this. In this respect please contact Louise Hartley – Legal Officer (ext. 222974) in the first instance.
- 10.4 Please also contact Louise Hartley for copies of the relevant forms.

Appendix A

Definitions

1. “Covert”

Concealed, done secretly

2. “Surveillance”

This includes, monitoring, observing or listening to persons, their movements, their conversations or their activities or communication. It also includes the recording of anything monitored, observed or listened to. Surveillance can be done with or without the assistance of a surveillance device.

3. “Covert surveillance”

Surveillance which is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place. If activities are not hidden from the subjects of the investigation, it is not covert.

4. “Directed Surveillance”

Directed surveillance is defined in the Act as surveillance which is covert, but not intrusive and undertaken for the purposes of a specific investigation or operation;

Directed surveillance is conducted where it involves the observation of a person or persons with the likelihood of gathering private information to produce a detailed picture of a person's life, activities and associations.

For the purposes of the definition, private information in relation to a person can include information relating to their business and professional activities as well as their private or family life.

Directed surveillance does not include any type of covert surveillance in residential premises or in private vehicles. Such activity is defined as "intrusive surveillance" which the County Council cannot carry out.

Any covert surveillance which is likely to intrude upon anyone's privacy to more than a marginal extent should be treated as directed surveillance. This may include covert CCTV surveillance. If any department is unsure, advice should be taken from nplaw.

Directed surveillance **must** be properly authorised and judicially approved in accordance with the procedure set out in section 6 of these guidance notes.

5. “Covert human intelligence source”

Use of a covert human intelligence source means establishing or maintaining a relationship with a person for the purpose of covertly obtaining or disclosing information. In practice, this is likely to cover the use of an informer or Council officer to strike up a relationship with someone as part of an investigation to obtain information “under cover”. Recent examples have involved investigations using social media.

Someone who volunteers information to the Council, either as a complainant or out of civic duty, is unlikely to be a covert human intelligence source. If someone is keeping a record, say, of neighbour nuisance, this will not amount by itself to use of a covert human intelligence source, because they will not have obtained the information in the course of, or as a consequence of, the existence of a personal or other relationship.

However, if the Council is relying on an individual to ask questions with a view to gathering evidence, then this may amount to use of a covert human intelligence source. The test to apply is not whether there is a task to perform but whether it is to be done by the use of a personal or “other” relationship (which could include commercial, professional, managerial or employment contracts). If and when it becomes apparent that a repeat informant is obtaining his information in this way, then he is, in reality a CHIS to whom a potential duty of care is owed if the information is acted upon.

Advice should be sought from the Local Authority Services Team, nplaw before acting on information supplied by such a source.

6. “Intrusive Surveillance”

Covert surveillance that is carried out in relation to anything taking place on any residential premises or in any private vehicle and involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device. If a device is not on premises or in vehicle but provides consistent information of the same quality and detail as if it were on the premises or in vehicle, then this will be considered “intrusive”. Surveillance devices designed or adopted principally for the purpose of providing information about the location of a vehicle are not considered intrusive. Residential premises includes hotel or prison accommodation if being used for living accommodation plus houses, boats, barracks etc BUT not any common area to which a person is allowed access in connection with his or her occupation of any accommodation. Private vehicles include those for domestic, family and leisure use. It includes any vessel, aircraft or hovercraft.

7. “Communications Data”

The term communications data embraces the “who” “when” and “where” of a communication but not the content and not what was said or written. It includes the manner in which and by what method a person or machine communicates

with another person or machine. It excludes what they say or what data they pass on within that communication.

Communications data is generated, held or obtained in the provision, delivery or maintenance communication services, both being postal services or telecommunication services. A postal service consists of any service which is involved in the collection, sorting, conveyance, distribution and delivery of postal items and is offered or provided as a service, the main purpose of which is to transmit postal items from place to place. Any service which consists in the provision of access to and for making use of any telecommunication system (whether or not provided by the person providing the service) the purpose of which is to transmit communications using electric or electro magnetic energy.

8. “Definition of Traffic Data”

This is data that is comprised in or attached to communication for the purpose of transmitting the communication and in relation to the communication which:

- (a) identifies or appears to identify any person, equipment or location to or from which a communication is or may be received;
- (b) identifies or selects transmission equipment;
- (c) comprises signals activate equipment used for transmission of communication;
- (d) identifies data as data comprised in or attached to a communication;
- (e) identify a computer file or a computer programme to which access has been obtained or which has been run by means of a communication but only to the extent that the file or programme is identified by reference to the apparatus in which the final programme is stored (i.e. traffic data may identify a server but not a website or page).

9. “Service Use Information”

This is data relating to the use made by any person of a postal or telecommunication service or any part of it and falls within Section 21(4)(b) of the Act.

Examples of data within this definition include:

- (a) itemised telephone call records (numbers called);
- (b) itemised records of connections to internet services;
- (c) itemised timing and duration of service usage (calls and all connections);
- (d) information about amount of data downloaded and/or uploaded;
- (e) information about the connection, disconnection and re-connection of services;
- (f) information about provision and use of forwarding/re-direction services by postal and telecommunications service providers;
- (g) information about provision of conference calling, call messaging, call waiting and call barring telecommunications services;

- (h) information about selection of preferential numbers or discount calls;
- (i) records of postal items such as records of registered, recorded or special delivery postal items;
- (j) records of parcel confinement, delivery and collection.

10. “Subscriber Information”

This relates to information held or obtained by a communication service provider about persons to whom the communication service provider has provided or provides a communication service. Those persons would include people who are subscribers to a communication service without necessarily using that service and persons who use a communications service without necessarily subscribing to it.

Examples of this include:

- (a) subscriber checks, such as who is the subscriber of phone number, 123456789 or who is the account holder of e-mail account xyz at xyz.co.uk;
- (b) subscribers’ or account holders’ information including payment methods and any services to which the subscriber or account holder is allocated or has subscribed;
- (c) addresses for installation and billing;
- (d) information provided by a subscriber or account holder to a communication service provider such as demographic information or sign up data (to the extent that the information such as a password giving access to the content of the communication is not disclosed).

NORFOLK COUNTY COUNCIL

Officers Authorised to Approve Applications
For Directed Surveillance and CHIS
Designated Persons for Communications Data Applications

<u>Officer</u>	<u>Name</u>	<u>Telephone Number</u>
Managing Director	Wendy Thomson	01603 222609
Norfolk Fire & Rescue Service, Brigade Manager	Karen Palframan	01603 819730
Director of Environment, Transport and Development	Interim Senior Responsible Officer (SRO) will be David Collinson until Director of Environment, Transport and Development is appointed	01603 222500
Public Protection Group	David Collinson (also authorised Designated Person for Communications Data)	01603 222253
	Sophie Leney (also authorised Designated Person for Communications Data)	
	Shaun Norris (also authorised Designated Person for Communications Data)	
	Nick Johnson (also authorised Designated Person for Communications Data)	

SPoC Service provided by NAFN

Appendix C

Guidance on Completing Application for Authority for Directed Surveillance

Read this guide in conjunction with the Model RIPA form. The level of detail officers need to complete the form is crucial. It is important to include as much information as is known, otherwise the application may not be authorised. Applicants must be familiar with the contents of the full Guidance Notes.

Applicant is officer applying for authority to carry out directed surveillance.

Unit/Team: team where applicant works

Full address: The applicants base either county hall or other

Contact Details: Contact details of the applicant including telephone and email

Operation name: only if one has been assigned

Unique Reference Number: to be included on every form

Details of application

Part 1 - Level of authority

See Appendix B of Procedure Guide. In case of urgency, and a person detailed in Appendix B not being available, the see guidance or seek advice from the Local Authority Services Team, nplaw.

Part 2 - Give an account of the investigation or operation

Details of the investigation to date. Brief clear specifics. Full details of the crime being investigated must be included.

Part 3 - The action to be authorised, including any premises or vehicles involved

What form is the surveillance to take and why? For example will it be mobile surveillance or from an observation point or van? Description of activities planned needed. Full details of dates, times, officers involved and equipment to be used must be noted as far as is possible.

Part 4 - The identities, where known, of those to be subject of the directed surveillance

Sometimes not known and identifying those involved in an activity can be the reason for surveillance. If identities are not known then it should be so stated. The premises and/or vehicles to be targeted should be identified here in detail.

Part 5 - Explanation of the information which it is desired to obtain as a result of the authorisation

What is the key objective(s) of the surveillance?

Parts 6&7 - Grounds on which action is necessary

The application must show that the directed covert surveillance is considered necessary in the proposed operation. All other methods of investigation not requiring covert surveillance must be detailed and reasons given for why they are not to be used.

The officer must detail why covert surveillance is the only method by which the information required can be obtained.

Part 8 - Collateral Intrusion

Having identified who, what and where you want to carry out surveillance, you should also consider who else might be affected. Will the private life of others be affected in some way? You must show that you have considered this and have planned how to minimise the intrusion.

Part 9 - Explain why directed surveillance is proportionate to what it seeks to achieve

The application should only be authorised if it demonstrates that the activity to be carried out is proportionate to what it seeks to achieve. Full reasons must be given as to why the methods to be employed are not disproportionate (ie not a “sledgehammer to crack a nut”). This includes detailing not only why covert surveillance must be used rather than any other method of investigation, but also stating that the method to be used is the least intrusive way of obtaining the information. It is not enough to rely on the seriousness of the offence or the cost of employing other methods.

All forms MUST address the following points:

1. The size and scope of the investigation must be weighed against the gravity and extent of the crime under investigation
2. An explanation of how and why the methods to be adopted will cause the least possible intrusion on the target and others
3. It must be shown that the activity planned is the only reasonable way, having considered all others, of obtaining the necessary information
4. Details of all other method considered and why they were not implemented.

Part 10 - Confidential Material

Are you likely to come across material relating to communications between a lawyer and client, or personal information relating to physical or mental health or spiritual counselling (communication between an individual and minister of religion), or confidential journalistic material?

This should be considered and highlighted. If such material is likely then the level of authorisation required rises. If there is any doubt, advice must be sought from the Head of Law.

Authorisation

Parts 12 & 13 - Authorising Officer's Statement

The authorising officer must give the information requested and state in writing that he is satisfied, or why he believes that the activities to take place are necessary and proportionate (see previous explanations of these matters).

The proportionality of the activity must take into account any possibility of collateral intrusion.

All such activity subject to the authorisation must not be considered arbitrary or unfair.

The authorising officers must record that they have considered these matters, and are satisfied the surveillance should still be authorised. If the authorising officer is not satisfied that enough detail has been provided he should refuse the application. If the authorising officer disagrees with certain aspects of the proposed activity he should mark this clearly on the form as unauthorised.

Appendix D

Test Purchases of Age Restricted Products – advice for officers

Context

It is the view of the Office of Surveillance Commissioners (OSC) that the use of young persons, pursuant to an arrangement with an officer of a public authority, to conduct test purchasing exercises attracts the desirability to obtain RIPA authorisation for directed surveillance.

The Better Regulation Delivery Office (BRDO) Code of Practice for Age Restricted Products repeats and supports the OSC guidance, stating that if covert recording equipment is worn by the test purchaser, or an adult is observing the test purchase, it will be desirable to obtain an authorisation for directed surveillance.

Local authority use of directed surveillance under RIPA is now limited to the investigation of crimes which attract a six month or more custodial sentence, with the exception of offences relating to the underage sale of alcohol and tobacco. The majority of other age restricted products already attract a six month or more imprisonment penalty, for example gas lighter refills, fireworks, knives and solvents all attract those penalties and so RIPA would be triggered. This means that in most cases a directed surveillance application would be required for test purchasing of age-restricted products. However there may be circumstances where different age restricted products are under consideration for which a test purchasing operation is being considered. In these circumstances it is good practice to record the reasons for the decision on - a 'non-RIPA' form which has been devised to cover this eventuality at Appx F.

Directed Surveillance Applications

It is unlikely that authorisations will be considered proportionate without demonstration that overt methods have already been attempted and failed, or that they would not be appropriate given the circumstances. This may include where advice visits to establishments have taken place and subsequent intelligence of sale to minors is being received.

Premises identified for a test purchase may be combined within a single directed surveillance application on a 'per operation' basis, provided that each premises is clearly identified at the outset and the intelligence sufficient to prevent "fishing trips".

It is important that those individuals involved in the planning and conduct of test purchasing exercises avoid inciting, instigating, persuading or pressurising a person into committing an offence that, otherwise, would not have been committed.

Application of CHIS

The individual making the test purchase is not classed as a CHIS for single transaction operations. This is because he/she does not establish or maintain a personal or other relationship with a person for the covert purpose of facilitating the obtaining of information. The one-time act of making a purchase in a shop open to the public, where

there may even be no verbal exchange, cannot reasonably constitute establishing a relationship, personal or otherwise – other than a momentarily fleeting one in which no information is obtained, which could reasonably constitute an interference with the privacy of the retailer/proprietor.

These assumptions are equally valid in circumstances where it is appropriate to evidence systematic breach of legislation at any given premises by using a number of different test purchasers, each making a one-off purchase. There are, however, some important qualifications to this advice. Firstly, different considerations would apply where the test purchaser has made previous visits to the premises, or is to make repeated visits, and in doing so, has established or is seeking to establish a relationship with the retailer/occupier prior to the attempted test purchase. In this case the juvenile would be revisiting in a way that encourages familiarity and as such they would be deemed a CHIS. Secondly, different considerations would apply, if the attempted test purchase is made other than from business premises open to the public, for example from a person's home including parts of their home adjacent to retail premises.

In circumstances where the test purchaser is not deemed to be a CHIS, it is nevertheless considered good practice to follow the requirements to ensure that:

- The safety and welfare of the test purchaser has been fully considered;
- Any risk has been properly explained to, and understood by the test purchaser; and
- A risk assessment has been undertaken, covering the physical dangers including any moral and psychological aspects of the test purchaser's deployment.

In the vast majority of test purchase operations, it is likely that there will be minimal risk to the test purchaser involved.

Appendix E Forms

These will be available on the intranet.

Appendix F

RECORD OF A DECISION TO CARRY OUT COVERT SURVEILLANCE (NOT REQUIRED TO BE AUTHORISED UNDER THE REGULATION OF INVESTIGATORY POWERS ACT 2000)

Department:

Unit/Team :

**Name of officer
requesting surveillance:**

Address:

Contact number:

DETAILS OF DECISION

1. Level of authority required:

(Under RIPA the most junior level at which authorisations can be given is assistant chief officer, assistant head of service, service manager or equivalent. It would be prudent to authorise at the same level.)

2. Grounds on which the surveillance is necessary:

(If an investigation can be carried out by other means then surveillance should not be used. Reasons why the surveillance is necessary should be given together with confirmation that the information cannot be obtained by any other means. If other means have been tried and have failed details should also be given.

3. Grounds on which the surveillance is proportionate to what it seeks to achieve:

(How intrusive might the surveillance be on the subject of the surveillance or any third parties? The interference with the individual's privacy should be justified by the end being sought – it will not be proportionate if it is excessive in the circumstances of the case or if the information could be obtained by less intrusive means. The surveillance

should be carefully managed to meet its objectives and must not be arbitrary or unfair. Reasons why the surveillance is proportionate should be given.

4. Supply details of any potential collateral intrusion and describe the precautions you will take to minimise this:

(Indicate any potential for obtaining information about persons other than the target of the surveillance. If there is a risk of intruding upon the privacy of third parties, include a plan to minimise this. Also set out how you will deal with any such information obtained, whether expected or unexpected.)

5. The identities of those to be the subject of the surveillance:

Name:

Address:

Other information as appropriate:

6. The nature of the surveillance to be undertaken:

7. What information do you expect to obtain as a result of the surveillance ?

8. Anticipated duration of the surveillance:

Start date:

End date:

9. Applicant's details:

Name:

Contact No:

Title:

Date:

Signature:

10. Authorising officer's recommendation:

I, _____, being satisfied that the proposed surveillance is necessary and proportionate, hereby authorise the surveillance outlined above.

Name:

Contact No:

Title:

Date:

Signature:

Communities Committee

Item No 10

Report title:	Enabling Communities
Date of meeting:	19 November 2014
Responsible Chief Officer:	Harold Bodmer, Director of Community Services
Strategic impact <p>This report provides the Communities Committee with information about the Council's approach to Enabling Communities, which is about co-ordinating and supporting new ways of working with communities across the authority in order to support Norfolk County Council's core functions.</p> <p>Members are asked to endorse the Council's approach to Enabling Communities.</p>	

Executive summary

<p>The aim of Enabling Communities is to create the conditions which allow communities to build resilience, develop and thrive with minimal intervention. Communities can be defined by place, identity or experience/interest.</p> <p>The council set up its Enabling Communities work for a number of reasons including: indications that residents want to see a Council that concentrates on its core business and enabled communities to play a bigger role in delivering services locally; to respond to the financial challenges the Council is facing; it is an important part of managing stakeholder and public expectations; it gives an opportunity to work closer with District, Parish and Town councils on community development and resilience; and to have a whole Council approach.</p> <p>The report outlines the Council's approach, the role of the Enabling Communities Group and gives some examples of work being undertaken across Norfolk.</p> <p>Recommendation:</p> <p>Members are asked to endorse the Council's approach to Enabling Communities and to note that this approach is about coordinating and supporting new ways of working with communities across the authority in order to support Norfolk County Council's core functions.</p>	
1.	Proposal
1.1	<p>This report provides the Communities Committee with information about the Council's approach to Enabling Communities, which is about co-ordinating and supporting new ways of working with communities across the authority in order to support Norfolk County Council's core functions.</p> <p>The aim of Enabling Communities is to create the conditions which allow communities to build resilience, develop. This requires a move to a community led approach, which will look and feel different for each community.</p> <p>The report outlines the role of the Enabling Communities Group and also gives some examples of work being undertaken across Norfolk.</p>

2.	Background
2.1	<p>The council set up its Enabling Communities work:</p> <ul style="list-style-type: none"> • Previous public engagement, eg the Blueprint consultation in 2010, indicated that residents want to see a Council that concentrates on its core business and enabled communities to play a bigger role in delivering services locally; • There is a clear need to empower Communities; • To respond to the financial challenges the Council is facing: smaller Council, smarter delivery. • It is an important part of managing stakeholder and public expectations, and helping to increase public satisfaction with the Council. • It gives an opportunity to work closer with District, Parish and Town councils on community development and resilience; • To support Members in their community leadership and advocacy role; • To help codify a number of activities across the Council and have a whole Council approach;
3.	Enabling Communities
3.1	<p>The aim of Enabling Communities is to create the conditions which allow communities to build resilience, develop and thrive with minimal intervention.</p> <p>This requires a move to a community led approach, which will look and feel different for each community.</p> <p>This means:</p> <ul style="list-style-type: none"> • Building on activities already taking place in local communities • Working with people and the aspirations of communities. • A change in the Council's relationship – listening not telling, working with not doing to. • Basing it on the assets in communities, ie Asset Based Community Development (ABCD). • A way of working for the Council rather than a structure, although it needs a structured approach. • Joining on the range of community development work already taking place across the council to avoid duplication and to maximise the benefits of this work for local communities. • A new relationship the Council wants to build with citizens. <p>It is not about providing activities or services, eg day centres.</p>
3.2	<p>Communities can be defined as:</p> <ul style="list-style-type: none"> • Communities of place - people who live in a defined geographical area with physical boundaries, such as a neighbourhood, housing estate or village. • Community of identity - a community that is defined by how people identify themselves or how society identifies them, for example young people, older people, faith groups, disabled people, ethnic groups or lesbian, gay and bisexual people, homeless, parents. • Communities of experience or interest - such as people who use a particular service, school pupils, patient groups, sport and leisure groups

	etc. Also included in this category is the business community.
4.	Enabling Communities Group
4.1	Harold Bodmer (Director of Community Services) has been the Chief Officer sponsor of Enabling Communities and the Enabling Communities group was set up in early 2014 with representation from all Departments, including Fire and Public Health. The group shares information, and ensures that local work is coordinated. It operates as a 'virtual team', its aim being to disseminate best practice and act as a county wide resource and not to direct the work which takes place, which is managed within separate departments.
4.2	<p>The group's functions, as agreed by the Chief Officers Group (COG) in February are:</p> <ul style="list-style-type: none"> • Ensuring that Enabling Communities is core council activity. • Leading on Community Engagement. • Ensure community development activities are effective and aligned with agreed priorities including equalities issues • Developing a cross council centre of expertise. • Linking community development activity across the council. • Signposting, mapping, analysis and advice. • Support Members to engage with their communities • Grant Funding Administration - for some grants.
4.3	<p>COG gave the group 'permission' to work differently and to try different things and agreed that the group's role was to co-ordinate activity around Enabling Communities, not to control it.</p> <p>The group will soon be launching an intranet site to enable people in NCC to share and access information about enabling communities. It has started mapping community development resourcing in NCC. The group is also looking into European Funding that it may be appropriate to bid for.</p>
4.4	The early help and prevention agenda is of particular importance in Adults and Children Services. Both services are currently changing their management structures and are each advertising for Assistant Director roles for Early Help and Prevention. These posts will support the work in their individual departments but are tasked to work together in developing local support for whole families. They will both play a part in the enabling communities work.
5.	Enabling Communities work
5.1	In this section are details of some examples of the work on Enabling Communities that are being undertaken. This is not a definitive list.
5.2	Diss Early Help Hub – A change to early help support for families by developing a multi-agency approach to focus services better and provide a 'one door' approach. There is a 'collaboration hub' where staff from various organisations (including Police, Job Centre Plus, Councils, Housing Associations, Health) are co-located in Long Stratton. This has been led by South Norfolk District Council.
5.3	Transformation Challenge Award Bid – The Norfolk bid is called Norfolk Communities First and is supported by a number of public, voluntary and community sector organisations including Norfolk County Council, South Norfolk Council, Great Yarmouth Borough Council, the Borough Council of King's Lynn and West Norfolk, Stonham Housing, Norfolk Constabulary, Job Centre Plus, Saffron Housing Trust, Norfolk and Suffolk NHS Foundation Trust and Diss High

	<p>School. The bid is based on a collaborative approach to early help, by both agencies and communities, which over time, shifts the focus and resource from the acute end of service delivery to intervening as early as possible to improve the outcomes for Norfolk communities as well as delivering a significant financial benefit. This builds on the local multi-agency pathfinder model in South Norfolk (see paragraph above) expanding this across the whole county, bringing together early help provision for children and young people and older people and families as well as building community capacity to support the early help approach.</p> <p>The outcome of the bid should be known at the end of November.</p>
5.4	<p>Development workers - The Development worker team is based in Adult Social Care and works with adults of all ages within the community with a place-based approach to coordinating services and activities around the client. The Development Workers also generate and create new groups, working with other teams or organisations, where there is a need, eg friendship groups, library groups and the Norwich History Group and provides the tools for groups to be self-sustaining. Some of these groups have developed into organisations, eg. First Focus Fakenham and Not About the Bike in Norwich. The team prevents people from needing to access substantial care packages by working on the individual's social needs and aspirations, including tackling social isolation and loneliness</p>
5.5	<p>Pub is The Hub (PiTH) – Adult Social Care and Economic Development have jointly contributed £0.030m to PiTH. PiTH is a nationwide organisation that encourages rural pub owners, licensees, and their communities to work together to support and retain local services helping to make their pubs the focal point by revitalising local services, and making them the hub of their communities. These pubs are often the only social significant business still running in many rural communities. Norfolk Rural Community Council are also involved in this. To date funding for three bids has been agreed from the NCC funding with more bids in the pipeline.</p>
5.6	<p>Norfolk Fire Service provides home fire-safety checks for vulnerable adults and older people, as well as Fire Cadets and Accelerate for younger people and work in the community training volunteers in fire safety</p>
5.7	<p>Public Health officially joined the Council in 2013 and its Health Improvement agenda encourages people to engage in smoking cessation, obesity reduction, eating and exercising well and having better sexual health. Healthy Communities is a health and wellbeing project, led by Public Health which supports communities to take local action, encouraging people in their community to lead healthier lifestyles. Healthy Communities supports a community-led approach to health improvement helping people to: identify the health and wellbeing issues that matter most to them; raise awareness of the factors affecting their wellbeing; and take the lead in shaping services and activities which meet local need.</p>
5.8	<p>Trading Standards operate:</p> <p>No Cold Calling Zones. This is a designated area where the resident community declare they no longer wish to accept traders calling at their homes without an appointment.</p> <p>Consumer Champions. A network of local volunteers which is on hand to help their community by offering consumer advice to neighbours and people in their</p>

	<p>local area, and directing them to the right organisation if they require further information. This is supported by Trading Standards.</p> <p>Trusted traders. The assured trader scheme that promotes and supports high-quality Norfolk businesses to Norfolk's residents to help them avoid rogue traders, and empower consumers</p>
5.9	<p>District Councils. District Councils deliver a number of successful community initiatives eg Family Connectors in Great Yarmouth, Grow Your Community in Broadland and the Time Credit Scheme in King's Lynn. These build on strengths within each community and lead to an increase in social action and capital. The local approach to community development is adapted to suit the local need and environment.</p> <p>The Family Connectors are neighbours to residents in the community, working on a peer level with people and families to create and/or maintain 'wellness' for themselves, linking people to others, or to activities where they can develop interests, skills and a sense of purpose, leading to improved and sustained wellbeing as well as accessing the help they need at an earlier stage.</p> <p>Time Credits are a social currency developed nationally by Spice, (a social enterprise). People can earn Time Credits for contributing their time to volunteer with a community group or initiative. Every Time Credit they earn can be spent to access community or commercial events, leisure or voluntary services.</p> <p>These community initiatives lead to significant benefits for local people, including: increased volunteering rates; increased confidence and skills; employment opportunities, enabling people to gain valuable work experience for the future without losing their right to critical benefits in the short-term; increased wellbeing (research shows that giving to others and doing something new makes us happy).</p> <p>There is much evidence to suggest that the most successful communities are those with strong social bonds, connection and cohesion.</p>
5.10	Care Act
5.10.1	<p>The Care Act 2014 requires local authorities from April 2015 to ensure the provision or arrangement of services, facilities or resources to help prevent, delay or reduce the development of needs for social care. The prevention duty extends to all people in a local authority's area, including carers, regardless of whether they have needs for care and support, or whether someone has had a needs or carer's assessment.</p> <p>A key element of the preventative approach envisaged by the act is for the local authority to support the person to make the most of the resources available to them in their community – for instance, local support networks or voluntary services – as well as to build and develop their own strengths and capabilities. This should apply whatever needs the person has.</p>
6.	Financial Implications
6.1	There are no financial implications arising from this report.
7.	Issues, risks and innovation
7.1	This report provides information on the Council's approach to Enabling Communities. Much of this work has a potential impact on people from one or more protected groups. The Council pays due regard to the need to eliminate

	unlawful discrimination, promote equality of opportunity and foster good relations.
7.2	There are no issues or risks directly arising from this report.
8.	Background Papers
8.1	There are no background papers relevant to the preparation of this report.

Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

Officer Name:

Tel No:

Email address:

Harold Bodmer

01603 223175

harold.bodmer@norfolk.gov.uk

Janice Dane

01603 223438

janice.dane@norfolk.gov.uk



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Communities Committee

Item No 11

Report title:	The Norfolk County Council Engagement Framework 2014-17
Date of meeting:	19 November 2014
Responsible Officer:	Debbie Bartlett
Strategic impact Excellent local authorities are able to listen and respond to the needs of all their citizens. A key element underpinning this is high quality 'engagement' – these are the many varied activities that support communication between the Council and citizens, visitors and anyone who has a stake in an area. Consistent engagement contributes towards good decision making and helps the Council meet its strategic ambition to 'put citizens at the heart of everything it does.'	

Executive summary

Our previous engagement strategy expired in 2014. This refreshed 'Engagement Framework' is designed to provide a helpful guide to the approach and principles that underpin high quality engagement from 2014-17 and is aimed at all departments.

The proposal (in section 1) is to refresh and reaffirm the principles, aims, strategic objectives and outcomes of the previous engagement strategy 2012-14. These objectives and outcomes are aligned to existing department strategies for example the Children's Services Involvement Strategy 2014-17, and we envisage the Framework will be influential as the Enabling Communities approach develops.

The report gives the context for engagement at the Council including examples of the different levels of activity undertaken. Section 1 says why we engage including our legal obligations, engagement's role in helping to build and enhance our reputation, its role in supporting representative democracy, and the business case for engagement.

The report contains an overview of the Framework's key strategic content and in section 2 evidence and examples of the difference engagement is making to the Council's work including two co-production case studies.

Recommendation: Members agree the Norfolk County Council Engagement Framework 2014-17

1. Proposal (or options)

1.1.1 Engagement is the word we use to describe a great number of activities that helps us communicate and have an active relationship with those living, working and visiting Norfolk. The five levels of engagement are:

- *Inform* – eg receiving information about Council services eg via Your Norfolk, through the media or social media
- *Consult* – taking part in budget consultations or proposals to change services

- *Involve* – taking part in developing services, quality assuring or monitoring them or getting involved in recruitment
- *Co-produce* – working with people as equal partners to design or commission a service
- *Empower* – transfer of assets to the community or groups taking on project in their area eg gritting, path cutting, road patrols

1.1.2 In Norfolk, we have a strong track record of engagement informing what we do, how we do it and with whom. This is important because communities are more likely to work with us positively if we are working with them rather than ‘doing to them.’ Norfolk, like all other authorities, faces many financial and service challenges ahead. Involving people who use a service in its future development and delivery creates better value, more targeted and effective services. This is an important consideration as budgets continue to be constrained.

1.1.3 The Council has an existing Engagement Framework which serves as a guide to departments’ approach to engagement with citizens. Having been agreed in 2012 it is now proposed to refresh this framework and extend its time horizon to 2014-2017. The refreshed Framework is attached at Appendix 1.

1.1.4 The previous Framework has been ‘streamlined’ and now contains the principles, aims, objectives and outcomes the Council needs to achieve – these are still highly relevant to the work of all departments. The context for engagement and evidence of its impact has been removed, updated and now appears in this report.

1.2 Main purpose and elements of the framework

1.2.1 Engagement helps the Council meet its legal duties. There is a legal obligation to consult with those who pay Council tax (residents) under the Local Government Act 1999. The importance of consultation was reaffirmed in 2011 with the re-issue of the best value guidance. Recent legal judgements nationally have underlined the importance of involving service users at an early and influential stage in policy development, ensuring there is a strong evidence base for policy rooted in what service users and our stakeholders think as we develop options for change.

1.2.2 Engagement can have a strong part to play in helping to build and enhance our reputation. For example, how well we are judged to work with our communities can make a big difference in how others, for example central government, see us and can strongly influence their desire to work with us. Good engagement is the bedrock for strong relationships with communities and helps build trust and confidence in us as a partner of choice. If we are perceived to be a helpful partner, communities are more likely to collaborate with us, share their ideas and be part of the solutions.

1.2.3 Engagement also supports representative democracy. Citizens engaged in local issues are more likely to vote in local elections because they have a more tangible stake in them. Elected members can and do play an important leadership role in the engagement process, for example by acting as advocates between communities, partners and the Council and by helping communities to find solutions to issues identified by them locally.

1.2.4 There is a strong business case for engagement. For example, involving service users when we design, develop and deliver services means they are much more likely to address people’s needs. There will also be a better chance of people using the

services and so help us save money by not providing things people don't need. Engagement helps us understand communities better and our strategies are better and more targeted when they involve the people they are aimed at. Engagement also helps build positive and collaborative relationships – this is vital when implementing policies for example working with our partners to deliver services or help explain how things work.

1.2.5 The Council's Engagement Framework provides a set of principles and standards to guide the work of all our departments. These principles have remained unchanged since the strategy was developed. They are still highly relevant to work of the authority and this refreshed document is an opportunity to reaffirm these going forward. To ensure our engagement is high quality, we are committed to the following principles. Our engagement will always be:

- Clear
- Identify the need
- Consider other options / information
- Consistent
- Accountable
- Purposeful
- Honest
- Open
- Accessible
- Inclusive
- Flexible
- Safe
- Efficient
- Supported
- Evaluated
- Shared
- Improved

1.2.6 The strategic objectives and outcomes are aligned to existing department strategies for example the Children's Services Involvement Strategy 2014-17 and we envisage the Framework will be influential as the Enabling Communities approach develops. The strategic objectives are:

- SO1 To create a consistent and shared understanding of engagement, its impact and the role it plays in service design
- SO2 To increase the skills and confidence of NCC staff to consult, involve, engage and co-produce - particularly in commissioning
- SO3 To ensure the Council achieves value for money in its consultation and engagement activities and reduces duplication
- SO4 To support excellence in engagement activities by sharing best practice.
- SO5 To support members to engage with their communities
- SO6 To encourage innovation and try out new ways to engage with new and larger audiences
- SO7 To enable all communities to have their say.

1.2.7 The outcomes are:

- O1 Citizens feel involved, because they are able to influence decision making, help develop and improve services and can take on greater responsibility for the benefit of the community
- O2 A diverse range of communities are involved with the Council
- O3 Communities are engaged using a variety of ways, in a location that suits them and at a time they are able to attend
- O4 Communities know about Norfolk County Council Services and how to get involved with them
- O5 Norfolk County Council staff and our elected members feel supported to engage with communities
- O6 County Council consultation and engagement activities are efficient, effective and value for money.

1.2.8 Having reviewed these principles, objectives and outcomes they are still considered to be relevant and provide a sound framework for the Council's engagement activities.

2. Evidence

2.1 Engagement activities are broad. We engage when we involve service users and others in the design, development and delivery of services, in the commissioning process, quality assurance, in development of strategies and policies and when we consult on changes we propose to make.

2.2 Involving people who use a service in its further development and delivery creates better value and more targeted and effective services. The two case studies below help illustrate this:

2.3 Case study 1 – Working with people with learning difficulties to co-produce bus information

Opening Doors, a self-advocacy group for people with learning difficulties in Norwich, were unhappy about lack of information about changes to bus services. As more changes were planned as part of the Better Bus Area project, our transport team visited the group to see how they could work together with the group to improve things. The transport team and Opening Doors first looked at the signage at the bus stops, timetables and destination finder and made changes to the information to make it easier for people with learning difficulties to understand. The project then developed further, with us co-producing an easy-read guide on how to use the bus and also supporting people with learning difficulties to train others to use the bus information. Through working together on this project people with learning difficulties are now more confident and safer using the bus and the Council has increased satisfaction with its services

2.4 Case study 2 - Working with families to improve services for children and young people with Special Educational Needs and Disabilities

The Children and Families Act introduced significant changes to health, education and social care services for children and young people with Special Educational Needs and Disabilities (SEND). In Norfolk we co-produced our response to the new law, with parents from Family Voice Norfolk (who sat on the Project Board) and were involved in all the work to develop new processes, paperwork and resources. Parents helped to deliver awareness raising events with health and education colleagues, and they sat on recruitment panels for new positions. Engagement with children and young people with SEND informed our new ways of working and our Local Offer website. This approach has resulted in new ways of working that put the needs of the child at the heart of what we do, and makes it easier for parents and young people to find out about the support available. The Department for Education has commended us on the way we have worked with families and our health colleagues to implement the changes.

2.5 The Council has a strong track record of delivering high quality engagement and has received national recognition for our work. For example, we have achieved awards for excellence in youth involvement for our Youth Advisory Boards (2011), our corporate budget consultations (2012) and for our innovative work with older people through Participatory Budgeting (2012). This year Norfolk achieved one of the highest levels of 11-18 year old engagement in the country through voting in the Youth Parliament elections and participation in the Make Your Mark campaign to identify the most important issues to young people in Norfolk. Our Members of Youth Parliament are now working with teams across the Council to find solutions to the issues young people have raised.

2.6 We also have a good record of working with our partners to deliver engagement. For example, during the 2013 Norfolk Putting People First budget consultation we worked with partners to deliver events to many different communities. This helped us meet commitments under the Equality Duty ensuring we involved different groups for example older and young people, disabled people and others – the budget consultation events delivered around 25% of those taking part in the consultation overall. Such involvement is important as to ignore groups that may be affected by service change leaves the authority open to costly and time consuming legal challenge, with consequent negative impacts on our reputation.

2.7 Attached at Appendix 2 is a small selection, by level of engagement, of the wide variety of engagement activity the authority has undertaken in the last 12 months.

2.8 The delivery of this Framework will be supported by the Consultation and Community Relations (CCR) team. This is a small corporate team of engagement professionals that support teams across the Council to engage well. This is achieved in the following ways:

- Maintaining engagement standards
- Supporting involvement in commissioning
- Through practical help and support
- By building strong partner relationships
- Sharing learning with others
- Making best use of resources
- Delivering corporate consultations like the budget

2.9 The CCR team have most recently been involved in the development of the Children's Services Involvement Strategy 2014-17, a priority in the Children's Plan and helping us meet our commitment to be an outstanding deliverer of Children's Services.

3. Financial Implications

There are no additional financial implications with this report.

4. Issues, risks and innovation

4.1 Other resource implications (staff, property) – The resources for delivering this Framework are found across the Council, since elected members and many staff have responsibilities to engage and consult the people they work for and with. Other resources are located in partner organisations. It should be noted that engagement activities are not cost neutral and teams need to factor in costs when planning service development and redesign.

4.2 Legal implications - Some services provided by local authorities are required to be consulted on by law if changes to them are proposed or if it is proposed they be withdrawn.

4.3 Risks – Some of the risks of not having a framework to guide engagement are:

- Poor engagement practice can lead to legal challenge, especially where we are legally obliged to consult
- Services that are not focused on the user are likely to be poorer, worse value for money and may need to be redesigned as a consequence leading to greater expense
- Public perceptions that the Council does not listen makes it harder for us to establish good working relationships and can make policy making problematic

4.4 Equality – This Framework provides a clear guide for how the Council will engage with service users and residents, many of which may be potentially vulnerable in some way, or have specific access needs, which may significantly impact on how the Council can communicate and engage with them effectively. For example, disabled service users may have very specific and different access needs such as accessible information and discussion venues. Older people may also have specific access needs, and may prefer particular types of communication methods. Younger people may greatly prefer some communication methods over others, such as social media, and other groups may be 'harder-to-reach' than the mainstream population, or be apprehensive about engaging with a public body. The Framework sets out how these issues will be dealt

with, and states the importance of engaging with those that are under-represented in order to have their say.

4.5 Human rights implications – Article 8 of the Human Rights Act refers to the right to respect for private and family life, home and correspondence. This is an important consideration when proposals are made to change or withdraw services that may have a detrimental impact on the user's private and family life. In such circumstances, the authority is sometimes legally obliged to consult.

4.6 Environmental implications – None

4.7 Health and safety issues - None

5. Background

This Engagement Framework 2014-17 supersedes the previous engagement strategy which expired in April 2014.

Officer Contact

If you have any questions about matters contained or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

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

Officer Name: Paul Jackson Tel No: x228999 Email address:
paul.jackson2@norfolk.gov.uk



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Engagement Framework 2014-2017

This framework, originally agreed in 2012 and with a two year lifespan, has been refreshed to extend its time horizon from 2014-2017. It is designed to provide a helpful guide for the council to engage with all our citizens in an effective and consistent way.

1. Scope

1.1 This framework describes the aim of community engagement at Norfolk County Council, the objectives, the outcomes we want to achieve and the principles that will guide our activities.

1.2 Community engagement is most successful when delivered in partnership with voluntary and community sector groups and with statutory partners and others. Where possible, we will seek opportunities to work through existing structures to deliver engagement, reduce the consultation burden on residents and achieve greater value for money.

1.3 In Norfolk we recognise that people generally belong to more than one community and that our communities can be very diverse. This is a great asset for Norfolk as it brings vibrancy to our county.

1.4 By '*communities*', we understand this can be:

- a. Communities of place - people who live in a defined geographical area with physical boundaries, such as a neighbourhood, housing estate or village.
- b. Communities of identity - a community defined by how people identify themselves or how society identifies them, for example young people, older people, faith groups, disabled people, ethnic groups or lesbian, gay, bisexual or trans people.
- c. Communities of experience or interest - people who use a particular service, school pupils, patient groups, sport and leisure groups etc. and the business community.
- d. Communities of purpose –people who join together to rally for a common cause, about which they feel strongly. They are enabled and empowered to take action to improve, influence or achieve something e.g. organise a petition for a local bypass.

1.5 By ‘community engagement’, we mean:

‘... giving people of all ages and communities a voice and making sure it is heard and acted on – involving them in decisions that affect them and making sure they can take part in different ways. The community engagement process is best when it is two way, and can be a powerful way to make change, bring people together and develop their skills.’

1.6 We acknowledge that different people have different priorities and may wish to engage with us on a variety of levels depending on their wants, needs and interests. For example, some may be content to stay informed about the work of the council, where others will want to get more involved by making their voices heard with decision makers or by taking an active part in shaping the services they receive.

1.7 We use ‘community engagement’ as a term to cover all activities that support communications between us and citizens, visitors and other key stakeholders in the county. Community engagement is critical to develop and deliver high quality services that people want. In addition, the engagement process helps to shape user’s experience of the council and how people see us.

1.8 Levels of community engagement

People often describe the different levels of community engagement as rungs on a ladder. This comes from the work of Arnstein and Hart and their ladders of participation. We have chosen to describe our community engagement in five levels. These are:

a) Informing

This is the simplest level of community engagement and is about providing clear, accurate information about our work and our services to local people and stakeholders. Information underpins all other levels of involvement and it is essential that people are given information about the issues they are being engaged in so that they can make informed choices. We must also make sure that we give people feedback when their engagement is finished.

b) Consulting

We are consulting when we ask people to comment or respond to our draft policies, strategies or approaches. This includes listening to people’s comments, carefully considering them and being prepared to take on board their suggestions. We may or may not change things as a result, but we will make sure that we report fully on our decision and feed back how the consultation results were used.

c) Involving

We invite stakeholders, people who use our services or citizens to become involved in helping to develop services, policies or plans from the start and we jointly agree with them the basis on which we work to achieve things.

d) Co-producing

We work together with stakeholders, people who use services or citizens to decide what is best and then form a partnership to carry it out and share responsibility.

e) Empowering

This is the most ambitious level of engagement and aims to empower people. Our role here is to help local groups or organisations to develop and implement their own plans. This can be through giving funds, advice and other support.

1.9 We believe that each of these levels of activity is valuable in their own right. What is important is that we plan engagement to meet the needs of each situation. We acknowledge that engagement takes a variety of forms and staff might be doing one, two or all of the above activities at the same time.

1.10 'Consultation', 'public involvement' 'participation' and 'research' are all words that we use to describe community engagement activities. However each term refers to a different form of involvement taking place at a different level and we must be clear about what we mean to avoid confusion.

2. Aim

2.1 This framework aims to support community engagement activity that is high quality, respectful of communities, value for money and enables:

- a. Communities to have a voice, be influential and feel empowered
- b. The council to deliver its ambitions and priorities, and also, to encourage a diverse range of people to take part including those not previously involved.

3. Objectives

The strategic objectives to guide engagement are as follows:

- SO1 To create a consistent and shared understanding of engagement, its impact and the role it plays in service design
- SO2 To increase the skills and confidence of NCC staff to consult, involve, engage and co-produce - particularly in commissioning
- SO3 To ensure the council achieves value for money in its consultation and engagement activities and reduces duplication
- SO4 To support excellence in engagement activities by sharing best practice.

- SO5 To support members to engage with their communities
- SO6 To encourage innovation and try out new ways to engage with new and larger audiences
- SO7 To enable all communities to have their say.

4. Outcomes

4.1 The outcomes this framework supports are:

- O1 Citizens feel involved, because they are able to influence decision making, help develop and improve services and can take on greater responsibility for the benefit of the community
- O2 A diverse range of communities are involved with the council
- O3 Communities are engaged using a variety of ways, in a location that suits them and at a time they are able to attend
- O4 Communities know about Norfolk County Council Services and how to get involved with them
- O5 Norfolk County Council staff and our elected members feel supported to engage with communities
- O6 County Council consultation and engagement activities are efficient, effective and value for money.

5. Principles

We will use the following principles as the basis for our community engagement work:

5.1 Clear – We will be clear about what activities we are carrying out. For example, we will be honest about whether we are informing, consulting, involving or co-producing.

5.2 Identify the need - We will be clear about the need to engage with the community by:

- a) Being clear about the identified need or knowledge gap
- b) Involving the community at the earliest stage in the process
- c) Identify and justify the target audience
- d) Produce a clear project plan with deadlines including details of when results and actions will be available.

5.3 Consider other options / information

- a) Where possible, look to coordinate consultation
- b) Identify if there has been recent research – sharing results
- c) Sharing common intelligence
- d) Forward planning – where possible linking consultation to the business planning cycle.

5.4 Consistent – We are committed to involving citizens in all aspects of our work. These principles apply to the way we involve and consult across the board, including the way that we involve our own staff in decisions that affect their working lives.

5.5 Accountable – We will make sure that we feed citizen’s views into decisions, policies and service developments and we will demonstrate and communicate what has changed as a result of community engagement.

5.6 Purposeful – We will only carry out engagement when there is a clear purpose. For example:

- a) Stakeholders themselves want to be involved
- b) The policy or strategy will have a direct impact on stakeholders' lives
- c) We have identified a gap in our knowledge
- d) There is a statutory requirement.

5.7 Honest – When involving and consulting we will be honest about:

- a) What we are doing.
- b) Why we are doing it.
- c) What level of commitment we are asking from participants.
- d) Be clear about individual responsibilities (that is both those asking and those responding).
- e) Only consult on what is achievable.
- f) How we will use our findings.
- g) How this feeds into our decision-making process.
- h) How we will feed back.

5.8 Open – We will make sure that our full council and committee meetings are held in public and that stakeholders can easily access the records of our meetings. We will also increase the opportunities for stakeholders to be involved.

5.9 Accessible – We will make sure that engagement is accessible by:

- a) Using plain English in any documents we publish.
- b) Using the right methods of engagement for the right audiences.
- c) Making sure any publications follow the guidelines in “Accessibility Matters – Norfolk Guidelines on Making Information accessible”.
- d) Actively promoting materials in a range of formats, for example on tape, in Braille, using Widget or in large print.
- e) Using venues that are easy to get to and held at times and places that are appropriate to the participants, following “Accessibility Matters 2 – Norfolk Guidelines on Making Public Events Accessible”.

5.10 Inclusive – We will be inclusive by:

- a) Making extra efforts to involve people whose views have been under-represented in the past.
- b) Making sure that people are not excluded from engagement processes through circumstances. This might mean providing crèches or carer support, hearing loop systems, language signers and holding meetings at appropriate times and in appropriate venues.
- c) Making sure that no participants are out-of-pocket for taking part in involvement activities.
- d) Ensuring consultees have the necessary information to participate effectively.
- e) Enabling people to participate through building their capacity or by providing advocacy arrangements.
- f) Communicating using plain English, avoiding jargon and abbreviations
- g) Making sure the consultation is widely communicated to the target audience
- h) Making sure information is available on request in large print or other formats (e.g. audio tape) and in both paper and electronic formats.
- i) Making efforts to give those living in rural locations the same opportunity to participate as those living in built up areas

5.11 Flexible – We will endeavour to provide a flexible approach by:

- a) Making sure that we allow enough time and space so that participants can contribute.
- b) Where we have time constraints, making this clear and explaining the reasons why.
- c) Making sure, where possible, to involve stakeholders at the earliest stages in the planning of services and projects rather than simply consulting them about pre-determined options.
- d) Giving people the chance to get involved in ways that suit them best by offering a range of ways they can respond.
- e) Making sure, within reason, everyone who wants to take part can do so.
- f) Giving people enough time to take part.
- g) Working within the Compact Code of Practice when involving voluntary and community groups.
- h) Undertake robust research that can stand up to scrutiny.

5.12 Safe – We will make sure that participants are safe and their views respected by:

- a) Making sure that we consider the needs of vulnerable participants.
- b) Respecting what participants tell us in confidence.
- c) Complying with the Data Protection Act 1998.
- d) Recognising our duties under the Freedom of Information Act 2000.

5.13 Efficient - We will co-ordinate and link our community engagement activities where appropriate to help avoid duplication of effort, time and resources. We will take an active part in countywide activities and networks intended to achieve cost effectiveness.

5.14 Supported – We will make sure that elected members and staff undertaking public involvement activities are properly supported resourced and trained.

5.15 Evaluated – We will make sure that we build evaluation and monitoring into our consultation planning so that there is a way of measuring whether the outcomes have impacted on policy and strategy development.

5.16 Shared – We will make the results of engagement available to participants, partners and wherever possible, the general public and other key stakeholders in Norfolk.

5.17 Improved – We will learn lessons from our own activities and those conducted elsewhere so that we share, promote and publicise good practice and innovation in engagement.

6. How we will use the framework

6.1 This framework provides a reference point for consultation, involvement and engagement activities carried out by Norfolk County Council. We will therefore publicise it widely within the council and with our partners.

6.2 We will use this framework to establish a consistent approach to engagement across the council. This will help us build and maintain relationships with Norfolk's many and diverse communities and partners as they will know what to expect from us when we engage. The framework states a set of principles that all services need to follow when consulting, involving and engaging – these are consistent with other engagement strategies that exist in departments.

6.3 Staff should use this framework, and any supporting departmental frameworks to understand their role in community engagement and to find out how to access the tools and support they need.

7. How we will measure success

7.1 Alongside other councils, NCC uses the former National Indicator (NI) 4 measure, 'The percentage of people who feel they can influence decisions in their local area' as a key indicator to measure the effectiveness of community engagement activities. We will continue to use NI4 when asking for people's opinions about the council in surveys such as the Customer Satisfaction Tracker. This measure is included in the quarterly performance monitoring report taken to the Communities Committee alongside other measures listed below:

- The percentage of residents from protected characteristic groups who feel they can influence decisions affecting their local area
- The percentage of Your Voice members who feel they can influence local decision making
- The percentage of Your Voice members who would recommend Your Voice to a friend

- Percentage of young people voting in the annual Make Your Mark ballot
- 8 Delivery / resources**

8.1 The Enabling Communities Group has oversight for the delivery of this framework.

8.2 Resources for delivering this framework are found across the council, since elected members and many staff have responsibilities to engage and consult the people they work for and with. Other resources are located in partner organisations.

8.3 However, the principal resource for delivering the framework is the Consultation and Community Relations team. The team provides professional advice, expertise and good practice in engagement, supports the delivery of our transformation programmes and on-going department engagement needs.

8.4 The Consultation and Community Relations team supports both corporate and departmental consultation, involvement and engagement. It also has a role to help build relationships with groups in the community that have protected characteristics under the Equality Act. It provides a shared resource of strategic and specialist advice and practical support. It manages tools which are shared across the council – for example the use of social media, web resources such as CitizenSpace and the Your Voice panel. In addition, it provides dedicated resource to support service transformation at Norfolk County Council.

8.5 Individual services are fully committed to engage service users in service activities including service transformation as part of day to day operations and in the delivery of service objectives. However these activities are not resource neutral and can be demanding and take additional time.

9 Next steps – and reviewing progress

9.1 We will review this framework as required. In the future we aim to replace it with a new Engagement Strategy. We see our Community Engagement Steering Group continuing to play an important role in implementing the framework.

Appendix 2 - examples of engagement activity the authority has undertaken in the last 12 months:

Informing

- Your Norfolk residents newsletter sent to all households and Your Norfolk Extra emailed to subscribers
- Norfolk County Council's website www.norfolk.gov.uk
- Norfolk County Council's social media accounts (Twitter, Facebook, Flickr)
- Leaflets and information about specific services.

Consulting

- Consultation with stakeholders on Environment, Transport and Development's Permit Scheme
- Consultation on Customer Access Strategy
- Norfolk Putting People First consultation on budget and services
- Consulting on Fire and Rescue's Integrated Risk Management Plan
- Consultation on library opening hours
- Consulting readers in the redesign of Your Norfolk residents magazine
- Consultation on changes to primary phase education in Wymondham, North Thetford and Great Yarmouth.
- Consultation on changes to and the closure of individual schools.
- Consultation with Early Years Providers about how the funding formula.

Involving

- Community Services involving people who use services in developing 'help@home'
- Recruiting Your Voice members as mystery shoppers to test our Customer Services
- Involving stakeholders in decision making as part of the Local Access Forum
- Engaging with residents and others in the community over plans for use of former RAF Coltishall
- Engaging residents in Diss through surveys and meetings about local travel issues
- Involved young people in the recruitment of social workers.

Co-producing

- Working with womens' organisations to create an event celebrating International Women's Day and with Learning Disability groups to co-produce Learning Disabilities Week celebration event
- Co-produced implementation of Children and Families Act with parents from Family Voice Norfolk.
- Working with young people to create a newspaper supplement that shares their experiences of growing up in Norfolk

Communities Committee

Item No 12

Report title:	Compliments and Complaints Performance Review: April 2013 – March 2014
Date of meeting:	19 November 2014
Responsible Chief Officer:	Tom McCabe
Strategic impact Complaints management is a statutory function of the County Council and the Compliments and Complaints team ensure all formal complaints are appropriately responded to in line with either the NCC Corporate Complaints or applicable statutory complaints procedures. This report outlines the main activities of the Compliments and Complaints team for the financial year 2013 – 2014. Members are asked to consider the compliments and complaints data and information.	

1. Executive Summary

This report covers the number, and spread, of complaints and compliments received throughout 2013-14 and NCC performance in dealing with these.

This report demonstrates:

- The volume of total contacts received this year compared to the previous year has increased by 13%
- The ratio of compliments to complaints across Norfolk County Council (NCC) is approximately 1:2.44
- 88% of customers had their complaints resolved satisfactorily at the earliest opportunity without progressing to a formal process stage
- 15% of complaints this year have been fully upheld
- The average cost of each complaint resolved 2013-14, compared to 2012-13 has dropped by £28 (more cases have been resolved with the same resource).

Recommendations:

Committee is asked to consider the compliments and complaints performance and information for the financial year 2013 – 2014.

2. Report

- 2.1 The Compliments and Complaints Team provides a single point of contact for customers to feedback their perceptions of the services provided by the County Council. The team ensure that all formal complaints are appropriately responded to in line with either the NCC Corporate Complaints or applicable statutory complaints procedures.
- 2.2 Compliments and complaints provide Norfolk County Council (NCC) with an insight into customer experiences regarding our services and how they are perceived. Detailed compliment and complaint information is reported regularly to individual service departments, and service specific information has also been provided to other Committees.
- 2.3 **Summary Information – Complaints and Compliments**

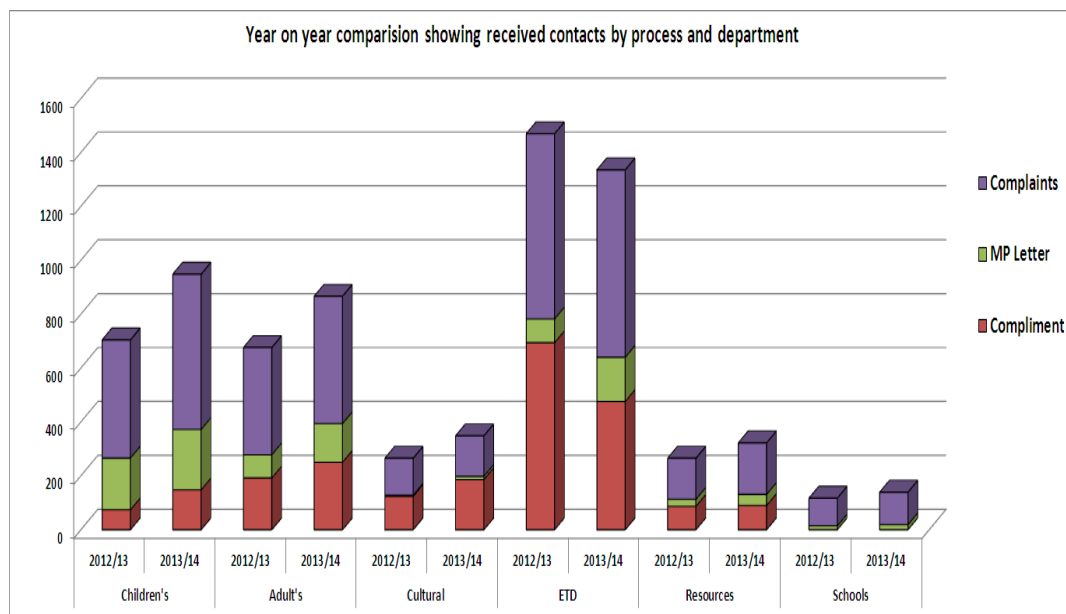


Figure 1 Volumes

- 2.4 The breakdown of the total number of contacts received by service department is shown in Figure 1. In 2013 – 2014, we dealt with a total of **3958** contacts from people who said they wanted to compliment us or make a complaint. This compares with **3496** for the 2012-13 year and represents a 13% increase.
- 2.5 Annual reports have been provided to service departments detailing complaints data, trends and breakdowns for use at their Performance Boards. In addition, regular updates were given highlighting volumes and latest trends, some seasonally related.
- 2.5.1 **Children's Services:** The total volume of contacts has gone up by 35%; complaints have increased by 32%, MP enquiries by 17% and compliments by 50%, which is an excellent achievement and reflective of the transformation work in that department.
- 2.5.2 **Adult Services:** Adult Care has seen a 28% rise in the number of people contacting the service. Complaints have risen by 19%, MP enquiries by 67% and compliments by 30%.
- 2.5.3 **Cultural Services:** The number of contacts has risen by 31%. Complaint volumes have remained fairly consistent with a 9%.

increase. MP enquiries were very low, only 12 received during the year. Compliments have risen by 50%.

2.5.4 **Environment, Transport and Development (ETD):** There has been a 9% drop in the number of contacts this year compared to last. Complaint volumes have risen marginally by 1% and MP enquiries have risen by 67%. Compliments have dropped by 31%.

2.5.5 **Corporate Resources:** The volume of contacts has risen by 22%. There has been a 26% increase in complaints, a 57% increase in MP enquiries and a minor rise in compliments of 3%.

2.5.6 **Schools:** Complainants are signposted to individual schools regarding school complaints. This year's volumes of 120 complaints and 19 MP enquiries are comparable to last year's numbers of 103 and 14 respectively. The Compliments and Complaints team is now only called upon to offer advice to schools on the most complex cases.

2.6 In addition to the main service departments covered above, the Complaints team received 140 contacts relating to other areas. This represents a 15% increase compared to the previous year when 122 were received. The majority of these (111) were issues passed on to district councils. The remainder included third party concerns, mainly related to NORSE, where the individual volumes are very low.

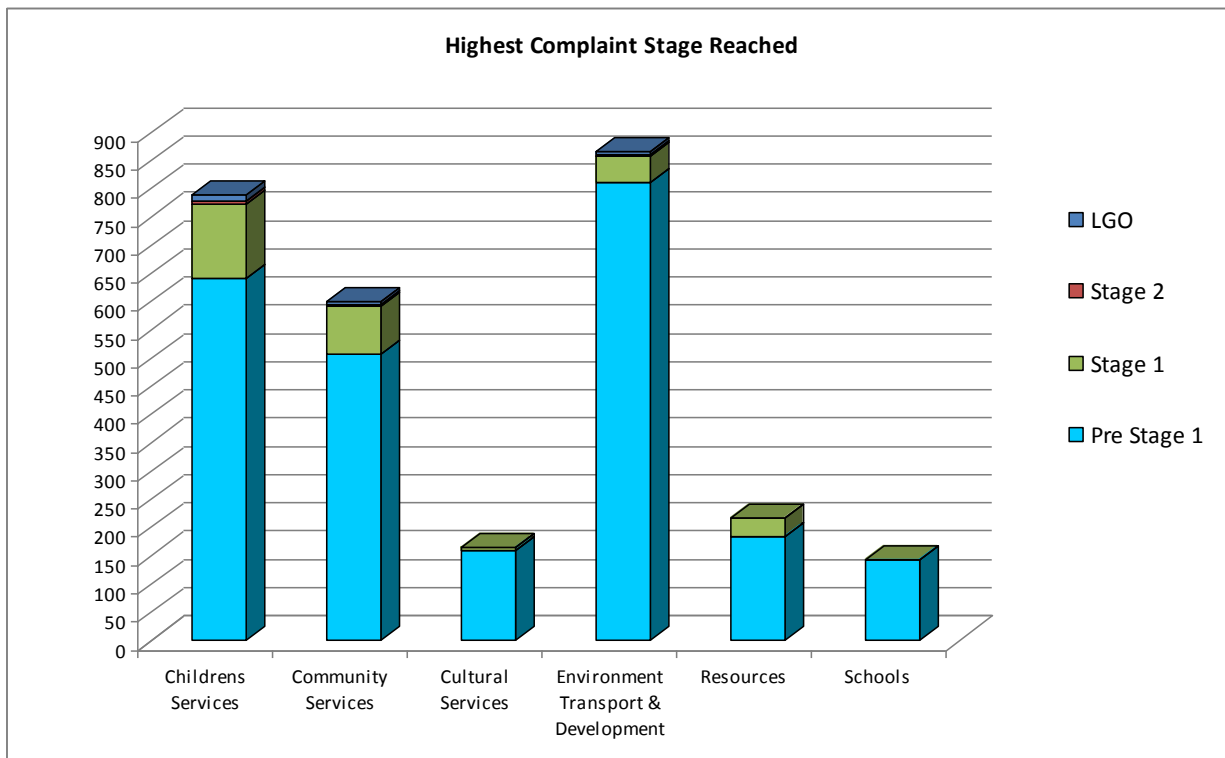


Figure 2 Complaint Complexity

2.7 Figure 2 shows the highest stage reached for resolved complaints, broken down by service department. Whilst people contacting us to complain about any element of our service are always made aware of their ability to raise a formal complaint – triggering the NCC formal complaint process - we aim to handle these first, informal, contacts in such a way that people are satisfied with the response they get and so do not feel the need to press on with a formal complaint. The graph shows the vast majority of contacts are successfully handled before entering the formal process and following the table below show the departmental split.

Department	Target for informal resolution	Actual informal resolution	Status R/A/G
Children's Services	75%	83%	G
Adults Services	75%	81%	G
Cultural Services	75%	91%	G
EDT	75%	94%	G
Resources	75%	88%	G

2.8 During the 2013 – 2014 financial year in total, 88% of contacts were resolved at the informal stage compared to 78% for the 2012-13.

2.8.1 **Children's Services:** year on year, the volume of complaints resolved at a formal stage has fallen from 184 to 149. More complaints are being resolved at the informal stage due to thorough analysis taking place at the earliest opportunity. Four cases have been handled at Stage 2 and none have progressed to Stage 3. Twelve cases were referred to the Local Government Ombudsman (LGO). In three of these cases, the LGO agreed with our previous decision to uphold the complaints raised. No other remedy was required. None of the other cases were upheld.

2.8.2 **Adult Services:** This year, only 15% of complaints resolved were done so at the formal stages of the complaints process. This compares well to the 28% figure from the previous year. Two cases were handled at Stage 2, none at Stage 3 and 5 were referred to the LGO. In one of the cases, the LGO agreed with our decision to uphold the complaint and no further remedy was required.

2.8.3 **Cultural Services:** Only five cases (3%) of complaints were resolved at the formal stages of the complaints process, all at Stage 1. No cases were referred to the LGO.

2.8.4 **ETD:** 55 (6%) complaints were handled at the formal complaints stages. Two cases were handled at Stage 2. Of the six cases referred to the LGO, none were upheld.

2.8.5 **Corporate Resources:** 57 of the 181 (31%) complaints received were resolved at the formal stages. This year, 33 (15%) of complaints have reached Stage 1. No cases reached Stage 2 or 3. No cases were referred to the LGO.

2.8.6 **Schools:** Of the 118 and 138 complaints received in the last two years respectively, only two cases in each year have been resolved at Stage 1 of the complaints process.

2.9 92% of informal cases were responded to within the 15 day timescale. 70% of formal complaints (Stage 1 and Stage 2) were also responded to within timescale, 91% of Children Act complaints were handled within the 10 day timescale and 100% of Health and Social Care complaints were handled within the six month timescale. All LGO cases were responded to within deadlines.

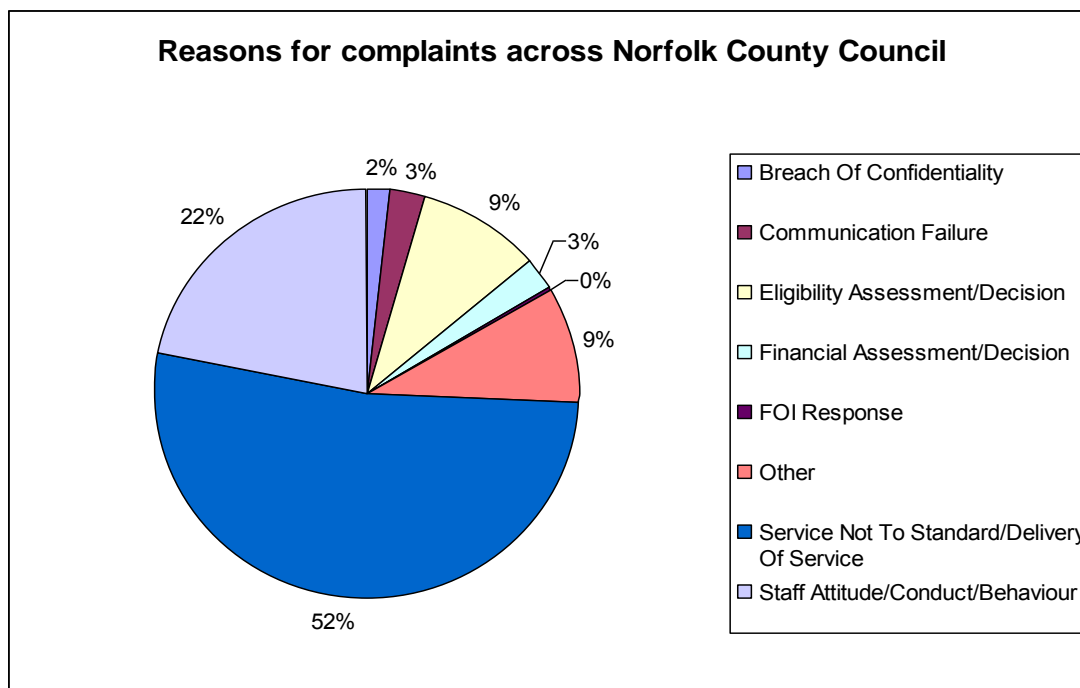
2.10 Fewer cases are progressing to formal stages because we are resolving more through the informal processes. The increased time taken to deal with formal complaints is as a result of the more complex nature of cases.

Figure 4 – Complaint Outcomes

Resolution stage	Complaint Outcome					
	Not Upheld	No Judgement	Not Applicable	Partially Upheld	Upheld	Total
Informal	730	310	1061	130	209	2439
Stage 1	145	32		74	54	305
Stage 2	4	1		2	1	8
Stage 3						
LGO	15	4		3	1	23
Total	894 (32%)	347 (12.5%)	1061 (38%)	209 (7.5%)	265 (9.5%)	2776

- 2.11 The information in Figure 3 shows the outcome decision for contacts resolved at each stage. “No judgement” is given where a decision cannot be made because there is insufficient evidence to come to a conclusion. “Not applicable” is used where a decision is not required particularly when dealing with a Member of Parliament enquiry. If the “Not Applicable” cases are taken out of the equation, then 72% of cases were either not upheld or there was not enough evidence to reach a decision and 28% of cases were either partially or fully upheld (compared to 33% for fy2012/13).
- 2.12 Where it is clear there has been an error or omission on the part of the Council, we apologise to the customer, endeavour to put the situation right as quickly as possible, and learn from any mistakes.

Figure 5 – Complaint Reason



- 2.13 Figure 5 illustrates the reasons for the contact with the Compliments and Complaints team, across all departments. The departmental split is shown in Appendix A. The most common reason for contact, is a ‘service provision or service delivery not being to the standard’ of customers expectations. The second largest cause for concern relates to ‘staff attitude and behaviour’. This is consistent with previous reports. It is important to bear in mind customer’s perceptions of service varies and, as mentioned above,

only 9.5% of complaints are fully upheld, however this indicates that Norfolk County Council could improve in managing customer expectations of the service they will receive.

- 2.14 The breakdown of contacts by the process used to respond to them, in this period, is:

Department	Contact
Children's Services	<ul style="list-style-type: none"> 6% (49 contacts) were responded to under the Children Act process 66% (518) were under NCC's corporate procedures 28% (222) were MP enquiries. Although this figure is 33 complaints higher than fy2012/13, there is a 1% reduction of total contacts.
Environmental, Transport and Development	<ul style="list-style-type: none"> 81% (699 contacts) were responded to under NCC's corporate procedures 19% (167) were MP enquiries
Adult Social Care:	<ul style="list-style-type: none"> 46% (273 contacts) were responded to under NCC's corporate procedures 31% (187) under health and social care procedures 23% (137) were MP enquiries
Cultural Services:	<ul style="list-style-type: none"> 89% (145 contacts) were responded to under NCC's corporate procedures 1% (13) were MP enquiries
Resources	<ul style="list-style-type: none"> 65% (149 contacts) were responded to under NCC's corporate procedures. 18% (41) were MP enquiries 17% (36) were Freedom of Information appeals.

- 2.15 We receive significant number of complaints from MPs usually representing the views of their constituents, or following up on complaints which have already been lodged. In order to improve the efficiency of being able to deal with MP complaints, the Complaints departments have made significant efforts to meet, and work with, MP's case workers.

Compliments

- 2.16 The breakdown of the total number of compliments received by service department during this period is shown in Figure 6.

Figure 6 – Compliments by department

Department	Compliments received	
	2012/2013	2013/2014
Children's Services	74	148
Community Services	192	250
Cultural Services	124	186
Environment Transport & Development	694	476
Resources	87	90

- 2.17 A compliment has to be evidenced by an email, a letter or a note from a telephone conversation. The ratio of compliments to complaints is 1:2.44. Overall, this is a positive result given the challenges NCC have addressed over the last year, particularly in Children's and Community Services. The

fall in compliments in ETD is attributable to Environment and Waste due to the changes to the operation of the recycling centres.

- 2.18 Some examples of compliments received, from the general public and from other professionals are shown in Appendix B.
- 2.19 Improvements to processes have resulted in 13% more cases being resolved this year compared to last year at a 17% reduction in cost per case.
- 2.20 The team continues to build robust working relationships externally and internally and look for opportunities to:
- Further support all service departments.
 - Identify enhancements to our own processes to maintain the results achieved regarding efficiencies.
- 2.21 The Local Government Ombudsman has not reported any cases of maladministration this year.

3 Financial Implications

3.1 Cost of Complaints for FY 2013/14

The resource allocation cost is the proportionate cost of the complaints team for 2013 – 2014 in handling and resolving the respective services' complaints and is based on the volume and complexity of the complaints received.

Department	Adult Social Care	Children's Services	Corporate Resources	Cultural Services	ETD
Resource allocation cost	£106,547	£150,976	£30,472	£11,781	£66,920
Average cost per complaint (2012/13 cost)	£178 (£210) ↓	£191 (£233) ↓	£140 (£185) ↓	£72 (£84) ↓	£77 (£94) ↓
Average cost per complaint responded to April 2013 – March 2014				£139 ↓	
Average cost per complaint responded to April 2012 – March 2013				£167	

- 3.2 The costs for handling are shown in the table above. The average cost per complaint across all departments has continued to reduce over the last two years. The figures above show a comparison of costs for the last two financial years. The reduction is due to the team resolving an additional 323 cases for the same overall cost. In addition, the figures show that the thorough investigation done at the first opportunity i.e. the informal stage is proving to be a more efficient way of working and beneficial in terms of time and cost reduction.

4. Issues, risks and innovation

SECTION 17 CRIME & DISORDER ACT 1998

The direct implications have been considered and the impact on crime and disorder is not judged to be significant in this instance.

RISK IMPLICATIONS / ASSESSMENT

The County Council needs to continue to monitor complaints to ensure our speed of response to complaints continues to improve.

EQUALITY IMPACT ASSESSMENT

There is no additional impact on equality

ENVIRONMENTAL IMPLICATIONS

There are no additional impacts on the environment.

5.0 Officer Contact

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

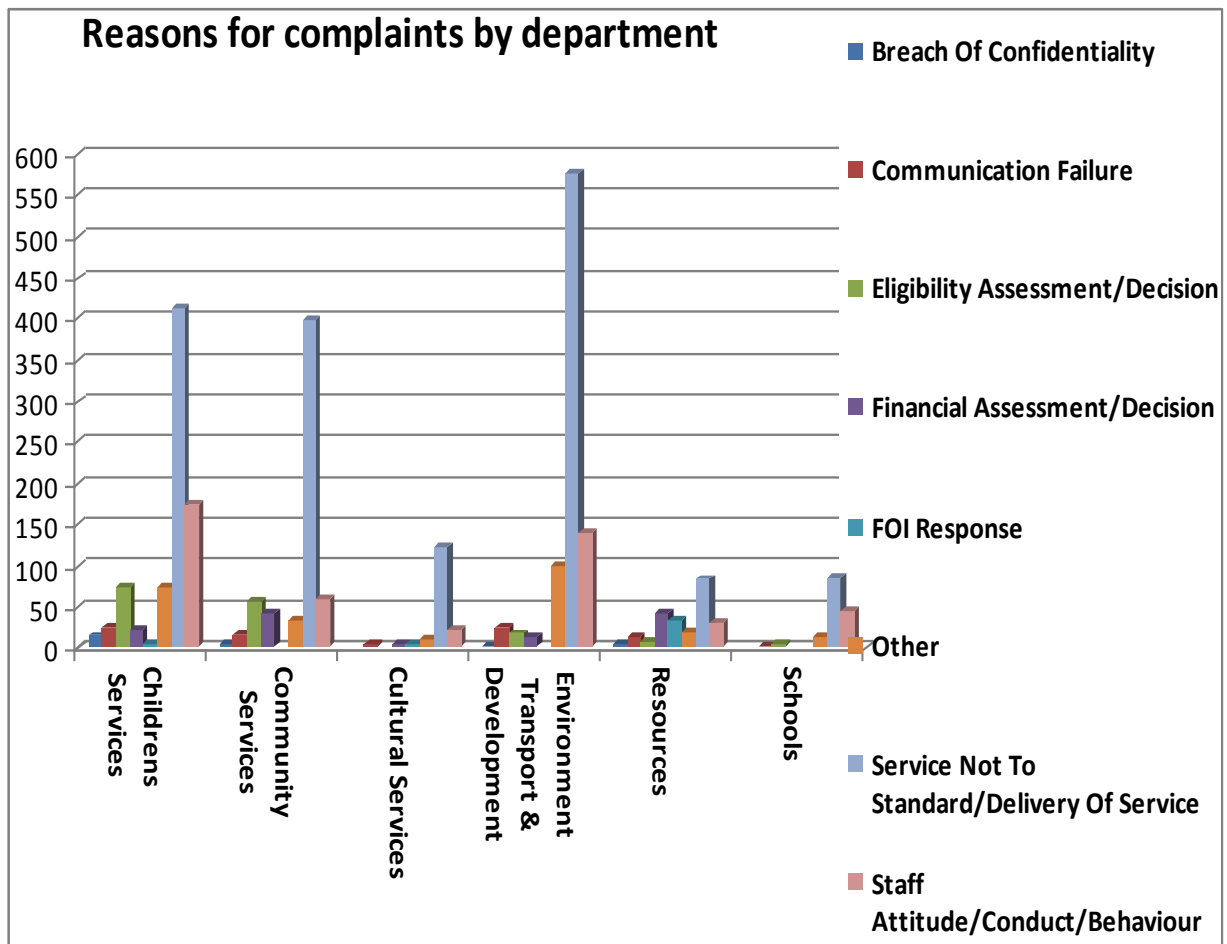
Officer Name: Kim Arnall **Tel No:** 01603 222523

Email address: kim.arnall@norfolk.gov.uk



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 A Reasons for complaints split at departmental level



Appendix B Example Compliments Received for FY 2013/14

Adult Services

I am a lawyer dealing with clients with incapacities for 20 years. I was very impressed by the professional way this (Best Interests) meeting was conducted. The participants were given details of the five principals of the Mental Capacity Act and these were taken into account when making a decision to be in Mrs S "Best Interests". If this is the way all future Best Interests Meetings will be carried out I sincerely believe it will benefit the clients as well as everyone else involved.

Since the moment my mother arrived in Norfolk some five years ago, the expertise, help and understanding has been nothing short of outstanding. Nothing is ever too much trouble and when action is required, there are never delays. Many thanks from my mother and family.

Children's Services

I cannot say thank you enough to you for helping me through my UCAS application and helping me write my personal statement. I know that I would have not been able to apply to university without your help and I am so immensely appreciative towards you; you have seriously helped me to make better choices in my life.

From a Judge - "I would like to take this opportunity to commend the work of the current social worker who had the confidence to pursue further assessment of Mr. A regardless of the very pessimistic views of other professionals. Her work has been thorough, focussed and concise throughout. In pursuing this avenue she has ensured that B has the opportunity and benefit of maintaining a relationship with his father and enjoys the emotional security of growing up within his birth family." And from a solicitor working on the same case, "I would just like to add the Court's thanks to the social worker for that hard work and thorough and very constructive work. The Court is well aware that social workers have the most incredibly difficult job. It is important that praise is given when it is due, as it is here."

Environment, Transport and Development

I would like to pass on my compliments to the staff at the Caister Recycling Centre. They went the extra mile for me today, and I would like to draw this to the attention of the management. They were extremely helpful after my car broke down and allowed me to use their landline to call for help, they have always been helpful to me but today was exceptional. You have some smashing guys there.

Being the parent of a son with Learning Disabilities and additional needs, it is very hard at times to be comfortable handing them over to strangers. I have always found that very hard and emotional. But the obvious loving concern, and pride in their jobs, shown by (your staff) has always wholly reassured me. I would like their managers to be aware of what an excellent job they do. My son is supported by so many specialists e.g. doctors, social workers, special school staff, psychologists etc, and I consider the brilliant transport service staff as vital and integral to that support team and support process.

Communities Committee

Item No 13

Report title:	Performance monitoring and risk report
Date of meeting:	19 November 2014
Responsible Chief Officer:	Tom McCabe, Interim Director of Environment, Transport and Development
Strategic impact Performance monitoring and risk information helps committees undertake some of their key responsibilities – informing future work programmes, budget setting and providing contextual information to many of the decisions that are taken.	

Executive summary

This paper reviews quarter two (July to September 2014) performance results for the 12 different service areas that are covered by the Communities Committee. Overall performance is good, when judged against the indicators that make up the performance dashboard. Areas of strong performance include:

- percentage of rogue and most detrimental businesses brought to compliance
- percentage of disputes resolved through advice and intervention
- number of Home Fire Risk Checks completed for older and/or vulnerable people
- registration of births within nationally agreed timescales
- museum visits
- delivery of the Public Health led Healthy Communities programme
- number of dementia friendly programme sessions delivered.

There are some areas in which performance is more challenging. In summary, these are:

- number of days sickness absence
- business mileage costs
- availability of retained firefighters to respond to an emergency
- registration of deaths within nationally agreed timescales
- time taken to answer calls in the Customer Service Centre
- number of false fire alarms that the Norfolk Fire and Rescue Service responds to
- number of injuries from accidental fires in the home
- uptake of NHS Healthchecks.

A more detailed analysis of performance is provided in the main body of the report.

Currently there are no risks that have a corporate significance and so none appear on the Corporate Risk Register. A more detailed analysis of risk is provided in the main body of the report. The full departmental risk register for Communities Committee can be seen at Appendix B.

Recommendation

Committee Members are asked to:

1. Review and comment on the performance information
2. Consider any areas of performance that require a more in-depth analysis.

1 Background

- 1.1 Performance monitoring and risk information helps committees undertake some of their key responsibilities – informing future work, budget setting and providing contextual information to many of the decisions that are taken. This paper asks the Committee to review and comment on 2014/15 quarter two performance and risk results.

2 Performance 2014/15 quarter two

- 2.1 The Communities Committee 2014/15 quarter two (July to September) dashboard is presented in Appendix A. This contains key information about service performance and risk in quarter two, or the most recent available data depending on the measures.
- 2.2 Detailed financial reporting is being presented to this Committee on a monthly basis in the Finance Monitoring Report.
- 2.3 The Communities Committee covers 12 different service areas, including: Norfolk Fire and Rescue Service; Emergency Planning and Resilience; Community Safety; Trading Standards; Public Health; Registration Service; Active Norfolk; Adult Education; Arts; Libraries, Museums and Record Office; Customer Services; and Community Relations and Engagement. The indicators on the dashboard have been selected from a much larger data-set because they represent key areas of performance relevant to the NCC services the Communities Committee oversees. The dashboard is a live document that can be adapted to capture and track performance issues as they arise.
- 2.4 At the September meeting of the Communities Committee, Members requested that the format of performance reports be altered so that all red indicators are presented first in the report; we have made this change.

Managing Change

- 2.5 The Council has a significant change programme, reported through the Corporate Programme Office (CPO). The current programme is made up of a range of service specific programmes and projects that are key to delivering efficiencies, savings and change. Progress with some of the more significant initiatives is described in the following section.
- 2.6 Of the five indicators in this section:
- **One indicator is red** (NFRS asset management project)
 - One indicator is amber
 - Three indicators are green
- Commentary is given on those that are red or amber.

Red measure: NFRS asset management (change programme)

- 2.7 Norfolk Fire and Rescue Service's Asset Management project is currently rated as red. This project is about increasing our efficiency by reducing the number of systems used to track assets within the Fire and Rescue Service. We currently use separate IT systems to track and manage equipment e.g. fleet and personal protective equipment (PPE). When the Asset Management project is complete we will manage all of these using one single system called Trace. NFRS was ambitious with its timescales and has found it difficult to resource the project, which has resulted in delays. The project has now been re-scheduled and has a new target to move to Trace within the next reporting period, which will avoid incurring additional

costs with existing contracts for the old systems.

Amber measure: Library and Information Service efficiencies programme

- 2.8 The Library and Information Service efficiencies programme is currently rated as amber. The service has completed the majority of the projects planned to achieve the savings targets but the initiative to share library buildings with other services will not deliver the savings which it had targeted for this year. In the short term, the service will achieve its full savings targets by delivering additional efficiencies from elsewhere in the service and a temporary business development manager has been recruited to develop income and sponsorship opportunities.

Managing our Resources

- 2.9 Of the seven indicators in this section:

- **Six indicators are red** (sickness absence for: Communications and the Customer Service Centre, NFRS and Public Health, and business mileage spend for NFRS, Cultural Services and Public Health)
- One indicator is amber

Red measure: sickness absence (NFRS)

- 2.10 Sickness absence in Norfolk Fire and Rescue Service is slightly higher than we would like. The measure includes wholtime firefighters and all non-uniformed and control staff in the service; it does not include retained firefighters. Between April and September 2014 sickness absence was 3.96 days per FTE - 0.4 days above the quarter two target of 3.56 days. Part of this increase can be attributed to a rise in wholtime sickness absence, although overall, wholtime sickness absence remains low when compared to non-uniformed and control staff.

NFRS sickness absence Q2 2013/14 vs Q2 2014/15 and direction of travel:

	Q2 2013/14	Q2 2014/15	Direction of Travel Days/FTE
Wholtime	2.41	3.19	0.78
Control	7.92	5.81	-2.11
Non-Uniformed	6.63	5.65	-0.98
Service (excluding retained firefighters)	3.79	3.96	0.17

Red measure – sickness absence (Communications & Customer Service Centre)

- 2.11 There is a higher rate of sickness absence than we would like across the Communications Service and the Customer Service Centre. There are a number of long term sickness cases affecting performance in this area but effective management of people on long term sick leave is underway. Additionally, anecdotal evidence from the service indicates that the rise in sickness absence may be down to improved reporting.

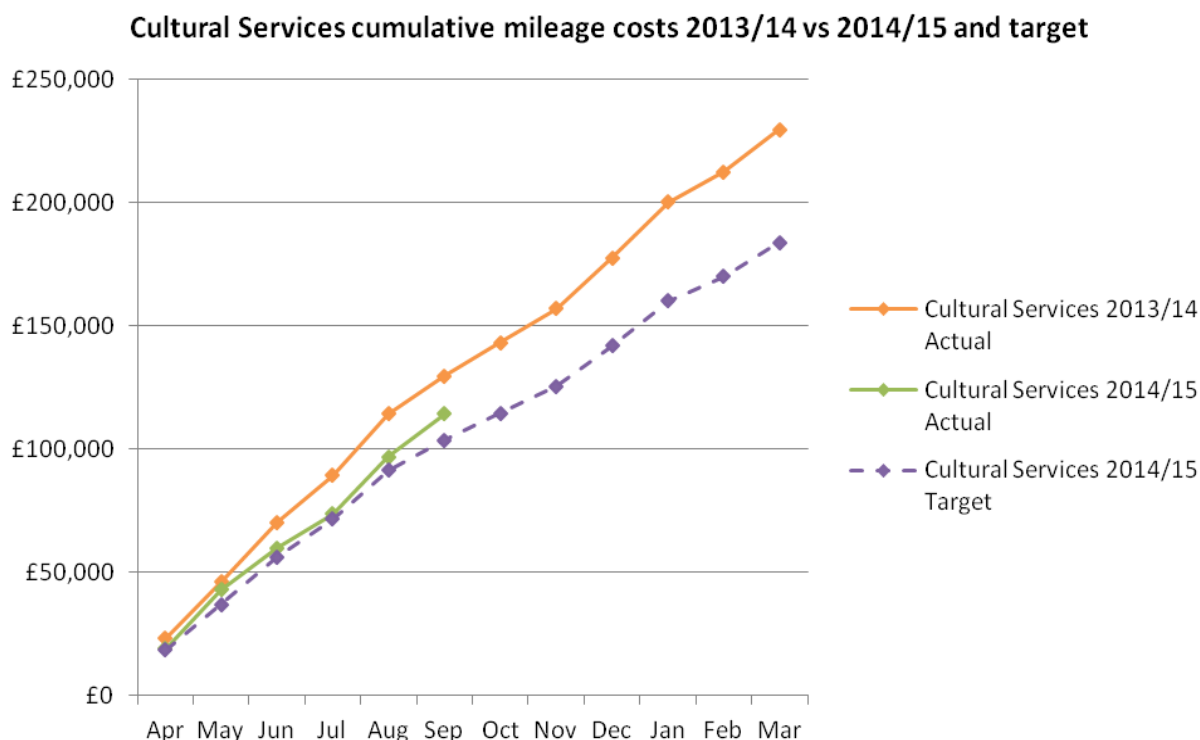
Red measure: sickness absence Public Health

- 2.12 In respect of Public Health, there are a small number of long term sickness absence cases which account for the sharp increase in absence during 2014/15. The impact of this absence is more pronounced given the small size of the team.

Red measures: spending less on business travel (Cultural Services, NFRS and

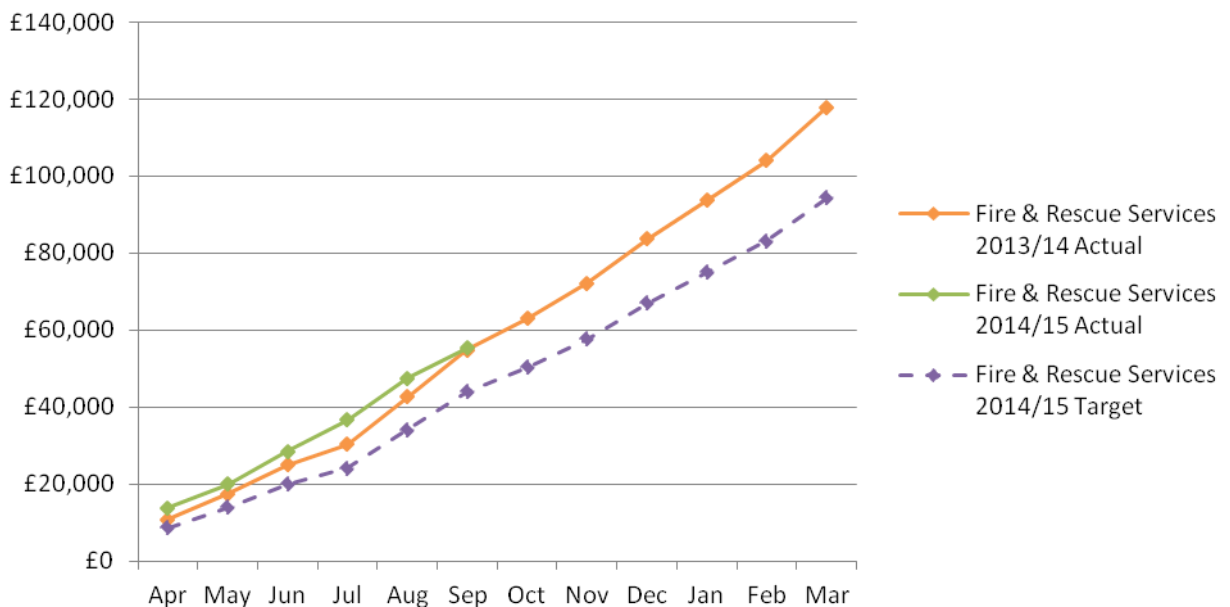
Public Health)

- 2.13 In transforming the way that employees work by making greater use of technology and more flexible ways of working, the Council is looking to reduce the need for staff to travel. The benefits to the Council are an increase in productive working time and financial savings arising from a reduction in the amount spent on business travel and a lower level of carbon tax.
- 2.14 In 2014/15 the Council adopted a new target to reduce the amount of business mileage paid in all departments by 20% when compared to 2013/14, saving £673,258.
- 2.15 The amount of business mileage paid to staff within Cultural Services between April and September was £114,082. Whilst this is £15,349 less than the same time period in 2013, it is well above the target for September to July 2014 (£103,544) resulting in a Red rating.



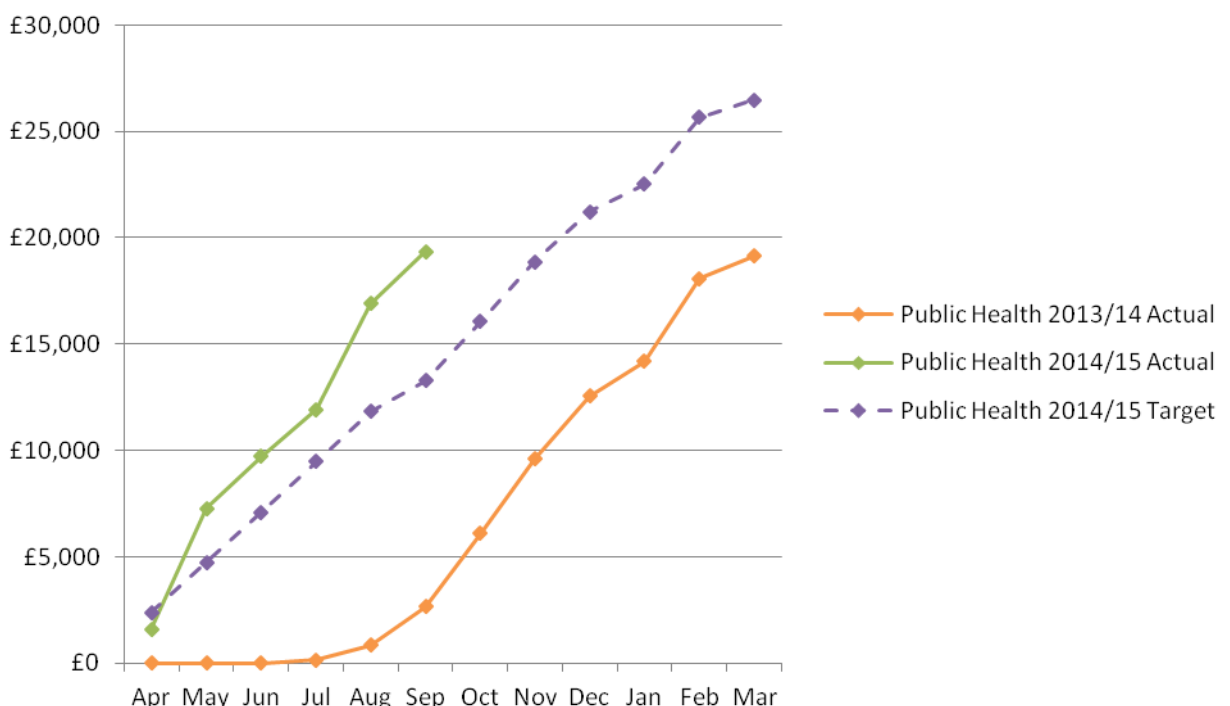
- 2.16 The amount of business mileage paid to staff within Norfolk Fire and Rescue Service between April and September was £55,300. This is £379 more than the same time period in 2013 and above the target for April to September 2014 (£43,938) resulting in a red rating.

NFRS cumulative mileage costs 2013/14 vs 2014/15 and target



- 2.17 The amount of business mileage paid to staff within Public Health between April and September was £19,351. This is £16,703 more than the same time period in 2013 – however this is because the transfer of Public Health staff happened part way through 2013/14 so figures are not comparable. That aside, the amount paid in April to September 2014 was above the target (£13,291) resulting in a red rating.

Public Health cumulative mileage costs 2013/14 vs 2014/15 and target



- 2.18 Additional work is now underway to re-promote and champion the importance of managing business travel across departments. It is recognised that there will always be a need to balance savings in business travel with operational effectiveness.

Risk

- 2.19 At the September meeting of the Communities Committee, members requested that departmental level risks be reported in future as well as corporate level risks. Members also requested that the full risk register be appended to the performance paper. The risk register for Communities Committee can be seen at Appendix B.

- 2.20 The Communities Committee risk register reflects those key business risks that need to be managed by the Senior Management Teams of the services that report to the Committee and which, if not managed appropriately, could result in the Service failing to achieve one or more of its key objectives and/or suffer a financial loss or reputational damage. The risk register is a dynamic document that is regularly reviewed and updated in accordance with the Council's "Well Managed Risk – Management of Risk Framework".
- 2.21 The register contains those risks that have a current risk score of 12 and above with prospects of meeting the target score by the target date of amber or red and are reported on an exceptions basis. The register is a compilation of departmental risk registers from the areas that report to the Committee including Cultural Services, Trading Standards, Resilience, Public Health and Norfolk Fire and Rescue.
- 2.22 The current risks are those identified against departmental objectives for 2014/15. Currently there are no risks that have a corporate significance and therefore appear on the Corporate Risk Register. These are risks that are so significant that they would impact on corporate/strategic objectives, or are beyond the scope of individual departments to manage. This register is reviewed regularly by Chief Officers Group and reported to the Audit Committee
- 2.23 Each service represented maintains a departmental risk register, the risks on each register are as follows:

Service	No. of risks	Risks out of scope
Norfolk Fire and Rescue Service	11	7
Environment and Public Protection	2	2
Public Health	12*	9*
Cultural Service	19	15

(*) Three risks have been included from the Public Health risk register, this register is currently being fully developed to reflect the extent of risks within the service.

- 2.24 The seven NFRS risks that have a risk score below 12 or have prospects of meeting the target score by the target date are as follows:

NRFS Risk Number/Name	Risk Score	Prospects
RM14030 "Failure to manage budgets effectively over the next Comprehensive Spending Review".	9	Amber
RM14064 "Financial liability for P/T RDS firefighters"	10	Amber
RM14137 "Failure to provide protective security".	6	Amber
RM14179 "Failure to identify, collect and appropriately use good quality data"	12	Green
RM14180 "Business management capability".	9	Amber
RM14181 "Single points of knowledge."	12	Green
RM14182 "Introduction of the committee system".	4	Amber

- 2.25 Both Environment & Public Protection risks that have a risk score below 12 or have prospects of meeting the target score by the target date are as follows:

EP&P Risk Number/Name	Risk Score	Prospects
RM14098 "Incident at key NCC premises or adjacent causing loss of access or service disruption".	9	Amber
RM14099 "Embedding BC into the organisation".	10	Amber

2.26 The nine Public Health risks that have a risk score below 12 or have prospects of meeting the target score by the target date are as follows:

Public Health Risk Name	Risk Score	Prospects
Public Health out of hours On call Indemnity	9	Green
Emergency Planning assurance that plans are in place and robust	9	Amber
Sexual Health commissioning	12	Green
Stop Smoking Services	16	Green
Stop Smoking Services GYW	12	Green
Quithub	10	Green
Lack of compliance results in failure to monitor	10	Green
Unsafe delivery or delivery that does not meet expected quality standards.	25	Green
Failure to publish a Pharmaceutical needs assessment	9	Green

2.27 The 15 Cultural Services risks that have a risk score below 12 or have prospects of meeting the target score by the target date are as follows:

Cultural Services Risk Number/Name	Risk Score	Prospects
RM13935 "Loss of external funding or grants". (Cultural Service)	6	Amber
RM14201 "Inability to perform business critical tasks owing to a lack of skills transference and advanced planning". (Adult Ed)	12	Green
RM14061 "Failure to follow data protection procedures". (Adult Ed)	3	Green
RM13953 "Tutors/ Assessors/ Advisors Working Alone". (Adult Ed)	6	Green
RM13958 "Failure to secure private and public sector support". (Arts)	6	Green
RM14063 "Failure to follow data protection procedures". (Arts)	12	Green
RM13941 "Decrease in customer satisfaction". (NLIS)	9	Amber
RM13942 "Verbal and physical abuse to staff from the public". (NLIS)	9	Green
RM14067 "Failure to follow data protection procedures". (NLIS)	12	Green
RM14158 "Safeguarding Children and Young People". (NLIS)	6	Green
RM14159 "Lack of data around completion of training of staff". (NLIS)	8	Green
RN14160 "Failure of LMS and PC provider (Civica) to meet requirements for business changes to take place". (NLIS)	12	Green
RM14131 "Declining physical user numbers". (NLIS)	9	Green
RM14195 "Lone working of staff in some libraries", (NLIS)	12	Green

- 2.28 Within the constraints of the target date (which provides a time-frame for the risk) and using the Council's agreed Risk Framework three risk scores can be determined. Each risk score is expressed as a multiple of the impact and the likelihood of the event occurring.
- Inherent risk score – the level of risk exposure before any action is taken to reduce the risk
 - Current risk score – the level of risk exposure at the time the risk is reviewed by the risk owner, taking into consideration the progress of the mitigation tasks
 - Target risk score – the level of risk exposure that we are prepared to tolerate following completion of all the mitigation tasks.

- 2.29 The prospects of meeting target scores by the target dates are a reflection of how well the risk owners consider that the mitigation tasks are controlling the risk. The contents of this cell act as an early warning indicator that there may be concerns when the prospect is shown as amber or red. In these cases, further investigation may be required to determine the factors that have caused the risk owner to consider the target may not be met. It is also an early indication that additional resources and tasks or escalation may be required to ensure that the risk can meet the target score by the target date. The position is visually displayed for ease in the "Prospects of meeting the target score by the target date" column as follows:
- Green – the mitigation tasks are on schedule and the risk owner considers that the target score is achievable by the target date
 - Amber – one or more of the mitigation tasks are falling behind and there are some concerns that the target score may not be achievable by the target date unless the shortcomings are addressed
 - Red – significant mitigation tasks are falling behind and there are serious concerns that the target score will not be achieved by the target date and the shortcomings must be addressed and/or new tasks are introduced.

- 2.30 The evidence is that risks are being managed to an appropriate level with mitigation tasks being undertaken. In all cases risks have been reviewed by risk owners to ensure that risk scores and target dates reflect the current position against current service objectives. Risk registers are challenged by the Strategic Risk Manager to ensure a consistent approach to risk management across all teams.

- 2.31 There remains a strong corporate commitment to the management of risk and appropriately managing risk, particularly during periods of organisational change. A clear focus on strong risk management is necessary as it provides an essential tool to ensure the successful delivery of our strategic and operational objectives.

Service Performance and Outcomes for Norfolk

2.32 Norfolk Fire and Rescue Service (NFRS)

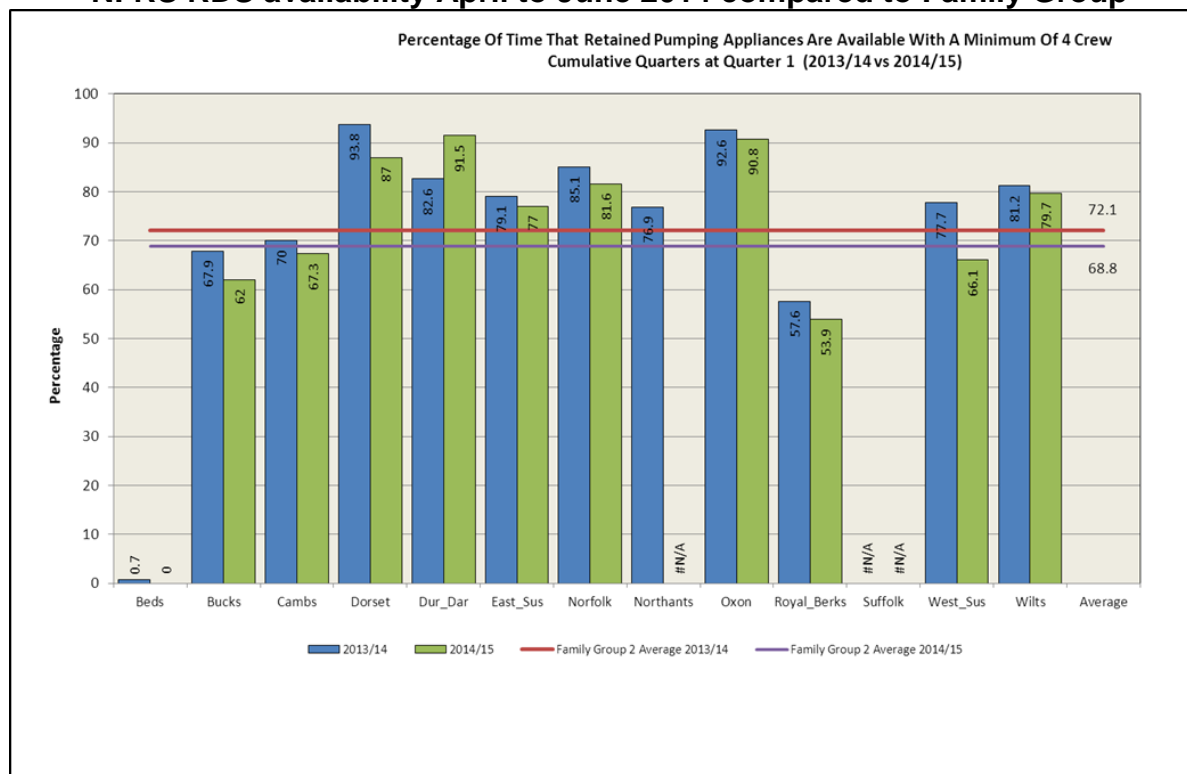
Of the 11 indicators for NFRS:

- **Three indicators are red** (retained availability, false alarms attended and injuries in accidental dwelling fires)
- One indicator is amber (Emergency Response Standards)
- Three indicators are green
- Three indicators are surveillance measures so do not generate a RAG (colour) rating.

Red measure: retained fire engine availability

- 2.33 Retained firefighters play a key role in the delivery of fire and rescue services in the county, particularly in market towns and rural areas. Retained firefighters are paid, part-time personnel who crew 39 out of 41 fire stations in the county. In total there are 492 retained fire fighters and 188 full-time firefighters in Norfolk. There is currently a shortfall of 27 retained personnel with shortages in staff at 16 fire stations. As a result of minimum crew requirements, when there is a shortfall in personnel it can mean that a fire engine cannot be sent out in an emergency. Recruiting more retained fire fighters is a challenge. They must live and work within five minutes of the fire station which makes recruiting retained crews in rural areas especially difficult. Having people on call during the day is the biggest challenge as changes in working patterns mean many people work some distance away from their home.
- 2.34 Norfolk Fire and Rescue Service (NFRS) aims to have fire engines crewed by retained fire fighters available at least 90% of the time. Retained engine availability can impact upon Emergency Response Standards performance as the fire engine that attends an incident may not come from the nearest fire station.
- 2.35 Availability has declined from the 81.6% (red) for April to June previously reported to Members, to 80.1% (red) for April and September 2014. This is well below the 84% recorded for the same period last year (April to September 2013).
- 2.36 Benchmarking data is now available for Quarter 1 April to June 2014. This shows that the downward trend in RDS availability experienced in Norfolk is also being reflected in the performance of our Family Group with all, except Durham & Darlington FRS, recording a fall in RDS availability when compared to Quarter 1 in 2013.

2.37 NFRS RDS availability April to June 2014 compared to Family Group



- 2.38 Following a “Fire Ahead” transformation project in 2010/11 NFRS has taken a number of steps to improve availability of retained engines, including a new policy for availability, tighter contractual arrangements, introducing Retained Support Officers, and performance managing staff. In order to address the recent decline in

RDS availability the following additional measures are now underway:

- The service has a full complement of Retained Support Officers (RSOs) with all seven posts filled, following a period of not having all roles active. RSOs are used to make a contribution to operational availability at stations experiencing crewing shortages. Priority is given to supporting key stations that have been strategically identified for operational cover. Statistically their impact on station availability is not seen at whole service level, but they make a significant contribution to keeping individual stations on the run and ensuring engine availability where otherwise there would be gaps. With no industrial action to manage, RSOs have been able to focus completely on supporting retained availability.
- The Western and Swaffham Districts are trialling a pay as you go retained resilience support initiative. This allows stations where there are more than five firefighters available (wholetime and retained) to support other stations in the local area so that fire engines are available more of the time to support local community safety and recruitment.
- The staged recruitment process for retained firefighters has been reviewed which has resulted in assessments and re-takes being managed within a tighter timeframe to speed up the recruitment process.
- The Service has reviewed and identified barriers to retained staff achieving competence which has resulted in assessments being more responsive to local needs.

Red measure: unwanted automatic fire alarm (AFA) calls

2.39 Unwanted fire alarm calls take appliances away from real emergencies and cost the tax payer money. Norfolk Fire and Rescue Service received well over 2,000 false alarm calls from AFA systems in 2012/13. In 2013/14 we managed to reduce this down to 1,650 false alarm calls from AFA systems by introducing Phase one of our AFA Policy where we no longer automatically attend AFAs for those premises in scope (<http://www.norfolk.gov.uk/view/cabinet070113item9pdf>).

2.40 Although there have been some recent improvements we are still, overall, attending more unwanted automatic fire alarm calls than we would like. Our target was to attend 871 or fewer unwanted false alarm calls between April and September but we attended 926 - making this indicator red. However, we did not attend a further 232 automatic fire alarm calls which illustrates that Phase one of our AFA Policy is effective at reducing unwanted call outs.

Cumulative unwanted automatic false alarms calls mobilised to (April to Sept 2013 compared to April to Sept 2014)

	Apr- Sept 2013	Apr- Sept 2014	Increase in number	% Increase
All AFA calls	1,058	1,158	100	9.5%
Attended	871	926	55	6.3%
Not attended	187	232	45	24.1%
% Not attended	17.7%	20%		

2.41 The increase in unwanted false alarm calls is due to a rise in dwelling AFA calls and a spike in unwanted AFA calls to some hospitals in Norfolk. Both these types of AFA are out of scope of the AFA policy and would require a significant increase in our risk tolerance if we were to reduce this further.

2.42 From 1st October 2014, Phase 2 of the AFA policy comes in to effect. When NFRS

receives an automatic fire alarm (AFA) call from a commercial premises, or any other premises categorised as 'in scope', the Service will not make an automatic emergency attendance unless there is a confirmed fire or a perceived presence of fire reported from the premises, such as a smell of smoke or burning. This will apply 24 hours a day, 7 days a week (under Phase one this only applied during the day).

- 2.43 The Service will still respond to AFA calls 24 hours a day where there is a sleeping risk, or the premises is a school or domestic property. These premises types make up around 75% of AFA calls and, as reported above, are contributing to the current rise in unwanted AFAs. The Service will continue to work with all premises to reduce the number of unwanted AFAs.

Red measure: Injuries in accidental dwelling fires

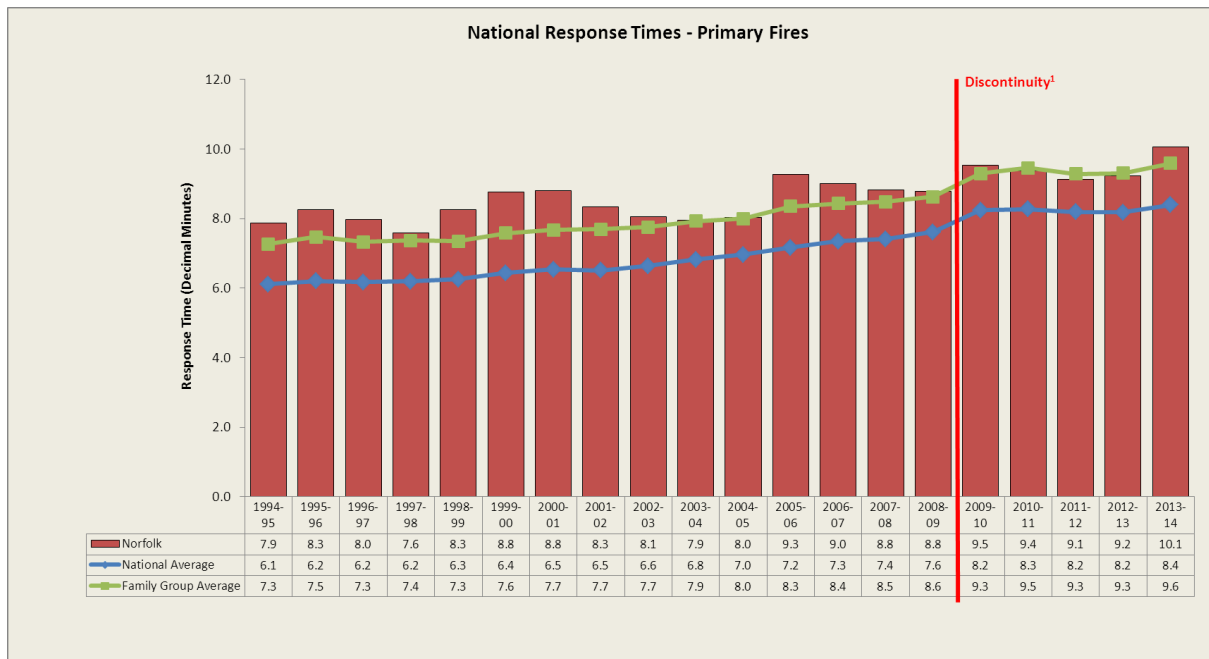
- 2.44 The number of injuries in accidental fires at home is low, with a total of eighteen injuries between April and September 2014. A testing target has been set, however, of 25 for the whole year, which means that performance is rated as red. The cumulative number of injuries is higher than the same period last year when there were 16 injuries. Whilst the number of injuries is higher, it is important to note that there have been no reported deaths in accidental dwelling fires so far this year, compared to four in the same time period last year.

Amber measure: Emergency Response Standards

- 2.45 Emergency Response Standards (ERS) show how often the Fire and Rescue Service reaches incidents within targets set for attendance times. The target is to attend 80% or more of "life risk" calls within set times. Cumulative performance has declined for this measure since it was last reported to Members. It has fallen from 79.3% between April and June 2014 to 78.0% for April to September. However, this is just slightly lower than the comparative figure for the same period last year which was 78.3% (April to Sept 2013).
- 2.46 At the September meeting of the Communities Committee members asked for more information about response times including what types of incidents the data includes and requested to know by how much response times were missed.
- 2.47 "Life risk" calls include all a wide range of incidents that fall into two groups as summarised below:
- Incidents where a fire is suspected at the time of the call and people may be present. This includes incidents involving transport (aircraft, boats, trains, road vehicles), fires in buildings (and therefore includes calls to automatic fire alarms) and any reports of fires in forests.
 - Other emergencies where life may be at risk including assisting trapped people (e.g. road traffic collisions or rescue from height), dealing with flooding and dangerous buildings, and incidents involving hazardous materials for example.
- 2.48 To better understand how it is performing, NFRS has reviewed national benchmarking data for response times to primary fires- a subset of the calls that contribute to ERS performance. "Primary" fires include all fires in buildings, vehicles and outdoor structures or any fire involving casualties, rescues, or fires attended by five or more appliances.
- 2.49 This showed that Norfolk's average response time to primary fires in 2013/14 was 10.1 minutes- just outside the Emergency Response Standard of 10 minutes. The national average was 8.4 minutes whilst our Family Group average was 9.6 minutes. In comparing data it is important to remember that Norfolk is a large rural county with 85% of its stations covered by retained firefighters (who have five minutes to travel to the station and mobilise the fire engine) - both factors which influence response

times.

2.50



Data Source: DCLG Fire Incident Response Times for England 2013-14

¹Response times from 2008/09 and earlier are not comparable to response times 2009/10 onwards

2.51

By taking action to improve retained engine availability this will also help the service to achieve its Emergency Response Standards as improved availability will make it more likely that the nearest available appliance will be sent to an incident (rather than another station covering) thus minimising journey times.

2.52

Registration Service

Of the four indicators for the registration service:

- **Two indicators are red** (registration of deaths – 2 indicators)
- Two indicators are green

Red indicator: registration of deaths excluding those with inquests or post mortems

2.53

The registering of a death must be done within 5 days of the death. There is no apparent correlation between the number of deaths and the meeting of the target, which echoes our experience with births. The table below shows all deaths which are not subject to post mortem or inquest.

Deaths excluding post mortem and inquest

Month	Deaths (excl PM)	Norfolk %statutory timescale	Regional %	National %	Performance compared to national
April	661	61%	76%	80%	-19%
May	681	67%	77%	81%	-14%
June	607	81%	83%	85%	-4%
July	665	71%	83%	86%	-13%
August	585	76%	80%	83%	-7%
Sept	689	76%	80%	84%	-8%

2.54

Several avenues for improving consistency and performance are being explored, but in particular we are working with hospitals and GP surgeries to get death certificates signed and issued in a timely manner as this is often cited as a cause of delay in booking an appointment.

2.55

We are also aware that demand for appointments in Norwich outstrips capacity,

even with a registrar permanently located in the Norfolk and Norwich University Hospital to register deaths. Putting more resources into the Norwich office would be difficult due to the limitations of the existing office space. Also, it would reduce the viability of our smaller offices which are very much valued by their local communities. A reduction of availability in community offices means people are likely to opt to wait, longer, for an appointment that is local to them rather than travel to an earlier appointment that is further away. This then will have an impact upon our ability to achieve the 5 day target.

Red indicator: registration of deaths requiring post mortem or inquest (Part B)

- 2.56 At the September meeting of the Communities Committee we reported poor performance for Norfolk death registrations where the Coroner had called for a post mortem or Inquest to be held into the cause of death. The target for registering these deaths is seven days. The table below shows the figures since April 2014.

Deaths requiring post mortem and inquest

Month	Deaths (excl PM)	Norfolk %statutory timescale	Regional %	National %	Performance compared to national
April-14	90	21%	36%	46%	-25%
May-14	97	26%	30%	45%	-19%
June-14	111	42%	33%	46%	-4%
July-14	132	27%	35%	50%	-23%
August-14	101	17%	37%	47%	-30%
Sept-14	116	36%	36%	45%	-9%

- 2.57 These deaths represent an average of 16.5% of all deaths registered in Norfolk. Although September's figure shows a big improvement on the very poor performance in August, the background as to why is becoming clearer following discussions with the coroner. Changes to coroner legislation have been implemented to avoid more cases having to go to inquest. This has meant more post mortems and more histology reports. A lack of pathologists in Norfolk and the resultant need for hospitals to share the resource added to the issue. September finds the service back to the regional average and it is hoped that this trend will continue. Existing processes and ways of working are being reviewed and in particular it is being considered whether deploying a registrar at the coroner's office might help.

2.58 **Additional performance information about the Registration Service**

Norfolk annually 'benchmarks' operations against regional registration authorities and some of the elements are useful for monitoring purposes. Table A shows the number of births and deaths registered in relation to population as well as event ratios.

Table A: regional comparison data 2013/14 figures

Registration Authority	Population	Births	Births as % of population	Deaths	Deaths as % of population	Birth & death: staff FTE ratio
Norfolk	865,000	10524	1.22%	9304	1.07%	461:1
Suffolk	700,000	6665	0.95%	6554	0.95%	407:1
Hertfordshire	1,116,600	11135	0.99%	7627	0.68%	433:1
Essex	1,416,600	17154	1.21%	12705	0.89%	614:1
Cambs	627,200	8096	1.29%	5171	0.83%	407:1

- 2.59 Norfolk has a significantly higher number of deaths to register than other authorities, 125

which would accord with the accepted demographic of the population, but is also second highest in the group for birth registrations, which have climbed steadily since the millennium year. We will be speaking with Essex to find out what they do to attain such impressive figures.

2.60 Table B gives data on marriages and income per head of population.

Table B regional comparison data 2013/14 figures

Registration Authority	Population	Marriages	Population: Marriages ratio	Income for 2013/14 per head of population
Norfolk	865,000	2773	312:1	£2.46
Suffolk	700,000	2377	294:1	£1.90
Hertfordshire	1,116,600	3237	345:1	£2.10
Essex	1,416,600	5348	265:1	Not stated
Cambridgeshire	627,200	1952	321:1	£1.88

It is not good practice simply to increase fees each year without adding value to the service offer and also keeping the levels of charging below those of the church and independent celebrants.

2.61 Norfolk registrars represent good value for money, notwithstanding Essex, with opportunities to improve further by increasing the number of weddings to generate more income. The re-branding and marketing of Norfolk as the wedding destination of choice is underway and will begin in earnest in the 2015 season. The aim is to achieve an annual 5% increase in ceremonies.

2.62 Public Health

Of the seven indicators for Public Health

- **Two indicators are red** (Chlamydia diagnosis rate, and health checks uptake)
- Two indicators are amber
- Three indicators are green

Red indicator: NHS Health Check uptake

2.63 The NHS Health Check programme aims to prevent or delay the onset of serious diseases like heart disease, stroke, diabetes, kidney disease and dementia. The health checks are available to individuals between the ages of 40 and 74 without certain pre-existing conditions. They are commissioned by Public Health and in Norfolk are delivered in a variety of locations including most GP practices and many pharmacies. Between April 2013 and September 2014, 70,095 NHS health checks had been offered and 34,656 delivered across Norfolk. This represents a 49% uptake, which is below the target of 66%. This places Norfolk in line with the England average of 48% uptake rate (2014/15 5 year cumulative).

2.64 As these figures are cumulative since April 2013, it is likely that our true uptake figure is higher than 49% - we have already taken action to improve recording by defining more specifically how offers are recorded. We are working to improve future uptake rate through a programme of engagement with providers to address barriers to uptake, planning of a promotional campaign to raise the profile of the programme and making changes to the commissioning structure from 2015/16 to encourage increased delivery.

Red indicator: Chlamydia infection diagnosis rate

2.65 Chlamydia is the most commonly reported STI nationally and since 2003 there has been a National Chlamydia Screening Programme in England. During 2012, the nationally set target was changed from monitoring coverage to monitoring diagnosis

rate. This has been difficult to achieve, nationally and in Norfolk.

- 2.66 There is a time lag with this data meaning we are now reporting quarter one rates (information about April – June 2014). The national target is to achieve a diagnosis rate of 2,300 people per 100,000 15-24 year olds. Our diagnosis rate in quarter one was 1,440.7 people per 100,000 meaning this indicator is red.
- 2.67 Our coverage rates (proportion of eligible population tested) are lower compared to regional averages. Performance varies across Norfolk and areas with better diagnosis rates have higher coverage rates. To improve coverage rates during 2015/16 we will target our Chlamydia screening services better. We will do this by organising more campaigns to encourage young people to get tested through their GP practices and pharmacies. At the moment, very few tests are done within pharmacies (fewer than 1%) and if more tests were done in pharmacies it would help us meet our target.
- 2.68 We have awarded the contract for a new sexual health service to Cambridgeshire Community Services starting on 1st March 2015. At the moment specialist sexual health services are supplied by six different organisations. Under the new contract the services will be run by a single organisation. The new service will offer tests in its clinics and will promote screening through outreach sites.
- 2.69 From April 2015 we hope to offer better incentives for GPs and pharmacies who make Chlamydia diagnoses.
- 2.70 Outreach services for hard to reach groups is under review. We expect to make recommendations for the redesign of the service by December 2014.

Amber measure: health trainer sessions leading to improved wellbeing

- 2.71 The Health Trainer service we commission works with people to provide the motivation, encouragement and support needed to enable people to make lasting healthy lifestyle changes. Across Norfolk and Waveney from June to August 2014, a total of 459 people attended health trainer sessions. Follow up to these suggests that 69% of people reported improved health and wellbeing. This means we were just short of our target of 70% and so rated amber. Discussions have taken place between the service manager and the provider we commission to deliver the health trainer service in order to focus on improving performance for next quarter.

Amber measure: smoking cessation

- 2.72 Smoking cessation remains a challenge in Norfolk and the picture varies across the county. The figures we report in the dashboard are for the county as a whole but we know that in quarter one 2014/15 smoking cessation rates in the Great Yarmouth NHS area were lower than for the Norfolk NHS area:

Smoking cessation figures quarter one 2014/15

NHS Area	People setting a quit date	People quit at 4 weeks	Quit rate (target is 50%)
Norfolk & GY combined	1000	490	49%
Norfolk only	742	396	53.4%
GY only	258	94	36.43%

Part of the reason for the low rate showing for Great Yarmouth in quarter one is because the service has a new database which will not allow advisors to enter outcomes outside a fixed tolerance for the time period. This has meant that quitters may be captured as Lost to Follow Up rather than noted as quit. The provider is

aware of the issue and are taking measures through training and performance management to ensure that outcomes are recorded in a timely manner. We would expect therefore to see an improvement in this figure next time.

2.73 Customer Services and Consultation and Community Relations

Of the seven indicators for Customer Services and Consultation and Community Relations:

- **One indicator is red** (time taken to answer calls)
- One indicator is amber
- Two indicators are green
- We are currently not reporting on three indicators as information is not available

Red indicator: average time taken to answer calls in the Customer Service Centre

2.74 The Customer Service Centre (CSC) handles over 300,000 calls a year and in September 2014 received 32,630 calls. In quarter two it took us longer on average to answer calls than we would like. The average time taken to answer calls was 71 seconds, which is longer than our target of 60 seconds. This is worse than in the same quarter last year. Performance has been affected by an increase in call volumes and the management of vacancies for customer service assistants as a cost saving measure. We have now recruited to the majority of our vacancies (a further advert has been prepared) so expect performance to improve. However, it takes approximately eight weeks for new staff to begin answering calls so improvements will still take some time to show in the data.

Amber measure: priority social care calls answered within timescale

2.75 The volume of calls received has led the CSC to prioritise call handling. Performance against the target to answer 100% of 'priority social care calls' within the agreed time currently stands at 98.1%, this is consistent with the same quarter last year, when it was 98.3%.

Green measure: % of young people voting in the Make Your Mark ballot

2.76 Young people in Norfolk have been having their say in the "Make Your Mark" ballot. Make Your Mark is the largest youth consultation in the UK and is part of the UK Youth Parliament's national work. The consultation in Norfolk is supported by Norfolk County Council's Consultation and Community Relations team who work with Norfolk's Members of Youth Parliament (MYPs) to encourage as many local young people as possible to vote. The ballot ran from August to October 2014 and gave the opportunity for young people in Norfolk to vote for the issues they think matter the most.

2.77 The votes in Norfolk are counted along with the rest of the country and the top 5 national issues will be debated by the UK Youth Parliament in the House of Commons on 14 November 2014. This debate is chaired by the Speaker of the House of Commons and will be broadcast live on the BBC Parliament channel. Following the debate MYPs will select the UK Youth Parliament's campaign issue for next year, and Norfolk's nine Members of Youth Parliament will work hard to resolve this issue alongside the top 5 local issues.

2.78 Voting in Norfolk takes place both online and through printed ballot papers in schools, youth organisations and Youth Advisory Boards. In this year's Make Your Mark ballot 19,338 votes were cast in Norfolk which is an excellent result far exceeding our target of 15,000 votes. This is also a huge increase on last year's result which was 6,200 votes. 19,388 votes represents 25% of Norfolk young people aged 11-18 who were eligible to take part which is an impressive turn out and is the highest return in the Eastern and South East regions and 5th highest overall in the country.

The top 5 issues for young people in Norfolk are as follows:

1. Everyone should be paid at least the living wage of £7.56 per hour
2. Work Experience. We should have the chance to do at least a week's placement at a place of our choosing
3. Bring back exam resits in Maths and English
4. Mental Health services should be improved with our help. We should learn about common mental health issues at school and negative stereotypes should be challenged
5. A curriculum to prepare us for life. Schools should cover topics like finance, sex and relationships education, and politics

Customer Service and complaints

2.79 The number of complaints that we are receiving is rising, meaning our complaints team are dealing with increasing volumes of work. The complaints team dealt with 984 complaints in quarter two, an increase of 9.7% (87 complaints) when compared to last year when there were 897. There is no key area of increase; all departments' complaints numbers are increasing month on month. The main reasons for the increase in the number of complaints are:

- MP enquiries are increasing as we move toward the next general election
- The effects of cuts across services are now being felt, resulting in the number of dissatisfied customers increasing.

2.80 The way people access information about what we offer, and our services, is changing. Web visits have increased year on year by 8.26% when we compare the number of visits in quarter two 2014/15 to the same quarter the previous year. This demonstrates an increased appetite for customers to use online services where they are available.

2.81 We have been operating Govmetric – a customer feedback facility since the 1 October 2014 - initially just for email in the Customer Service Centre – the telephone feedback module has been operational since the 13 October 2014, with web and complaints due to come online by the end of October. Initial take up and feedback has been excellent - between 1 October 2014 and 23 October 2014 we received 929 responses with an overall satisfaction result of 801 good responses, which gives 86% positive feedback overall.

2.82 Cultural Services

Of the four indicators for Cultural Services:

- Two indicators are green
- One indicator is a surveillance measure so does not generate a colour rating
- We are currently not reporting on one indicator as information is not available.

2.83 In July, we reported to this committee that the number of people visiting Norfolk's libraries appeared to be falling whilst virtual visits were rising. It is not yet possible to see if this is a trend, as the data for visitor numbers for quarter two is not available because of a change in the system which counts library visitors.

2.84 The number of people visiting Norfolk's museums remains high. In quarter two there were 229,036 visitors, around 20,000 more than our target for that period and more than in the same period last year. However, we are aware that with the new management system, SYX, we are experiencing an element of double counting. This is because the new SYX system shows all categories of visits as well as all events happening within a museum, meaning that visitors are counted once at entry and then subsequently counted again if they attend one or more events within the

museum. We are currently working to resolve this issue and hope to have greater confidence in the reported figures in the future.

2.85 The number of people accessing services from the Norfolk Record Office remains high. Between April and September 2014 there were over 73,000 actual and virtual visitors to the Norfolk Record Office, compared to 99,514 for 2013/14 as a whole. The visits in quarters one and two combined can be broken down as follows: Archive Centre (10,275); education and outreach events outside of the Archive Centre (10,733); remote enquiries (4,073); and website visits – including visits to NORCAT online catalogue (48,306).

2.86 **Trading Standards**

Of the five indicators for Trading Standards:

- One indicator is red (increase in awareness by businesses of trading standards responsibilities)
- Four indicators are green

Red indicator: increase in awareness by businesses of trading standards responsibilities

2.87 Trading Standards undertakes regular customer satisfaction surveys to better understand the quality and effectiveness of its work and the outcomes that are achieved. 51 businesses have returned surveys so far this year. The index score (where businesses have rated their awareness of their general trading standards responsibilities) has dropped to 69; 9 points below target.

The drop in performance relates to three traders who have responded that their understanding of their responsibilities has dipped; One was in relation to the seizure of horses as part of an investigation by the RSPCA; one related to having to access the Service via the Citizens Advice Consumer Helpline and a delay in response from the Service and the third related to the advice provided at a visit. These individual cases have been followed up with the officers concerned and the traders have received further advice as appropriate.

2.88 267 customers (consumers and businesses) have responded to satisfaction surveys since April 2014, and the satisfaction rating is currently 93%, against a target of 85%. This rating includes businesses that are regulated, so relates to the professionalism of the officers concerned.

2.89 Of the 321 businesses visited by Trading Standards Officers in April, May and June, 305 (95%) have been brought to broad compliance with trading standards. Trading Standards Officers are currently working with the 16 non-compliant businesses identified, mainly in the farming sector, to bring them to broad compliance too. Compliance is achieved through the provision of advice and support or through taking more formal enforcement action to ensure these businesses are trading fairly and safely.

2.90 Trading Standards uses intelligence-led targeting to bring into compliance those businesses and traders that either consistently breach standards or make the most serious breaches. These most detrimental or 'rogue' traders are tackled using various interventions to bring them into compliance, including: enterprise actions; criminal investigation; or other targeted advisory interventions. Since April 2014, 97% of the most detrimental (posing the greatest risk to the public or other businesses) traders have been brought into compliance. This means that support and advice, criminal prosecutions undertaken by Trading Standards have been successful and ongoing civil cases are on track to secure compliance.

2.91 **Community Safety**

Of the two indicators for Community Safety:

- Both indicators are green

2.92 The County Council works jointly with a range of health, social care and Criminal Justice agencies and organisations to make vulnerable people safe and reduce the incidence of domestic violence. In quarter two 2014/15 the percentage of repeat incidents of domestic violence remained at 15%, well below the Norfolk target of 24% and the national rate of 24%.

2.93 We reported in September 2014 that a recent inspection undertaken by a national charity called Co-ordinated Action Against Domestic Abuse (CAADA) had indicated that these relatively low levels of repeat incidents of domestic violence may be linked to incorrect recording or under reporting and that the Multi Agency Risk Assessment Conference (MARAC) Board was considering what to do next. The board has identified that Norfolk applies a strict criteria on what constitutes a repeat incident. For an incident to be recorded as a repeat, the incidents must occur within 12 months of a MARAC and there has to be an element of domestic abuse identified. If these criteria are not fulfilled then the incident is not counted as a repeat incident.

2.94 **Recommendations**

Committee Members are asked to:

1. Review and comment on the performance information
2. Consider any areas of performance that require a more in-depth analysis.

3 **Financial Implications**

3.1 There are no significant financial implications arising from performance dashboards.

4 **Issues, risks and innovation**

4.1 Performance and risk reporting brings together complex information to assist members with decision making and understanding the issues which NCC faces. Over time this will develop alongside Committee plans to drive a number of complex issues. Performance reporting will help members to monitor and manage issues and risks to the services we deliver.

5 **Officer Contact**

5.1 If you have any questions about matters contained please get in touch with:

Officer Name: Daniel Harry **Tel No:** 01603 222568

Email address: daniel.harry@norfolk.gov.uk



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 A

Communities Committee – Performance Dashboard

(A key to the symbols used are detailed at the end of the dashboard)

Managing change					
	Value	Date	Rating	Target	Direction of Travel
NORFOLK FIRE AND RESCUE SERVICE – change programme					
Asset Management	Red	Q2	▲	Green	↓
Operational Improvement Programme	Green	Q2	★	Green	↔
CULTURAL SERVICES - change programme					
Museums efficiencies	Green	Q2	★	Green	↔
Library and Information Services efficiencies	Amber	Q2	●	Green	↔
Norfolk Record Office efficiencies	Green	Q2	★	Green	↔
Managing our resources					
Number of sickness absence days per FTE					
Communications and the Customer Service Centre	5.72	Q2	▲	7.47*	↓
Norfolk Fire and Rescue Service (excluding retained firefighters)	3.96	Q2	▲	3.56	↓
Public Health	4.1	Q2	▲	5.5*	↓
Cultural Services	3.28	Q2	●	5.38*	↓
*Targets are for year end - rating is taken against proportional quarterly target from this					
Cost of business mileage (cumulative)					
Cultural Services	£114,082	Sep-14	▲	£103,544	↑
Norfolk Fire and Rescue Service	£55,300	Sep-14	▲	£43,938	↓
Public Health	£19,351	Sep-14	▲	£13,291	↑

	Value	Date	Rating	Target	Direction of Travel
Service performance					
FIRE AND RESCUE					
Number of Home Fire Risk Checks completed for vulnerable older and/or disabled people	2134	Sep-14	★	1752	↓
Performance against NFRS Emergency Response Standards (how often we get to you within the response times we have set)	78.0%	Sep-14	●	80%	↓
% of time retained fire engines (crewed by part-time fire fighters) are available to respond to an emergency	84.6%	Sep-14	▲	90%	↓
% of 999 calls made to NFRS answered within 5 seconds	96.4%	Sep-14	★	95%	↓
TRADING STANDARDS					
% of businesses brought to broad compliance with trading standards	95.0%	Sep-14	★	94%	↓
% of rogues and most detrimental businesses brought to compliance	96.8%	Sep-14	★	85%	↓
% of disputes resolved through advice and intervention	100.0%	Sep-14	★	85%	↔
Customer satisfaction with Trading Standards services	93.0	Sep-14	★	85	↑
Increase in awareness by businesses of Trading Standards responsibilities	68.8	Sep-14	▲	78	↓
REGISTRATION SERVICE					
Registration of all births in Norfolk	99%	Sep-14	★	98% within 42 days	↑
Registration of still births in Norfolk	100%	Aug-14	★	98% within 42 days	↔
Registration of deaths excluding Part B and Inquests	76%	Sep-14	▲	90% within 5 days	↑
Registration of Part B deaths	36%	Sep-14	▲	80% within 7 days	↓

	Value	Date	Rating	Target	Direction of Travel
CULTURAL SERVICES					
Library and Information Services – actual and virtual visitors	Data not available due to change of system				
Norfolk Record Office - actual and virtual visitors combined	54,862	Q2	SURV	SURV	SURV
Museums - actual visitors	229,036	Q2	★	205,705	↑
% of population that have participated in sport at least once a week for at least 30 minutes [A]	33.50%	May-14	★	Year on year increase	↑
CUSTOMER SERVICES & CONSULTATION AND COMMUNITY RELATIONS					
% of Your Voice members that agree they can influence their local area	Annual measure. Survey results available in Q3				
% of young people voting in the annual Make Your Mark ballot	19,338	2014	★	15,000	↑
% of priority Social Care Calls answered within service level agreement time	98.1%	Q2	●	ALL	↔
% of all other calls answered within service level agreement time	90.6%	Q2	★	90%	↑
Average time taken to answer calls (seconds)	71	Q2	▲	60	↓
PUBLIC HEALTH					
Number of people engaged in Healthy Communities programme activities	1752	Q2	★	1600	↑
Number of dementia friendly programme sessions delivered	38	Q2	★	22	↑
Number of people in contact with Public Health commissioned smoking cessation services who quit smoking	49%	Q1	●	50%	↓
Chlamydia infection diagnosis rate per 100,000 population aged 15-24	1440.7 per 100,000	Q1	▲	2,300 per 100,000 pop	-

	Value	Date	Rating	Target	Direction of Travel
Outcomes for Norfolk					
NORFOLK FIRE AND RESCUE SERVICE					
Number of incidents NFRS attends (anything where a fire engine is needed)	3921	Sep-14	SURV	SURV	SURV
Number of false alarm calls that NFRS goes to	926	Sep-14	▲	871	↓
Number of people rescued at incidents attended by NFRS	352	Sep-14	SURV	SURV	SURV
Number of accidental fires in the home	227	Sep-14	★	241	↓
Number of injuries (from slight to serious) in accidental fires in the home	18	Sep-14	▲	13	↓
Number of deaths in accidental fires in the home	0	Sep-14	SURV	SURV	SURV
Cost of the service per head of population per year	£28.61	2012/13	★	Less than £35.99	↑
COMMUNITY SAFETY					
Repeat incidents of domestic violence kept below national rate (24%)	15%	Q2	★	24%	↔
Proportion of non-police referrals to Multi Agency Risk Assessment Conference	26%	Q2	★	25%	↑
CUSTOMER SERVICES & CONSULTATION AND COMMUNITY RELATIONS					
Customer satisfaction measure	The current available information from IPSOS Mori is for 2012. More recent data will be available later in the year. Additional measures for customer satisfaction are being developed.				
% residents who feel they can influence decision affecting their local area – Tracker survey [A]	Annual measure. Results not yet available.				
PUBLIC HEALTH					
NHS Healthchecks uptake in Norfolk.	49%	Q2	▲	66%	↓
% of people completing Health Trainer sessions who reported improved health and wellbeing	69%	June - Aug 2014	●	70%	↓
% of people creating a Personal Health Plan who complete the programme.	90%	June - Aug 2014	★	80%	↑

Key

★	Performance is on target, no action required
●	Performance is slightly off-track
▲	Performance is worse than the target, action required
↑	Performance is better than the same period last year
↓	Performance is worse than the same period last year
↔	Performance is the same as the same period last year

Notes

- Direction of Travel – relates to whether performance has improved (arrow up) or deteriorated (arrow down) over time. As standard we measure this by comparing to the same period the previous year however for some measures e.g. change programme, Trading Standards and Public Health we compare to the previous period.
- All performance indicators are reported monthly, unless otherwise noted by 'Q' (denotes quarterly reporting) or 'A' (denotes annual reporting).
- SURV – denotes an indicator where no target is set but trends in performance are reported.

Appendix B - Risk Register - Norfolk County Council																						
	Risk Register Name		Communities Committee																Red			
	Prepared by		Steve Rayner								High								Amber			
	Date updated		September 2014								Med								Green			
	Next update due		December 2014								Low								Met			
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Inherent Likelihood	Inherent Impact	Inherent Risk Score	Current Likelihood	Current Impact	Current Risk Score	Tasks to mitigate the risk	Progress update	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Risk Owner	Reviewed and/or updated by	Date of Review and/or update	
D	NFRS	RM13974	RM NFRS Failure to assure that standards of operational competency for fires in the built environment.	Failure to assure that standards of operational competency for fires in the built environment are maintained by staff leads to staff being exposed to avoidable risk of harm.	13/10/2011	4	4	16	4	4	16	Workforce Development programme delivered to schedule. Development and delivery of BA training. Introduction of "Live Fire" training. Riskfile information accurate and up to date format for all key risk premises. Incident command BA training and associated monitoring. Implementation of "Lessons learnt" from local and national incidents integrated into review processes. Operational reviews and actions undertaken for all significant incidents. Quarterly monitoring of core skills levels. PDRPro and training plans via Team Performance Meetings 1:1. 17/12/13 meetings to be convened with NCC / NPS regarding site availability. PETANS to be contacted re. extension of contract to cover shortfall. Other suppliers, FSC, Lincs, Suffolk to be contacted as a contingency. Political / financial implications raised at Chief Officer level. 29/1/14 Containers being moved to Coltishall as an interim. Discussions taking place with planning to gauge if a full application is required. Other sites to be identified via NPS. Discussions with other FRS to support our FBT in the interim.	Agreement from Coltishall to relocate containers. Discussions with PO's and ETD regarding rental. Fire behaviour containers have been relocated to Coltishall and arrangements made for FB training courses to be delivered at Wattisham (Suffolk FRS hot fire training venue) while planning consent is resolved. Further discussion in Board 18/3 confirmed that a formal request for a 15 year lease at Coltishall would be submitted to ETD (via NPS) as alternative site is not viable. 27/6 Planning permission granted for use of FBT containers. Discussions on-going with ETD regarding planning for Live Fire module, no approval to date. 18/9 FBT has commenced at Coltishall so this element is no longer a risk. The Live Fire training unit has been granted a 15yr lease at Coltishall. P Permission is being sought from NCC planners. Tender document has been drawn up and is ready to go to market.	3	2	6	31/03/2015	Red	Karen Palframan / Roy Harold	Dave Ashworth	18/09/2014	
D	NFRS	RM13975	RM NFRS Incomplete or out of date safe systems of work.	Incomplete or out of date safe systems of work for emergency incidents leading to public or staff being exposed to harm and/or damage to assets.	17/10/2011	4	3	12	4	5	20	A Station Manager has been tasked with removing backlog of orders and procedures for review. Monitoring of Operational Assurance Team (OAT's) work plan to produce a full complement of revised format Standard Operating Procedures (SOP) by July 2014. Policy and approach for maintaining currency and accuracy refreshed.	Baselining of current outstanding work completed. Out of date and duplicated documents identified. Cross referencing against Generic Risk Assessments underway. All documents on Mobile Data Terminals have been checked for currency and accuracy. All are in date. Significant number of unnecessary docs have been removed. NFRS committed to go ahead with the SE consortium following a presentation with HOD's and project lead. Temporary WM secured for 12 months to lead on this work. Adoption of the SOPs produced by the South East Consortium has now been agreed. The production of SOPs by the consortium has been delayed and the revised date for their completion was 31st May 2014 but further slippage has occurred. This will delay the implementation of the SOPs into NFRS until April 2015	3	2	6	30/04/2015	Amber	Roy Harold	Les Britzman	07/10/2014	

D	NFRS	RM14122	RM NFRS Shortage of emergency response personnel including key incident managers through industrial action.	The risk that industrial action will cause a serious shortage of operational staff. This will result in considerable disruption and interruption to the delivery of the statutory duty under the Fire and Rescue Act 2004, and the Fire Authorities obligations under the Civil Contingencies Act 2004. This could lead to death or serious injury to members of the public and have a detrimental effect on the reputation of the service.	06/08/2013	4	5	20	5	5	25	The dispute is between FBU/FOA and Central Government over pensions and cannot be resolved through local negotiations. Contingency planning to cover any type of industrial action. Fire Control (999) call receipt is anticipated to be working fully as the dispute is over Pensions proposals for staff who are in (or eligible to be in) the Fire fighters pension scheme (Fire control staff come under the LGPS). Implementation of a Communication Strategy, including liaison with LRF. Regular meetings with Representative Bodies. Amalgamated resilience Wholetime Duty System crews have been secured for urban areas. Retained Duty System stations have confirmed their availability or otherwise. 11 Incident Commanders will be geographically located around the county. Control will continue to operate from HQ. Comms plan enacted. Stakeholders updated via Local Resilience	Critical Resilience Planning Group established. Resilience scoping and planning underway. Initial meeting held with FBU to discuss handling. Reported to COG on 01-08-2103 COG agreed that Emergency Planning Team should now enter into their planning phase to manage potential disruption. Chief Fire Officers' Association are providing regular updates on UK wide basis for issues and briefings on possible issues for consideration. They are also liaising with Central Gov. over National resilience assets including specialist seconded officers. Agreement has been reached with the FBU nationally that in the event of a declared emergency during industrial action, Fire fighters will be made available for duty. 24 appliances available for 19/10 to cover strike 18.30 - 23.00 with 7 officers also working. Second ballot (action short of strike action) closed on 4/12 with a yes mandate. Assessment is minimal impact on NFRS. Further discussions have taken place between FBU and DCLG and outcome awaited.	5	3	15	31/03/2015	Amber	Karen Palframan	David Ashworth	18/09/2014
D	NFRS	RM14119	RM NFRS Failure to secure availability of operational individuals and crews.	Non availability of Retained Duty System (RDS) stations leading to next nearest resource being mobilised with negative impact on performance standards. Non availability of Wholetime Duty System (WRS) staff leading to extended response times and reduced specialist capability. Emergency Response Service (ERS) being stretched with a negative impact on the service's emergency response capability and performance.	01/07/2013	3	4	12	4	4	16	Project established (Operational readiness) to review all internal and external influences that affect appliance availability and impact on current ERS. The Integrated Risk Management Plan (IRMP) will review and update NFRS ER standards where appropriate. Dialogue maintained with FBU, access to stations maintained. Managers maintaining a close overview on business as usual.	Operational Readiness workshop completed and action plan developed. This work along with Concept of Operations project findings, Operational Implications from Priority Based Budgeting and IRMP actions are incorporated into an Operational Improvement Programme. 1st phase of project completed and panel report completed. Workshop 2 16/9 identified next steps. Each station that has consistently been below 90% will be scrutinised. The number of RSO's has been maintained to support RDS availability. Further opportunities are being identified through the IRMP/Concept of Operations and the changes to WDS crewing. Recruitment days have been increased from 3 to 4. Volunteer list established at District level to provide resilience for short term staffing deficiencies. 11/12/13 Operational Improvement Plan agreed by board. 14 month programme of work to capture WDS crewing and RDS support. 27/6. Resilience tested twice during June (1 x 24hr and 1 x7he strikes) 24 pumps available. All incidents attended. Service maintaining neutrality. 18/9. The dispute is no closer to being resolved. All plans remain in place ready to be enabled following 7 days notice by FBU. Dialogue has been maintained with FBU and local issues have been addressed as they arise.	2	4	8	31/03/2015	Amber	Karen Palframan	David Ashworth	18/09/2014
T	Public Health - Children and Young People (C&YP)	CYP1	0 to 5 years commissioning responsibility transfers to Local Authority in April 2015	Unclear and unquantified future funding arrangements with potential implications for NCC. This will be a new commissioning responsibility for LAs.	01/04/2013	5	4	20	5	4	20	PH CYP Team to keep a watching brief on 0 to 5 years commissioning by NHS England and CCGs. Project support for PH 0-5 yrs. agenda agreed in principle (using existing vacancies). Jan 2014 0-5 specialist Advanced Public Health Officer (APHO) job advertised.	PH CYP Team liaising with commissioning and provider organisations who provide 0-5 services at local, regional and national level. Sarah Barnes co-chairing Norfolk Health Visitor and Family Nurse Partnership (FNP) Board + attending NCC 0-11 commissioning board. NHSE proposal to re-commission the 0 to 5 HCP within the same time frame as NCC 5-19 HCP. Update	3	3	9	31/03/2015	Amber	Helen Adcock	Sarah Barnes	
T	Public Health - Children and Young People (C&YP)	CYP2	Healthy Child Programme (HCP) - Failure to meet the procurement milestones due to uncertainty of funding and lack of capacity to procure	Re commissioning of an county wide integrated HCP 5-19 years. Challenges and risks in developing a fully integrated service. Lack of clarity on finance. Failure to meet timescale of procurement. Risk that interdependencies with other key services is not robust.	12/09/2013	4	5	20	4	5	20	HCP Programme Board is established. Explore opportunities for alignment and service efficiencies and innovation of commissioning with other PH topic areas e.g. Drug Alcohol Action Team (DAAT) and sexual health. Also with Children's services and to reflect the C&F Act 2014. Engaging with wider partnerships e.g. Clinical Commissioning Groups (CCGs); CSP, Early Help.	Opportunities for alignment being explored across NCC. Update Jan 2014 NCC co-commissioning not viable in timeframe. PH CYP to progress with HCP alone. Following meeting on 07.04.14 agreed to review timescales and gateways in light of national agenda for 0 to 5 HCP. NHS contracts now being negotiated to move to NCC Contract t&c. Procurement timeframe re-arranged. Project Board established Link to HCP RAIDD log for detail. Finance option paper presented to SMT on 7.1.14. SMT agreed to identify funding within existing PH budget. Maternity leave post (HC) will be returning to team in June 2014 to support this.	3	3	9	31/03/2015	Amber	Helen Adcock	Sarah Barnes	
D	Mental health promotion, mental illness prevention, suicide prevention	R1	Lack of coordination of mental health prevention services	Services are fragmented to be able to meet estimated local needs especially in dementia; in addition, commissioning of suicide prevention has been declared as the remit of local authorities and not that of NHS.	24/05/2013	4	4	16	4	4	16	To develop a new strategy based on recent needs assessment and changes; to involve partnership organisations via Health & Wellbeing Board..	Health & Wellbeing Board named 'dementia' as one of the priorities. One joint post for 1.0 wte APHO to lead mental health and dementia is to be recruited. Final job description (JD) is awaited from Minimising Risk & Harm team.	3	4	12	30/06/2015	Amber	Angela Fletton	Angela Fletton	

G	Cultural Services	RM14130	Lack of capacity in ICT systems and services	A lack of capacity in ICT Services to support Cultural Services delivery, in addition to the poor network capacity out into the County, could lead to a breakdown in services to the public or an inability of staff to process forms and financial information. This could result in a loss of income, misdirected resources, poor performance against NI targets and negatively impact on our	30/04/2011	4	4	16	4	4	16	Active monitoring of the ICT resource is being developed to understand and address quality and workflow issues. Continue to work with ICT services to identify ways of resolving library services ICT issues.	DNA should address concerns re response times and flexible working. NLIS new library management system installed NMS new ticketing system installed Current Outlook migration is causing service disruption, especially for non-County Hall sites i.e.. Active Norfolk, Museums and Libraries. Potential disruption to the museums and NLIS from weekend power-downs and ICT closure during public holidays.	2	3	6	31/03/2015	Amber	John Perrott	Jennifer Holland	07/10/2014
S	Norfolk Arts Service	RM13955	Key funding partners altering their investment priorities	If key funding partners alter their investment priorities to organisations in Norfolk it could lead to pressure on arts organisations and their delivery to our local communities and support for the visitor economy. .	30/06/2011	4	5	20	3	4	12	Discussion with funding partners, organisations and Members. Provide information and advice to arts organisations re alternative sources of funding. Work with the Comms team to communicate messages. Proactive identification of new income streams, public and private	On-going discussion with funding partners, organisations and Members. Weekly e-bulletins are sent to the arts sector.	2	4	8	31/03/2015	Amber	Steve Miller	Lindsay Gardner	01/10/2014
S	Norfolk Library and Information Service	RM13945	Public abuse of internet facilities	Abuse of the internet access facility by members of the public could lead to adverse publicity and a loss of confidence by the public. This may result in a criminal act occurring on our premises leading to prosecution and seriously affect our reputation. There is also a safeguarding implication.	30/06/2011	3	2	6	3	4	12	Ensure filtering and acceptable use policies are implemented Implement a policy to deal with abusers and enforce Consider new filtering proposals Ensure safeguarding training is promoted and staff are clear about actions to take	Well documented procedures for breaches. New procedures communicated to staff as appropriate As a result of the pc refresh a project will be developed to look at this area. Detailed discussions with the Police around internet misuse, and protocol between NLIS and Constabulary introduced. Staff to be reminded to be more vigilant and report any suspicious activity	2	2	4	31/03/2015	Amber	Paul Harrison	Paul Harrison	09/10/2014
D	Cultural Services	RM14176	Reduction in NCC funding impacts on external partnerships	The reduced grant funding from NCC will result in other organisations withdrawing support for Cultural Services.	30/06/2014	3	3	9	3	4	12	Discussions with Chair through budget setting process.	Committee Chair briefed. On-going discussions with elected members and regular updates with partner organisations.	1	3	3	31/03/2015	Amber	Jennifer Holland	Jennifer Holland	07/10/2014

Norfolk County Council Communities Committee

Item No 14

Report title:	Communities Committee Finance Monitoring Report at Period 06 2014-15
Date of meeting:	19th November 2014
Responsible Chief Officer:	Interim Director of Environment, Transport and Development
Strategic impact This report provides the Committee with information on the financial position of the Service for 2014-15 and is the second financial monitoring information for the new financial year. It provides information on variances from the original budget, emerging issues and the position on the expected use of reserves for Communities purposes.	

Executive summary

The approved 2014 – 15 net revenue budget for this Committee is £50.208m. At the end of Period 06 we are forecasting a net underspend of £0.140m (0.28% of the net budget).

The 2014-15 Capital budget of £4.117m reflects the agreed programme for 2014-15. As at period 06, there are no forecast significant variations to the programme, but any changes that help further to achieving savings and/or contributing to more effective service delivery will be reported as soon as they are identified and agreed.

Communities' reserves at 1st April 2014 stood at £12.088m. The service is forecasting a net use of reserves in 2014-15 of £6.975m to meet commitments and deliver a balanced budget as set out in this report. The 2014-15 forecast outturn position for reserves and provision is £5.113m which includes unspent grants and contributions.

Recommendation

Members are invited to discuss the contents of this report and in particular to note:

- a) The forecast revenue outturn position for 2014-15 as at Period 06 of a £0.140m underspend
- b) The forecast capital outturn position for the 2014-15 capital programme.
- c) The current forecast for use of reserves.

1. Proposal

- 1.1. Members have a key role in overseeing the financial position of Communities services, including reviewing the revenue and capital position and reserves held by the service. Although budgets are set and monitored on an annual basis it is important that the ongoing position is understood and the previous year's position, current and future plans and performance are considered.
- 1.2. This is the third monitoring report for 2014-15 and reflects the forecast position at the end of September 2014 (period 06).

2. Evidence

- 2.1 This is the third monitoring report for 2014-15 and the table below summarises the forecast outturn position at the end of September 2014 (Period 06).

Table 1: Communities 2014-15 Forecast Position as at Period 06				
Revenue Monitoring 2014/15	Approved Budget	Forecast Outturn	Forecast +Over/(Under spend)	
	£m	£m	£m	%
Norfolk Fire & Rescue Service	27.804	27.744	(0.060)	(0.22)
Libraries, Museums, Record Office & Arts	15.160	15.143	(0.017)	(0.11)
Trading Standards	2.036	2.020	(0.016)	(0.79)
Adult Education	0.137	0.137	0.000	0.00
Public Health	(1.201)	(1.201)	0.000	0.00
Emergency Planning & Community Resilience	0.305	0.259	(0.046)	(15.08)
Active Norfolk	0.000	0.000	0.000	0.00
Customer Services – including HealthWatch	5.480	5.479	(0.001)	0.00
Registration Services	0.086	0.086	0.000	0.00
Consultation & Community Relations	0.295	0.295	0.000	0.00
Community Safety	0.106	0.106	0.000	0.00
Committee Total	50.208	50.068	(0.140)	(0.28)

- 2.2 As at the end of September 2014 (Period 06) the forecast revenue outturn position for 2014-15 is an underspend of £0.140m against a budget of £50.208m.
- 2.3 The current forecast is based on the first six months of the financial year, taking into consideration the approved budget, which provides a reasonable basis on which to estimate the future forecast outturn. There are no known cost pressures identified at this time that cannot be managed by the services with corrective action to achieve a balanced budget for 2014/15.
- 2.4 The detailed position for each service area is shown at **Appendix A**.

Capital Programme 2014-15

- 2.5 The overall revised capital budget for the services reported to this Panel is £4.117m as at the end of September 2014 and is shown at table 3 below. Committed expenditure and national procurement frameworks, means that some project slippage has been brought forward from 2013/14 and elements of the original capital programme has been re-profiled to future years where required.
- 2.6 The programme is forecast to be in line with the current budget for 2014/15. Further details on individual schemes are shown at **Appendix B**.

Table 2: Communities Capital Programme					
Scheme or programme of work	2014/15 Capital Budget £m	Expenditure to Date £m	2014/15 Forecast Capital Outturn £m	Total Forecast (under)/over spend £m	Total Slippage £m
Norfolk Fire & Rescue Service	3.041	1.017	3.041	0.000	0.000
Libraries, Museums, Record Office & Arts	1.276	0.409	1.276	0.000	0.000
CommitteeTotal	4.117	1.426	4.117	0.000	0.000

There is no Capital Programme currently planned for Trading Standards, Adult Education, Public Health, Emergency Planning & Community Resilience, Active Norfolk, Customer Services, Registration Services and Consultation & Community Relations in 2014/15.

Communities Reserves and Provisions

- 2.11 Communities reserves and provisions as at 31st March 2014 stood at £12.088m. The service is forecasting a net use of reserves in 2014-15 of £6.975m to meet project commitments and help to deliver a balance budget where required.
- 2.12 The 2014-15 forecast outturn position for reserves and provision is £5.113m. Further details on reserves and provisions for each service are shown at **Appendix C**.
- 2.13 Norfolk Fire and Rescue Service are not using £0.900m of reserves as originally planned due to the deferral of purchase of operational equipment.
- 2.14 The planned use of reserves figure for Libraries, Museums, Record Office & Arts in the table below did not include funding for approved projects or the use of revenue grants.
- 2.15 The additional use of Public Health reserves is to facilitate the agreed health projects programme.

Table 3: Communities Reserves & Provisions					
Reserves & Provisions 2014/15	Balance at 30 September 2014	Forecast Balance at 31 March 2015	Forecast use of reserves	Planned use of reserves	Variance
	£m	£m	£m	£m	£m
Norfolk Fire & Rescue Service	3.814	3.729	(0.085)	(0.985)	(0.900)
Libraries, Museums, Record Office & Arts	3.355	1.163	(2.192)	(0.378)	1.814
Trading Standards	0.140	0.077	(0.063)	0.000	0.063
Adult Education	0.167	0.167	0.000	0.000	0.000
Public Health	3.353	1.024	(2.329)	(2.148)	0.181

Emergency Planning & Community Resilience	0.000	0.000	0.000	0.000	0.000
Active Norfolk	0.572	0.234	(0.338)	(0.378)	(0.040)
Customer Services	0.162	0.117	(0.045)	(0.045)	0.000
Registration Services	0.412	0.412	0.000	0.000	0.000
Consultation & Community Relations	0.113	0.052	(0.061)	(0.061)	0.000
Community Safety	0.000	0.000	0.000	0.000	0.000
Committee Total	12.088	6.975	(5.113)	(3.995)	1.118

3. Financial Implications

- 3.1. There are no decisions arising from this report. The financial position for Communities services is set out within the paper and appendices.

4. Issues, risks and innovation

- 4.1 This report provides financial performance information on a wide range of services monitored by the Communities Committee. Many of these services could have a potential impact on residents or staff from one or more protected groups. The Council pays due regard to the need to eliminate unlawful discrimination, promote equality of opportunity and foster good relations.
- 4.2 There are no issues or risks directly arising from this report.

5. Background

- 5.1 This is the third monitoring report to the newly formed Communities Committee and no proposals are being requested, other than to consider and note the contents of this report.
- 5.2 As some budgets have been disaggregated from previous reporting structures in order to report to this committee, there may be some convergence of information with other committee meetings reporting on the previous year's position.
- 5.3 There are no background papers accompanying this report.

Officer Contact

If you have any questions about matters contained or want to see copies of any assessments, eg equality impact assessment, please get in touch with:

Officer Name: Harvey Bullen
Tel No: 01603 222026
Email address: harvey.bullen@norfolk.gov.uk



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Appendix A

Revenue Monitoring 2014/15	Approved Budget	Forecast Outturn	Forecast +Over/(Under spend)
	£ 000	£ 000	£ 000
Norfolk Fire & Rescue Service			
HQ Salaries	562	635	73
Resources	4,381	4,426	45
IRMP	321	328	7
Resilience & Operations	497	546	49
HR & Business Support	3,844	3,692	(152)
Community Safety	258	246	(12)
Training	1,348	1,286	(62)
Operations	13,428	13,543	115
Commercial Training	0	(9)	(9)
Fire Prevention	393	353	(40)
Central Finance HQ	2,773	2,862	89
Youth Development	0	31	31
Grants	(1)	(195)	(194)
Norfolk Fire & Rescue Service Total	27,804	27,744	(60)
Libraries, Museums, Record Office & Arts			
Norfolk Libraries & Information Service	10,217	10,217	0
Arts & Recreation Grants	456	439	(17)
Norfolk Museums Service	3,266	3,266	0
Norfolk Records Office	1,221	1,221	0
Libraries, Museums, Record Office & Arts Total	15,160	15,143	(17)
Trading Standards	2,036	2,020	(16)
Norfolk Adult Education Service	137	137	0
Public Health			
Business & Staffing	(27,341)	(27,341)	0
Children and Young People Programme	2,749	2,749	0
Communities	230	230	0
DAAT	8,785	8,785	0
Health Protection	43	43	0
Minimising Risk & Harm	9,975	9,975	0
PH Intelligence and Information Management	125	125	0
Reducing Early Mortality	4,233	4,233	0
Public Health Total	(1,201)	(1,201)	0

Emergency Planning & Community Resilience	305	259	(46)
Active Norfolk	0	0	0
Customer Services			
Customer Access Development	169	169	0
Compliments & Complaints	379	379	0
Post Service	606	606	0
Web Content Management	256	256	0
HealthWatch	407	406	(1)
Customer Service Centre	1,319	1,319	0
County Hall Reception	48	48	0
Social Care Centre Of Expertise	2,296	2,296	0
Customer Services Total	5,480	5,479	(1)
Registration Services			
Registrars General	382	382	0
Diss (Depwade)	(1)	(1)	0
Downham Market	(47)	(47)	0
Dereham	(17)	(17)	0
Fakenham	(5)	(5)	0
Great Yarmouth	(111)	(111)	0
Kings Lynn	27	27	0
Ceremonies	105	105	0
North Walsham (also Cromer)	(118)	(118)	0
Norwich	(116)	(116)	0
Thetford (Wayland)	(25)	(25)	0
Watton / Swaffham	12	12	0
Registration Services Total	86	86	0
Consultation & Community Relations	295	295	0
Community Safety	106	106	0
Committee Total	50,208	50,068	(140)

Notes:

The main item of overspend within the **Norfolk Fire & Rescue Service** is increased Operational costs. The main item of underspend is an increased receipt of USAR grant.

The underspend within **Libraries, Museums, Record Office & Arts** is through control of running costs and scrutiny of grant applications.

The underspend within **Trading Standards** is through management of vacancies and control of non-essential costs.

The underspend within **Emergency Planning & Community Resilience** is through management of vacancies. The reported budget and forecast for this area has reduced since the last report as that included the budget for non-emergency planning as well.

COMMUNITIES CAPITAL PROGRAMME Scheme or programme of work	2014/15 Capital Budget £ 000	2014/15 Forecast Capital Outturn £ 000	Total Forecast (under)/ over spend £ 000	Current Total Slippage to 2015/16 £ 000
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Norfolk Fire & Rescue Service

Boat Facilities	5	5	-	-
Carrow Training	41	41	-	-
CLG unallocated	112	112	-	-
CMW	87	87	-	-
East Coast Project	85	85	-	-
Generators	18	18	-	-
Solar panels	5	5	-	-
Training	318	318	-	-
USAR	400	400	-	-
Vehicle replacement	83	83	-	-
Water rescue	1,173	1,173	-	-
Station Improvements	126	126	-	-
Miscellaneous	513	513	-	-
Kings Lynn new build	76	76	-	-
Service Total	3,042	3,042	-	-

Libraries, Museums, Record Office & Arts

Museums

Bridewell				
Redevelopment	23	23	-	-
Gressenhall Farm & Workhouse - Eco- buildings	47	47	-	-
Seahenge	7	7	-	-
Biomass Boiler CERF	11	11	-	-
GFWH Wind & Solar	17	17	-	-
Museum Stock System	40	40	-	-
Castle Keep Improvements	9	9	-	-
Strangers Hall replacement lighting	2	2	-	-
Gressenhall Sewerage Treatment Plant Upgrade	253	253	-	-

		-	-	-
<i>Libraries</i>		-	-	-
Library Refurbishment Programme 14 / 15	200	200	-	-
S106 Schemes	7	7	-	-
CERF Watton library	24	24	-	-
CERF Blofield library	35	35	-	-
CERF Gt Yarmouth library	36	36	-	-
CMW Wymondham library	2	2	-	-
Service Total	1,276	1,276	-	-
Committee Total	4,318	4,318	-	-

Trading Standards	No Capital Programme
Adult Education	No Capital Programme
Public Health	No Capital Programme
Emergency Planning & Community Resilience	No Capital Programme
Active Norfolk	No Capital Programme
Customer Services	No Capital Programme
Registration Services	No Capital Programme
Consultation & Community Relations	No Capital Programme

Appendix C

Communities Reserves & Provisions 2014/15

	Type	Balance at 30 September 2014	Forecast Balance at 31 March 2015	Forecast usage of reserves
		£ 000	£ 000	£ 000
Norfolk Fire & Rescue Service				
EU Part Time Workers				
Provision (Pensions)	Provision	850	850	0
Fire Pensions	Reserve	348	348	0
Equipment/Leasing	Reserve	918	918	0
Operational / PPE / Clothing	Reserve	967	962	(5)
Retained FireFighters	Reserve	542	542	0
Unspent Grants & Contributions Reserve	Grant	189	109	(80)
Norfolk Fire & Rescue Service Total		3,814	3,729	(85)

Libraries, Museums, Record Office & Arts

Norfolk Libraries & Information Service

R & R Fund		1,038	287	(751)
Information Technology		491	39	(452)
Unspent Grants And Contributions Reserve	Grant	217	170	(47)
Subtotal		1,746	496	(1,250)
<i>Arts & Recreation Grants</i>				
R & R Fund	Reserve	22	22	0
Subtotal		22	22	0
<i>Norfolk Museums Service</i>				
R & R Fund	Reserve	224	154	(70)
Income Reserve	Reserve	404	24	(380)
Unspent Grants And Contributions Reserve	Grant	569	300	(269)
Subtotal		1,197	478	(719)

Norfolk Records Office

Residual Insurance & Lottery	Reserve	378	159	(219)
Unspent Grants And Contributions Reserve	Grant	12	8	(4)
Subtotal		390	167	(223)
Libraries, Museums, Record Office & Arts Total		3,335	1,163	(2,192)

Trading Standards

Personal Protective Equipment	Reserve	140	77	(63)
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Adult Education

Income Reserve	Reserve	159	159	0
Unspent Grants And Contributions Reserve	Grant	8	8	0
Adult Education Total		167	167	0

Public Health

Unspent Grants & Contributions - Warm & Well	Grant	24	24	0
Unspent Grants & Contributions - PH Ring fenced grant	Grant	3,329	1,000	(2,329)
Public Health Total		3,353	1,000	(2,353)

Emergency Planning & Community Resilience

0 0 0

Active Norfolk

Unspent Grants And Contributions Reserve	Grant	572	234	(338)
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Customer Services

Customer Access ICT Reserve	Reserve	85	40	(45)
Complaints Organisational Change Reserve	Reserve	45	45	0
Customer Service Centre Repairs & Renewals Reserve	Reserve	25	25	0
Customer Service Centre ICT Reserve	Reserve	7	7	0
Customer Services Total		162	117	(45)

Registration Services

Accommodation and ICT Reserve	Reserve	412	412	0
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Consultation & Community Relations

Consultation Organisational Change Reserve	110	49	(61)
Youth Parliament ICT Reserve	3	3	0
Consultation & Community Relations Total	113	52	(61)

Committee Total	12,088	6,975	(5,113)
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Communities Committee

Item No 15

Report title:	Forward Plan for Communities Committee
Date of meeting:	19 November 2014
Responsible Chief Officer:	Tom McCabe
Strategic impact The Committee Forward Plan sets out the items/decisions programmed to be brought to this Committee for consideration in relation to communities issues in Norfolk. The plan helps the Committee to programme the reports and information it needs in order to make timely decisions. The plan also supports the Council's transparency agenda, providing service users and stakeholders with information about the Committee's business.	

Executive summary

<p>This report sets out the Forward Plan for the Communities Committee. The Forward Plan is a key document for this committee to use to shape future meeting agendas and items for consideration, in relation to delivering communities issues in Norfolk.</p> <p>Each of the Council's committees has its own Forward Plan, and these are published monthly on the County Council's website.</p> <p>The latest version of the Forward Plan for this Committee is included at Appendix A.</p> <p>Recommendations:</p> <p>1. To review the Forward Plan and identify any additions, deletions or changes to reflect key issues and priorities the Committee wishes to consider.</p>

1.0 Proposal

- 1.1 The Forward Plan is a key document for this committee in terms of considering and programming its future business, in relation to communities issues in Norfolk.
- 1.2 The current version of the Forward Plan (as at 4 November 2014) is attached at Appendix A.
- 1.3 The Forward Plan is published monthly on the County Council's website to enable service users and stakeholders to understand the planned business for this Committee. As this is a key document in terms of planning for this Committee, a live working copy is also maintained to capture any changes/additions/amendments identified outside the monthly publishing schedule. Therefore, the Forward Plan attached at Appendix A may differ slightly from the version published on the website.
- 1.4 If any further changes are made to the programme they will be reported verbally at the Committee meeting on 19 November 2014.

2.0 Evidence

- 2.1 Bringing together the business for this Committee into one Forward Plan enables Members to understand all of the business programmed. This is a tool to support the

Committee to shape the overall programme of items to be considered to ensure they reflect the Committee's priorities and responsibilities.

3.0 Financial Implications

- 3.1 There are no financial implications arising from the Forward Plan. Any financial implications relating to the issues/decisions included on the Plan will be considered and detailed in the relevant report to this Committee.

4.0 Issues, risks and innovation

- 4.1 The Forward Plan indicates the issues/decisions which have potential implications for other service committees. There are separate Forward Plans owned by each Committee.

Officer Contact

If you have any questions about matters contained in this paper or want to see copies of any assessments, e.g. equality impact assessment, please get in touch with:

Officer Name: Sarah Rhoden **Tel No:** 01603 222867

Email address: sarah.rhoden@norfolk.gov.uk



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Communities Committee

Issue/decision	Implications for other service committees?	Requested committee action (if known)	Anticipated date for decision	Lead officer
Meeting 14 January 2015				
Service and Financial Planning 2015-18	All Committees will receive a report on service and financial planning 2015-18	To note the provisional finance settlement for 2015-16 and the latest planning position for Norfolk County Council and review and comment on updated budget proposals and responses to consultation where relevant.	14/01/15	Head of Service and Head of Finance
UK Youth Parliament Annual Report			14/01/15	Head of Business Intelligence and Performance (Debbie Bartlett)
NCC cycling strategy	Report also being considered by EDT Committee in January 2015		14/01/15	Assistant Director Community Services (Jennifer Holland)
Trading Standards Business Services Policy and Consumer Support Policy	No	To review and consider service provision, including chargeable business advice, to enable agreed budget savings to be delivered.	14/01/15	Trading Standards Manager (Sophie Leney)
Finance Monitoring report	None anticipated	To review the service's financial position in relation to the revenue budget, capital programme and level of reserves.	14/01/15	Head of Finance (Peter Timmins)

Forward Plan for Communities Committee

Appendix A

Issue/decision	Implications for other service committees?	Requested committee action (if known)	Anticipated date for decision	Lead officer
December 2013 Tidal Surge Action plan update	No	Review the progress on the action plan developed from the lessons identified in the debriefing of the Tidal Surge event of December 2013.	14/01/15	Resilience Manager
Forward Plan	No	To review the Committee's forward plan and agree any amendments/additions.	14/01/15	Business Support & Dev. Manager (Sarah Rhoden)
Update on key service issues and activities	No	To review service updates on key issues and activities and identify any areas where the Committee would like to receive further information.	14/01/15	Business Support & Dev. Manager (Sarah Rhoden)
Meeting 11 March 2015				
Fire and Rescue Annual Statement of Assurance	No	To note	11/03/15	Assistant Director Community Safety and Chief Fire Officer (Nigel Williams)
Adult Education Annual Report	No	Agree the annual report.	11/03/15	Assistant Director Community Services (Jennifer Holland)
Performance Monitoring Report (Quarter 3 results)	No	To note progress and consider whether any aspects should be identified for further scrutiny.	11/03/15	Head of Business Intelligence and Performance (Debbie Bartlett)

Forward Plan for Communities Committee

Appendix A

Issue/decision	Implications for other service committees?	Requested committee action (if known)	Anticipated date for decision	Lead officer
Finance Monitoring report	None anticipated	To review the service's financial position in relation to the revenue budget, capital programme and level of reserves.	11/03/15	Head of Finance (Peter Timmins)
Trading Standards Service Plan (including Food & Feed Law Enforcement Plan (FFLEP) and Enforcement of Age Restricted Sales Plan(EARSP)	Follows on to full Council as service plan is part of NCC policy framework.	Recommend the adoption of the Plan to Council – including the Food and Feed Law Enforcement Plan and Enforcement of Age Restricted Sales Plan	11/03/15	Trading Standards Manager (Sophie Leney)
Norfolk Armed Forces Community Covenant – Two Years On	Potential links to Children's and Adult Services Committees	To note progress	11/03/15	Head of Business Intelligence and Performance (Debbie Bartlett)
Update on key service issues and activities	No	To review service updates on key issues and activities and identify any areas where the Committee would like to receive further information.	11/03/15	Business Support & Dev. Manager (Sarah Rhoden)
Forward Plan	No	To review the Committee's forward plan and agree any amendments/additions.	11/03/15	Business Support & Dev. Manager (Sarah Rhoden)
Meeting 13 May 2015				
Update on key service issues and activities	No	To review service updates on key issues and activities and identify	13/05/15	Business Support & Dev. Manager

Forward Plan for Communities Committee

Appendix A

Issue/decision	Implications for other service committees?	Requested committee action (if known)	Anticipated date for decision	Lead officer
		any areas where the Committee would like to receive further information.		(Sarah Rhoden)
Forward Plan	No	To review the Committee's forward plan and agree any amendments/additions.	13/05/15	Business Support & Dev. Manager (Sarah Rhoden)
Potential items for Communities Committee				
An 'Adding Value' Study (How Now, How Better?)				
A Coherence Review (Within & Between)				
An Information Management Study ('3 Knows', Smarter Delivery)				
A Promoting Public Health Study (Within & Beyond Committee)				
A Funding Review (Potential Savings, Future Costs, Spending Priorities)				
Fire and Rescue Authority's Integrated Risk Management Plan	Possibly	Agree recommendations and forward them to Council	Every three years or where any significant changes are required.	Assistant Director Community Safety and Chief Fire Officer (Nigel Williams)

Issue/decision	Implications for other service committees?	Requested committee action (if known)	Anticipated date for decision	Lead officer
Norfolk Fire and Rescue's response to recommendations arising from national incidents	Possibly	To note	Ad hoc	Assistant Director Community Safety and Chief Fire Officer (Nigel Williams)
Norfolk Fire and Rescue's review of major incidents within Norfolk e.g. tidal surge/flooding	Possibly	To note	Ad hoc	Assistant Director Community Safety and Chief Fire Officer (Nigel Williams)
Significant changes to the role of the Fire and Rescue Service (e.g. Co-responding)	Possibly	To agree	Ad hoc	Assistant Director Community Safety and Chief Fire Officer (Nigel Williams)
Standard items included on the agenda for every meeting				
Forward Plan				
Update on key service issues and activities				