Norfolk County Council

Cabinet

Date: **Monday 12 April 2021**

Time: **10 am**

Venue: **Teams Meeting**

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

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

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

Membership

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

A g e n d a

1   **To receive any apologies.**

2   **Minutes**   Page 5

To confirm the minutes from the Cabinet Meeting held on Monday 8 March 2021.

3   **Members to Declare any Interests**

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

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

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

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

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

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

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

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

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

6   **Public Question Time**

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Wednesday 7 April 2021. For guidance on submitting a public question, view the Constitution at https://www.norfolk.gov.uk/what-we-do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee.

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

7   Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Wednesday 7 April 2021.

15   Reports of the Cabinet Member Delegated Decisions made since the last Cabinet meeting:
To note the delegated decisions made since the last Cabinet meeting.

Decision by the Leader and Cabinet Member for Strategy & Governance
  • COMF 2 funding (Public Health).

Decision by the Cabinet Member for Children's Services.
  • Falcon Road Junior School Refurbishment Works

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

- [County Hall Refurbishment Works](#)

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

- [Thetford - Saxon Bank (off Jubilee Close) - 20mph Zone](#)
- [Scarning - C470 Dereham Road – Speed Limit Changes](#)

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Date Agenda Published: 31 March 2021

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Norfolk County Council

Cabinet
Minutes of the Virtual Teams Meeting held on
Monday 8 March 2021 at 10am

Present:

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

Executive Directors Present:

James Bullion	Executive Director of Adult Social Services
Simon George	Executive Director of Finance & Commercial Services
Tom McCabe	Executive Director of Community & Environmental Services and Head of Paid Service.

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

Cabinet Members and Executive Directors formally introduced themselves.

1   Apologies for Absence

There were no apologies for absence.

2   Minutes from the meeting held on Monday 1 February 2021.

Cabinet agreed the minutes of the meeting held on Monday 1 February 2021 as an accurate record of the meeting.

3   Declaration of Interests

The Chairman, Cllr Andrew Proctor declared an interest in agenda item 17 (Repton Property Developments Ltd Business Plan 2021-22) as he was a Council appointed Director of Repton Property Developments Ltd.

Cllr Greg Peck declared an interest relating to item 17 (Repton Property Developments Ltd Business Plan 2021-22) and item 18 (Hethel Innovation Ltd Business Plan and Proposed Expansion) as he was a Director of Repton Property Developments Ltd and a Director of Hethel Innovation Ltd.

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

There were no matters referred to Cabinet.

5   Items of Urgent Business

5.1   There were no items of urgent business.

6   Public Question Time

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

6.2   **Supplementary question from Paul Neale**:
Mr Neale stated that the information about recycling on the website was still unavailable which indicated no waste was being recycled from kerbside bins. As a supplementary question, Mr Neale asked whether the County Council was treating other plastics, such as rigid plastics, as the Environmental Policy dated November 2019 stated that the County Council was striving to meet the global challenge by working towards carbon neutrality by 2030 and if not, where was the waste going.

The Cabinet Member for Environment & Waste agreed to provide specific information about rigid plastics which were being sent to waste from energy plants and recycled for energy, as there was currently no outlet for them to be recycled in Norfolk.

6.3   **Supplementary question from Richard Hawker**
As a supplementary question Mr Hawker asked for reassurance that the £1.024m from the Department for Transport had been capitalised following their guidance and that the conditions of the grant were being met.

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

6.4   The members of the public who were unable to join the meeting due to technical problems would receive a written response to their supplementary question. (Appendix C).

7   Local Member Questions/Issues

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

7.2 **Supplementary question from Cllr Alexandra Kemp**
As a supplementary question, Cllr Kemp asked if the application would be amended to inform the government of the 80% increase in accidents around King's Lynn and that the West Winch bypass should be built before the 350 houses.

The Cabinet Member for Highways, Infrastructure & Transport replied he fully supported the report and application as it stood.

7.5 The written supplementary questions submitted were responded to in writing (Appendix C).

8 **Highway Parish Partnership Schemes 2021-22**

8.1 Cabinet received the report by the Executive Director of Community & Environmental Services setting out the proposed parish partnership programme for 2021-22.

8.2 The Cabinet Member for Highways, Infrastructure & Transport introduced the report and moved the recommendations, during which the following points were noted:

- 2021-22 would see approximately 113 small local schemes, delivering projects requested by local communities, including trods; village gateways; bus shelters and vehicle activated signs.
- The way the programme was funded, with town and parish council contributions, meant that the funding available would double.
- The contribution for 2021-22 was £313,626, with a Safety Camera partnership contribution of just over £39k to the local investment programme which would support the delivery of schemes totalling £715,489.
- Although the Parish Partnership Scheme was not available in urban areas that did not have parish or town councils, communities had not been forgotten and significant investment had been made in urban areas including investment in Norwich as part of the Transforming Cities Fund; the 3rd River Crossing construction in Great Yarmouth and the West Winch Housing Access Road.

8.3 The Cabinet Member for Finance endorsed the proposals, particularly regarding the villages of Burnham Thorpe, North Creake and Burnham Market where gateways would be installed to help control speeding in those villages and he thanked the Cabinet Member for Highways, Infrastructure & Transport for facilitating the schemes.

8.4 The Cabinet Member for Adult Social Care, Public Health & Prevention endorsed the scheme and the contributions made by the Safety Camera Partnership, highlighting in particular the schemes in Lyng; North Tuddenham and Swanton Morley which had utilised the funding to reduce speed through rural villages. Traffic speeding through villages was an issue which was raised regularly at parish council meetings and the Parish Partnership Scheme was recognised as an effective way of providing money for projects that would benefit local communities.

8.5   The Cabinet Member for Transformation, Innovation & Performance also endorsed the report, highlighting concerns in rural villages and towns with narrow roads about speeding and that anything that slowed vehicles down and made it safer for pedestrians and other road users should be welcomed.

8.6   The Chairman reiterated the comments made which showed how valued the scheme was across the county. The proposed schemes were widespread and worked by providing the facilities communities requested. It showed a true partnership approach.

8.7   Cabinet **RESOLVED** to:

1. **Approve** the 90 local schemes listed in Appendix B of the report for inclusion in the Parish Partnership Programme for 2021/22.
2. **Approve** the 23 vehicle activated sign schemes listed in Appendix C of the report for inclusion in the Parish Partnership Programme for 2021/22, subject to securing funding from the Safety Camera Partnership.

8.8   **Evidence and Reasons for Decision**

This Parish Partnership scheme enables delivery of schemes which have been identified as important by local communities.

The contribution from Town and Parish Council's and the Safety Camera Partnership means that we can deliver more schemes on the ground. In addition, where local communities support lower cost solutions, there is a positive impact on the wider highway's improvement programme. For example, over the last five years, the implementation of trods has enabled 32 much more expensive footway schemes to be removed from the forward programme.

8.9   **Alternative Options**

Cabinet could decide to reduce the County Council's contribution to the Parish Partnership Programme or could decide to not utilise unallocated highways funding to allow all the assessed bids to progress. In which case, a set of additional criteria would need to be developed to enable the current list of proposed schemes for 2021/22 to be re-assessed.

9   Highways Capital programme 2021/22/23/24 and Transport Asset Management Plan.

9.1   Cabinet received the report by the Executive Director of Community & Environmental Services.

9.2   In introducing the report and moving the recommendations, the Cabinet Member for Highways, Infrastructure & Transport highlighted that the report summarised the one-year settlement following the Government's November 2020 budget and the proposed allocations for 2021/22. The report also included the successful progression of the 3rd River Crossing in Great Yarmouth, the Transforming Cities Fund in the Greater Norwich Area and the Long Stratton Bypass.

The Cabinet Member also highlighted that competitive bids had recently secured significant funding from the Local Growth Fund via the New Anglia Local

Enterprise Partnership as well as the Department for Transport National Productivity Investment Fund for improvements and the Department for Transport Challenge and Incentive Funds for maintenance as well as Active Travel Fund for walking and cycling.

Cabinet noted the recommended allocations for 2021-22 based on the expected Government settlement were set out in paragraphs 1.10; 1.11 and Appendix A of the report.

9.3   The Cabinet Member for Growing the Economy supported the proposals, noting how encouraging it was to see the investment in the highways in Norfolk, as well as the Great Yarmouth 3rd River Crossing which had received a £98m grant to commence the work.

The Cabinet Member drew attention to the National Highways and Transport public satisfaction survey 2020 which highlighted that Norfolk County Council had achieved an overall score of 56 and was ranked 1st out of 29 councils which had participated in the survey. Norfolk had also received second place in the best performing authorities in the eastern group which was testament to the work carried out to provide the right infrastructure to make Norfolk a safe place and help the economy.

9.4   The Cabinet Member for Innovation, Transformation & Performance endorsed the report highlighting that during the pandemic new ways of working had been achieved, whilst recognising that decent infrastructure was required to ensure people needing to move around the county could do so safely and effectively, particularly when moving manufactured goods into and out of Norfolk as part of the economy.

9.5   The Cabinet Member for Finance thanked the Cabinet Member for Highways, Infrastructure & Transport for the proposals and highlighted the profile of walking and cycling and active travel, had been significantly raised. The Cabinet Member for Finance noted the £1.5m received from the Active Travel Fund, tranche 2. Although the terms of the bid for that tranche meant that the proposals were for urban areas rather than rural areas, it was hoped more rural projects would be included in the next tranche. The Cabinet Member highlighted the funding for over 300 walking routes and 50 cycling proposals and thanked the Cabinet Member for including those.

9.6   The Cabinet Member for Adult Social Care, Public Health & Prevention congratulated the team on achieving the funding from central government for Norfolk.

9.7   The Chairman endorsed the comments made about the work of the team in bringing money into Norfolk and reflected on the budget proposals agreed at Council on 19 February highlighting the size of the investment in Norfolk. The Chairman also highlighted how the project supported the Council's "Together for Norfolk" objective.

9.8   The Cabinet Member for Finance also highlighted the initiative in the west of Norfolk to carry out work to improve the Pullover Roundabout junction between the A17 and A148 which was welcomed.

9.9   Cabinet **RESOLVED** to:

1. **Approve** the Highways Capital programme including the proposed draft allocations and programme for 2021/22 and indicative allocations for 2022/23/24 (as set out in Appendices A, B and C of the report).
2. **Approve** the temporary maintenance and deck fixing proposal for Carrow Bridge as set out in paragraph 2.2.7 of the report
3. **Approve** the Transport Asset Management Plan (TAMP) for 2021/22 to 2025/26.

9.10   **Evidence and Reasons for Decision:**

Refer to section 5 of the report.

9.11   **Alternative Options**

Differing proposals could be put forward to utilise planned invest differently across the highway assets or provide additional investment from our Council. However, given the strong performance above in 5.2, this is not recommended.

10   Great Yarmouth Operations and Maintenance Campus.

10.1   Cabinet received the report by the Executive Director of Community & Environmental Services which followed on from the recommendations made by Cabinet in April 2020 to provide detailed costings and anticipated timescales for phase 1 of the project.

10.2   The Executive Director of Community & Environmental Services highlighted that the project was very exciting and had been made possible by the close working relationship with colleagues from Norfolk County Council, Great Yarmouth Borough Council and the Local Enterprise Partnership.

10.3   The Cabinet Member for Growing the Economy introduced the report and moved the recommendations during which the following points were noted:

- The offshore energy sector provided Great Yarmouth and Norfolk with the single most important opportunity for regeneration.
- Oil and Gas had been the mainstay of the economy for over 50 years and the recent emergence of offshore renewable energy had presented the Great Yarmouth port with an opportunity for growth and investment.
- The Local Industrial Strategy identified the sector as one of the three most important for Norfolk and Suffolk with the Strategy focused on ensuring necessary steps were being taken to work with Partners to create ideal conditions to attract and maintain the investment to optimise the assets.
- The report sets out a proposal to establish an operations and maintenance base at Great Yarmouth, a bold initiative which had received positive feedback from the industry.
- The report followed recommendations agreed by Cabinet in April 2020 to provide detailed costings and timescales for phase 1 of the Project. Further work would be undertaken to obtain a better understanding of the costs of the project.

- Since 2020 Norfolk County Council had been successful in securing £6m from the Government Getting Building Fund and a further £1m from Norfolk Business Rates Pool towards project costs.
- The forecast retained business rates income for the Enterprise Zone would help meet project costs initially borrowed by Norfolk County Council and then repaid.
- In addition, a proposal was included to agree to co-investment with Great Yarmouth Borough Council up to £1m each as a commercial investment to meet the funding gap.
- Research had shown that the Operations and Maintenance Campus would provide Great Yarmouth with an asset which would enable the area to rival other parts of the UK and accelerate the growth being seen in the energy sector.
- The project had emerged through strong partnership working and would not have been conceived and developed without the support of the New Anglia Local Enterprise Partnership, Great Yarmouth Borough Council and Peel Ports working together with Norfolk County Council.
- The Great Yarmouth Operations & Maintenance Campus would be the catalyst for job creation and supply chain growth, with ambitious plans for economic recovery in the next few months, helping to transform Great Yarmouth into a vibrant coastal economy.
- The net cost to the public sector would be reduced due to the receipt of additional rates income from new development at the enterprise zone.
- It was estimated approximately 650 new jobs could be created at the site.

10.4   The Chairman highlighted that this was a great opportunity and one which could not happen without public sector involvement and the strength of partnership working to get this far and to deliver the project.

10.5   The Cabinet Member for Finance endorsed the proposals for the operations and maintenance campus which would help enterprise to flourish across the county. The Cabinet Member reiterated the work of the County and Borough Council officers, together with the Local Enterprise Partnership to produce the business plan which made the most of the strategic opportunities whilst ensuring the security of the County Council's financial position. Cabinet noted that the County Council was contributing an initial £1m and forward funding a further £9m amounting to approximately 50% of the project costs which would be received back from Pot B in the future.

10.6   The Chairman advised Cabinet that the LEP Board had agreed at its recent meeting to amend the Pot B alignment, and together with the £6m from the Getting Building Fund from the government there was a large amount of public money being invested to support the project.

10.7   Cabinet **RESOLVED** to:

1.   **Agree** for Norfolk County Council to deliver the Great Yarmouth Operations and Maintenance Campus project
2.   **Delegate** authority to the Executive Director of Finance and Commercial Services, in consultation with the Cabinet Member for Finance to agree the Heads of Terms for Norfolk County Council's £1m investment and the financial risk sharing arrangements for the project (Note that provision for the £1m investment has already been included in the 2021-22 Capital Programme).

3. **Recommend to County Council** that a further £17m is added to the Capital Programme for this project with £9m of this being funded by prudential borrowing.

4. N**ote** that the County Council's £9m prudential borrowing will be formalised through a MoU agreement with Great Yarmouth Borough Council and New Anglia LEP with the expectation that this borrowing will be fully repaid from the Great Yarmouth Enterprise Zone Pot B business rates funding.

5. **Agree** the delegation to the Executive Director Community and Environment Services of the procurement in accordance with the requirements of the County Council's Contract Standing Orders a contractor to carry out the infrastructure works.

10.8   **Evidence and reasons for Decision**

Refer to paragraph 4 of the report.

10.9   **Alternative Options**

Refer to paragraph 5 of the report.

11   West Winch Housing Access Road

11.1   Cabinet received the report by the Executive Director of Community & Environmental Services which described the work that had been carried out in partnership between the Borough and County Councils since late 2017 to develop a scheme using WSP to carry out technical work and sought Cabinet agreement to the submission of the Strategic Outline Business Case.

11.2   The Executive Director of Community & Environmental Services highlighted that this infrastructure project was significant and would hopefully be supported by local residents. The Executive Director highlighted the close working with colleagues at the Borough Council of King's Lynn and West Norfolk to achieve the work they had to date.

11.3   In introducing the report and moving the recommendations, the Cabinet Member for Highways, Infrastructure & Transport highlighted that the provision of the West Winch Housing access road was essential to enable approximately 4000 new homes to be developed in the West Winch area of King's Lynn. The road would also provide an alternative route which would bypass the village of West Winch which suffered from the impact of heavy through-traffic.

Officers at Norfolk County Council and the Borough Council of King's Lynn and West Norfolk had worked in partnership, and would continue to work in partnership, to develop and promote the road to realise the shared growth aspirations set out in the adopted local plan.

A strategic outline business case had been prepared to bid for funding from the Department of Transport Major Road Network Fund, which, if Cabinet agreed, would be submitted at the earliest opportunity. A copy of the business case was attached at Appendix A of the report.

The total cost of the scheme was approximately £64.73m and the bid was for approximately £50m from the government, with the required local contribution

being achieved from developers as set out in the Borough Council's Infrastructure Delivery Plan.

11.4   The Chairman highlighted that this was another important project in terms of infrastructure in Norfolk.

11.5   In supporting the proposals, the Cabinet Member for Growing the Economy highlighted a few of the economic benefits of building the road:

- Journey times and reliability on the A10 would be improved.
- Transport costs for local businesses would be reduced.
- Business connectivity and accessibility would be improved, contributing to a more balanced economy.
- The new levelling up agenda would be helped.
- New housing would expand the business labour pool and the available skills markets, creating a richer and more diverse workforce.
- Inward investment into the region to enhance the county's global competitiveness would be supported.
- To realise the economic potential of the growth opportunity in King's Lynn and West Norfolk it was fundamental that growth areas were connected to the wider road network.

11.6   The Cabinet Member for Finance agreed this was an extremely important project for the economy of West Norfolk and that the Strategic Outline Business Case should be sent to the Department for Transport as soon as possible.

11.7   The Cabinet Member for Adult Social Care, Public Health & Prevention supported the proposals which would benefit Norfolk and was an example of how Norfolk County Council was being proactive in looking at the issues and problems and finding ways to resolve them.

11.8   The Chairman thanked Cabinet Members for their comments which demonstrated the amount of work done in putting the proposals together and the success rate Norfolk received from submitting bids to Central Government.

Cabinet thanked the Community & Environmental Services team for their work in preparing these schemes to ensure they benefited Norfolk.

11.9   Cabinet **RESOLVED** to:

1.   **Confirm** in principle support for the delivery of the West Winch Housing Access Road.
2.   **Agree** that the contents of the Strategic Outline Business Case (SOBC) document set out a strong Strategic Case for the scheme
3.   **Task** officers to submit the Strategic Outline Business Case (SOBC) to the Department for Transport at the earliest opportunity.

11.10   **Evidence and Reasons for Decision**

To deliver the large scale growth in the West Winch area, as set out in the Local Plan for the King's Lynn and West Norfolk, the evidence shows that additional highway capacity is required to accommodate the traffic generated from the planned 4,000 new homes. The WWHAR will also provide a high quality new

route to MRN standards that will provide relief for West Winch village that can take the longer distance strategic traffic movements which comprises a high proportion of Heavy Goods Vehicles (HGV).

11.11   Alternative Options

The alignment of the WWHAR is largely dictated by the specification for the growth area as set out in the local plan and comprises a route to the east of the proposed new housing. With regard to alternative options, slight variations of the alignment to provide the best fit were investigated and these are reported in the SOBC document.

There are no significant alternative highway solutions that would be effective in enabling the housing growth and providing relief to the village of West Winch. There are also no non-highway transport schemes or policy options that could accommodate the transport impact of the planned growth in isolation.

12   Project Member Group Review by Local Partnerships

12.1   Cabinet received the report by the Executive Director of Community & Environmental Services providing a number of proposals intended to assist project delivery and governance by responding to issues identified during the review by Local Partnerships, an independent body owned by the Local Government Association and HM Treasury.

12.2   In introducing the report and moving the recommendations, the Cabinet Member for Highways, Infrastructure & Transport highlighted the background to the report, in that in December 2019, Cabinet had received feedback from the Scrutiny Committee relating to Broadland Northway - Lessons Learnt and One Year Monitoring. Cabinet had made a recommendation that set out how the Council would review Terms of Reference and the remit of Member Working Groups for the Great Yarmouth 3rd River Crossing and the Norwich Western Link projects.

The review had been completed by Local Partnerships, which was an independent body owned by the Local Government Association and HM Treasury and a copy of the report was attached at Appendix A of the report.

The report provided a number of proposals that were intended to assist project delivery and governance by responding to issues identified during the review.

The Local Partnerships review had concluded that a robust governance process was in place, which was well understood and used by officers and councillors. Member working groups had been introduced, which had proved effective and allowed councillors to keep up to date with the progress of projects and liaise with the relevant officers. The report had also found that the working groups and project board meetings were well attended and were effective in monitoring and supporting major projects.

The report had set out a range of findings which had been considered helpful and would improve and assist with future major highway and infrastructure project delivery.

12.3   The Chairman noted that the recommended process was straightforward and the report was a validation of the way projects had been developed as well as how they would be developed in the future.

12.4   Cabinet **RESOLVED** to:

- **Note** the details and findings in the Local Partnerships report and to
- **agree** the proposals set out in paragraph 2.3 of the report.

12.5   **Evidence and Reasons for Decision**

Cabinet responded to the feedback from Scrutiny Committee and commissioned an independent review of the existing Working Groups involved in the delivery of the Great Yarmouth 3rd River Crossing and Norwich Western Link projects. The findings of the review by Local Partnerships are attached at Appendix A and these include a range of proposals for Cabinet to consider and agree.

The review undertaken by Local Partnerships has considered key documentation for each project and a range of interviews with key people involved in the delivery of the projects and Members involved in the Working Groups. Local Partnerships complete a range of 'gateway' reviews for major projects nationally and are well placed to provide feedback based on what they have seen and what they have heard from their interviews. Their proposals in terms of potential improvements are intended to provide the basis for improving the project delivery processes that the Council currently has, in particular how the Working Groups operate as part of that delivery.

12.6   **Alternative Options**

The proposals could be noted, but not actioned. This would leave the existing arrangements (and Terms of Reference) unchanged.

A further review could be undertaken if the proposals (in paragraph 2.3 of the report) are not accepted.

13   Norfolk Strategic Planning Framework update - 2021

13.1   Cabinet received the report by the Executive Director of Community & Environmental Services setting out the key updates to the Norfolk Strategic Planning Framework (NSPF) document, which when endorsed would be the third edition of the document. The NSPF document was going through a comparable endorsement procedure with all the Local Planning Authorities in Norfolk.

13.2   The Executive Director of Community & Environmental Services highlighted that the report was a result of the excellent working relationship between Norfolk County Council and District Council colleagues in having a framework to ensure safe and appropriate development across Norfolk.

13.3   The Cabinet Member for Highways, Infrastructure & Transport introduced the report and moved the recommendations, noting that the report highlighted how Norfolk County Council had a duty to cooperate with local planning authorities on strategic planning matters and the Norfolk Strategy Planning Framework

would help to demonstrate the work done in the development of local plans, how the authorities had discharged their duty to cooperate and fulfilled the role of Statement of Common Ground.

The NSPF was not a policy document and did not include planning policies or proposals. The document was intended to set out areas of agreement between authorities on strategic planning issues.

The NSPF had been endorsed in March 2018 by the former Environment, Development and Transport Committee and had been updated and endorsed by Cabinet in September 2019. The document had been further reviewed and updated to demonstrate that cooperation between authorities was ongoing.

The Norfolk Strategic Planning Member Forum was responsible for overseeing the production of the NSPF and had recommended that the authority endorse the updated version when it met on 25 January 2021.

13.4   The Chairman highlighted that the report showed the strength of partnership working across Norfolk, with the duty to cooperate working well so far, it was hoped this would not be abolished in the future as had been mooted.

13.5   The Cabinet Member for Finance noted the report strengthened the work being done and the need to cooperate at all times between different bodies was well known and understood. The Cabinet Member for Finance also noted that Water Resources East was to revisit Anglian Water's Resource Management Plan in light of recent flooding, which was excellent news and he looked forward to seeing how the outstanding issues would be resolved.

13.6   In supporting the report and the recommendations, the Cabinet Member for Innovation, Transformation & Performance highlighted that he was particularly pleased to see that local plans would be emphasising the need for supporting broadband which was really important in the emerging economy.   He highlighted the recent audit carried out by BDUK on rurality broadband in Norfolk, which had highlighted Norfolk was one of the best counties in the country for accessing broadband in rural areas.

13.7   The Cabinet Member for Growing the Economy endorsed and supported the recommendations in the report and highlighted the following points:

- It was pleasing to see partners working together to ensure the Norfolk economy could grow.
- There were significant geographic clusters of existing business activity that anchored the Norfolk economy, with nine key sectors identified in the Norfolk and Suffolk Economic Strategy, all of which were covered in the report:
    - Energy
    - Advanced agriculture, food and drink
    - Life sciences and biotech, including health
    - ICT tech and digital creativeness
    - Financial Services and insurance
    - Visitor economy, tourism and culture
    - Transport, freight and logistics
    - Construction and development

o   Advanced manufacturing and engineering

13.8   The Chairman noted that the Framework demonstrated that planning was not only about building houses; there was a vast range of work included in the planning process.

13.9   Cabinet **RESOLVED** to:

- **Endorse** the updated Norfolk Strategic Planning Framework as part of the County Council's ongoing "duty to co-operate".

13.10   **Evidence and Reasons for Decision**

The Framework has already been used successfully to support the development of Local Plans. It must be kept up to date to continue to fulfil this role. At this stage the NSPF has not taken into account the proposals set out in the Government's Planning White Paper (PWP), which were reported to Cabinet in October 2020, as these lack the necessary detail and legislative weight to be considered relevant at this time. However, members will recall that concerns were raised by Cabinet to the proposed abolition of the Duty Cooperate as set out in the PWP.

13.11   **Alternative Options**

The County Council could withdraw its support for the Framework and come to separate agreements with each planning authority. This would likely be an inefficient process and may undermine the ability to demonstrate the County Council's commitment to support the delivery of planned economic and housing growth.

14   Libraries supporting Covid recovery for children and young people.

14.1   Cabinet received the report by the Executive Director of Community & Environmental Services offering proposals from Norfolk Library and Information Service about how the service could respond to issues related to children and young people and reading that have been exacerbated by the covid-19 pandemic.

14.2   Link below to the report by Ofsted: Children hardest hit by COVID-19 pandemic are regressing in basic skills and learning
https://www.gov.uk/government/news/ofsted-children-hardest-hit-by-covid-19-pandemic-are-regressing-in-basic-skills-and-learning

14.3   The Executive Director of Community & Environmental Services commended the work carried out by Jan Holden, Head of Libraries, and colleagues in the Library service to help young people, their parents and to help close the literacy and learning gap.

14.4   In introducing the report and moving the recommendations, the Cabinet Member for Communities & Partnership highlighted the following key points:

- The library team had worked extremely hard during the pandemic to provide a range of different services from libraries.

- Ofsted had identified that children's reading stamina or ability had diminished during the lockdown periods and the library service wanted to remove any barriers to reading and increase opportunities for reading for pleasure to help contribute to children's wellbeing and also improve general reading ability. This initiative would, in turn, contribute to future educational success as well as future employment opportunities.
- Three recommendations were being proposed:
  - Universal membership of the e-book library for children under 16 years of age, including e-books, e-magazines and comics and e-audio books. This would help to ensure children from families that did not have transport or live close to libraries could access a wide range of books which could also assist with their homework. This would also support the Every Child Online initiative.
  - Removal of overdue charges from borrowed children's books. Although fines were only 5p per day, they could build up and removal of fines would prevent families from being put off using the libraries if they were on a low income or were unemployed.
  - The Cabinet Member for Communities and Partnerships proposed, seconded by the Cabinet Member for Children's Services that the charges for children's overdue books should be removed in perpetuity. Cabinet **agreed** the proposal.
  - The third proposal would build on the summer reading challenge and was aimed at very young children and their parents or carers. The Registration Service already offered free bookstart packs to all new parents, together with information about the importance of reading to babies. The new challenge was to read, or look at, 1000 books between birth and starting school, which would hopefully encourage parents and carers to get into the habit of reading to, and with, children so it became an enjoyable hobby. The number of books borrowed would be recorded, with certificates awarded at the 50 books borrowed stage, 100 books borrowed, etc. Those reading 1000 books before starting school would be awarded a prize as well as a certificate. Those not reaching 1000 books would also have benefited from reading which would also help their communication skills and readiness for school.

14.5   The Cabinet Member for Children's Services endorsed the initiative and seconded the proposal to remove the overdue charges in perpetuity. He highlighted how innovative the library service was and how it had become the hub of communities.

14.6   In supporting the proposals and recommendations, the Cabinet Member for Growing the Economy congratulated the Cabinet Member on the report which would improve the ability of children to read and improve their learning ability in the future.

14.7   The Cabinet Member for Innovation, Transformation & Performance also endorsed the congratulations to everyone concerned in producing the report, adding that Norfolk took libraries very seriously, which was not the case across the country. He added that the initiative would help children understand that libraries were important centres and not just a place which provided books; they also were places that provided information on health, business and access to information.

14.8 The Cabinet Member for Finance also endorsed the comments made about libraries being community hubs, which was a very positive approach. He highlighted that the cost of removing overdue charges was estimated at £52,000 which was minimal compared with the benefits of encouraging children into libraries and enjoy reading.

14.9 The Cabinet Member for Adult Social Care, Public Health & Prevention endorsed the report and recommendations and echoed the points made about Norfolk investing in libraries and fully supported the initiative in getting children to read. He also endorsed the removal of fines which would mean children and young people would not need to worry about returning overdue books and incurring fines.

14.10 The Cabinet Member for Commercial Services and Asset Management also supported the proposal and the comments already made, adding that reading was the bedrock of all other learning and it was important to support children to improve their reading. The Cabinet Member also highlighted the investment being undertaken in libraries and congratulated the library team for bringing the proposals forward

14.11 The Chairman also highlighted the investment being made in libraries making them the centre of communities.

14.12 The Chairman advised Cabinet that Jan Holden, Head of Libraries, would be retiring from the County Council at the end of March 2021. Jan would be missed by everyone in the service and for the work she had put in whilst Head of Libraries and her commitment to Norfolk County Council. Cabinet placed on record its best wishes for the future and her retirement. The Executive Director of Community & Environment Services agreed to pass on Cabinet's best wishes.

14.13 Cabinet **RESOLVED** to:

1. **Agree** the children's e-lending proposal.
2. **Agree** to remove children's overdue charges in perpetuity.
3. **Agree** the 1000 books before school proposals.

14.14 **Evidence and Reasons for Decision**

UK libraries that have removed the fear of overdue charges for children and young people have reported:
• An increase in membership by children and young people
• A re-setting of the relationship with children and young people by taking away barriers to library use
• An increase in the return of overdue items to the library. As part of the implementation of the decision the service will be asking children to return their books to the library without fear of incurring any charges
• A positive contribution to reading for pleasure in the county

14.15 **Alternative Options**

Not applicable.

15   Accelerating the Development of Supported Housing

15.1   Cabinet received the report by the Executive Director Adult Social Services setting out a proposal and business case for accelerating the development of supported, adapted and specialist housing in Norfolk. The creation of supported, adapted and specialist housing across the county would provide many people with care and support needs with an alternative housing option that recognises their care needs and allows them to live in an independent and dignified way in their local communities.

15.2   The Executive Director of Adult Social Services expressed his pleasure in reaching the stage of developing housing options for disabled people and gave a commitment, if Cabinet agreed the report, to ensure that work was carried out in coproduction with disabled people in the design of the housing.

15.3   In introducing the report and moving the recommendations, the Cabinet Member for Adult Social Care, Public Health & Prevention supported the Executive Director's commitment, adding that a policy of promoting independence at Norfolk County Council had been launched four years ago and which had been consistently followed through with projects to support it.

The Cabinet Member highlighted that the report, if agreed, would allow people to remain in their own homes, or in residential places, which would give them a feeling of, and the opportunity to experience life as simply as everyone else, which was something service users had said they wanted. Work had been carried out with service users to try to ascertain options to offer a range of services for those that suffered from autism, learning disability as well as physical disabilities.

The Cabinet Member highlighted the financial commitment from the County Council of between £9m and £18m, depending on the take-up of the various projects, which represented the will of the County Council to fulfil its strategic objectives in giving people as much independence as possible.

15.4   The Chairman noted the proposed investment which demonstrated real leadership in recognising that the market would not build this type of housing and the public sector would need to provide the funding for housing and which may in turn leverage funding for other developments in the future.

15.5   The Cabinet Member for Commercial Services and Asset Management fully supported the proposals, adding that the property team also fully supported the proposals which would improve the life chances of people with disabilities.

15.6   The Cabinet Member for Innovation, Transformation & Performance also endorsed the proposals which were important to offer people with disabilities a range of options to promote their independence and dignity.

15.7   The Cabinet Member for Finance endorsed the proposals adding that the business case was well costed, clear, decisive and robust and was another initiative by Norfolk County Council to help people be as independent as possible during their lives.

15.8   The Cabinet Member for Growing the Economy also supported the proposals and asked if there should be a paragraph in the Norfolk Strategic Planning Framework to include this type of housing in all developments in future.

The Cabinet Member for Adult Social Care, Public Health and Prevention would follow up the suggestion.

15.9   Cabinet **RESOLVED** to:

a) **Set up a** housing programme to encourage and accelerate the delivery of supported, adapted and specialist housing in Norfolk:
   i.   On privately owned land, setting up a capital contribution process to support the development of supported, adapted and specialist housing in Norfolk in new builds or as adaptations to existing properties
   ii.   On publicly owned land, following the most appropriate process when bringing forward supported, adapted and specialist schemes. This may include the establishment of a developer/provider framework or individual procurement process depending on the source of the land and stakeholders involved
b) **Fund** programme costs of £108k per annum
c) **Agree** that NCC funds capital investment of between £9m and £18m over the life of the programme

15.10   **Evidence and Reasons for Decision**

See section 4 of the report.

15.11   **Alternative Options**

An alternative approach would be not to undertake the housing programme and rely on the market delivering the required number of new accommodation units. Evidence and history indicate this will not be possible and NCC will fail to adequately house people now and in the future and fail to make reductions in revenue spend.

16   Finance Monitoring Report 2020-21 P10: January 2021

16.1   Cabinet received the report by the Executive Director of Finance & Commercial Services providing a summary of the forecast financial position for the 2020-21 Revenue and capital Budgets, General balances and the Council's Reserves at 31 March 2021, together with related financial information.

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

• A small underspend of £21,000 continued to be forecast for 2020-21.
• At the Council meeting on 22 February 2021, it was agreed that spending departments would hold a departmental reserve and that a centrally held reserve would be created to respond to any specific pandemic related pressures. The details of the reserves were set out in Table 3 of the report and included an additional £2m to be transferred into the Adult Social Care covid-risk reserve if agreed by Cabinet, bringing the total to £12.36m.

- Children's Services covid risk reserve remained at £3m.
- Community & Environmental Services covid risk reserve was £1.681m.
- Recommendation 2 asked Cabinet to approve the continuation of measures put in place in October 2020, including:
    - Payments to home support providers;
    - Payments to short break providers;
    - Payments to residential and nursing providers;
    - Additional 6% provider support payments;
    - Other market support measures would continue until at least the end of June 2021, after which they would be reviewed based on where the country stood on the way out of the pandemic.
- The significant pressures building up within Adult Social Care and Children's Services had been well documented, but Children's Services had already identified direct one-off increases in covid-related costs, eg increased support to schools and education providers as schools reopened; home to school transport and general market pressure within social care.
- Apart from the previously mentioned additional £2m to covid departmental risk reserve, Adult Social Care was still forecasting a small overspend in-year. This was after utilising £26m of grant funding; £27m of funding from the NHS to support hospital discharge arrangements; £22m infection control funding, together with other specific grants such as £3m to pay for costs associated with lateral flow testing in care homes.
- The Community and Environmental Services department was incurring additional costs of clearing up the flood damage in December 2020, which would be added to following the flooding in February 2021. Currently forecast at £250k it was anticipated that this would rise, with costs being met from the departmental reserve and flood reserve set aside in the budget.
- General waste levels had risen by 6%, or by 14000 tonnes from last year, while garden waste was likely to increase by 7%.
- An additional overspend of £668k had been seen in finance and general in January 2021, due to the purchase of additional IT equipment for digitally disadvantaged children.
- Table 4a in the report referenced the additional covid-related funding. Norfolk's allocation of the £120m workforce capacity grant to help boost staffing levels in care homes amounted to just over £2m which, together with an additional £0.5m to support clinically extremely vulnerable individuals, took the total covid funding to £107,247.
- Covid-related pressures set out in Revenue Annex 2 of the report amounted to £114.140m which amounted to a shortfall of just over £16m when taking into account the transfers to the corporate risk reserve.
- Within the capital programme, the agreement of the delivery of the Operations and Maintenance Campus project at Great Yarmouth would increase the capital programme by £17m, of which £9m would be funded through borrowing.
- Capital appendix 2 detailed the County Farms additional funding of £1.249m to meet a series of capital schemes across the estate, which was part of the Council's commitment to back this key economic sector in Norfolk.
- Cabinet was also being asked to approve the appointment of a Director of Independence Matters CIC, Independence Staff Matters Limited, and Home Support Matters CIC following changes to the roles of the current appointees.

16.3   The Cabinet Member for Commercial Services and Asset Management welcomed the £1.249m investment in the county farms estate, highlighting that currently there were 121 agricultural tenants, providing an income of approximately £2.5m from the estate. He added that many of the farmhouses and buildings on the estate were in need of modernisation and the investment would allow work to be carried out which would hopefully increase income in the future.

16.4   The Cabinet Member for Innovation, Transformation & Performance highlighted the £600k investment in IT equipment for digitally disadvantaged children, adding that he endorsed the report which showed how finances were being controlled, but when money was needed Norfolk County Council was able to allocate money to ensure equipment was supplied where it was needed.

16.5   The Chairman emphasised how the department and corporate reserves had been structured to deal with pressures as issues arose.

16.6   The Cabinet Member for Growing the Economy thanked Cabinet for approving the Operations & Maintenance Campus proposal, and highlighted that the New Anglia LEP Pot B referred to earlier had been agreed.

16.7   Cabinet **RESOLVED** to:

1.   **Approve** additional transfers of £2m to the Adult Social Services Covid Risk Reserve as set out in paragraph 2.21 of Appendix 1.
2.   **Approve** the continuation of financial support to Children's Services and Adult Social Care providers as described in paragraphs 5.27-5.30 of Revenue Appendix 1, including delegating authority to the Cabinet members for Children's Services and for Adult Social Care, Public Health and Prevention to make a decision relating to the ongoing measures that are still needed to support providers until 30 June 2021, subject to those payments remaining within 2021-22 authorised budgets or from Business Risk Reserves.
3.   **Recommend to County Council** the addition of £1.249m to the capital programme to address necessary improvements to the County Farms Estate, as set out in detail in capital appendix 2, paragraph 4.
4.   **Approve** the appointment of Titus Adam, Financial Projects and Planning Manager, as a director of Independence Matters CIC, Independence Staff Matters Limited, and Home Support Matters CIC in accordance with Financial Regulations as set out in paragraph 2.1.
5.   **Note** the period 10 general fund forecast revenue **underspend of £0.021m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
6.   **Note** the COVID-19 grant funding received of **£107.514m**, the proposed use of that funding, and the related expenditure pressures resulting in net Covid-19 pressure, of **£16.001m** taking into account proposed transfers to the Corporate Risk reserve.
7.   **Note** the period 10 forecast shortfall in savings of **£18.045m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;
8.   **Note** the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;

9.   **Note** the expenditure and funding of the revised current and future 2020-23 capital programmes.

16.8   **Evidence and Reasons for Decision**

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

Appendix 1 summarises the revenue outturn position, including:
•   Forecast over and under spends
•   Covid-19 pressures and associated grant income
•   Changes to the approved budget
•   Reserves
•   Savings
•   Treasury management
•   Payment performance and debt recovery.

Appendix 2 summarises the capital outturn position, and includes:
•   Current and future capital programmes
•   Capital programme funding
•   Income from property sales and other capital receipts.

16.9   **Alternative Options**

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

17   Repton Property Developments Ltd Business Plan

17.1   Cabinet received the report by the Executive Director of Finance & Commercial Services which provided details of the Business Plan for Repton Property Developments Limited to 31 March 2022.

17.2   In introducing the report and moving the recommendations, the Cabinet Member for Commercial Services and Asset Management highlighted the following points:

•   The Business Plan for Repton Property Developments Ltd sets out the Plan for the immediate future with an emphasis on the next financial year and covered the four sites being managed by Lovells, six smaller sites managed by Torrington and one site managed by the Norse Group.
•   The Plan sets out the context and background to the company as well as the strategic objectives and the financial forecast.
•   The Council had established Repton Property Developments Ltd in 2017, with the primary objective to undertake direct property development, with the aim of maximising financial returns, capital receipts and revenue income for the County Council. In addition the County Council, through its ownership of the company, sought wider social, economic and environmental outcomes, with the following secondary objectives:
      o Contributing to the meeting of Norfolk's growing housing demand;

- o Provision of quality homes by raising design and performance standards;
- o Providing economic stimulus by increase overall capacity for property development and by taking control for developing specific sites and preventing land banking;
- o Supporting the creation of quality jobs and economic growth.

- Repton Property Developments Ltd would develop land identified as surplus by Norfolk County Council. The land was sold by Norfolk County Council to Repton Property Developments Ltd at market value based on the status of the land following a viability assessment, eg whether it had suitable planning permission.
- Repton Property Developments Ltd had identified opportunities to develop existing Norfolk County Council owned assets with a potential to create over 600 residential properties, including 240 affordable dwellings.
- The first site of 137 homes at Acle had received planning permission in June 2020 and construction had commenced at the site. 50% of the properties would be affordable; 26 would be shared ownership and 42 would be for rent via Clarion.
- Planning permission for a second site of 200 homes at Hopton on Sea had been granted by Great Yarmouth Borough Council in October 2020.
- Planning permission had been granted for a site in Caister.
- Planning applications had been submitted for sites at Lingwood, Attleborough and Hunstanton.
- During 2021-22 Repton Property Developments Ltd would be progressing other sites which were identified in the business plan.

17.3   The Chairman emphasised the primary and secondary objectives of the company; the primary objective being the financial return and the secondary objective being the quality of the housing being built. The Chairman also advised that the proposed development at Attleborough would consist of affordable housing only.

17.4   The Cabinet Member for Finance endorsed the comments made, adding that the company, which had been established in 2017, was already contributing to the meeting of Norfolk's housing needs. He also referred to the development of a converted infant school at Hunstanton which would be used for housing which was being sympathetically converted including provision of adequate parking, which was important to local people.

17.5   The Chairman highlighted that Norfolk County Council owned sufficient land to complete the proposed developments without having to purchase land.

17.6   Cabinet reviewed the report and Business Plan to ensure it reflected the aspirations of the shareholder and **RESOLVED** to:

- **Approve** the Repton Property Developments Ltd Business Plan to 31 March 2022.

17.7   **Evidence and Reasons for Decision**

Repton Property Developments Ltd Board has approved a Business Plan and is subsequently seeking Cabinet's consent to operate the Company in accordance with the Business Plan.

17.8 **Alternative Options**

NCC, as Shareholder, could set alternative objectives for the wholly owned company and request a revised Business Plan.

18 **Hethel Innovation Ltd Business Plan and Proposed Expansion**

18.1 Cabinet received the report by the Executive Director of Finance & Commercial Services which provided details of the Hethel Innovation Ltd (HIL) Business Plan for 2021-22 which provided details of Hethel Innovation Ltd Business Plan for 2021-22.

18.2 In introducing the report and moving the recommendations, the Cabinet Member for Commercial Services and Asset Management highlighted the following:

- As outlined in the business plan, Hethel Innovation Ltd (HIL) was currently considering opportunities to grow its business.
- Following the purchase of land next to Hethel Innovation Centre, Hethel Innovation wished to develop its offer and expand the existing site.
- Further work was needed to secure planning permission and relevant funding.
- An officer Steering Group to oversee the operational development and delivery of the project was proposed, with the proposed Terms of Reference set out in Appendix B of the report.
- The Steering Group would have no decision-making powers. Responsibility for decision making remained with the responsible bodies or individuals, including the Hethel Innovation Ltd Board of Directors; the County Council's Cabinet and through the use of officer Delegated powers.
- Strategic oversight would continue to be the responsibility of the HIL Board of Directors and once it had been developed, the detailed business case would be presented to Cabinet for approval.
- The proposed expansion at Hethel Innovation Centre provided an opportunity to increase the space available for new and existing businesses, which would support the Norfolk economy. It would also provide space for expanding businesses, supporting them to stay in Norfolk.
- Hethel Innovation Ltd owned and operated the Hethel Engineering site and operated the Scottow Enterprise Park site which it leased from Norfolk County Council. The further expansion of the Hethel Engineering Centre site would build on the previous success of Hethel Innovation Ltd.

18.3 The Chairman noted that the business plan demonstrated another Norfolk County Council success story and the recent land acquisition would hopefully build on that as a catalyst for further success. The Chairman also highlighted the full range of projects Hethel Innovation Ltd was involved in was set out on page 569 of the agenda.

18.4 The Cabinet Member for Growing the Economy endorsed the report and highlighted the strategic alignment which stated HIL's purpose was to create

economic growth through innovation and productivity. The primary objective of Hethel Innovation Ltd was to deliver economic outputs for the benefit of Norfolk communities.

18.5   The Cabinet Member for Communities & Partnerships highlighted the number of businesses that had been supported over the years and the excellent contribution made to the economy throughout that time.

18.6   Cabinet reviewed the Business Plan to ensure it reflected the aspirations of the shareholder and **RESOLVED** to:

- **Approve** the HIL Business Plan for 2021-22.
- **Approve** the Terms of Reference for the Hethel Engineering Centre Expansion Project Officer Steering Group, as set out in Appendix B of the report.

18.7   **Evidence and Reasons for Decision**

HIL Board has approved a business plan and is subsequently seeking Cabinet's consent to operate the company in accordance with the business plan. The business plan is attached as an annexe to this report.

The further expansion of the HEC site builds on the previous successes of HIL at HEC. The site, which was originally opened in 2006, has already been extended twice since that time. As can be seen in the HEC Expansion document in Appendix C, the site continues to support many businesses with 93% of startups supported surviving beyond 5 years which is well above the national average of 42.4% (sourced from ONS and Business Comparison).

18.8   **Alternative Options**

The County Council, as shareholder, could set alternative objectives for the company and request a revised business plan.

19   NCC Nurseries Limited Business Plan

19.1   Cabinet received the report by the Executive Director of Finance & Commercial Services which provided details of the Business Plan for NCC Nurseries Limited Business Plan for 2021-22.

19.2   In introducing the report and moving the recommendations, the Cabinet Member for Commercial Services and Asset Management noted that NCC Nurseries Ltd had been established in 2019 with the primary objective of providing immediate nursery provision to fulfil Norfolk County Councils duty to secure sufficient early years childcare in Great Yarmouth, following the previous provider going into administration.

NCC Nurseries Ltd had a contract with Norfolk County Council to operate five nurseries.

Following the previous provider going into administration, the immediate priority had been to reopen the nurseries and this had been achieved by offering jobs to the former employees who had been made redundant; purchasing assets

from the liquidator and signing property licences to operate from the existing nursery buildings. Once the health and safety checks had been completed, the nurseries had reopened on 10 December 2019, only three weeks after closing.

The NCC Nurseries Ltd Business Plan for 2021-22 was based on providing nursery provision of up to 300 places, over five sites in Great Yarmouth and Gorleston. It also included the company's vision and strategic objectives as well as the financial forecast that sat behind the business plan. The business plan also demonstrated through its current projections that NCC Nurseries Ltd was forecast to break even by 2022.

The objectives for 2021-22 were to finalise the property lease for each nursery; continue with assessing the financial viability of each nursery; and to find an alternative provider which would allow Norfolk County Council to withdraw from the market by 31 March 2022.

19.3   The Cabinet Member for Growing the Economy endorsed the report and recommendations, noting that when the previous provider went into administration, Norfolk County Council had taken on the challenge to offer the service.   The Cabinet Member thanked Children's Services, the Finance Team and officers from Asset Management in the achievement, which had benefited Great Yarmouth.

19.4   The Cabinet Member for Finance highlighted how the County Council had worked quickly to provide the service, adding that it was part of the management plan that a financially viable alternative provider would be found to allow the County Council to withdraw from the market in due course.

19.5   Cabinet reviewed the report and Business Plan to ensure it reflected the aspirations of the shareholder and **RESOLVED** to:

- **Approve** the NCC Nurseries Limited Business Plan for 2021-22.

19.6   **Evidence and Reasons for Decision**

NCC Nurseries Limited Board approved the 2021-22 Business Plan on 5 February 2021 and is subsequently seeking Cabinet's consent to operate the company in accordance with the Business Plan. The Business Plan is attached as an annexe to this report.

19.7   **Alternative Options**

The County Council, as shareholder, could set alternative objectives for the company and request a revised Business Plan.

20   Disposal, Acquisition & Exploitation of Property

20.1   Cabinet received the report (including an exempt appendix) by the Executive Director of Finance and Commercial Services setting out proposals aimed at supporting Norfolk County Council priorities by exploiting properties surplus to operational requirements, proactively releasing property assets with latent value where the operational needs can be met from elsewhere and strategically acquiring property to drive economic growth and wellbeing in the county.

20.2 The Chairman referred to the exempt Appendix which contained commercially sensitive information, which Cabinet Members had received a copy of and said that, as no one had indicated they wished to refer to it in the discussion, it would not be discussed during the meeting. He added that the information would become available through the Land Registry once the purchase had been completed.

20.3 The Cabinet Member for Commercial Services and Asset management introduced the report and moved the recommendations which were for Cabinet to agree two items for disposal and one acquisition.

Hunstanton Library, Westgate.
Cabinet noted it was proposed to transfer the freehold of the library site to the Borough Council of King's Lynn and West Norfolk for nil consideration. In return Norfolk County Council would acquire a modern and flexible building where it could provide a library and other council services.

Following successful bids to the Cabinet Office and Local Government Association One Public Estate programme, funding had been secured to support the feasibility study for regeneration schemes in Hunstanton. One of the schemes – the redevelopment of the Hunstanton bus station site which would deliver a larger modern public library, modern retail service units and new public conveniences together with 47 apartments, of which 20% would be affordable, was now coming to fruition. The Borough Council of King's Lynn and West Norfolk would be paying all the development costs and would retain 100% of the developer risk associated with the scheme.

The key benefits to the County Council in contributing the freehold value to the scheme were the acquisition of a modern, flexible building which did not require significant capital investment and the removal of a backlog of maintenance requirements.

The disposal value was included in an exempt report as it contained commercially sensitive information, although the details would be published on the Land Registry website once the disposal had been completed.

Planning permission for the scheme had been granted on 7 December 2020, with the Borough Council of King's Lynn and West Norfolk Cabinet approving the proposal on 2 February 2021.

Until the new library was ready for occupation in 2023, the Hunstanton Library Service would move to a temporary location at the Valentine Centre, Hunstanton.

In return for transferring the property freehold to the Borough Council of King's Lynn and West Norfolk, Norfolk County Council would enter into a 999 year lease for the new library at a peppercorn rent with an associated service charge and depreciation fund to support the maintenance of the building.

Land at Regent Place, King's Lynn.
Cabinet noted that this land had been identified as being surplus to highway use and was not required by Norfolk County Council. It was proposed to

dispose of the land to the adjoining landowner as no viable market had been determined for the land. The capital receipt would not be significant and the main advantage to Norfolk County Council was that the land would be removed from the portfolio and future liability for unforeseen costs would be removed.

20.4   The Cabinet Member for Communities & Partnerships welcomed the new library at Hunstanton and noted that libraries were now local contact points for many County Council services, providing a wealth of information, support and advice for people of all ages.

20.5   The Cabinet Member for Finance agreed that the increased size and increased facilities at a new library in Hunstanton were welcomed. The new library would provide a community hub and would also include a tourist information centre, which would be well received.

20.6   Cabinet **RESOLVED** to:

1.   **Formally declare** the existing Hunstanton Library site surplus to County Council requirements and instruct the Director of Property to dispose of the property to the Borough Council of King's Lynn and West Norfolk, and
Enter a lease with the Borough Council of King's Lynn and West Norfolk for the new library building and instruct the Director of Property to oversee the completion of the acquisition on the best terms possible.

2.   **Formally declare** the land at Regent Place, King's Lynn surplus to County Council requirements and instruct the Director of Property to dispose of the property to the adjoining owner. In the event of no agreement then the Director of Property is authorised to sell by auction or tender.

20.7   **Evidence and Reasons for Decision**

Disposing of the Hunstanton Library site to the Borough Council of King's Lynn and West Norfolk facilitates their project and NCC acquires a new library building. The declaring the Regent Place land surplus to County Council use means that the Corporate Property Team can complete the disposal.

20.8   **Alternative Options**

There are no viable options other than to retain both sites.

21   **Reports of the Cabinet Member and Officer Delegated Decisions made since the last Cabinet meeting:**

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

The Chairman advised Cabinet that Julie Mortimer, Committee Services Officer, would be retiring from the Council at the end of April 2021. Cabinet thanked Julie for her hard work in supporting Cabinet and wished her well for the future.

The meeting ended at 11.55am

Chairman

**Cabinet
8 March 2021
Public & Local Member Questions**

Agenda item 6	Public Question Time
6.1	**Question from Joanne Thurtle** What has the County Councillor for the Gorleston St Andrews Division spent their highways budget on each year for the last four years please? **Response by the: Deputy Leader & Cabinet Member for Growing the Economy (County Councillor for Gorleston St Andrews Division).** Thank you for your question and the opportunity to demonstrate the investment I have been able to make in the Gorleston St Andrews Division with my highways budget over the last four years: 2020/21 – Traffic Regulation Order to provide waiting restrictions, due to access and obstruction issues to businesses on Faraday Road. In addition, further road markings at the top of High Street / High Road; 2019/20 – Traffic Regulation Order for waiting restrictions on Gorleston High Street to resolve obstructions to buses, caused by on street parking. In addition, the installation of white lining on Marine Parade; 2018/19 – Installation of wooden highway verge posts at Kennedy Avenue, Recreation Road and various other locations in the area; 2017/18 - Kennedy Avenue – installation of wooden highway verge posts at the Bridge Road end. Suffolk Road - the installation of tactile paving to the footway and additional road marking to assist with traffic management near the surgery. A range of other local improvements have also been discussed and agreed with the local Highway Engineer over the same period. These have been delivered for the local community using a range of other funding sources, separate from the Local Member Fund.
6.2	**Question from Paul Neale** Waste Recycling. Residents of Norfolk dutifully dispose of their plastic waste in domestic recycling bins, believing that the council will recycle it responsibly, without exacerbating the climate emergency. However, under the heading 'Plastics What we do with your waste', your website says: 'We stopped collecting plastics for recycling at our centres in 2017 because we have not been able to find a market for them. You can put certain types of plastic in your kerbside recycling bin'. A link Visit Recycle for Norfolk for more information opens a page saying 'page not found'. Will the cabinet member responsible explain what the council does with all the plastic waste collected in Norfolk? **Response by the Cabinet Member for Environment & Waste:** The good news is that the plastics bottles, pots, tubs and trays collected from householders in Norfolk are processed for recycling, and useful information about recycling is available on the Norfolk Recycles website at www.norfolkrecycles.com In Norfolk, it is the seven District, City and Borough Councils that collect recycling

	from householders and not the County Council. All the collected material is sorted at a facility near Norwich, which is operated by a County Council owned company, and the separated plastics are then sold as a commodity on the recycling markets, although for some materials at some times, this does come at a cost. That process is entirely separate to the pilot to collect mixed rigid plastics at County Council recycling centres, which included items such as garden furniture and toys, as the market for that mix of material was not sustainable. However, that is a position we continue to monitor and when a sustainable option is available, we will look to introduce it.
6.3	**Question from Cllr Judith Lubbock** In the new recycling centre will there be a facility for cleaning and repairing potentially usable goods in partnership with a charity thus providing employment and training opportunities for those in need, similar to that provided by Suffolk County Council? **Response by the Cabinet Member for Environment & Waste:** There are actually two new Recycling Centres being delivered in the Norwich area that are due to open by the end of this year. These are the Norwich North Recycling Centre near the airport and the Norwich South Recycling Centre at the Harford Park and Ride site. Both new Recycling Centres will feature a prominent and extensive reuse facility to complement the County Council's wider network of reuse shops and we will look to use the additional space at the two new shops to expand our reuse activities to include repair and function testing of donations, training and upskilling staff employed to work in the shops and making partnerships with third parties where appropriate. The current intention is that although these new reuse facilities will not be managed by a charity, the County Council will maintain its approach to having a charity partner which is currently the East Anglian Air Ambulance. We intend to keep the overall approach under review whilst national waste policy continues to develop around this area.
6.4	**Question from Trudie Hannaway** When was the last time Cllr Borrett, cabinet member for ASC met personally (one to one) with a disabled person (or online) to discuss their concerns? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention** Thank you for your question. I met with representatives from the DNNG on the 18th February to discuss their concerns.
6.5	**Question from Saul Penfold** UK holiday bookings are booming. What is the council doing to ensure Norfolk businesses benefit and can bounce back whilst maintaining safety for local residents and visitors? **Response by the Cabinet Member for Growing the Economy**:

		The tourism sector has been significantly impacted by lockdowns and restrictions brought in to fight COVID-19 over the past year. In response to the pandemic the local authorities and New Anglia LEP set up a Norfolk Strategic Fund worth £6.75m. This included a £2.225m Tourism Sector Support Package which was launched on 30 July 2020 and was the first project to be approved from the Fund.

The project, led by Norfolk County Council, in partnership with all seven district councils and Visit East of England, has been helping the tourism sector to recover from the impact of COVID-19. The project aims to make Norfolk as safe as possible for both visitors to the county and residents, helping to create a quality visitor experience whilst maintaining key Public Health messages.

Activity to date has included improving the presentation, cleanliness and hygiene of key locations and communication with visitors. A small grants programme has also supported businesses with the costs of adapting their premises. To date, funding has been awarded to over 300 local businesses to enable the purchase of items relating to social distancing and hygiene requirements, including signage, barriers, personal protective equipment, hand sanitiser stations and protective screens. Autumn and Winter Adaptation Grants were also available to enable businesses to extend the seasonal offer throughout autumn and winter where possible.

Funding has also been invested by the districts and Visit East of England in a variety of sector support measures, including marketing campaigns to promote Covid-safe visits such as Unexplored England and Escape the Everyday, promotion of the Visit Britain UK-wide industry standard and consumer mark 'We're Good to Go', as well as distribution of information for both tourism businesses and visitors via the Visit East of England website under the banner 'Know Before you Go'.

This work has supported the wider Norfolk Recovery Plan and complemented the New Anglia LEP's Visitor Economy Recovery Plan. Norfolk County Council's work with partners also supports the ongoing work being undertaken at a regional and national level with VisitBritain and VisitEngland. |
| 6.6 | | **Question from Marian Chapman**

In 2013, Philip Barlow the inner-south London coroner, said primary school pupil Ella Kissi-Debrah's death was caused by acute respiratory failure, severe asthma and air pollution exposure. It is now widely accepted that primary school children are particularly vulnerable to air pollution. Their lungs are still developing, and toxic air can stunt their growth, causing significant health problems in later life.

As the council has previously stated that it will be taking the opportunity to consider how to improve air quality around schools, could members tell us what plans are to be put in place to collect data and quantify the problem before taking the necessary vital remedial action?

Response by the Cabinet Member for Highways, infrastructure & Transport:

Thank you for raising this important issue.

Air pollution is a local, national and international problem. All local authorities in Norfolk review and assess local air quality as part of our statutory duties under Part IV of the Environment Act 1995 and we are encouraging schools to develop a school travel plan and to champion journeys to school by more sustainable forms of transport and support pupil's health, wellbeing and safety. |

	There are also actions we can all do to tackle harmful emissions: • Car share • Walking and cycling part or all a commute or the school run. • Turning off our engine when stopped. Idling contributes to making air pollution worse. • Don't drive under pressure. Correctly inflated tyres can save fuel and reduce pollution Our travel plans include encouraging people to cycle and where possible use buses or trains noting that COVID restrictions require precautions to be taken when using public transport.
6.7	**Q**uestion from Sara Heath The DRE system, highlighted for years as an issue by disabled people and their advocates is inconsistent, unfair, takes too much time, effort. The system is against lower income families, in that for example, you have to be able to afford the utilities in the first place to be in a category to get help and it is paid in arrears. It is not acceptable to disabled Norfolk disabled residents and many fail to access it satisfactorily. The differences between what some attain and others do not, is unfair. There is no explanation of the calculation in detail. When will Cllr. Borrett listen and change NCC DRE system? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention:** Thank you for your question. Norfolk County Council regularly looks at the DRE scheme to try and make it is as easy to use as possible, and we encourage people to take it up. The DRE approach is based upon best practice advice and is centred on an individual's personal circumstances. The Council believes the system is fair because it looks at people's declared disability related costs alongside their care plan. This will mean there are differences from person to person because individual circumstances are all different. Service users can have details of their calculations, and many do already ask for and receive them.
6.8	**Question from Ellie Fairfoot** How many of the potentially 3000 disabled people who were unlawfully charged for services have - as at 2nd March - received the refund due to them? For clarity I mean that the monies owed to them has been paid into their bank account (not just credited to their direct payment or care account) **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention**. Thank you for your question. All of those affected by the changes to the charging policy have been written to setting out their personal position following the recalculation of charges. Those letters contained details of their individual specific circumstances and the process that was being undertaken to ensure all payments are correct. This process includes how to provide bank account details to the Council for those that wish to receive a refund direct in to their own personal account. As at 2nd March, 121 individuals had requested payment in this way, provided the necessary information and received their refunds.

6.9	**Question 1 from Peter** As a person with a Learning Disability, Physical Disabilities and Autism I wish to ask if two bedroom (as support may not be needed 24/7 but is needed from time to time like in a pandemic) bungalows with wet rooms which are on one level suitable for wheelchairs (even if we are not wheelchairs users all the time but need a wheelchair for a time when discharged from hospital) will be built as this also affects our ability to be discharged from hospital in a timely way and is important for our mental health? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention** Thank you for your question. Today's report recommends building different types of homes to meet different needs. If Cabinet agree, we will build homes designed to meet the needs of people with physical disabilities, including those who use a wheelchair. Many of the new homes will be designed so that support is available 24 hours a day. This will usually mean that there is space within the building for staff to stay overnight.
6.10	**Question 2 from Peter** Will the committee advise what the timeline is for building to be completed and will you be consulting users like me as to what sort of properties we actually need and ensure we are part of the entire process (I would like to be included) from initial planning with builders and housing associations to final roll out and for those not consulted but who wish to follow progress how will you keep us all informed? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention** Thank you for your question. Today's recommendation in the cabinet paper is to build 181 homes during the next three years. If the recommendation is agreed, we will hold workshops in May to develop a guide that describes what the new homes should look and feel like. A first draft of this guide was included in the appendices to the cabinet paper and is based on what people have already told us. The workshops will help us improve on this. The times and dates and how to book a place will be advertised after the cabinet decision has been made.
6.11	**Question from Richard Hawker** Please give full details of how the £1.024M development funding for the NWL from the Department for Transport has been capitalised into the 2020 - 2021 capital budget, and give a detailed breakdown of how it has been spent this year. **Response by the Cabinet Member for Highways, Infrastructure & Transport** The Norwich Western Link Strategic Outline Business Case was approved by the Department for Transport in May 2020 and they included a contribution of £1.024m towards developing the Outline Business Case for the scheme. The approved 2020/21 budget allocated a total of £4.055m for development of the project. This is broken down into procurement (£637,000), design (£931,000), statutory process (£1.94m) and Outline Business Case development (£544,000). There is a degree of overlap between these activities, and the Outline Business Case report is reliant on the design and other elements of the project for its completion. The development of the scheme for the financial year 2020/21 is in line with the budget allocation.

**Cabinet
8 March 2021
Local Member Questions**

Agenda item 7	Local Member Issues/Questions
7.1	**Question from Cllr Alexandra Kemp** **West Winch Bypass** Can Cabinet change the bypass application to state the truth: the A10 cannot support more development in West Winch until the bypass opens? Highways England have a holding objection on the whole Hardwick Green Development because there is no highways capacity. West Winch Parish Council's own highways consultant report says : • NCC's report puts number of HGV's at 0% instead of at least 10% on the proposed roundabout • detrimental impact of 350 new homes would be significant strain on the A10 at peak times, more queues and more accidents. The A10 here is rural road with extensive field frontage and homes and a high accident rate. **Response by the Cabinet Member for Highways, Infrastructure & Transport** NCC's report is factual and truthful.
7.2	**Question from Cllr Tim Adams** In December it was promised that repayments would be made following the High Court decision that the MIG charges were discriminatory yet members of the public tell us that the calculations promised for the week of 8th Feb are yet to start. Why is this? **Response by the Cabinet member for Adult Social Care, Public Health & Prevention:** Thank you for your question. Everyone affected has been written to as promised and has been given the calculation of their own personal position.
7.3	**Question from Cllr Steff Aquarone** How many external consultants has the council employed during the last two years and how much has this cost the council? **Response by the Leader** Thank you for your question. The Council makes use of external consultants where appropriate including to deliver specific projects and in particular when it is not cost effective to employ staff with specific skills "in house". The Council publishes spend data which broadly categorises spend relating to

	"consultancy". In 2019 and 2020 this spend totalled £1.089m with 55 suppliers.
7.4	**Question from Cllr Brian Watkins** How many insurance Claims for accidents caused by defects on the highway has the council had in the last two years and how much has it had to pay out as a result of these claims? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** 196 claims have been upheld. This is against a total of 841 claims received citing defects on the highway (including winter maintenance and tree related claims) in the two-year period between the 1 January 2019 to 31 December 2020. In that period, a total of £162,864 has been paid.
7.5	**Question from Cllr Dan Roper** What is the latest data on the level of Care Home Deaths from Covid in Norfolk and how does this compare with the trends across the East of England and England overall? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention** Care home deaths are declining across the country, region and county. According to the latest data reported to the Care Quality Commission, the number of deaths in Norfolk care homes was 13 in the week of 20th-26th Feb. In the week of 20th-26th Feb, 29% of all care home deaths in Norfolk involved Covid-19, compared to a figure of 25% for the East of England, and 19% for England.
7.6	**Question 1 from Cllr David Harrison** The Eastern Daily Press reported on 23 February 2021 that there were 15 areas where the infection rate was growing (bucking the overall trend in Norfolk). Do you have any explanation as to why this is? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention:** Thank you for your question. The key context here is that case numbers are low across the county. The EDP report at the level of Middle Super Output Area or MSOA, which typically have populations of 5,000-10,000 people. In the week from 21st-28th February, the largest number of total cases for any single MSOA in Norfolk was 16, and most had fewer than 10 cases. Viewed in this context, it can be seen how a single outbreak in a workplace or large household could result in a temporary increase in the overall rate at the MSOA scale. This leads to variances across the county.
7.7	**Question 2 from Cllr David Harrison** Why is the rate of Covid infections lower in Suffolk than Norfolk? **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention:** Thank you for your question. The current infection rate in Norfolk is only marginally higher than Suffolk, with a difference of less than 10 cases per 100,000 people

	according to data on 3rd March. This difference arose in January following the lockdown, before which case rates were almost identical. Rates of decrease from mid-January to mid-February have been similar in Norfolk and Suffolk, however rates of decrease have been higher in Norfolk compared to Suffolk since mid-February. It is also the case that while North Norfolk has had the lowest average case rates of all local authorities in the two counties throughout the second wave, low case rates have also been seen in the rural local authorities of Mid, East and West Suffolk, bringing down the average for Suffolk. Ipswich has seen rates of infection comparable to Norwich throughout the second wave.
7.8	**Question 1 from Cllr Terry Jermy** The data used to produce the Thetford Network Improvement Strategy was collected in the 2017 and the final report published some years later. It is in danger of becoming out of date before it is actioned. Could the Cabinet Member for Highways confirm what recommendations from the report have thus far been implemented and what the timetable is for further implementation? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** Since adoption of the Thetford market town network improvement strategy in April 2020, the council has been taking forward implementation of the action plan. We have: • Commissioned a study looking at how to address traffic impacts through the town and on the A11, using information from the traffic data collected. This study will report shortly following conclusion of discussions with Suffolk County Council and Highways England on interim findings • Started a review of the Walking and Cycling Strategy, which will underpin the development of networks across market towns including Thetford. This work is vital as a prerequisite to drawing down funding from government for scheme delivery • Commenced on site with delivery of the Croxton Road cycleway. We were successful in finding funding for this scheme from the New Anglia LEP Growth Deal. We were able to use funding earmarked for delivery of the Thetford Enterprise Park roundabout following its successful delivery in 2019 Further delivery of the action plan depends on funding being accessed and, in most cases, we are waiting to see details of opportunities. I had a useful conversation with the Greater Thetford Partnership Manager last week where we discussed delivery of the network improvement strategy action plan and how these projects might be taken forward with the partnership. This was a very positive discussion and reflects progress being made within the town by the various partners involved.
7.9	**Question 2 from Cllr Terry Jermy** Thetford residents are deeply concerned about proposals for a new quarry at Barnham, just over the border in Suffolk. The transport plan for the application will see dozens of additional HGV movements through Thetford as a result. This application has been objected to by Barnham Parish Council, Thetford Town Council and Norfolk County Council. Could the Cabinet Member for Highways confirm whether Norfolk County Council supports this planning application and resulting additional HGV movements through Thetford? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** Whilst the County Council was not initially consulted by Suffolk County Council, through their role as Planning Authority, the proposals have now been considered

	by Council officers and a formal response subsequently issued. The HGV movements accessing the site will do so via a one way system, with traffic entering the site from the A11 via connecting roads (which are all within Suffolk) and then leaving via roads (within Suffolk) before connecting to the A134 in Suffolk. At which point some of the traffic heads north along the A134 into Norfolk (Thetford) and then some traffic continues south on the A134 within Suffolk itself. The submitted Transport Assessment indicates that there will be approximately 3-4 loads per hour (i.e. 6-8 HGV movements). Given the traffic will be dispersed in both directions when it reaches the A134, and the modest hourly HGV movements involved, particularly when compared to the existing flows on the A134, the Council could not substantiate a highway related objection to the proposals on the Norfolk network.

7.10	**Question from Cllr Brenda Jones**
	It seems from the budget last Wednesday that the government hasn't listened to this administration's pleas for additional long term funding for adult social care and services more generally. Will the cabinet member tell me what he asked from the government and what responses he received?
	
	Response by the Cabinet Member for Finance
	Thank you for your question. The Council supports the Local Government Association submission made ahead of the 2021 Budget which called for "a clear timescale with specific deadlines for how reforms to adult social care provision, eligibility and funding will be introduced." https://www.local.gov.uk/parliament/briefings-and-responses/lga-march-2021-budget-submission#adult-social-care-reform. The Council itself engages regularly with Government to make representations around a wide range of issues including long term funding for social care and other services. However, the Council does not as a rule make submissions to the Treasury in respect of the Budget, as these tend to have a different focus and in general there are other, more relevant opportunities to communicate with Government on these matters. As the question identifies, this has indeed proven to be the case in the Spring 2021 Budget which included limited coverage of social care. At this point it appears unlikely that reform of Adult Social Care funding will be progressed imminently, as a recent Government response to the House of Lords report on lessons from COVID-19 stated that "*In the longer term, the Government is committed to sustainable improvement of the adult social care system and will bring forward proposals next year [2022].*" https://committees.parliament.uk/publications/4915/documents/49199/default/).
	
	Recent examples of the Council's direct engagement with Government on the issue of Adult Social Care and long term funding include:
	    • The submission to the Spending Review 2020, which called for:
	
	        "Recognising the importance of and adequately fund Social Care
	            o *Plans should be published to outline how the government intends to fundamentally **reform the funding of children's and adults social care** on an ongoing, permanent basis, to provide stability to the safeguarding and care sector and certainty for vulnerable people needing care.*
	            o *Although welcome, the confirmation that the additional £1bn of*

*funding nationally will be maintained for the next five years fails to recognise that **additional pressures are being experienced and are forecast to continue across social care budgets every year**.*

- ***Adult social care must be placed on a sustainable financial footing**. Very severe pressures are faced across adult social care including as a result of population growth and increasingly complex demand. Proposals to reform social care funding (the long delayed green paper) should be published as soon as possible."*

- The response to the consultation on the 2021-22 Provisional Settlement, which called for:

*"**Long-term funding allocations and quantum of funding***

The Council understands the pressures on central Government capacity and resources which have been caused by COVID-19 and recognises why this has led to a one-year Spending Review and Settlement announcement. In this context, the early indications provided at the Spending Review were welcome, and the Council is grateful for the additional financial support for COVID-19 pressures which is being provided through 2020-21 and into 2021-22. However, the fundamental principle remains that longer term certainty and funding allocations are key to enabling robust decision-making and the financial stability of local authorities. It is notable that the Government has provided the NHS with a funding commitment to 2023-24 and it is disappointing that local government has not been afforded the same level of priority.

The Council would strongly endorse the call from the Society of County Treasurers (SCT) that it is critical for there to be a return as soon as possible to multi-year settlements to improve certainty, and that future Settlements are in line with the Hudson Review recommendations regarding timings.

More broadly, a major concern for the Council is that the overall quantum of funding for local government is not sufficient and this needs to be addressed as a matter of urgency. Putting aside the short-term funding support for COVID-19, and the assumptions being made around levels of council tax, the Settlement Funding Assessment includes only a minimal increase for Norfolk County Council (0.1%). This lack of any material increase in the core settlement is a major issue for the long-term sustainability of the Council and it will not be viable for a similar approach to be adopted at future settlements.

The fact that increases in core spending power are predicated on increases in council tax are a critical issue as they place the burden of funding on hard pressed local taxpayers and make assumptions about increases in the tax base which may not be realised. Even if the full increase in council tax were to be achieved, the additional resources from council tax are not adequate to meet funding pressures, or to recover the historic reductions in government funding which have been experienced since 2010-11. Local government has absorbed the impact of these significant funding reductions, delivering efficiency savings while maintaining vital local services. However, the ability to continue to do this has now been almost completely exhausted and

therefore opportunities to reprioritise and deliver further savings will be limited, unless the quantum of funding is increased, or the responsibilities of local government are reviewed. Any future savings requirements are therefore likely to have an impact on service delivery.

Reform of local government funding

Although sympathetic to the pressures central Government currently faces, the Council is disappointed that long overdue reforms to local government finance appear to be low on the Government's list of priorities. There is an urgent need to progress a range of reforms including the Fair Funding Review, Business Rates reform and localisation, addressing High Needs Block funding, and developing a robust and sustainable funding model for social care. Plans should be brought forward at the earliest opportunity to outline how the Government intends to fundamentally reform the funding of children's and adults social care on an ongoing, permanent basis. It is vital this review is prioritised to provide long term stability to the safeguarding and care sector, and certainty for vulnerable people needing care."

It should be noted that the Government rarely responds directly as part of these engagement processes.

7.11	**Question from Cllr David Rowntree** Now the Norwich Western Link Outline Business Case has been delayed again until June will the cabinet member take the time to reflect on alternatives that could alleviate the rat running in Weston Longville, Ringland and other communities so they can get relief now rather than risk everything on an increasingly expensive and unpopular road scheme? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** We went through a very thorough options assessment to determine the best solution to the traffic problems to the west of Norwich, as well as a public consultation on what people thought the main issues were, and the solutions they wanted us to consider. Both of these gave us a very strong basis for pursuing creating a link road between Broadland Northway and the A47 and the documents that evidence this are available to view on the County Council website. I speak regularly to local parish councils in the area to the west of Norwich, who have a very good understanding of the day-to-day issues their communities face, and the overwhelming message I get from them is that they want us to get on and build the Norwich Western Link as soon as possible.
7.12	**Question from Cllr Emma Corlett** Commercial confidentiality is being used withhold details of why the award of a contract for the NWL has been delayed. It is in the public interest and does not compromise any party if the cabinet member tells us whether the reason for the delay is that the cost of the scheme is likely to exceed to £153m. Has the likely cost of the NWL now exceeded £153m? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** Commercial confidentiality is an accepted requirement of any procurement process. This is to ensure that no party is given an unfair advantage or disadvantage. While

	this process is still active, I cannot give any further details for the reason for the delay.
7.13	**Question from Cllr Danny Douglas** The Governance review of major projects by Local Partnerships excluded any investigation or explanation of the £25m overspend on the Northern Distributor Road. Will the cabinet member now explain why that overspend happened without council approval being sought before the spending was committed? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** The review completed by Local Partnerships was in response to the recommendation agreed by Cabinet in December 2019. Reports reviewing the construction phase of the Broadland Northway and lessons learnt were considered by Scrutiny Committee in 2019. These reports have also been published on the County Council's website. The Lessons Learnt report sets out the various project spending reports and approvals.
7.14	**Question from Cllr Colleen Walker** In response to my question last month about how many first time buyers has the Council helped to get a foot on the property ladder through the new homes that have been built on surplus Council property since 2017 you said this was not a metric that the Council collects. In 2017 the Conservative manifesto pledged 'to help first time buyers get a foot on the property ladder by building new homes on surplus council land'. How many first time buyers you pledged to help have bought properties developed on surplus council land since 2017? **Response by the Cabinet Member for Commercial Services & Asset Management:** As Cllr Walker notes in her own question, it is not a metric that is collected. Therefore it is not clear why she has asked a question, which she already knows the answer to. I have for reference included my response to the previous question below Repton is getting it right in terms of a balanced strategy. A good mix of market housing, alongside affordable, and shared equity products of different sizes. Cllr Walker has also continued to ignore the affordable housing that Repton is building across their schemes. Is it Labour's policy not to build either affordable rental properties or shared ownership properties, the latter of which will of course particularly appeal to first time buyers? We have some Labour members asking for more social rent, some for more affordable rent and Cllr Walker for private sale. This Administration is clearly delivering on its 2017 Manifesto pledges to help first time buyers get a foot on the housing ladder, I would draw Cllr Walker's attention to Acle where Repton is exceeding the number of affordable units and Attlebrough, where we have just submitted a planning application for a mixed scheme of exclusively affordable and shared equity units. --- *Response to previous Cabinet Question:*

	" This is not a metric that the Council collects and we are not aware of any other authority that collates this information around their own land. Unless a first-time buyer is clearly identifiable (for example through participation in a Government scheme) this information is not something that can be easily collected. *Land sold (especially prior to 2017) may have or passed through several owners before coming forward for development. Local planning policy will determine the tenure of any new homes that are built in an areas – on any land – and will reflect the local need, as determined by the Local Planning Authority, based upon their assessment of the housing market in each District. They will record these numbers for all land where planning is received and where development starts. It may not always be possible to identify whether a purchaser is a first-time buyer or not.* *Where the Council is developing homes through its housing company Repton – there are a variety of products that will appeal to first time buyers, including shared ownership products. These will provide high quality homes at an accessible price. At Acle, the first development where Repton is on site, we have exceeded the 'policy compliant' amount of affordable housing - supporting another key part of our housing market.*
7.15	**Question from Cllr David Collis** In response to my question last month about work the Council has undertaken with the Environment Agency and local landowners to ensure ditches, dykes, and drains are well maintained and kept clear over the last four years he replied Council takes a risk-based approach to formal enforcement action and works with local landowners where issues are identified. However in the 2017 Conservative manifesto was a pledge to reduce the risk of flooding by working with the Environment Agency and local landowners to ensure ditches, dykes and rains are well maintained and kept clear. That clearly didn't happen. Why not? **Response by the Cabinet Member for Environment & Waste:** As explained in the previous response, the County Council has proactively worked with all agencies and landowners over the last four years, to drive forward the maintenance and improvement of drainage assets, which are owned and maintained by a variety of private individuals and public bodies. In terms of the most recent event, Council officers are continuing their investigations into the flooding that occurred in late December 2020. While the causes of flooding can be complex, early findings show that up to 50mm of rain fell on saturated ground following three months of wet weather in the autumn. This led to drainage systems becoming inundated with floodwater and watercourses overtopping. Following the flooding, in January 2021 Cabinet agreed to convene a series of meetings with strategic partners across Norfolk, including District Councils, the Environment Agency, Anglian Water and Internal Drainage Boards amongst others to help mitigate these increasingly common extreme weather events and ensure even closer working together. The first meeting of this Norfolk Strategic Flood Alliance has been held, chaired by Lord Dannatt, and further meetings are planned. Additionally, the Council has allocated an extra £650,000 capital and revenue funding, which will be invested to enable faster repairs to the road network and

	existing drainage systems and enable the large number of Flood Investigation Reports to be completed as soon as possible. A further £1.5m has been allocated by the County Council in 2021/22 for a Flood Reserve to assist with flood related issues.
7.16	**Question from Cllr Mike Smith-Clare** The 2017 Conservative manifesto pledged to increase Parish Partnership funding to £1m. It hasn't happened and he along with other cabinet members and Conservative councillors voted against it at full council. Will he explain why this manifesto pledge has been broken? **Response by the Cabinet Member for Highways, Infrastructure & Transport:** Highway maintenance has also been a priority over the four years of this administration. I am proud to say that this has helped to maintain our high public satisfaction levels with the Highways service as demonstrated in the 2020 National Highways & Transportation (NHT) customer satisfaction results. These details are also contained in the Highway Capital Programme Report on today's agenda. It is also worth highlighting that the value of parish partnership schemes is also driven by demand from parishes. The last few years have been challenging for all financial budgets, and parish councils are no exception. Despite these challenging circumstances, we have been able to boost the Parish Partnership by £50,000 per year to £350,000 which has been additionally enhanced by the Safety Camera Partnership. In 2021/22 the Parish Partnership programme will support the delivery of schemes totalling £715,489. These details are also contained within the Parish Partnership Report on today's agenda.
7.17	**Question from Cllr Chrissie Rumsby** I have been contacted by some residents who have been told that they must return the device they have been provided with for remote learning when their child returns to school this week. The potential for self-isolation and home learning will still be a factor for many of our learners, as will be their household's limited access to digital equipment. How many of the laptops that have been purchased by Norfolk County Council and distributed to schools are parents expected to return to their school? **Response by the Cabinet Member for Children's Services:** Many thanks Cllr. Rumsby for your question. As children return to the school classroom many schools will ask parents to return laptops so that they can use them throughout the school day. Schools will want to make use of them in an approach to teaching and learning that builds on the experiences that children have acquired whilst learning remotely at home. Schools may also want to adapt and develop the software in order to reflect the school-based curriculum, now that children are working face to face in school. At any point, where a child is required to isolate at home devices would once again be provided to enable remote learning. Schools own the devices, including those provided by NCC, and we do not require them to be returned to the council. We do support schools in wanting to make the most effective use of devices in their school day, as they will need to maintain and

	service equipment, ensure it remains fit for purpose and utilise them fully across the school day.

Written Supplementary Questions requiring written responses from the Cabinet Meeting held on Monday 8 March 2021

Agenda item 6 Public Question Time	
Supplementary Question from Mr Paul Neale	Mr Neale stated that the information about recycling on the website was still unavailable which indicated no waste was being recycled from kerbside bins. As a supplementary question, Mr Neale asked whether the County Council was treating other plastics, such as rigid plastics as the Environmental Policy dated November 2019 stated that the County Council was striving to meet the global challenge by working towards carbon neutrality by 2030 and if not, where was the waste going. **Response by the Cabinet Member for Environment & Waste** The Cabinet Member for Environment & Waste agreed to provide specific information about rigid plastics and to clarify what was sent as waste for incineration at energy from waste plants. The information is that for plastic bottles, pots, tubs and trays these can go in the kerbside recycling bin for collection by all the local district councils across Norfolk. For other rigid plastic items such as toys, garden furniture and plant pots, these are currently accepted at the County Council's recycling centres either in the Reuse Shops or the non-recyclable container. The County Council tested the recycling of rigid plastics at five recycling centres but had to suspend the initiative in 2017 because the facility where material was sent no longer wanted the material. We continue to search for opportunities for this material, and when we have a viable and secure market for the material and a sustainable solution can be provided we will look to reintroduce the recycling option at the recycling centres, an approach that is in keeping with the County Council's Environmental Policy. Currently residual waste from the County Council's recycling centres is generally used as a fuel in incinerators to provide heat and or electricity. In relation to comments about content on webpages any concerns can be raised with Joel Hull, Head of Waste for Norfolk County Council via the email: joell.hull@norfolk.gov.uk who will be happy to help.
Supplementary question from Marian Chapman	Given that there are a range of well-established measures, as well as more innovative solutions and quick wins available, what range of measures both physical and behavioural, would the council recommend should be put in place within schools and their immediate environment to improve air quality and in this context will the council consider following the Greater London Authority and appoint a school's liaison officer to work on these issues as a matter of some urgency? **Response by the Cabinet Member for Environment and Waste** Air quality in Norfolk is significantly different from those in greater London and we have no plans to appoint a school's liaison officer to work on these issues as we provide support to schools through our Road Safety and Major Projects team, working in partnership to develop and deliver projects that encourage active travel.

Supplementary Question from Sara Heath	Cllr Borrett I quote from your reply 'based upon best practice advice' 'The council believes the system is fair' Again we disabled people are telling you about our living experiences. Have you learned nothing from the recent judgement finding ASC guilty of discrimination against disabled people in Norfolk costing thousands of £ instead? When , Cllr Borrett will you listen to real concerns as is your responsibility. **Response by the Cabinet Member for Adult Social Care, Public Health & Prevention:** Thank you for your question. As you are aware the Council acted swiftly in response to the outcome of the Judicial Review. Included in the response was an undertaking to review the policy, and a major part of this will be listening to real concerns of the people affected.
Supplementary question from Richard Hawker	As a supplementary question Mr Hawker asked for reassurance that the £1.024m from the Department for Transport had been capitalised following their guidance and that the conditions of the grant were being met. **Response by the Cabinet Member for Highways, Infrastructure & Transport:** The funding provided by DfT is being used to support the delivery of a capital investment project (the NWL) and this is in accordance with the conditions of the grant.

Agenda item 7 Local Member Questions	
Written supplementary question from Dan Roper	What analysis has been completed regarding the reasons for higher levels of Covid deaths in Norfolk Care Homes (compared to regional and national average) since the start of the year and what conclusions have been reached? **Response by the Cabinet Member for Adult Social Care Public Health & Prevention:** Thank you for your question. As I said in the answer to your original question care home deaths are declining across the country, region and county. However there has been a total of 383 care home deaths involving Covid-19 in Norfolk care homes from the period 1/1/2021-26/2/2021. This is lower than Essex (431), but higher than Suffolk (150) and Cambridgeshire (116). This is a very important issue and accordingly last month I agreed with the Director for Adult Social Services that he commission a further look at the issues surrounding deaths in care homes, which will consist of presentation to the Norfolk Safeguarding Adults Board, and further engagement with partners across our system to understand the experience of people and the factors affecting the position.
Written supplementary question from Cllr Colleen Walker	My question related to whether the Conservative administration had delivered on your promise to Norfolk to help get first time buyers onto the property ladder. Is he is trying to blame Labour for his failure to deliver his own manifesto promise? **Response by the Leader and Cabinet Member for Commercial Services & Asset Management**: The two responses very clearly sets out how, through the provision of private sale and shared ownership homes – the Conservative administration has delivered on its promise. I have also noted that through Repton we have overprovided the amount of affordable homes (including social rent), a fact with Labour continues to ignore.

Written supplementary question from Cllr Chrissie Rumsby	Is the cabinet member making schools responsible for the maintenance and upkeep of the devices that NCC has distributed to them and will he provide schools with additional funding to support this extra financial burden? **Response by the Cabinet Member for Children's Services**: Many thanks Cllr. Rumsby for the supplementary question. The laptops have been provided free of charge to schools. All schools will have a support contract to maintain their equipment. NCC, through ICT solutions provide a range of support packages, which around 140 schools currently access; these devices would be covered under these packages. All devices have 1-year warranty; schools can contact ICT solutions to investigate any support needs.
Written supplementary question from Cllr Emma Corlett	The cabinet member should explain how the simple question whether the cost has gone up breaches commercial confidentiality. Isn't it in the public interest to know that without divulging details? **Response by the Cabinet Member for Highways, Infrastructure & Transport**: As we are still in a procurement process, and matters related to that process are still to be finalised - so we are unable to share anything further at this stage. We have received formal bids from the shortlisted companies who are competing for the contract, however there is a need to spend more time reviewing the information provided to us as we complete the due diligence ahead of closing out the procurement process. It is necessary as we undertake this work that we ask all bidders to continue to respect confidentiality until the end of the process. To make any further information available on this matter would be inappropriate.
Written supplementary question from Cllr Danny Douglas	The cabinet member has not answered the question why there was a £25m overspend with prior approval of council. Will he tell Norfolk how that happened or not? **Response by the Cabinet Member for Highways, Infrastructure & Transport** The response to the original question refers to the Lessons Learnt report published on the county council's website. That report, in section 1, refers to the agreement by the council to proceed into the construction stage of the contract and also refers to the cost of the project, the reporting of this and the decision making by the council to increase the budget.
Written supplementary question from Cllr Brenda Jones	The cabinet member has stressed the grown up conversations with the government he has and expressed confidence he is being listened to. Now he is saying the is talking to them through third parties and they rarely respond. Which is it, but either way it doesn't seem to be having much impact? **Response by the Cabinet Member for Finance** The original question specifically related to the Government Budget and the answer reflected this. The original response also provided extracts from detailed inputs made by the Council to recent Government decision-making processes. The answer was clear that Government does not as a matter of course respond directly to any submissions made to consultation activity (which is normal practice and in fact is exactly the same as when the Council itself undertakes consultation activity). Outside of these formal consultation exercises, the Council regularly engages with MPs and Government at various levels and has constructive conversations about the issues we face. As the Member for Finance, I work closely with the local MP, briefing on a range of issues including those relating to finance. Other examples include conversations at officer level with MHCLG, most recently about the implications of COVID and wider financial pressures. There is also significant value in engaging with Government via representative

	groups including the Local Government Association, County Councils Network, and others, on issues of common concern and I make no apologies for this. We have clearly and regularly expressed our disappointment to Government about the continued delay to significant reforms of local government funding, but there is nonetheless clear evidence of Government responding to some of the concerns we have identified, whether in relation to the provision of emergency COVID funding, offering the scope to levy and increase the Adult Social Care precept, and the provision of social care grant funding. While we would always like to see more being done in these areas, it is not true to say that Government does not take account of Local Government's concerns.
Written supplementary question from Cllr David Collis	The question is about what have you done for the past four years. The answer appears to say nothing and that is the impression Norfolk has from the fact there was such flooding this winter. Did he break his election pledge and will he apologise? **Response by the Cabinet Member for Environment & Waste** As explained in the previous response, the County Council has proactively worked with all agencies and landowners over the last four years, to drive forward the maintenance and improvement of drainage assets, which are owned and maintained by a variety of private individuals and public bodies. The major factor of the flooding that occurred this winter was that the groundwater and river levels were already high following three months of wet weather in the autumn. We then had 140% of the average rainfall, with the wettest December and January since 1915. This led to drainage systems becoming inundated with floodwater and watercourses overtopping.

Cabinet

Decision making report title:	NCC Customer Experience Strategy 2021 to 2026
Date of meeting:	12 April 2021
Responsible Cabinet Member:	Cllr Margaret Dewsbury (Cabinet Member for Communities and Partnerships)
Responsible Director:	Tom McCabe (Executive Director - Community and Environmental Services)
Is this a key decision?	Yes
If this is a key decision, date added to the Forward Plan of Key Decisions.	15 January 2021

Introduction from Cabinet Member

The council's customer experience strategy is all about ensuring customers can access information, advice and services and have their needs and expectations met in a fair and consistent way which represents excellent value for money.

Customer expectations continue to evolve, being shaped by experiences they have every day with a wide range of service organisations. This strategy sets out how the council will keep pace with this and:

- provide consistently good service at the same time as delivering on the imperative to reduce costs
- make best use of technology to operate more cost effectively and responsively so maximum value is sustained for customers despite reducing costs
- evolve services in a way which responds to and fulfils the needs of our customers, ensuring good access for people with protected characteristics and those impacted by inequalities

The strategy has been developed by the Customer Services team in consultation with key service departments, to reflect and support delivery of the council's overarching priorities and target outcomes outlined in 'Together for Norfolk', Norfolk County Council's business plan for 2019-2025. Members have also contributed via a workshop which took place in January 2021.

Executive Summary

The direction of travel for the council's customer strategy remains largely unchanged from the previous iteration. The focus is to build further on successes and optimise capabilities developed during the last strategic cycle and these are the key themes:

- Deliver value and a positive experience for every Norfolk customer
- Simple but inclusive, multi-channel customer access model
- A customer led approach to service delivery, design and development

Whilst Customer Services (together with the Library face to face offer) constitute the council's 'customer front door', this strategy belongs to the whole county council and is an integral part of service design and delivery for all departments and services. A shared, well supported Customer Experience Strategy is the glue which binds together an otherwise proliferated offer for our residents, ensuring we respond to the citizens of Norfolk in a joined up, cohesive way, and deliver a consistent, quality customer focused experience in the most cost effective way.

Recommendations

1. **To approve the Customer Experience Strategy, as set out in section 2 of this report.**
2. **To approve the Customer Charter as set out in Appendix 1 of this report.**

1.   Background and Purpose

1.1.   The purpose of the Customer Experience Strategy is to define the experience the council strives to provide for residents accessing and receiving information, advice and services and how it will achieve this. Importantly, it is shaped taking into account customer needs, together with opportunities and pressures affecting the wider context within which the council operates. The latter includes for example reducing costs and an increased focus on the council providing early help and advice at 'the front door' to prevent demand into more expensive services.

1.2.   Along with ongoing feedback from Gov Metric, which shapes continuous improvement, day to day delivery and has helped shape the customer charter (see Appendix 1), two customer surveys have informed this refresh. The first asked c.300 customers how well the council delivers against customer outcomes, and these were the results:

Target customer outcome*	% agree/positive response
I can deal with the council in a way that best suits me	87%
Information is personalised and meets my needs	75%
Information is easy to find; services are easy to access and use	74%
I receive clear explanations, so I know what to expect	74%
Service is responsive, I am kept up to date	57%
I only have to make a request or tell my story once and the job gets done	55%

*previously identified through customer engagement and insight analysis

1.3.   The second explored what drives customers to contact the council by phone rather than online and found that:

Of c.5000 customers calling the council's customer service centre	
16% had tried online first but could not find what they needed or there was no online option available	3% were unaware they could have fulfilled their need online
38% called either because they had an emotive attachment to the reason for contact or because they considered it quicker and easier	16% called because they could not get online

1.4   These provide useful intelligence for shaping the strategy, demonstrating that:

- **Developments in the council's customer access model are being positively received** (87% of customers are able to deal with the council in the way that suits them). The transformed corporate digital/web offer has been fundamental to this. Year on year, traffic to the council's website is growing by around 30%, and through the course of 2020 the trend in customer satisfaction with the web experience was upward. There has also been notable growth in the take up of online self-serve service options, following new developments and improvements in accessibility in line with new legislation. (As an example, 82% of blue badge applications are now made online versus 50% in 2015 and 67% in 2018 prior to implementation of a new digital offer, including online payment. Since 2018 the average time from application to decision has fallen from 29 to 10 days. The online payment capability has removed the need for, and costs associated with handling and banking cheques. This is a clear demonstration of the customer benefits and efficiencies which can be achieved from such developments).

- **There is capacity to achieve further channel shift** by improving or extending the online offer (16% of customers calling have tried and fail to complete their journey online).

- **For certain types of need, service design should recognise customers prefer to use the phone.** There are occasions where, driven by an emotive connection to the reason for contacting the council, a customer may prefer to seek the immediate reassurance of speaking to somebody directly rather than dealing online.

- **When it comes to fulfilment activity, more work is needed on the responsiveness and join up of service provision/fulfilment end to end**. The 'one front door' strategy is key to providing a simple customer

access model, consistent and reliable service delivery and also economies of scale, however a significant proportion of activity (around 80% of calls for example) bypasses this model and is difficult to track, monitor and locate. Also, for many types of customer enquiry or request there remains a hand off into 'back office' operations by a means which 'breaks' the end to end service chain. Increasing the % of customers feeling service is responsive and that they only have to tell their story once for the job to get done depends on strengthening the front door model and handling more customer interactions end to end in the council's customer/contact management system.

- **A blended, multi-channel access model remains key** so customers who are digitally excluded can access the information, advice and services they need. Data published by the Office of National Statistics (ONS) shows internet usage is growing most quickly amongst the 65-74 age group so over time, the demographic picture of propensity to deal online is changing and the digital offer is becoming more significant both from the council and customer perspective. But, ONS data also shows most people over 75 have not used the internet in the last 3 months and the Local Government Association assess the risk of digital exclusion in Norfolk as 'high', therefore sustaining a multi-channel access model remains an important element of the council Customer Experience Strategy at this time.

The council's plan for addressing digital exclusion is the subject of a separate, distinct Digital Inclusion Strategy which is being redeveloped and is due to Corporate Select Committee later in the year.

1.5   An exercise to review and benchmark the council's customer care standards has also been undertaken and concluded a fresh approach is needed to bring them into line with the customer experience strategy and reset them at the heart of customer facing operations council wide. A proposal for a new customer charter approach is included in Appendix 1 of this report.

2.   Proposals

2.1.   Customer experience is about more than the assistance and advice provided during a service interaction (customer service), it is the sum of all the interactions a customer has over the life of their relationship with an organisation, derived from their experience accessing and receiving information, advice and/or services. In recognition of this, this proposal is for a 5-year 'Customer Experience Strategy' built around the themes and associated objectives outlined in sections 2.2 to 2.4.

2.2.   **Deliver value and a positive experience for every Norfolk customer**

- We will give every interaction a consistent and tangibly customer focused feel, whatever access channel it is delivered over, whatever service it

relates to and whichever part of the organisation it is with, by putting customer service standards at the core of everything we do. This will be underpinned by a council wide commitment to a new customer charter (proposal detailed at Appendix 1)

- We will be easy to deal with and make it as easy as possible for customers to find and access information, advice and council services
- We will deliver high value for customers by working as effectively and efficiently as we can and being relentless about driving out 'waste' such as mistakes and rework
- We will take a 'digital by design' (not 'digital by default') approach to further extending the council's range of online services to ensure we are accessible to all customer groups
- Through further growth and development of an accessible online offer, we will ensure access for those with protected characteristics, modernise the customer experience and reduce our 'cost to serve'

2.3. **Simple, inclusive, multi-channel customer access model**

- We will provide information and services to customers over a range of access channels
- For customers accessing universal information, advice and services we will continue to build on the centralisation or 'one front door' principle across access channels (phone, online and mail) because this:
  o provides a more holistic, comprehensive, consistent customer experience
  o is a key part of how we make the council easy for customers to access and deal with (single point of access)
  o protects specialist resources for the most vulnerable
  o supports compliance with regulatory standards
  o delivers efficiencies and economies of scale
- Working in partnership with Norfolk's District Councils and voluntary sector and to provide a more seamless customer experience, we will grow our universal information and advice offer to make the most of community assets and support the local offer and prevention

We will enhance our universal information and advice offer online, building on the Norfolk Community Directory as our core vehicle.

2.4. **Customer led approach to service design, delivery and development**

- We will grow our capability to track and measure customer experience end to end, working to make monitoring and measuring delivery against customer service standards an integral part of the council's performance management processes
- We will better understand customer needs, behaviours and interactions by making appropriate and intelligent use of data to inform development and changes, so customer journeys and services are designed with them in mind, connected together where this makes sense and so customers don't have to join the dots themselves

- We will develop the capability to link together data about separate interactions and build a 'single customer view', so we can see what services customers may benefit from or be interested in; or how we can help them avoid the need for higher end services at a later date by offering relevant information, advice or services
- We will further embed inclusive design into our customer access and service model

2.5. The Customer Relationship Management (CRM) system and myNorfolk online account implemented during the last strategy cycle are integral to delivering on this customer experience strategy. Further exploiting these enablers and joining them up with core line of business applications/portals (e.g. Synergy Web) is key to providing customers with simple access through 'one front door'.

Reducing cost to serve, tracking and measuring customer experience end to end and 'single customer view' are all dependent on further extending the use of these enablers. They join up front and back office operations, so customers experience responsive service and only have to tell their story once. The benefits of such an approach are clear - in response to the Covid-19 pandemic a platform was developed which is shared across the Norfolk system and used to manage the needs of Clinically Extremely Vulnerable customers (the Norfolk Vulnerability Hub). It will be important going forward to extend on and not lose the benefits of this joined up way of working for the council, its partners and customers.

3. Impact of the Proposal

3.1. The impact of the Customer Experience strategy directly aligns to the strategic objectives defined in the council's 6-year plan, particularly contributing to the council's ambition for 'Thriving People' and 'Strong Communities' through its focus on:

- providing value and quality service experiences for residents
- making it easy to access information, advice and services
- a customer centric approach to the design and delivery of council services

As outlined in section 6.0 the strategy is also impactful in relation to the council's efficiency and savings agenda.

4. Evidence and Reasons for Decision

4.1. There is significant evidence this strategy proposal is right for customers and also from a financial/efficiency perspective. Examples include (some of which are detailed elsewhere in this paper):

- Survey responses from customers (sections 1.2, 1.3 & 1.4)
- Growth and take up of online self-serve options provided by the council and also traffic to the council's website (section 1.4)
- ONS data on the use of digital/internet services

- The relative cost of customer interactions over digital, phone and face to face channels (section 6.0)
- The economies of scale to be enjoyed from managing customer contact through a 'consolidated front door' model versus back office environment (section 6.0)

5. Alternative Options

5.1. Further work could be carried out to develop an alternative strategy. However, this proposal is based on a strong customer and financial imperative, sound evidence base, extends an ongoing and successful direction of travel and is aligned to support delivery of the council's overarching priorities and target outcomes outlined in 'Together for Norfolk', Norfolk County Council's business plan for 2019-2025.

6. Financial Implications

6.1. Further extending the digital self-serve offer for universal information and advice and also simple transactional needs can create savings for the council. According to Government data, a digital service is 20 times cheaper than a phone transaction, 30 times cheaper than a postal transaction and 50 times cheaper than a face to face transaction.

Strengthening the front door and moving to a more centralised model for customer contact, whilst requiring some growth in 'front office' resources, delivers economies of scale overall. As an example, the government calculates the average cost of a 'back office' phone interaction at £6.60. For 2019/20 the cost per contact in the council's Customer Service Centre was £3.08 (down from £4.62 in 2014/15).

There is a still a significant proportion of customer contact activity which can be shifted to the centralised and/or digital model. Doing so will create capacity (through managing demand differently), or cashable savings depending on the service and success of implementation.

Departmental savings plans (2021-25) target £1.73m through 'making the best use of technology to make everyday transactions more efficient', £0.38m through 'digitising print, post, scan and record storage' and £4.8m through efficiencies from 'continuing our smarter working programme'. The £1.7m ongoing capital investment required to support this customer experience strategy over the full 5-year cycle is a significant enabler to achievement of the broader savings agenda.

7. Resource Implications

7.1. **Staff:**

The digitisation and centralisation of customer activity whilst achieving overall economies of scale, does generate relatively small growth for the council's 'front door' teams.

For example, along with other benefits the digitisation of post delivers efficiency savings by moving from a dispersed to a centralised model for opening and distribution (£0.38m). But it creates additional post preparation and scanning functions for the Customer Services Fulfilment Team and additional capacity is needed to manage that.

Extending the council's digital offer again creates overall savings (£1.73m) but means more online content and services to develop, support and maintain, requiring additional capacity in the teams managing digital customer platforms, including the Digital Content Team in Customer Services.

And as more enquiries pass through the council's Customer Service Centre, more resource is needed to manage them though beyond the short term, this is expected to be offset to a degree as simple, transactional customer activity shifts online.

It is worth noting that during 20/21 and accounted for by the Community Outbreak Management Fund (COMF), Customer Services resources have grown by around 30 FTE to manage additional pressures as a result of the covid-19 pandemic, (including local contact tracing).

7.2.   **Property:**

N/A

7.3.   **IT:**

Expertise, advice and support from IMT in relation to the telephony, web, customer and line of business applications and portals infrastructure to support this strategy remains crucial. As does the provision of digital infrastructure across Norfolk, enabling optimum take up of online services by customers.

8.   Other Implications

8.1.   **Legal Implications**

N/A

8.2.   **Human Rights implications**

N/A

8.3.   **Equality Impact Assessment (EqIA)**

An equality impact assessment has been completed in relation to this strategy proposal and has concluded there are no adverse impacts or legal impediment to going ahead with this proposal. It is possible to conclude the strategy may have a positive impact on some people with protected characteristics, for reasons set out in the assessment which is contained in Appendix 2 of this report.

8.4.   **Health and Safety implications**

N/A

8.5.   **Sustainability implications**

N/A

8.6.   **Any other implications**

N/A

9.   Risk Implications/Assessment

9.1.   The main risk associated with the council's customer experience strategy would be in relation to it excluding or disadvantaging customers in some way, particularly those with protected characteristics or impacted by inequalities. Measures to mitigate that risk include the emphasis on the principle of 'digital by design' (not 'by default'), and the focus on accessibility outlined in the Equality Impact Assessment (see Appendix 2).

Other risks include failure to prioritise and invest in the strategy and/or to adopt the principles and approach across the whole council, both of which would impact delivery and implementation.

10.   Select Committee comments

10.1.   Corporate Select Committee reviewed and considered the strategy proposal and customer charter on 15 March 2021 and endorsed the approach.

11.   Recommendations

11.1.   1. **To approve the Customer Experience Strategy, as set out in section 2 of this report.**
2. **To approve the Customer Charter as set out in Appendix 1 of this report.**

12.   Background Papers

12.1   None.

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

Officer name: Michelle Carter   Tel No: 01603 222506

Email address: michelle.carter2@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.

Norfolk County Council

Customer Experience Strategy

Appendix 1

Customer Charter Proposal

Michelle Carter

Norfolk County Council Customer Charter

The Council is here to help the people of Norfolk and aim to give you high quality customer service. However you contact us we will:

- **Listen to you** and take your views and needs seriously

- **Be polite, professional** and treat you with courtesy and respect and expect the same in return, from you

- **Avoid the use of jargon** and explain any technical language

- **Answer your enquiry the first time you contact us if we can** – and keep you up to date if it takes us longer

- **Protect and use your personal information** in line with our privacy notice

- **Provide information in other ways** if you need this, acknowledging and accommodating any specific disability related or translation requirements

- **Proactively seek your feedback** and use it to make services better

Online Standards

Our digital offer is the most comprehensive, convenient and responsive way to connect you with information, advice and council services. Our aim is to make it as straightforward and convenient to use as possible by minimising the number of sign ins/passwords you need to deal with us online.

When you use our website, we will:

- Make sure it is accessible – read our accessibility statement

- Make it as easy as possible to find what you are looking for

- Give you information which is relevant and personal to you in a way which is clear and easy to understand

- Provide content you can trust and rely on as a current and authoritative source of information and advice

- Make sure it works on a mobile or tablet

- Acknowledge receipt of anything you submit online so you know it is being dealt with and what to do if you have questions

- Make sure it complies with the local digital declaration so you can use it with confidence

Phone, email and letter standards

When you phone us, we will:

- Answer your call as quickly as we can

- Give you our name and department so you know who you are talking to

- Resolve as much as we can for you at your first point of contact

- Make sure you only have to tell us your details and the reason for your call once if we have to transfer you to somebody else

- Call you back if you leave us a message

When you email one of the addresses advertised on our website or write to us, we will:

- Acknowledge your email and provide an update or full response within 5 working days where possible

- Provide a response to your letter within 10 working days of receipt where possible

Let you know if we need longer, why and who to contact if you need more information

Face to face standards

When you visit us for an appointment, we will:

- Make sure our buildings are easy to access and Covid secure

- Greet you when you arrive

- Be approachable, professional, courteous and helpful

- Make sure you can see our name badges

- Provide clear signs in our reception areas

- Provide a seated waiting area and private interview facilities

- Get help as soon as possible if you have special communication or access needs

When we visit you, we will:

- Where possible, arrange a mutually convenient time and place

- Arrive on time – but if we are delayed, we will let you know why

- Wear clear identification

- Introduce ourselves and explain the purpose of the meeting

- Make sure you have all the information you need at the end of the meeting and are clear on what will happen next and when

- Expect you to treat our staff with courtesy and respect. We will not tolerate the use of physical or verbal abuse in any form, including the use of foul and abusive language

Customer Experience Strategy Appendix 2

Equality Impact Assessment – Findings and Recommendations

Michelle Carter

1. The proposal – Customer Experience Strategy

The purpose of this strategy is to define the council's offer to residents for accessing and receiving information, advice and services, the experience it will deliver when they do so and how it plans to achieve this. It is shaped taking into account customer needs, and the opportunities and pressures affecting the wider context within which the council operates.

It is a refresh of the customer service strategy 2015-20, from which the direction of travel remains broadly unchanged.

The key themes in the forward-looking strategy are:
- Value and a positive experience for every Norfolk customer
- Simple but inclusive, multi-channel customer access model
- A customer led approach to service delivery, design and development

2. Legal context

2.1 Public authorities are required by the Equality Act 2010 to give due regard to equality when exercising public functions[1]. This is called the 'Public Sector Equality Duty'.

2.2 The purpose of an equality impact assessment is to consider the potential impact of a proposed change or issue on people with protected characteristics. If the assessment identifies any detrimental impact, this enables mitigating actions to be developed.

2.3 It is not always possible to adopt the course of action that will best promote the interests of people with protected characteristics. However, equality assessments enable informed decisions to be made that take every opportunity to minimise disadvantage.

3. Information about the people affected by the proposal

3.1 The council's customer base and therefore the impact of this proposal comprises all residents in Norfolk who contact / access the council for information, advice or services.

3.2 This includes residents with a range of protected characteristics, in relation to disability, sex, gender reassignment, marital or civil partner status, pregnancy and maternity, race, religion/belief, age and sexual orientation.

3.3 The following table shows a demographic breakdown of the customer base by protected characteristic:

Protected characteristic	Breakdown (Norfolk Insight data - 2019)	
Gender reassignment	Not available	
Age	0-17	18.9%
	18-64	56.6%
	65+	24.5%
Being married or in a civil partnership	Divorced	10.1%
	In a registered same-sex civil partnership	0.2%
	Married	50%

	Separated (but still legally married or still in a same sex civil partnership)	2.3%
	Single (never married or never registered in a same sex civil partnership)	29.5%
	Widowed or surviving partner from a same sex civil partnership	7.9%
Disability	Day to day activities limited a lot	9.1%
	Day to day activities limited a little	11%
	Day to day activities not limited	79.9%
Race including colour, nationality, ethnic or national origin	Asian/Asian British	1.5%
	Black/African/Caribbean/Black British	0.5%
	Mixed/Multiple ethnic groups	1.2%
	Other ethnic group	0.3%
	White	96.5%
Religion or belief	Buddhist	0.3%
	Christian	61%
	Hindu	0.3%
	Jewish	0.1%
	Muslim	0.6%
	Sikh	0.1%
	Other religion	0.5%
	No religion	29.6%
Sex	Male	49.1%
	Female	50.9%
Sexual Orientation	Heterosexual or straight	94.8%
	Gay or lesbian	0.9%
	Bisexual	0.8%
	Other	0.3%

Where total does not equal 100%, don't know or prefer not to respond answers are excluded

4. Potential impact

4.1 Based on the evidence available, this proposal is not likely to have a disproportionate impact on people with protected characteristics. In fact, the commitment to embed inclusive design into the way the council engages with customers and provides access to information, advice and services, will have a positive impact.

4.2 An assessment of the impact per protected characteristic group follows:

Race Equality
We do not envisage any impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all ethnic groups, and that access to services and service provision delivers equality. This would include the use of translation services and provision of printed materials in other languages where this is required to assist access to services, for example by Norfolk's Eastern European communities.
Disabled People
Norfolk has a disabled population of 20%, slightly higher than the UK average. Norfolk Insight data shows 9.1% of Norfolk residents have health problems / disabilities which limit their day-to-day activities 'a lot', compared to 7.4% across the East of England. This strategy will positively impact on this group as service accessibility via channels other than face to face becomes more mainstream, helped

also by the imperative of the coronavirus pandemic which has seen extended use of innovative and alternate communication and engagement approaches.

There is also a particular focus on improving standards of accessibility over our customer access channels which will benefit this group (e.g. web accessibility standards), whether they access the council for universal needs (recycling, schools, etc), or for critical services specifically relating to their disability. In relation to digital accessibility the aim is to deliver AA compliance against Web Content Accessibility Guidelines (WCAG), though the Customer Services and Equality, Diversity & Inclusion teams are engaged ongoing to further and continually improve accessibility standards.

The 'digital by default' and multi-access channel approaches in this strategy are designed to ensure residents are not disadvantaged by digital exclusion, including the 10% of Norfolk's disabled population to whom this applies.

Gender

We do not anticipate any impact. We will ensure published content and materials take into account and encourage participation across all genders and are not biased in any way.

Age

24.5% of Norfolk residents are aged 65 or over, compared to 19.9% for the East of England. Statistics published by the Office of National Statistics show internet use is growing most quickly amongst the 65-74 age group (13% for Norfolk according to Norfolk Insight), but that most of those over 75 (11.5% for Norfolk according to Norfolk Insight), have not used the internet in the last 3 months.

Figure 1: Since 2011, the 65 to 74 years age group has seen the largest increase in recent internet use
Recent internet users, UK, 2011 and 2019
Source: Office for National Statistics - Labour Force Survey
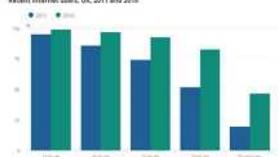
Figure 2: Most adults aged 75 and over have not used the internet in the last three months
Internet users, UK, 2019
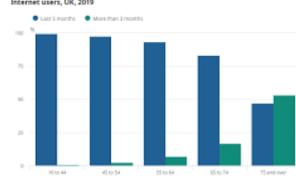
This suggests age remains a factor in propensity and capability to access digital information and advice, and self-serve online. In recognition of this the strategy retains a 'digital by design' and not 'digital by default' approach to customer service transformation and outlines the council's plan to continue to operate a multi-channel access model.

Our own data from a survey conducted over the summer of 2020, identified that 16% of customers calling the council's customer service centre were not able interact with the council online.

Religion

We do not envisage an impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all religious groups and access to services and service provision delivers equality.

Sexual Orientation

We do not envisage an impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all sexual orientation groups and access to services and service provision delivers equality.

Gender reassignment

4

We do not envisage an impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all groups and access to services and service provision delivers equality.
Pregnant women
We do not envisage an impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all groups and access to services and service provision delivers equality.
Marriage or civil partnership
We do not envisage an impact on this protected group. We will ensure published content and materials illustrate diversity in a positive way and promote participation across all groups and access to services and service provision delivers equality.

4.3 On a broader note, Norfolk is rated 'High' by the Local Government Association for the likelihood of digital exclusion. The council's plan for addressing this and increasing digital inclusion is the subject of a separate, distinct Digital Inclusion Strategy. The continued focus in this refreshed customer experience strategy on 'digital by design', a multi-channel access model and continued face to face universal service offering through the Norfolk Library Service is designed to achieve inclusivity for this cohort.

5. Conclusion

5.1 There is no legal impediment to going ahead with this proposal. It should be implemented in full accordance with due process, national guidance and policy. Similar proposals have been implemented elsewhere in the UK.

5.2 It is possible to conclude that the proposal may have a positive impact on some people with protected characteristics, for reasons set out in this assessment.

6. Recommended actions

	Action	Lead	Date
1.	Embed process for ongoing monitoring of web accessibility standards and requirements to ensure digital offer adequately supports the needs of disabled people	Fran Grimmer/Neil Howard	30 June 2021
2.			
3.			

7. Evidence used to inform this assessment

- Norfolk County Council's Equality, Diversity & Inclusion Policy
- Norfolk County Council's Equality, Diversity & Inclusion Objectives
- Norfolk County Council Area Reports on Norfolk's JSNA relating to protected characteristics:
- Business intelligence and management data, as quoted in this report
- Equality Act 2010 and Public Sector Equality Duty codes of practice

8. Further information

For further information about this equality impact assessment please contact Michelle Carter, Head of Customer Service (michelle.carter2@norfolk.gov.uk).

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If you need this document in large print, audio, Braille, alternative format or in a different language please contact the Customer Service Centre on 0344 300 8020 or 18001 0344 800 8020 (Text relay).

Cabinet

Decision making report title:	NCC Digital Strategy and Roadmap for the 2020s
Date of meeting:	12 April 2021
Responsible Cabinet Member:	Cllr Fitzpatrick (Cabinet Member for Innovation, Transformation and Performance)
Responsible Director:	Simon George – Executive Director, Finance & Commercial Services
Is this a key decision?	No
If this is a key decision, date added to the Forward Plan of Key Decisions.	

Introduction from Cabinet Member

Work carried out under the 2018-2021 Digital Norfolk Strategy has meant that digital connectivity has been greatly improved across the county. Significant progress has also been made in refreshing the Councils internal digital infrastructure and the ability of our staff to fully exploit the technology and data. This work culminated in Norfolk being awarded the Connected Britain Digital Council of the Year 2020 award.

The NCC Digital Strategy and Roadmap for the 2020s builds upon these solid foundations and raises the level of ambition further. Though this is first and foremost a strategy for exploitation of digital opportunities by the County Council, it is also intended to contribute to a wider Norfolk place-based strategy and highlights the importance of joined-up partnership working.

The emphasis remains on improving digital connectivity, digital skills and effective use of joined up systems and data to support delivery of the council's strategic vision. It is not about technology for the sake of technology, rather about enabling the improvement of quality of life for Norfolk's residents, businesses and visitors.

Executive Summary

The Council's digital strategy exists for two main reasons. Firstly to support growth, both business growth and the wider strategic agenda of inclusive growth for the people of Norfolk. And secondly, to enable all areas of the County Council's operations to exploit digital, technological and data driven opportunities to achieve the best outcomes possible within our budgets.

As the current Digital strategy cycle draws to a close, research and consultation has been undertaken to refresh and extend the Digital Strategy so that it operates as a Digital Strategy and Roadmap for the 2020s.

The 2018-2021 Digital Norfolk Strategy oversaw many improvements to the Council's technological and digital infrastructure as well as connectivity for Norfolk's residents and businesses. We therefore build on solid foundations as we look forward to how technology and digital services should evolve during the 2020's.

Broadband and mobile services availability and speeds are now close to the overall national average and better than many other rural counties. However, more needs to be done to achieve our objective of 100% fixed and mobile coverage, so this remains a key strategic focus area.

Digital skills, digital inclusion, seamless multi-agency public sector working, carbon reduction, use of IoT sensor networks, agile low-code/no-code development, exploiting data and supporting the transition to electric vehicles are all growth areas for the ambition of the strategy.

The risks posed by cyber security attacks also means our defences must continue to receive the appropriate level of investment and priority.

Emerging technologies such as Artificial Intelligence (AI) will be monitored as they develop and integrated into NCCs technology stack as and when they are sufficiently mature.

The strategy incorporates technology roadmaps for the effective maintenance of our many existing systems as well as the development of new digital capabilities.

The Digital Strategy and Roadmap for the 2020s has been constructed in a presentation format. This approach has been taken in order to facilitate effective sharing of the strategy with partners and stakeholders as well as regular updates. The strategy and roadmaps have been designed to be frequently updated as roadmaps for new technology and digital initiatives are added, and enhanced by continuous feedback from delivery partners and the beneficiaries of the digital services and opportunities.

Recommendations

1. **To approve the Digital Strategy and Roadmap for the 2020s, as set out in Appendix 1 of this report.**

1. Background and Purpose

1.1. The purpose of the Digital Strategy and Roadmap for the 2020s is to define how technology, digital infrastructure and digital services will be delivered and exploited in order to achieve the Council's strategic vision and objectives.

The two main objectives of the strategy are firstly to provide the platform to enable business growth and inclusive growth for the people of Norfolk, and secondly, to enable all areas of the County Council's operations to exploit digital,

technological and data driven opportunities to achieve the best possible outcomes within our budget.

1.2.   This latest iteration of the Strategy builds upon the engagement work with NCC departments undertaken by the Council's Information Management and Technology (IMT) and Strategy, Innovation and Performance (SIP) services.

With agreement from the Corporate Select Committee in January 2021 the Strategy and Roadmaps have been shared, in draft form, with key strategic service delivery partners such as the NHS and Districts. Feedback has been consistently positive and has allowed small iterative improvements to the strategy, with a particular emphasis on effective, joined-up place-based working for the benefit of the people of Norfolk.

1.3.   The primary elements of the Digital Norfolk Strategy objectives are as follows:

- Enhancing service delivery to our citizens – through improved broadband, mobile coverage and wider digital inclusion support, our residents will be able to access appropriate services online at a time and place that suits them and fits with the demands of modern life. Accelerating the use of assistive technologies to give people the skills and confidence to live independently and safely in their own home for as long as possible.

- Enable employees – Staff will have access to the right technology and data and have the skills to use them effectively. Taking a systematic approach to transactions and redesigning internal systems to be digital by design. This will improve productivity and take out cost across the organisation.

- More effective use of data - Business insight: Data should be exploited effectively for operational and strategic purposes. Data driven decision making will enhance our ability to target services more effectively across the county. Multi-agency data sharing for collective benefit will be routinely used.

2.   Proposals

2.1.   This digital strategy and roadmap explain how we are going to build on our past and current successes, as the Connected Britain Digital Council of the Year 2020.

Our corporate plan articulates a clear vision for Norfolk, via our priorities.

- Focusing on inclusive growth and improved social mobility
- Encouraging housing, infrastructure, jobs and business growth across the County
- Developing our workforce to meet the needs of the sectors powering our local economy

- Work to reduce our impact on the environment
- This way we can help Norfolk have a growing economy, full of thriving people living in strong communities we are proud of

Our digital strategy and road map for the 2020s supports that corporate vision, not by technological change for the sake of change but is fundamentally driven by our ambition for our County to be a place where we put people first, a place of opportunity where we can fulfil our potential and live productive, healthy and independent lives, a place for economic growth and regeneration whilst protecting our environment and a place where we can access the education, skills and employment that we seek.

2.2. **The Digital Strategy and Roadmap Components**

The strategy and roadmap takes the form of an overarching and a linked presentation, supported by a series of more detailed technical roadmaps for the development of various elements of our technological portfolio.

The Strategy and Roadmaps have been initially developed as two PowerPoint presentations to enable them to be more effectively shared with internal and external stakeholders. This approach allows changes to be made more easily based on feedback and incremental enhancements, reflecting the intention for it to be a "living" articulation of the Councils Digital plans.

These materials will be updated on at least an annual basis to keep in line with evolving council priorities, budgets, technological and societal developments.

2.3. **Presentation 1 – Digital Strategy and Roadmap**

This contains the primary strategy & roadmap content and includes the following:

- Executive summary
- Current activities, priorities and strategic context
- What our departments said about where they want to get to in the next 5 years
- What comes next? The emerging future of technology
- What comes next? Has the pandemic changed anything?
- What are our partners doing?
- Technology is just one part of the change process
- Building on our success – key priorities moving forward
  - o Improving Business Practices
  - o Data
  - o Digital Skills & Reducing Digital Exclusion
  - o Partner Networks
  - o Key service specific issues

- o Horizon Scanning
- o Staff & Citizen Engagement
- Cyber security
- Developing technology specific road maps till 2025
  - o Identity & Access Management
  - o Data Centre Infrastructure
  - o Data Management
  - o Collaboration & End User Technologies
  - o Cloud & Edge Computing
  - o CRM Strategy & Customer Experience
  - o IT Operations & Cloud Management
  - o Data Analytics & Artificial Intelligence
  - o Applications Platforms, Architecture & Integration
  - o Security Management Programmes
  - o Agile Software Development & DevOps
  - o Security Technology, Infrastructure & Operations
- What this strategy means for you
  - o Staff and managers
  - o Elected members
  - o Citizens of Norfolk
  - o Our partner organisations
  - o Norfolk Business Community

The importance of digital inclusion and the role of the strategy in support of the Council's carbon reduction targets have emerged as increasing priorities. These themes will be further developed in conjunction with our service delivery partners and wider stakeholder engagement.

2.4. Presentation 2 – Case Studies and Appendices

The progress made in exploiting technology and digital opportunities is achieved not just from the work of the Council's IT service, but through associated strategies, projects and programmes. These are delivered all across the organisation and increasingly in collaboration with our partners from the wider public sector, the private sector, charities, volunteers and academia.

This non-exhaustive second presentation captures information about a variety of complimentary initiatives through which the people of Norfolk will benefit from the Digital Strategy and Roadmaps, now and throughout the 2020s.

It initially incorporates information about the following:

- o 5-year Customer Experience Strategy
- o Digital inclusion – Healthy Libraries
- o Digital inclusion – Video Care phones Pilot
- o Data & Analytics- Corporate Strategic approach
- o Data & Analytics for Finance & HR

- o Norfolk Office of Data & Analytics (NODA)
- o Digital Strategy for Care
- o GO Digital – free business support to become more digital
- o LoRaWAN – largest free public sector deployment in UK
- o LoRaWAN – case studies inc Highways, Museums and business applications
- o Schools Digital Skills
- o Innovation Network – Assistive Technology & Sensors
- o Integrating the Fire Service

3.   Impact of the Proposal

3.1.   If we successfully deliver this strategy, during the 2020s, then we will have achieved:

- A fundamentally better resident experience whenever and however they interact with us irrespective of what service they need
- A better understanding of our residents, their needs and future demand through a modern approach to data and insights that focuses on collaborative sharing of data with partners to continuously improve services and make better decisions
- A more cohesive and collaborative council, that builds partner networks, innovates through co-production with residents and becomes more transparent with its data and decision making
- A more sustainable financial model, where we can improve service delivery while maintaining or reducing costs
- A positive impact on our climate commitments to be carbon neutral by 2030, through a radical reduction in the use of paper, a move to digital record and cloud based storage solutions, reduced postage, increased use of virtual communication systems and more intelligent travel choices that reduce carbon emissions.
- Residents and businesses with access to the internet and sufficient digital skills to achieve the financial, educational, social and health benefits that come with digital inclusion.
- Elected members who have the technology and digital skills to support their whole community and have access to the most accurate, up-to-date data available to support key decision making and organisational scrutiny
- Happier, more efficient staff who have the technology and skills they need to do their jobs.
- And staff who will have had many of their time consuming, repetitive tasks automated to allow them to use their expertise to focus on adding value to the work we do with Norfolk residents

4.   Evidence and Reasons for Decision

4.1.   Development of the Digital Strategy and Roadmap for the 2020s has been informed by extensive research and consultation. It builds upon learning from the successes of the 2018-2021 NCC Digital Strategy as well as methodical

consultation with Council departments, elected members and various service delivery partners. Sector and industry best practice research has been used particularly from Gartner and also Socitm (the professional network for leaders engaged in the innovation and modernisation of public services).

5.   Alternative Options

5.1.   Further work could be carried out to develop an alternative strategy. However, this proposal is based on extensive research and consultation. It builds upon previous successful approaches and is aligned to support delivery of the council's overarching priorities and target outcomes outlined in 'Together for Norfolk', Norfolk County Council's business plan for 2019-2025.

6.   Financial Implications

6.1.   The Digital Strategy and Roadmap is based on the currently approved levels of expenditure, both capital and revenue. Any new initiatives arising from the strategy would require further business cases to be presented in order to attract any further investment.

The strategy currently leverages millions of pounds per annum of external investment from government departments and organisations like the New Anglia LEP. Further external investment will continue to be sought for the benefit on Norfolk's residents, businesses and visitors.

The IMT service has its own savings targets which this strategy will help to achieve as well as supporting the savings objectives of nearly all other council service areas. For example the Customer Experience Strategy references the savings below and there are similar digitally enabled efficiency targets in other directorates, most notably Adults and Childrens.

Departmental savings plans (2021-25) target £1.73m through 'making the best use of technology to make everyday transactions more efficient', £0.38m through 'digitising print, post, scan and record storage' and £4.8m through efficiencies from 'continuing our smarter working programme'. The £1.7m ongoing capital investment required to support this customer experience strategy over the full 5-year cycle is a significant enabler to achievement of the broader savings agenda.

7.   Resource Implications

7.1.   **Staff:**

The strategy is intended to improve the efficiency, effectiveness, skills and flexibility of the Council's existing staff. There is no expectation from the strategy that overall staff numbers will be affected as a direct result of the strategy.

7.2.   **Property:**

This strategy will assist with the Norfolk Property Services objectives to achieve associated savings and make best use of the Council's property portfolio.

7.3.   **IT:**

This Strategy and Roadmap articulates the objectives of the councils IMT service.

8.   Other Implications

8.1.   **Legal Implications**

N/A

8.2.   **Human Rights implications**

N/A

8.3.   **Equality Impact Assessment (EqIA)**

The Customer Experience Strategy should be considered in conjunction with this Digital Strategy as it describes how the digital infrastructure and approaches will be applied to interactions with Norfolk's residents. An EqIA has been conducted as part of the Customer Experience Strategy and has determined that that there may be positive impacts on residents, but negative impacts are unlikely. Therefore, there is not anticipated to be any adverse impacts or legal impediment to going ahead with this proposal.

8.4.   **Health and Safety implications**

N/A

8.5.   **Sustainability implications**

It is expected that the Digital Strategy and roadmap will make a significant contribution to the Council's 2030 carbon neutral target. Industry guidance is that effective use of technology and digital approaches could account for over 20% of the improvements.

8.6.   **Any other implications**

N/A

9.   Risk Implications/Assessment

9.1.   The main risk associated with the council's use of digital services is described in the Customer Experience Strategy and would be in relation to it excluding or disadvantaging customers in some way, particularly those with protected characteristics or impacted by inequalities. Measures to mitigate that risk include the emphasis on the principle of 'digital by design' (not 'by default'), and the focus on accessibility outlined in the Equality Impact Assessment associated with the Customer Experience Strategy.

Other risks include failure to prioritise and invest in the strategy and/or to adopt the principles and approach across the whole council, both of which would impact delivery and implementation.

Cyber and data security risks will continue to be reduced through the application of the strategy and roadmaps.

10. Select Committee comments

10.1. The January Corporate Select Committee resolved 1. To acknowledge that the draft Digital Norfolk Strategy and Roadmap provided the feedback on all the changes that the Committee wished to see incorporated. 2. To agree that the Strategy and Roadmap were ready to share with wider Public Sector service partners before returning to the Committee/ Cabinet for final approval.

11. Recommendations

11.1. **1. To approve the Digital Strategy and Roadmap for the 2020s, as set out in Appendix 1 of this report.**

12. Background Papers

12.1 The following publications were used, along with Socitm Inform & Gartner publications.

Local strategic documents:

- Norfolk and Waveney STP Digital Strategy 2019-2024
- Police and Crime Plan 2016-20

Future and Pandemic Impacts reports:

- GO-Sciences – Emerging Technology Scanning Programme
- Deloitte – A Journey into the Future of Government
- Future Today Institute – 2020 Tech Trends Report
- Institute of Government – Future technology in government
- Copenhagen Institute for Future Studies – Scenarios for the Covid 19 crisis & beyond

Local strategic documents:

- Norfolk and Waveney STP Digital Strategy 2019-2024
- Police and Crime Plan 2016-20

Engagement and Roadmap methodology

- GO-Science _ Futures Toolkit
- Technology Road mapping for Strategy and Innovation – published by Springer and edited by Martin Moehrle, Ralf Isenmann and Robert Phaal

Officer Contact

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

Officer name: **Geoff Connell** **Tel No: 01603 307779**

Email address: geoff.connell@norfolk.gov.uk

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NCC Digital Strategy and Roadmap

for the 2020s

Norfolk County Council

1

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Norfolk
County Council

Executive Summary

This digital strategy and roadmap explains how we are going to build on our past and current success, as the Connected Britain Digital Council of the Year 2020.

Our corporate plan articulates a clear vision for Norfolk, via our priorities
- Focusing on **inclusive** growth and **improved social mobility**
- Encouraging **housing, infrastructure, jobs and business** growth across the County
- Developing our **workforce** to meet the needs of the sectors powering our local economy
- Work to **reduce our impact** on the **environment**
- This way we can help Norfolk have a **growing economy**, full of **thriving people** living in **strong communities** we are proud of

Our digital strategy and road map for the 2020s supports that corporate vision.

That support is not about technological change for the sake of change but is fundamentally driven by our ambition for our County to be a place where we put people first, a place of opportunity where we can fulfil our potential and live productive, healthy and independent lives, a place for economic growth and regeneration whilst protecting our environment and a place where we can access the education, skills and employment that we seek.

If we successfully deliver this strategy, during the 2020s then we will have achieved:
- A fundamentally better resident experience whenever and however they interact with us irrespective of what service they need
- A better understanding of our residents, their needs and future demand through a modern approach to data and insights that focuses on collaborative sharing of data with partners to continuously improve services and make better decisions
- Significant contributions to achieving carbon neutrality by 2030 through the sustainability opportunities offered by new technology

Norfolk
County Council

Executive Summary

- **A more cohesive and collaborative council**, that builds partner networks, innovates through co-production with residents and becomes more transparent with its data and decision making

- **A more sustainable financial model**, where we can improve service delivery while maintaining or reducing costs

- **A positive impact on our climate commitments to be carbon neutral by 2030**, through a radical reduction in the use of paper, a move to digital record storage solutions, reduced postage, increased use of virtual communication systems and more intelligent travel choices that reduce carbon emissions.

- **Residents and businesses with access to the internet and sufficient digital skills** to achieve the financial, educational, social and health benefits that come with digital inclusion

- **Elected members who have the technology and digital skills to support their whole community** and have access to the most accurate, update data available to support key decision making and organisational scrutiny

- And **happier, more efficient staff** who have the technology and skills they need to do their jobs.

- And staff who will have had some of their time consuming, repetitive tasks automated to allow them to use their expertise to **focus on adding value to the work we do with Norfolk residents**.

The actions which this strategy outlines in more details were developed in collaboration with departments, our partners, key external digital suppliers and internationally recognized technology consultant specialists.

Specific case studies detail current, new activities that will establish how we work in the short to medium term.

Over the next year, the next set of key activities are being road mapped which will take us to the middle of the decade. We also discuss a formalized process of horizon scanning to spot potential new technological opportunities and determine when best to or if we should exploit them for the benefit of the organisation and the wider County.

4

Current activities, priorities and strategic context

Norfolk
County Council

Our Strategic Framework

Our Vision
is that technology should provide the platform to enable positive change

Our services are under pressure. So, we need to look at ways to:
- Manage demand
- Reshape what we offer
- Secure investment

Digital technology offers significant opportunities to transform and innovate the way that we work and how we work with partners and the people of Norfolk

Our work is guided by four core principles

Offering our help early to **prevent and reduce** demand for specialist services

Being **business-like** and making the best use of **digital technology** to ensure value for money

Joining up our work so that similar activities and services are easily accessible, **done once and done well**

Using evidence and data to **target our work** where it can make the most difference

Norfolk County Council

How we are organised to deliver

A key element of Norfolk's Digital Success is the configuration and relationships between delivery groups. The NCC corporate technology service (IMT) exists to manage core infrastructure, platforms and enable services and projects to deliver.

Norfolk County Council

- NCC Corporate IMT inc. Fire & Rescue
  - Approx. 200 staff (perm & project)
  - Infrastructure
  - Application Support & Development
  - Projects & Change
  - Data Services
  - ICT Solutions (Schools & Education)

- Business Transformation
  - Smarter Working
  - Oracle (ERP) Replacement
- ASTEC (Adults digital transformation programme)
- Childrens Transformation Programme
- Norfolk Office of Data Analytics (NODA)
- Highways & other services with digital exploitation project teams that build on the core infrastructure, platforms & capabilities.
- Major application support teams, Social Care, Finance etc, Intelligence & Analytics, Information Governance.

Partnership Working Arrangements
- Norfolk & Waveney STP Digital Team
- Norfolk LA IT Managers Group
- Norfolk Office of Data Analytics (NODA)
- New Anglia LEP
- Socitm (National & Regional)
- Cyber Security Groups – C-TAG & EEWARP
- DCMS – BDUK Team
- LGA Digital Groups
- MHCLG Digital
- Crown Commercial Services

- **Supplier Partnerships such as:**
  - Microsoft & Bytes
  - Gartner, Capita, Oracle, Sitecore,
  - Liquid Logic, RNS, Hitachi & More.

County Council

Where we currently are

The previous digital strategy has already achieved significant progress across a range of priorities.
Highlights include:

- Over 95% of Norfolk properties now have access to superfast broadband connections (>24mbps) rising to 97% by September 2022

- "Full Fibre" connections and upgrades to over 400 public sector sites including offices and schools by July 2021

- Significant improvements in mobile coverage with more to do and 5G in Norwich

- The largest free to use public sector LoRaWAN deployment in the UK

- Norfolk and Suffolk Innovation Network

- All 6,500+ staff able to work remotely and fast rollout and adoption of digital skills for remote working for over 1,500 Adults and Children's social workers.

- Agile development of Covid-19 systems allowed NCC to continue supporting some of our most vulnerable residents

- Digitisation of paper files at Scottow

- Better use of Data via Norfolk Office of Data Analytics, cloud-based data lakes, combined health & care data and analytics

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2021/ 2022 Priorities

Corporate initiatives

Progress Smarter Working & Digital Norfolk workstream
- Smarter Working enabled by technology, property & HR developments
  - Mobile & Flexible working, Wi-Fi, New Intranet, online self-service, process redesign
- Paperchase (Digital Print, Post, Scan and Storage)
- Counter Fraud Hub (in partnership with district, borough & city councils)
- Robotic Process Automation
- Data Enabled Efficiencies

New Finance & HR Systems Replacement

Digital skills development for officers & members, citizens and businesses

Key Departmental Initiatives

- ASTEC (Adults Digital Programme)
- Childrens Digital Transformation Programme
- Highways – Street Lighting, IoT Projects, electric vehicles
- Fire & Rescue Digital Programme (delivered through a new joint IMT service)

Partnership Working Initiatives

- Integration with NHS Partners, web and data projects with Districts and Norfolk Constabulary

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Norfolk County Council

Current strategic context

On 7 May 2019, Full Council formally adopted Norfolk County Council's plan, *Together, for Norfolk*, as part of its policy framework. The new whole-Council plan brings together the vision in *Caring for our County* and the Council values and principles and provides a clear view of the priorities and significant activity that the Council needs to deliver alone or with partners up to 2025.

Together, for Norfolk focuses on partnership working and collaboration, and aims to drive economic growth, improve social mobility, and lead to a better quality of life and outcomes for the people of Norfolk. The plan emerged directly from the needs assessment carried out as part of the County's deep analysis of social mobility, following the publication of the report by the Social Mobility Commission in 2018. The plan's outcomes framework has three overriding ambitions which drive the Council's priorities: A growing economy, thriving people, and strong communities. Our Plan also underpins and contributes to the delivery of the New Anglia Local Enterprise Partnership Norfolk and Suffolk Economic Strategy.

Our Caring for our County vision commits NCC to play a leading role in -

Building **communities** we can be proud of

Installing **infrastructure** first

Building **new homes** to help young people get on the housing ladder

Developing the **skills of our people** through training and apprenticeships

Nurturing our growing **digital** economy

Making the most of our **heritage, culture and environment**

Norfolk County Council

What our departments said about where they want to get to in the next 5 years

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Adults Engagement Feedback

Data:
- Wider system data integration inc. System 1 & Liquid Logic
- AI/ Machine Learning
- Multiple internal systems and sources of data
- Better, more accurate data inputting with common universal indicators

Business Practices:
- Smarter working
- Accurate, real-time management information inc. commissioned services
- Effective contract management
- Wherever possible simplify processes to aid self serve

Key Service Issues:
- 2025 switch off of analogue phones - covers care lines etc how are we going to manage this and impact on providers etc
- Interfaces that support people and reduce inequalities of access

Digital Skills:
- Citizens to help themselves – build capacity for independence
- Provider technology improved skills and connectivity
- Voice Bots to support citizen self-serve

Partner Networks:
- Integrating digital across the wider network of organisations operating within the care system
- Improving data flow between organisations

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Childrens Engagement Feedback

Data:
- Different organisations data changes are live to all organisations
- Multiple education databases need to join better
- Data ownership – children and families decide how to share their data

Business Practices:
- A skills App suite to support staff
- Smarter working inc. RPA
- Removal of internal barriers dept/ org
- Voice to Text data entry into Liquid Logic

Key Service Issues:
- The family and/ or child has a virtual community around them, and all orgs data and tech are compatible
- Tech enable community connections

Digital Skills:
- Evidence becomes the default for decision-making
- Improving tech skills and teaching in schools
- Intuitive design of digital interactions inc. SEND offer and support self-serve
- Digital safe spaces

Partner Networks:
- Create permeable boundaries between organisations so appear to operate as one
- Collaboration that is not always in real-time to allow flexibility
- Build on Vulnerability Hub

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CES Engagement Feedback

Data:
- Smart cities initiatives – sensors, real time data and analysis
- Consumer behavior and predictability
- Better systems to store & manage information – early priority

Business Practices:
- NCC policies to reflect new and emerging social media platforms
- Cyber security
- Greater automation

Key Service Issues:
- Driverless Cars
- EV charging infrastructure
- Drones
- Emergency Service Network rollout
- Getting the balance between place and service right as we become more digital

Digital Skills:
- Use of different social media channels for harder to reach communities
- Accessibility and equality issues

Partner Networks:
- Removing barriers to data sharing – increased interoperability
- New versions of business support, not just Scottow & Hethel but access tech they need

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CES Engagement Feedback

Data:
- Integration of data to enable risk stratification and integrated partnership approaches
- Digital preservation of key County records (NRO)
- As a basic principle all information goes into the public domain – a culture of openness by default

Business Practices:
- One core digital system for all staff means turning off legacy systems and releasing resource & funding
- Too many ways to contact me – simplify channels, consistency of approach and ease of retrieval

Key Service Issues:
- The future of public transport – automated vehicles and rural issues
- Technology, communication & planning schemes

Digital Skills:
- Exploitation of mobile technology
- Better use of digital channels for museums
- Ease of use for citizens & staff – less reliance on skills

Partner Networks:
- Simple, easy partnership working via technology
- Planning development management systems

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Norfolk County Council

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F&CS Engagement Feedback

Data:
- **AI & Big Data lead to a process of continuous audit**
- **Information Management Governance**

Business Practices:
- **Seamless interface for public, suppliers & partners**
- **Deliver new tech systems**

Key Service Issues:
- **Digital signatures and paperless contracts**
- **Keeping creativity in video interactions**

Digital Skills:
- **Building Robotic Process Automation tools**
- **Dashboards inc. sentiment analysis**

Partner Networks:
- **Build on success of Fraud Hubs with Districts**
- **Improve MS Teams interfaces with Districts i.e. passing of calls between call centres**

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S&G Engagement Feedback

Data:
- Sentiment analysis of social media
- Self-service and automation for routine data tasks
- Data security
- User research leads to priorities, plans and delivery

Business Practices:
- Automated social media monitoring and other key support tasks
- Paper free systems
- Clearly defined career pathways

Key Service Issues:
- Right permissions & infrastructure to access, store & use data
- Transformation across systems not via silos

Digital Skills:
- Staff skills reflect new tech approaches re comms
- Highly skilled data analytics workforce
- System wide support for those unable to access digital service provision

Partner Networks:
- Digital engagement with citizens
- NODA
- Courts accepting electronic filing and bundling

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What comes next?

The emerging future of technology

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Future of technology

Norfolk is changing in rapid and profound ways. The County stands on an economic future dominated by new technologies and exciting new industries. We will be working in new ways and will need to develop different skills, many of us will be working into older age and we want to find new ways to live healthily and happily for longer than previous generations.

Norfolk in the future will alter the demand and type of services provided by Norfolk County Council, as well as how these will be delivered. It is therefore vital for us to understand these changes so that we can ensure the Council is fit for purpose in the future.

The "Together for our Future" report did this for Norfolk, at a macro level, and this section of the Digital Strategy & Road Map intends to focus in the potential futures of technology, with a specific emphasis on local government. This section draws on work by specialist consultancies such as Gartner and Deloittes as well as work by various think tanks and central government to detail potential technological change and impacts.

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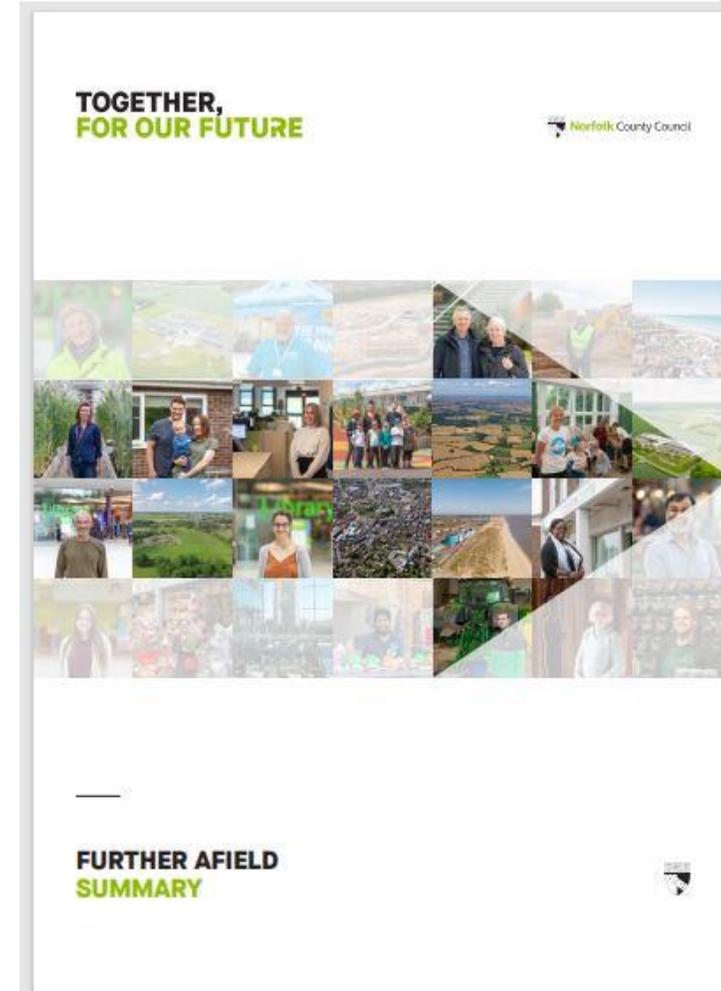
Five key themes for technological change in government

Services	Future technologies may offer substantial improvements to how existing services are operated and delivered. Some existing services have already incorporated elements of future technology on a trial basis – for example, the use of advanced types of computer-based learning to predict the weather. They may also make entirely new types of service possible.
Processes	Within government, future technology has the potential to transform entire processes – such as welfare benefits payments or construction planning – in ways that significantly improve productivity and efficiency. This will include changes to the government workforce, which will see some tasks taken out of human hands, and the creation of other new tasks that require specific human action or oversight.
Regulations	As new technologies emerge and mature, they will create new regulatory needs and may also offer novel ways to regulate activities in a faster, more reactive, and more precise way. For example, algorithms using real-time traffic data could make on-the-go adjustments to speed limits to improve the flow of vehicles in towns and cities.
Policies	The unprecedented ability of future technologies to assemble, interrogate and interpret large amounts of data will transform how policies are made and implemented. This may make it possible to target policies with increasing precision, or to design policies which adapt smartly to changing circumstances.
Technology	The adoption of technologies by government, and its own internal process of innovation, may give rise to new forms of technology that have applications and benefits for government, the wider public sector and the private sector.

These themes will be shaped and formed by the way that technologies evolve in relation to other technologies, by key socio economic drivers of change and to the development of complementary social and institutional innovations to realise the potential of these new technologies.

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Why the wider picture matters

The complex interplay of social, economic, legislative, and environmental forces that shape technological change matter for two key reasons:

1. It means that as you place your view further away from now and scan the horizon the view becomes more uncertain. In the short-term we can offer projections and forecasts that are reasonably accurate but as you look in to the medium to long term then we need to be able to accept and manage uncertainty.

2. It matters because some of the potential productivity, efficiency and service advances of the near future will depend on this complex interplay as well as equivalent complementary elements including social innovation, practices and behaviours coming together to allow NCC to realise the potential benefits envisaged in the development of that technology

Lets consider two technologies that could alter how NCC delivers services:

Driverless cars don't just need cameras, operating systems and machine learning that can cope with everyday challenges like rain and snow. They also need new rules on liability; charging patterns (both energy and financial) and business models; rules on how they move between areas they know well and areas they don't; and a thousand and one other details.

The use of AI and machine learning in health and social care not only depends on progressing the technology but also on new rules, and probably on institutions for data (Who owns it? What are the penalties for abuse? What transparency is there for algorithms?). It will mean new habits for doctors, nurses and patients; new processes for linking narrowly defined health data to related data sets ranging from genomics to finance; and new rights for the beneficiaries.

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Key Infrastructure to support change

The Key Infrastructure Drivers	
Norfolk Economic Infrastructure	**NCC Digital Infrastructure**
• **Full Voice and Data Coverage (i.e. 2G, 3G, 4G & 5G)**	• Local Area Network – Software-defined networking (SDN) for estate, Inc. Wi-Fi.
• **Broadband- Local Full Fibre Network**	• Wide Area Network (NCC & Schools)
• **Wi-Fi**	• CRM, Web & Portals
• **Assistive Technology**	• Public & Private Cloud
• **LoRaWAN & IoT Networks**	• Devices: Laptops, Tablets & Phones
• **Power infrastructure – electricity charging points**	• Internal software systems i.e. Social Care, HR/Finance, Sitecore, Tribal, Highways Maintenance etc
• **Small cell technology – via lamp-posts to boost rural wireless and urban 3G/4G/5G coverage**	• Robotic Process Automation

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A timeline of emerging technologies
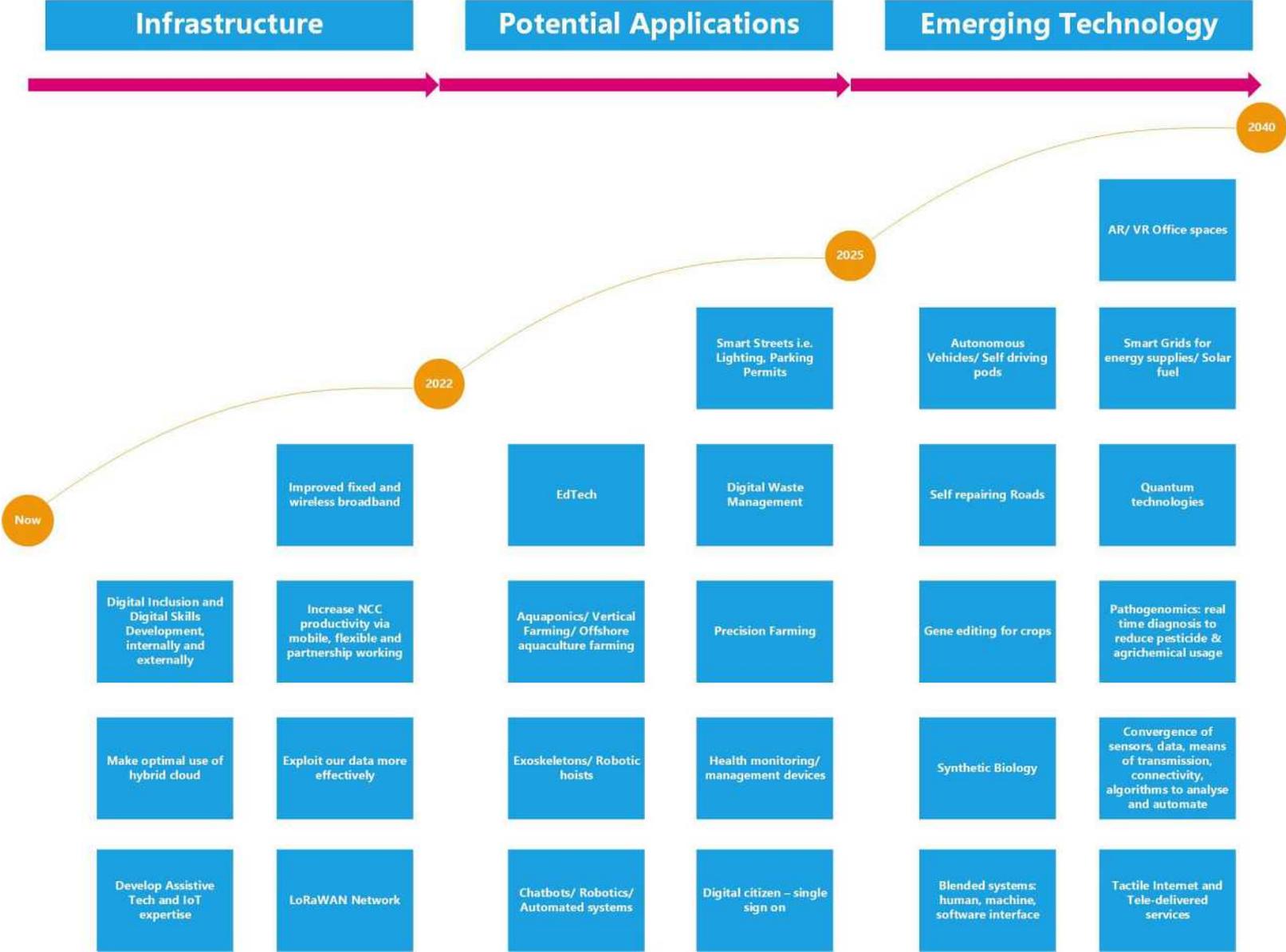
What comes next?

Has the pandemic changed anything?

Technology Recovery Themes

01 **Digital Infrastructure** – Broadband, Satellite Broadband 5G, LoRaWAN (IoT), Wi-Fi, Li-Fi etc - this is the key underpinning for almost all the other tech enablers. Without a stable, robust, effective and fast digital infrastructure then how will we exploit other tech? Risks – Digital divide, access, digital skills and rural/ urban connectivity

02 **Data** – Interoperability across systems that bring public value. Data also underpins AI/ Machine Learning etc. Issues – data wrangling, level of computing power needed and only pattern recognition tools and not 'cognitive'. How to get data into a usable shape for other opportunities – data lakes and RPA. Risks – governance, privacy, legislation, time and practicality of getting it all to work.

03 **How we work and learn?** – where possible via remote working - digital provision of services – hybrid physical and virtual – role for RPA, Digital Signatures, Video Consultation/ Collaboration. Next gen remote working inc augmented/ enhanced/ virtual reality (vulnerable children), VR meetings, personal AI virtual assistants and chatbots. Risks of 1 and 2 not happening quick enough and slip back into old ways of working

04 **Mobility** – Electric micro mobility solutions – eBikes - £2bn cycle & walking plan – eScooters UK trials ongoing – other electric vehicles dependent on wider infrastructure, better battery cell tech and hydrogen storage to reduce weight. Risk – public transport and lack of policy, social and cultural innovation to support change

05 **Norfolk economy, society….** – AgriTech, vertical/ urban farms, clean energy, supply chain security, energy storage, robotics, drones, renting tech (Cloud space, RPA etc), circular economy, 3D printing, the end of cash, virtual culture, cyber security, waste reduction

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What are our partners doing ?

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Stakeholder & Partner Map

HIGH / **LOW** — IMPACT

LOW / **HIGH** — INTEREST

- County Land Owners Association
- Department for Digital, Culture, Media &Sport
- Ministry of Housing, Communities and Local Government
- Department for Transport
- Department for Education
- Department for Health & Social Care

- Citizens
- Norfolk MPs
- AgriTech East
- Cambridge Norwich Tech Corridor

- STP Digital Operational Working Group
- NCC Tech Partners
- UEA
- Norwich Research Park
- John Innes Centre
- Gartner
- Unions
- NCC Employees
- Chamber of Commerce
- Members
- Economic Development – Tech community
- Norfolk District Councils
- Cambridge and Suffolk Councils
- Police
- Libraries/ Adult Ed – Digital Skills
- NALEP – what else covered ?
- Norfolk Leaders
- Norfolk NCEX
- Corporate Board
- Cabinet
- NCC Departments
- NorseCare
- Private Sector Care Providers

- Techphobic Citizens
- Renewable Clean Energy
- OFCOM
- OFSTED
- LGA
- SOCITM
- Health and Wellbeing Board
- County Farms
- Museums
- Schools
- NCC Comms – engagement activities, social media, EDP etc

Colour Key:
- NCC
- People
- Public Sector
- Regulatory, Statutory and Trade Bodies
- Business & Research Community

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Key partners direction of travel

The NHS:

Prior to the Covid-19 pandemic the NHS had several key strategic documents which documented their planned technological development. The national focus is via the National NHS Long Term Plan and the local focus is provided by the Norfolk and Waveney STP Digital Strategy 2019-2024.

The local strategic directions are all driven by digital transformation, which is drawn from the Long-Term Plans emphasis on the central role that technology will play in transforming the NHS, as a supporter or enabler of success.

Strategic Objectives

Our strategy is made up of five strategic objectives which set out the goals of the strategy. Each strategic objective will have a detailed workplan created once the strategy is agreed.

Together
A system approach to digital solutions.

Connect
Digitally connected working.

Activate
Using digital tools for better health outcomes.

Understand
Leveraging data for better health decisions and outcomes.

Innovate
Leading innovative digital practices in health and care.

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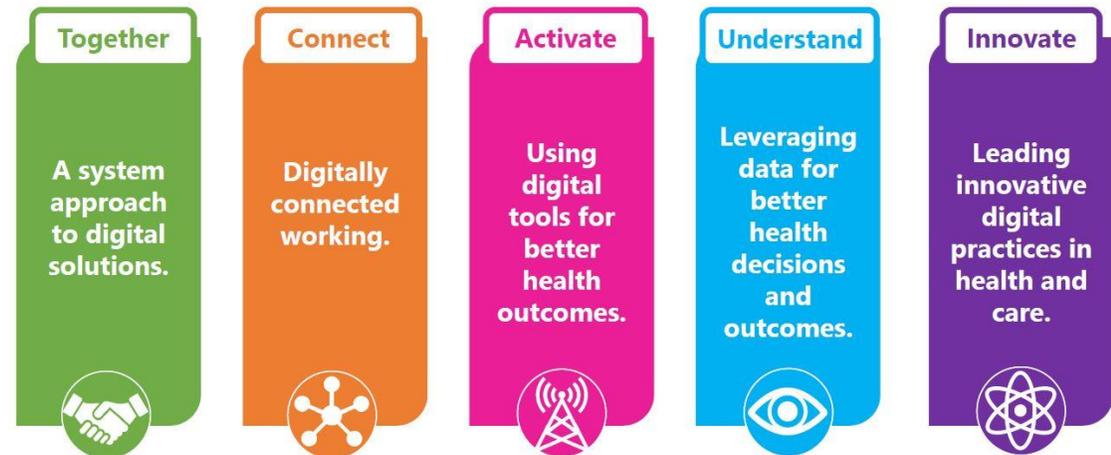
The effect of the pandemic on NHS technological change

The STP strategy was originally developed to cover the period until 2024. However, the Covid-19 pandemic has accelerate technological change within the NHS and includes recent developments such as:

- Rolling out NHSmail to all Care Homes in Norfolk
- Contact tracing apps being developed with Apple and Google
- NHSX and tech firms increasing the use of video calls in Care Homes
- Corona-AI project between Vodafone and Imperial College London to use smartphones to treat Covid-19
- Massive change in patient and GP behaviour, using telephones and video doctor apps to do consultations
- NHS and Big Tech working together via health technology
- Developing key data platforms and NHS data centres to support Covid-19 response

- Virtual smartcards to give NHS staff faster access to hospital systems
- Data science taskforce to support NHS with rapid research
- NHS staff supported by mental health apps
- Rapid development and prototyping of ventilators
- Electronic record keeping as standard in NHS Nightingale hospitals
- 3D printing used to supply face masks
- Demand for NHS tech services increases significantly

This rapid upswing in the use of technology, data and innovation in the NHS could be the catalyst for a system wide acceleration in technological change post pandemic and NCC needs to be ready to engage with this work so as to achieve the outcome benefits related to ICS and Interoperability and not to be a blocker to significant transformational change in the wider health and social care system.

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Other key partners direction of travel

Other key partner organisations include Norfolk District Council's and the Police. The potential scope for integrated technological solutions is less pronounced with these key partners than with the NHS. However, the potential does exist for instance by using Microsoft Teams as a standard tool and within key areas of shared responsibility such as the planning process where we are a key statutory consultee for the District Councils.

- Plantech offers the potential for new ways of combining and communicating place data and new forms of collaborative engagement on planning proposals.
- Augmented and virtual reality offer the potential for immersive visualisations and modelling tools for assessing impact that build on the current use of Google Street View.
- Post the Covid-19 pandemic there could be a wholesale reimagining of the planning process

Potential areas where we might benefit by joining up

- Data – "golden record" & master data sets (people, properties businesses)
- Data warehousing (GRID), Analytics, intelligence and visualization (Power BI, GIS etc)
- Server & Data Centre capacity, current assets and those in development could be shared to reduce combined overheads and improve resilience. "Hybrid Cloud" (good on-premise capability and commodity cloud) gives best VFM, security, performance
- Health & Care, Housing & Assistive Technology – we are working across the STP on networks, data & systems integration. What data integration would be mutually beneficial – related to Housing & Assistive Technology?
- Online transactions – and better linkage between county and districts to route transactions, perhaps via a Norfolk Mobile App (like Love Lewisham/ Newham etc)
- Because residents and visitors don't always know who does what in 2 tier.

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Technology is just one part of the change process

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The acceptance and use of technology in organisations

Local government organisations operate within a complex environment of multiple lines of service with different characteristics, needs and outcomes, as well as staffing, governance and funding structures. Organisations which operate within this type of complex setting need to move beyond the notion that the adoption of new technology is a simple technology-driven change but rather a complex, iterative process of organisational change that interacts with wider societal changes.

Many organisations have failed to reap the benefits of new technology due to the problem of underutilisation.

The successful implementation of technology not only depends on the commissioning of this technology it is also dependant on the need to be accepted and used by our employees, partners and citizens.

Therefore, as an organisation, how do we maximise the opportunities that are available to us via the implementation and acceptance of technology enablers?

One way to realise benefits from technology is to consider the implementation of technology through a theory of acceptance and use of technology framework. The framework on the next slide was adapted from a number of prominent models with roots in information systems, psychology, sociology and innovation theories and has been utilised in numerous research pieces to better understand and formulate technological change within organisations.

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A framework for considering the acceptance and use of technology
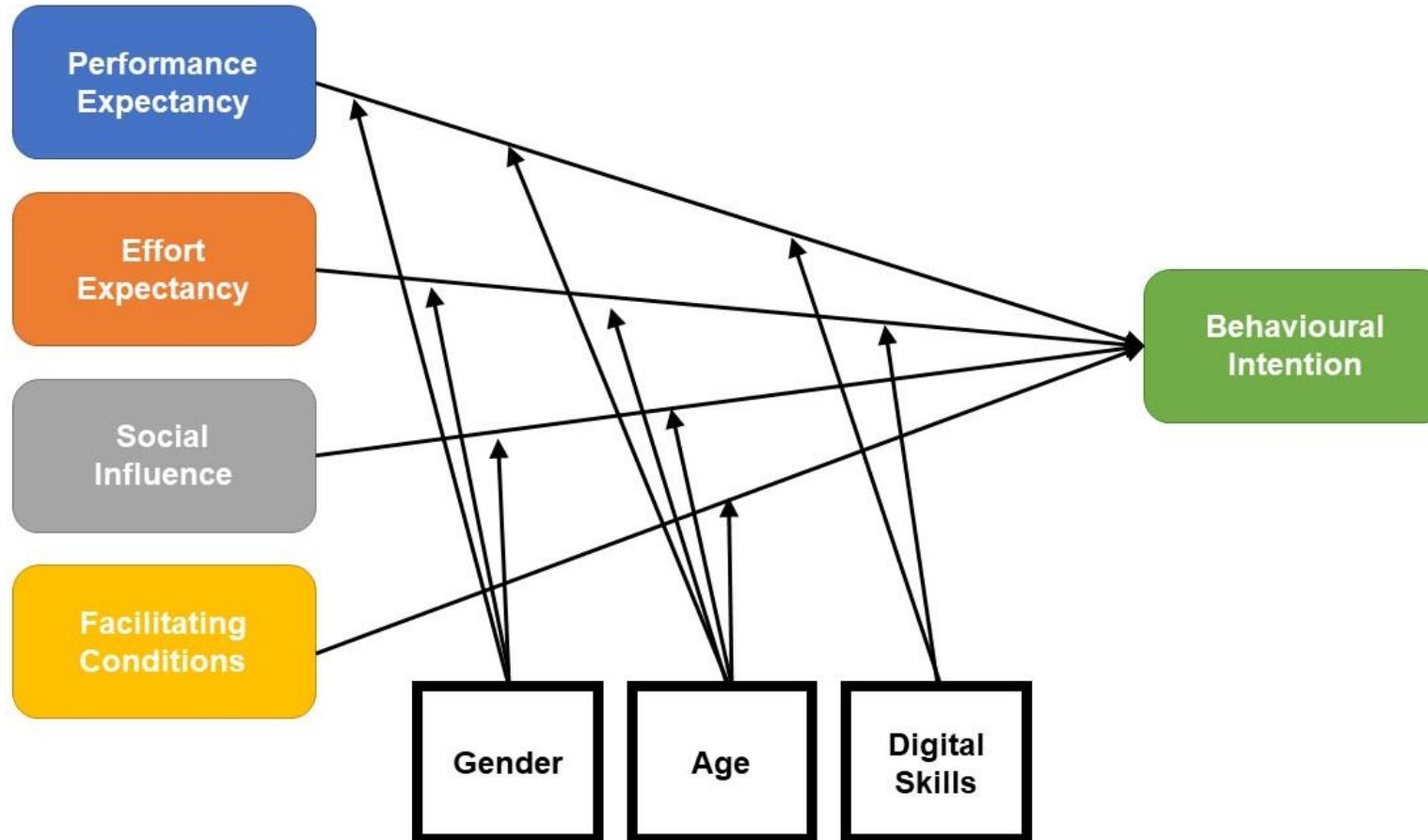
A framework for considering the acceptance and use of technology

Behavioural Intention

Our behavioral intent is to increase the use of digital technology in the way that we deliver services, in the way that we work and in the way that citizens engage with us.
How we achieve this is influenced by four key factors

Performance Expectancy

is related to the user's expectation that using the technology will result in an improvement in their performance. If a user understands or believes that a new piece of technology will improve their working experience then they are more likely to adopt and adapt working practices and are therefore more likely to engage with and see benefits from new technology. This intention to use technology is moderated by the gender, age and digital skills of the individual.

Effort Expectancy

is related to perceptions of ease of use. Evidence shows that the more comfortable and confident a users is with IT the more they use the IT and the more benefit they get. Age, gender and perceived digital skills impact heavily on this influencer.

Social Influence

Is related to the perception that others believe it is important for the system to be used. This influence can also contribute to perceptions of the quality of the IT. Age and gender are key influencers esp. older workers who place more import on social influence

Facilitating Conditions

Is related to infrastructure and organisational support systems and the working environment.

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A framework for considering the acceptance and use of technology

The successful use of digital technology depends not only on the commissioning of technology itself, but the fact that it must be accepted and used by employees in order to improve performance.

Multiple public and private organisations have attempted to take advantage of the advances in hardware and software capabilities by investing in digital technology. Many however, have failed to reap the benefits of these systems due to problems of underutilization.

To succeed in our ambitions to use the significant opportunities of digital technology to transform and innovate the way that we work and how we work with partners and the people of Norfolk, then we need to consider how we also change the way the organisation, partners and citizens accept the use of technology.

Without this wider change it is unlikely that we will achieve the vision that we have set ourselves.

An independent assessment of the digital maturity of the organisation, conducted by SOCITM, has shown that we are already well placed to drive forward technological change

Customer experience	Vision & Leadership	Digital people, skills & culture
★★☆	★★☆	★★☆
Methodologies & Standards	Service design	Delivering Digital
★★☆	★★☆	★★☆
Digital systems	Data & analytics	Technology
★★☆	★★☆	★★☆

This assessment is confirmed by our recent success in being named 'Digital Council of the Year 2020' at the Connected Britain awards

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Norfolk County Council

Building on our successes –

key priorities going forward

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Our key priorities moving forward

Our work engaging with departments tells us that our focus should be on:

- **Improving business practices:** with a key focus on continuing to drive forward the smarter working agenda and developing accurate, real-time operational management information. The new HR and Finance system will be a key element of this, along with RPA, Power Apps and the wider Apps strategy

- **Data:** making sure that we get the best out of the data we own and make sure it integrates effectively with the wider system. Building on the success of the Vulnerability Hub, the Local Outbreak Management System and the Norfolk Office of Data Analytics

- **Digital skills**: the technology framework indicates how key this is to success and so the continued skills development of officer, members, citizens and business will remain a key focus. We will build on the success of our Teams rollout and bespoke training for social workers. The technology acceptance framework identifies this as a key activity to achieve success

- **Partner Networks:** will remain integral to our plans moving forward across all departments. Working in partnership to improve data flows and technological interoperability will support further integration with NHS partners, District Councils and Norfolk Constabulary. We can use our key convening powers to build system and network capabilities in Norfolk

- **Key service issues:** will remain at the forefront of our activities, making sure that the right skills and infrastructure are in place and that the right technological solutions are identified to support key service requirements. Already identified issues are:
  - the 2025 switch off of analogue phones
  - the need for a new pension administration and pension payroll system

Norfolk County Council

Our key priorities moving forward

Our framework for the acceptance and use of technology identifies several key priorities that will underpin any successful strategy implementation:

- **Reducing digital exclusion** to improve skills and opportunities and to increase the uptake of digitally provided services (see next slide for details).
- **Improving digital skills** to build confidence and acceptance of technological change. This is a driver for success and covers staff, members, citizens and businesses. It is also linked to reducing digital exclusion

A key action to achieve the above is developing our partnership with Microsoft to drawn as much resource as possible from their Get On 2021 programme to Norfolk (see the Digital Skills Learning Pathway slide below for full details of opportunities)

- **Horizon scanning** to identify new technology and fully understand potential opportunities to give realistic assessments of the benefits and use for NCC

A key action will be to continue a rolling analysis of emerging technology via active engagement with technology consultants like Gartner, Microsoft and GO Sciences Emerging Technology Group to identify potential new opportunities at the earliest point and to assess when NCC should engage more actively with these technologies.

- **Staff and citizen engagement** to build a positive story around technology enabled change and to gain the most from social influence, the benefits of technology to enable good outcomes and to enthuse digital skills development

Key actions will be driven by elected member and the executive leadership leading by example and embracing new technological solutions and smarter working practices. We will also look to develop an internal tech champion network building on the success of Adults ASTEC group, Children's Tech group and CES digital evangelists.

- **Digital infrastructure** to support organisational change and the wider economy of Norfolk and the skills to exploit it – working with care providers to get the broadband and Wi-Fi strengths they need

Digital Exclusion
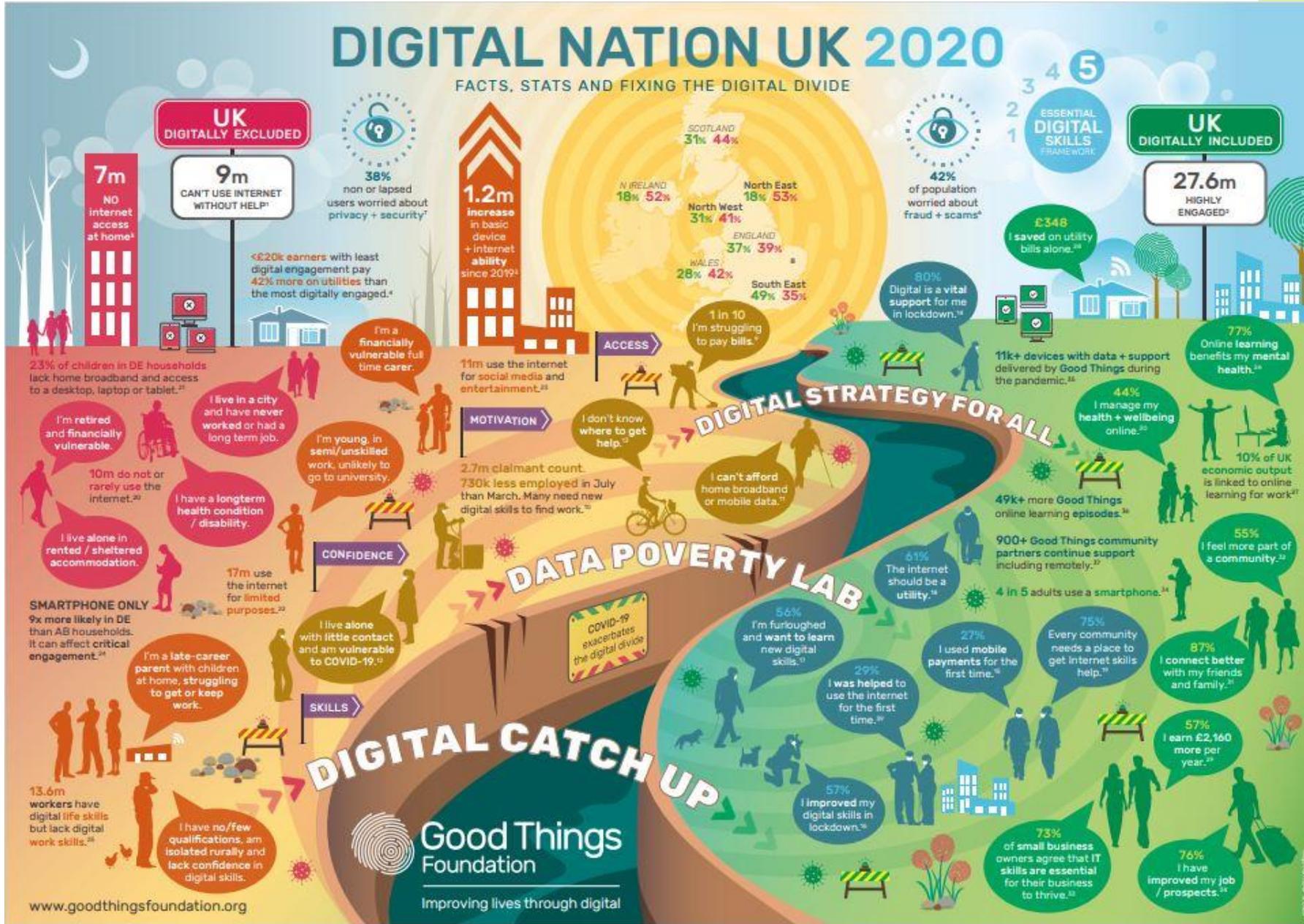
Digital Inclusion:

This digital strategy and roadmap supports the organisations aim that every Norfolk resident should have the ability to take full advantage of the opportunities and benefits of accessing online services and harnessing internet technology. Key to this is the continued focus on improving digital infrastructure and skills.

Digital Assistants and Safe Havens

Are one of the ways that digital exclusion can be reduced by providing a network of locations that provide digital access, support and a safe environment to access services electronically.

This work will focus on developing the Assisted Digital offer in libraries to provide a private space for those without access to digital technology to access video call technology

Digital Engagement and Transparency

New technology offers an opportunity to engage with Norfolk residents in new and more inclusive ways.
To offer a voice to a wider representation of our citizenship and develop better services that are more responsive to need.
To be a more transparent and open organisation that supports co-production, collaboration and democratic accountability. To be an organisation that supports a culture of openness by default

Norfolk County Council

Digital Skills Learning Pathway

Digital Literacy

Learn how to effectively use devices, software, and the internet to collaborate with others and discover, use, and create information. Click HERE to visit the site.

- Work with Computers
- Access Information Online
- Communicate Online
- Participate Safely and Responsibly Online
- Create Digital Content
- Collaborate and Manage Content Digitally

Microsoft 365 App Training

Learn about Microsoft 365 - a trusted platform to help people and organisations get more done.
Quick Start   Get Started   Create & Save   Share & Collaborate
Work from Anywhere   Cool Microsoft 365 Features
Get the most out of Windows   Work with Teams

Outlook
Quick Start	Set Up & Customise
Manage email	Create and send email
Calendar	Organise your inbox

Word
Quick Start	Welcome to Word
Format Text	Write & Edit
Layout Pages	Save & Print

Excel
Quick Start	Print & Share
Enter & Format Data	Import & Analyse Data
Troubleshooting	Formulas & Functions

PowerPoint
Quick Start	Collaborate & Share
Slides and Text	Slide Design
Print and Present	Animations / Multimedia

More Microsoft 365 Training
OneNote   One Drive   SharePoint   Teams   More

Master critical soft skills

Hone critical soft skills from building emotional intelligence to effective listening and the ability to persuade with
LinkedIn Learning

- Developing Your Emotional Intelligence
- Building Resilience
- Embracing Unexpected Change
- Critical Thinking for Better Judgment and Decision-Making
- Why Trust Matters
- Teamwork Foundations
- Communication Foundations
- Effective Listening
- Persuading Others
- Writing in Plain Language
- Banish Your Inner Critic to Unleash Creativity

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- Power Platform Fundamentals
- Data Fundamentals
- AI Fundamentals

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Dynamics 365   Power Platform
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Microsoft

Cyber security

Cyber Security

- The move to more digital provision of services and flexible ways of working are a cornerstone of the coming digital strategy and roadmap.

- The cyber threat to data and the services that we provide is real

- NCC is committed to having the appropriate cyber security measures in place to retain the trust of Norfolk citizens in our ability to provide robust and safe online public services. And in our ability to safeguard the data we hold on Norfolk and its citizens

- The digital strategy and roadmap supports this commitment by making sure that all new digital services have security built in by design and by moving to new digital systems and approaches we mitigate against the risks posed by unsupported old networks and legacy systems

- Cyber partnership working is important for both operational and reputational reasons. NCC will seek to help its partners to improve their cyber capabilities, for example provision of offline backups to counter ransomware attacks

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Developing technology specific road maps till 2025

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County Council

Developing technology specific Road Maps

IMT has commissioned Gartner, an internationally renowned research and advisory firm to support the development of detailed roadmaps in **12 key technological areas** that are split into **4 key themes of Infrastructure & Operations, Cyber Security, Applications and Data & Analytics**

- Identity & Access Management
- Data Centre Infrastructure
- Data Management
- Collaboration & End User Technologies
- Cloud & Edge Computing
- CRM Strategy & Customer Experience
- IT Operations & Cloud Management
- Data Analytics & Artificial Intelligence
- Applications Platforms, Architecture & Integration
- Security Management Programmes
- Agile Software Development & DevOps
- Security Technology, Infrastructure & Operations

The timeline for developing these Road Maps is on the next slide

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Developing technology specific road maps

This timeline shows the planned work cycle for developing these key strategic documents

Roadmaps

Network Strategy

Identity & Access Management

Key Applications

Telephony

Collaboration Tools

End-User Technologies

Automation

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Network Roadmap

2021	2022	2023	2024	2025

Local Area Network – Huawei Equipment - Inhouse

MPLS Wide Area Network - Capita	21 Nodes

Security – Denial of Service - Capita

Firewall - Capita

Filtering - Capita

Resilient Internet Gateways - Capita	3GB

External Domain Name Service

Reduced size Network
Zero Trust
Cloud Services

158 corporate sites,
279 others

Cloud Services

126 48

Key Applications by Department

	2021	2022	2023	2024
Finance & Commercial	Oracle (on premise)	Oracle Fusion (SaaS) |SiteCore		
		Assyst | Intend |Capita Pay360 | ESRI		
Adults		Liquid Logic (Externally Hosted) | CACI		
Children Services		Liquid Logic (Externally Hosted)		
		Synergy | Google WorkSpace		
CES		Mayrise | TERMS | CRM | Firewatch		
		Spydus iCam| Civica | MasterGov | BookingLive		
Governance		Spitfire Replacement (SaaS)		
Strategy & Transformation		PowerBi (Saas)		

Telephony

2021	2022	2023	2024	2025

Microsoft Teams		8230 Users
Contact Centre as a Service Avaya from Capita	**New Service** from Capita **or Teams**	303 Users
Session Initiation Protocol Trunks from Capita		190 Lines
Mobile Network Operator **Vodafone** from Capita		6440 SIMS
Mobile Device Management Microsoft Intune		2506 Users
Mobile Network Operator **EE (for Emergency Services Network)**		100 SIMS
Bring **Y**our **O**wn **D**evice Microsoft Intune		1339 Users

Collaboration Tools

2021	2022	2023	2024	2025

Microsoft Teams   8230

Zoom
(By Exception)

Microsoft SharePoint

Microsoft Teams Channels

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End User Technologies

2021	2022	2023	2024	2025

Operating System – Current Microsoft Windows Evergreen release 8230

Firewall- Microsoft Windows Firewall

Anti Virus - Microsoft Windows Defender ATP

Productivity - Microsoft Office 365

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Identity and Access Management (IDAM)

High Level Strategy

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November 2020

Identity and Access Management (IDAM)

The county council needs to manage access to information and applications across a number of internal and external systems. We must provide controlled access for an increasing number of identities both internal and external to ensure both security and data integrity are maintained.

Therefore we need to ensure we manage four key components:

authentication	authorisation	user management	directory services (aka central user repository)

Scope

Technology

Microsoft Active Directory

Microsoft Azure Active Directory

ADFS

Microsoft Business to Business (B2B)

Microsoft Business to Customer (B2C)

Sailpoint

Target Systems

Customer and Partner Facing Systems

Line of Business (LOB) Applications e.g.

| Oracle Fusion | Liquidlogic Cloud | CRM |
| Assyst | Sitecore | |

Processes

Joiner, Mover and Leavers

Audit and compliance

Internal and external identities

Partnership working

Authentication / Verification

Authorisation / Validation

Identity management

Directory service

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IDAM Roadmap

2020	2021	2022	2023	2024

ADFS

Active Directory

Azure Active Directory Services
(Support Legacy apps, Azure hosted)

Azure Active Directory

Sailpoint 7.3

Sailpoint 8.0

Sailpoint (SaaS) (TBC)

Oracle Fusion (SaaS)

Oracle (on premise)

As-Is

Oracle

Sailpoint

Axios Assyst

RMS

Active Directory

Intranet

Line of Business Systems

To-Be

Oracle
Fusion

Oracle HCM
Authoritive Source
For People records
and Identity

Realtime ATOM feed / Web Services

Sailpoint

Sailpoint
System accounts

Azure AD

Bulk Data Uploads

Legacy AD

Target
Systems

**Line of Business
Systems**

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Core Principles

1. Oracle will be the Authoritive source for all records it manages
2. Sailpoint will be the central user repository for all identities
   - Business to Customer (B2C) / citizens
   - Business to Business (B2B)
   - Line of Business Systems
3. Sailpoint will be updated by Oracle using a real time feed
4. All integrations **Must** be SAML 2.0 compliant
5. Azure Active Directory will be our primary source of authentication
6. Azure Active Directory services will be used only to support Legacy apps
7. All authentication with use Multifactor Authentication by default (MFA)

Commercials - Sailpoint

2020	2021	2022	2023	2024

Sailpoint 7.3	Sailpoint 8.0	Sailpoint (SaaS)

Sailpoint 7.3 - On Premise

Licence Model	Per User
No Licences	7000
End Date	29th Jan 2021

Sailpoint 8.0 - On Premise

Licence Model	Per User
No Licences	7000
End Date	28th Jan 2022
Potential Cost	**£42,683**

Sailpoint – SaaS

TBC

What this strategy means for you

Staff and Managers

Key activities include:
- Digital Skills Training
- Bring Your Own Device support
- New online self-service Finance & HR system
- Smarter Working Programme
- GRID & PowerBI for internal data analysis
- Norfolk Office of Data Analytics (multi-agency)
- Robotic Process Automation
- Power Apps development work
- STP Digital Programme (NHS & care integration)

Key benefits for you include:
- You will have the right kit and equipment to do your job
- Our workplaces will evolve to reflect new ways of working and focus on supporting collaborative and creative activities
- Systems that support you to provide a better service, in more flexible ways and the skills to use them
- Automated internal processes that are online, self serve and available at all times
- Better use of data to help inform the decisions you make and the tools to do this, such as Power BI
- Repetitive tasks will be automated to free up your time to do tasks that matter and add value to the people we serve
- Improved working with our partner organisations via data that can be accessed across organisations and technology that support collaboration rather than hinders it.

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Norfolk
County Council

Elected members

Key activities include:
- Digital Skills Training
- The Digital Strategy and Road Map
- Horizon scanning for new opportunities
- Technological roadmaps that will support the organisation over the next 5 years.
- Development of a "bot" to help residents & businesses access improved connectivity.

Key benefits for you include:
- You will have the right kit and equipment to support your communities
- A digital skills offer that allows you to get the best out of your technology
- Improved access to data to improve decision making and scrutinise organisational activity
- A more effective organisation that exploits technology for the benefit of the organisation and the community we serve
- An organisation that is at the fore front of technological engagement and continually looking for new opportunities to enable the key changes that our organisations strategic vision requires to support inclusive growth and our four core principles
- An organisation that uses technology to enable innovation in practice and service delivery

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Norfolk County Council

Citizens of Norfolk

Key activities include:
- The Citizen Experience Strategy
- Improving fixed and mobile network coverage
- Improving joint working across Norfolk Public Sector Organisations.
- Improving staff and community digital skills to get the best out of the technology available
- A clear focus on reducing digital exclusion

Key benefits for you include:
- You should expect a quality experience every time you interact with us
- More services, information and advice will be available for you to access online and at your convenience
- Our services will be more responsive and flexible as our staff move to smarter, more flexible and remote working models
- You will get better broadband and mobile
- You will be able to access our services in multiple ways that reflect busy, modern lives
- The delivery and development of services will be customer led
- We will endeavour to keep things as simple as possible
- We will work with our partners to better support the Norfolk community
- We will support disadvantaged, vulnerable and digitally excluded individuals and communities to access services and build support the development of digital skills

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Norfolk
County Council

Our partner organisations

Key activities include:
- Norfolk Office of Data Analytics
- Improving systems & data integration with the NHS, Districts, Police, voluntary & private sector
- Improving staff digital skills to get the best out of the technology available
- A clear focus on reducing digital exclusion

Key benefits for you include:
- Working closely together this strategy will focus on delivering systems and technology that support increased interoperability.
- A clear focus on improving digital skills within our organisation and an ability to support others to develop their skills
- Improving the digital infrastructure of Norfolk, broadband, mobile coverage and the LoRaWAN network so we can all benefit
- Have workspaces where people can meet to work collaboratively and creatively to support the Norfolk community
- Key resources, such as data, can be bought together in the simplest ways possible to drive cross-organisation initiatives and programmes.

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Norfolk
County Council

Norfolk Business Community

Key activities include:
- Improving broadband, mobile and LoRaWAN IoT networks
- Promoting the Norfolk and Suffolk Innovation Network
- Working with Microsoft to develop digital skills
- Refining our economic development offer to support new technologies

Key benefits for you include:
- We will continue to work to improve broadband and mobile connectivity in Norfolk by building on the success we have already had in improving coverage and speeds to reflect our ambition to make Norfolk the best connected rural county
- Working with our key partners, including Microsoft, we will be improving the digital skills of school pupils and the wider Norfolk work force
- We will continue to promote the LoRaWAN network which is the largest free public sector deployment of this technology in the UK and support the work of the Norfolk and Suffolk Innovation Network to exploit this technology to open new market opportunities, allow entrepreneurs to trial new ideas, lead to efficiencies and improved productivity in the ICT sector and enable tech solutions where mobile phone networks are inadequate
- Innovative economic development support around accessing new technologies
- Look to develop County Farms as a showcase for the potential of Agritech to transform a key Norfolk economic sector

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Norfolk County Council

Case Studies of current and new activities

See Appendix for full details

- **5-year Customer Experience Strategy**
- **Digital inclusion – Healthy Libraries**
- **Digital inclusion – Video Care phones Pilot**
- **Data & Analytics- Corporate Strategic approach**
- **Data & Analytics for Finance & HR**
- **Norfolk Office of Data & Analytics (NODA)**
- **Digital Strategy for Care**
- **GO Digital – free business support to become more digital**
- **LoRaWAN – largest free public sector deployment in UK**
- **LoRaWAN – case studies inc Highways, Museums and business applications**
- **Schools Digital Skills**
- **Innovation Network – Assistive Technology & Sensors**
- **Integrating the Fire Service**

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NCC Digital Strategy and Roadmap

for the 2020s
Case Studies Appendix

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Case Studies of current and new activities

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Case study:
5-year Customer Experience Strategy

5-year Customer Experience Strategy

Context & Drivers

- Providing residents with a quality experience whenever they interact with us, whatever they need and however they access services is fundamental to our core purpose – serving the people of Norfolk

- Customer expectations of us continue to be shaped by service experiences they have every elsewhere every day and these continue to rapidly evolve and change

- Imperative to reduce costs and therefore increase efficiency, important to maximise value for our customers

- Demand picture - significance of self serve offer as a demand control tool for info and advice and simple interactions; consequent growth in average handling times over offline channels

- Significant progress 2015-20 - core technical capabilities in place enabling progress against strategic objectives (insight, service measurement, digital offer)

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Themes emerging | Focus for 2020-25 strategy

Maximum value and a quality service experience for every customer

Workforce

Digital

Insight

Enablers

Simple, inclusive, multi-channel customer access model

Customer led approach to service delivery and development
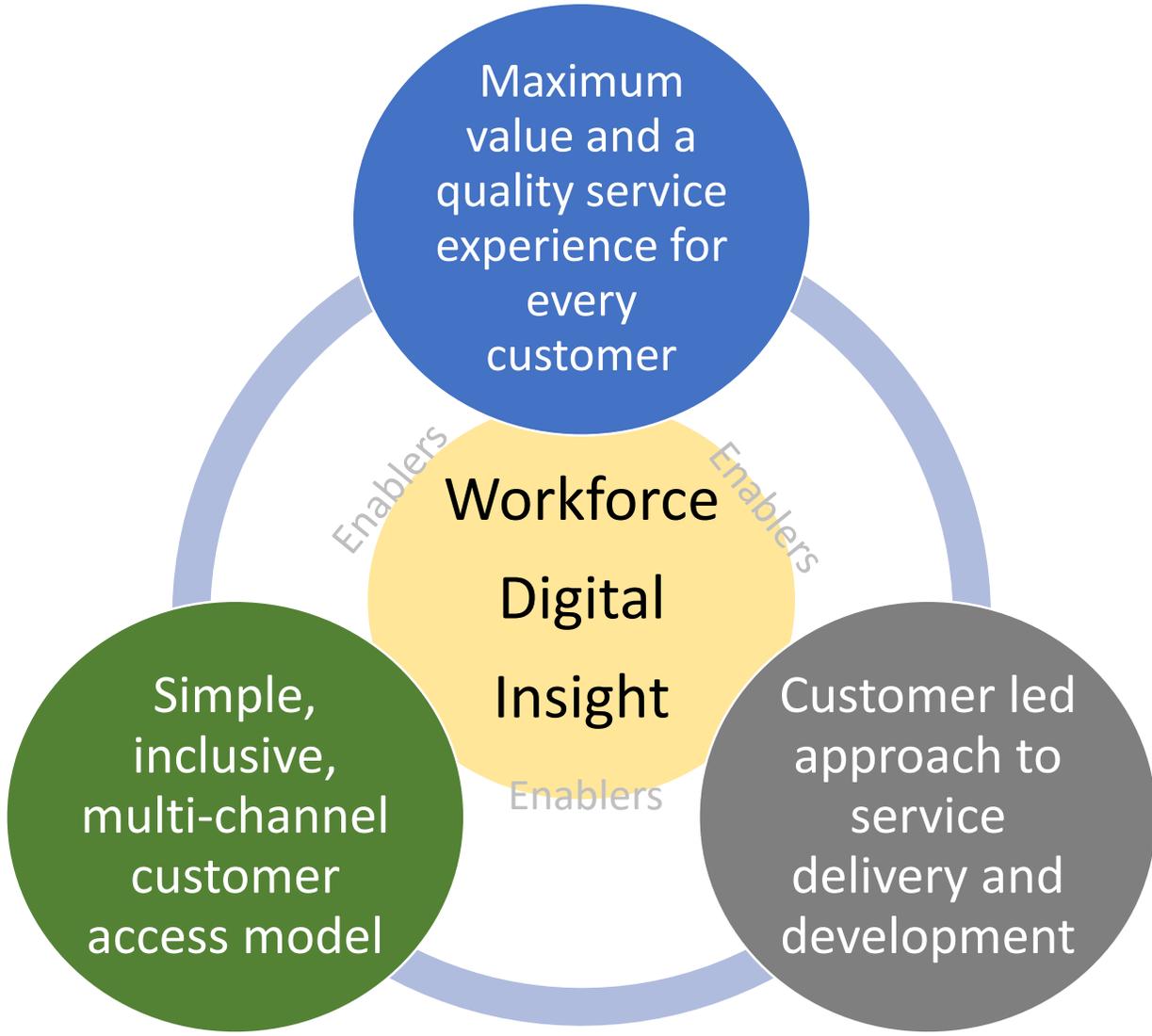
Theme breakdown | Maximum value and a quality service experience for every customer

We will give every interaction a consistent and tangibly **'customer focused'** feel whatever access channel it is delivered over, whatever service it relates to and whichever part of the organisation it is with

We will be **easy to deal with and make it as simple as possible** for customers to find and access information, advice and council services

We will deliver high **value for customers** by working as effectively and efficiently as we can and being relentless about driving out 'waste' (such as mistakes and rework) and unnecessary cost

To modernise the customer experience and reduce our 'cost to serve' we will **extend our online offer,** whilst maintaining an inclusive 'digital by design'

We will make information and services available to customers and easy to access over a **range of access channels**

We will continue to build on the **'single front door'** principle and operating model for customers accessing universal information, advice and services

We will work with partners to provide a seamless customer experience, **make the most of community assets and support the local offer and prevention**

We will **enhance our universal information and advice offer online**, building on the Norfolk Community Directory as our core vehicle

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Theme breakdown | Customer led approach to service delivery and development
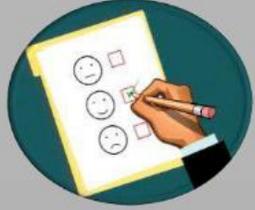
We will **grow our capability to track and measure customer experience end to end** and make delivery against customer service standards an integral part of the council's performance management processes

We will understand customer needs and interactions by making appropriate and intelligent use of data to inform development and changes, so customer journeys and services are designed with them in mind, connected together where this makes sense, and so customers don't have to join the dots

We will develop the capability to link together data and create a 'single customer view', so we can see what services customers may need or be interested in and use this to help them avoid needs escalating at a later stage

We will further embed inclusive design into our customer access and service model

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Case study: Digital Inclusion – Healthy Libraries

Norfolk County Council

Digital inclusion – Healthy Libraries

Example project: Healthy Libraries

Digital First Primary Care Funding has allowed the STP and Libraries to develop the Healthy Libraries Connect Team who provide innovative ways to connect with digitally hard to reach groups via:

- In library support
- Access to training
- Set up support
- Drop in help services
- Device allocation in conjunction with The Good Things Foundation which offers tablets with pre-paid MiFi dongles to individuals identified as low income, isolated, elderly or have underlying health conditions

The Healthy Libraries Connect Team has recently been awarded funding to evaluate their work to establish if scaling up the offer to support more digitally excluded people in Norfolk and Waveney is the right way to do this.

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Case study: Digital Inclusion – Video Care Phone Pilot

Digital inclusion –Video Care Phone Pilot

This pilot is a joint partnership between Adults Social Services and the STP to understand how the use of video carephone technology can support the wider Digital Inclusion agenda. The pilot is being funded with approx £300K of STP Digital Accelerator money.

200 day service user will be identified to pilot an 'out of the box' SIM enabled video carephone. Potential benefits include:
- People feeling more engaged in their care.
- People feeling more connected to others and less isolated.
- Reduced risk of harm due to lack of health of care input/supervision.
- Reduced risk of depression from isolation.
- Increased access to basic needs such as medication, food, supplies and human contact. Reduced digital exclusion in some of our most vulnerable communities/ increased contact with health and care or a return to expected levels of health and care.
- An evidence based to support our future delivery model.

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Case study: Data & Analytics – Corporate Strategic Approach

Norfolk
County Council

Data & Analytics – Corporate Strategic Approach

NCC Cloud Data Platform

Business Goals

- Easier and safer data sharing with partners – focus on Health and Social Care
- Exploiting IoT
- An analytical environment for Norfolk Office of Data Analytics
- Capability to exploit big data, e.g. road traffic movement

IMT Goals

- Modern Hybrid Data Platform – on-premise and Azure
- New 'Offer' to NCC and partners
- Exploiting IoT
- Big data capability
- Integration with new Oracle ERP
- Ingestion of data from Microsoft Common Data Service
- Staff development
- Migration of on-premise GRID operations

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Data flows for integrated care system in Norfolk and Waveney

NHS Primary Care data

NHS Acute Care data

Other NHS data

STP Azure Data Lake Onelake

NCC Azure Data Lake (GRID in the cloud)

NCC business data (on-prem & managed cloud)

Social Care
HR
Finance
Highways
CRM
IMT Service Management

Third party data sources

ONS
DWP
PHE
Police
Ordnance Survey
Local Councils

NCC Enterprise Data Warehouse (GRID)

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IMT Data Services

Norfolk County Council

NCC high level structured data infrastructure: future state

MS O365 Tennant (NCC)

MS O365 Tennant (NNUH, NHS)

NCC Line of Business Data managed services in the Cloud

- *Adults (Liquid Logic)*
- *Children's (Liquid Logic)*
- *Highways (Mayrise)*
- *IMT Service Management (Assyst)*

MS Power Platform (MS Common Data Service, North Europe)

NCC Azure Data Lake (GRID in cloud, UK South)

STP Azure Data Lake (UK South)

Spatial (GIS) & Address data (ArcGIS online in Azure, UK South)

CRM (MS Common Data Service, North Europe)

HR & Finance (Oracle ERP)

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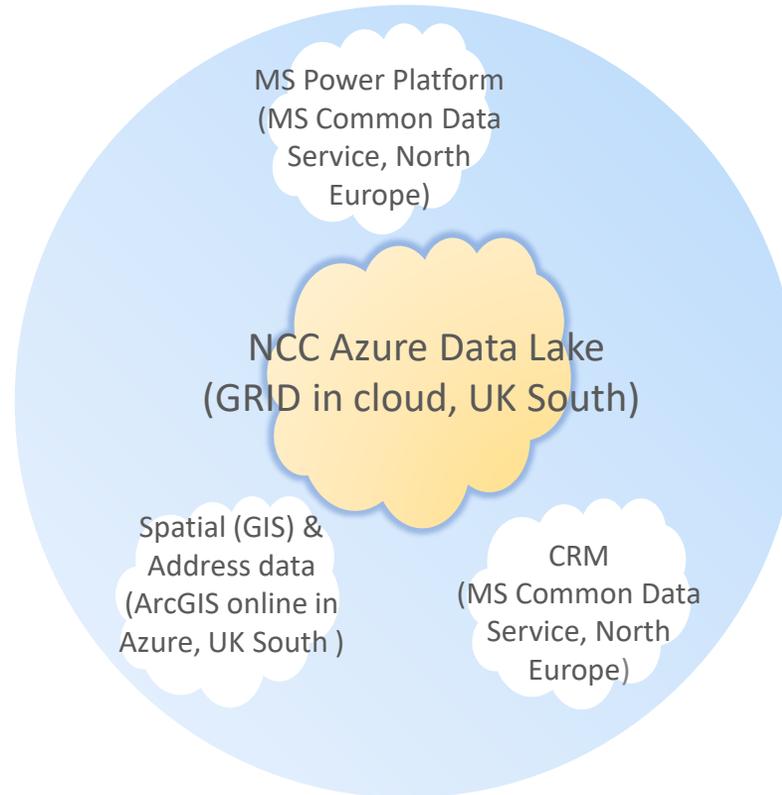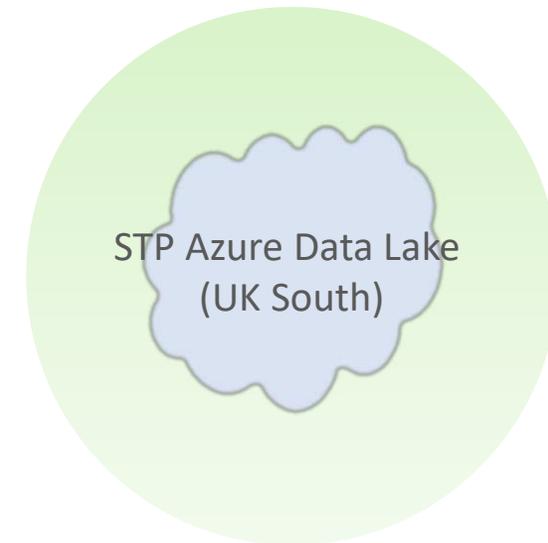
Case study:
Data & Analytics – Finance and HR

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Data and Analytics for Finance & HR

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Approach

Our implementation partners OCS have devised an approach for delivering the following key capabilities:

Operational Analytics
- Monitors transactions and processes undertaken within the HR & Finance applications.
- Usually monitors a single business process
- Focused on current picture or recent past.

Strategic Analytics
- Provides an enterprise wide view.
- Associated with data from multiple business processes
- Focused on what has happened in the past and how this has changed/trended over time.

Visual Analytics
- Tools to support exploration over varied data sets
- Advanced visualizations reveal hidden trends and information.
- Predictive capabilities

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HR & Finance Transformation Project

Azure / Oracle Conceptual Design

Data Presentation / Visualisation

Analytics/Reporting

Data Warehousing

Data Engineering

Data Collection / Integration

Grid (Azure)

Power BI Service

Azure SQL Server

Azure Data Lake (Big Data)

Azure Data Factory

Oracle

OAC – Oracle Analytics Cloud

Autonomous Data Warehouse

ODI

Social Care Data

Highways Data

NHS Data

CRM Data

GIS Data

IOT Data

Reference Data

HR & Finance Data

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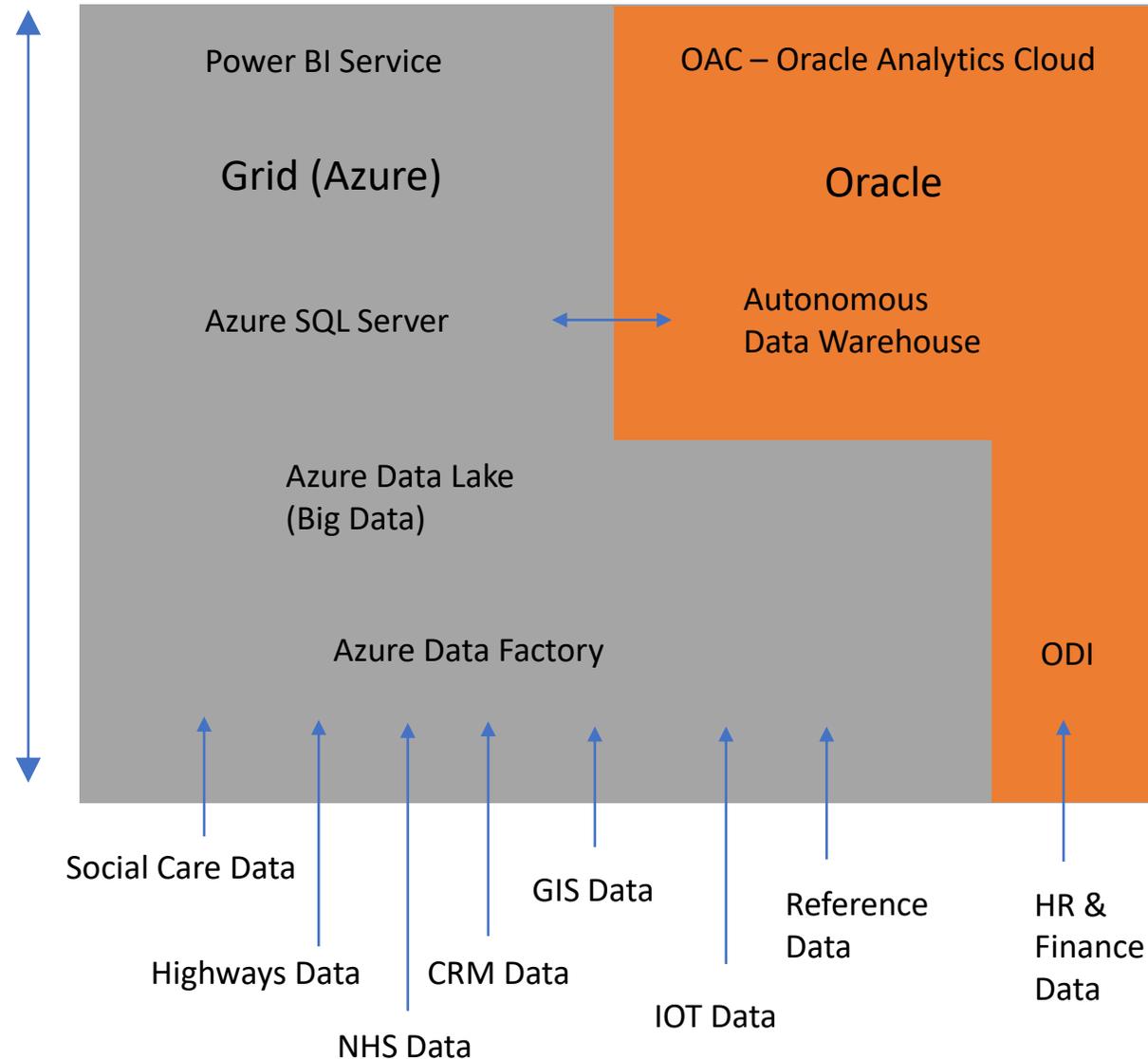
Case study: Norfolk Office of Data & Analytics

Norfolk Office of Data & Analytics – an overview

The Norfolk Office of Data & Analytics

noda
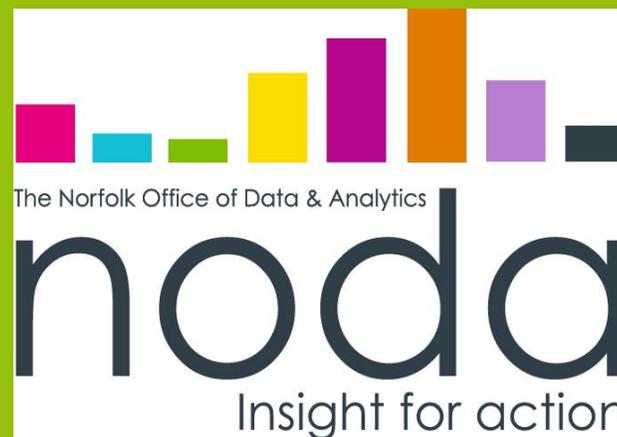
Insight for action

What are ODAs?

Offices of Data and Analytics have grown in the UK from the 'ground up' to transform the way in which we use data for analysis and actionable insight.

"The ability to make easy data driven decisions is becoming vital to the way that we all live and work. This should be the way that government provides services."
Government's Transformation Strategy 2017-2020[3]

A model for multiple organisations to join up, analyse and act upon data sourced from multiple public sector bodies to improve services and make better decisions.

ODAs always adopt a shared vision and objectives, **sometimes** have shared capabilities and resource, **often** have a range of collaborative working practises, and **definitely** have a commitment to data analytics.

Ultimately, an ODA creates multi-organisational, actionable insight from otherwise siloed information.

State of Offices of Data Analytics (ODA) in the UK

Michelle Eaton and Camilia Bertoncin
December 2018

nesta
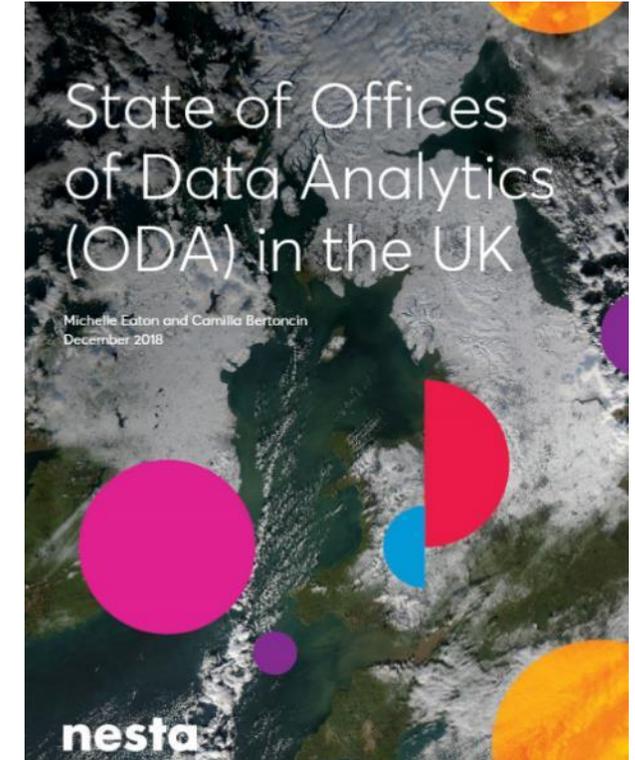
ODAs (Offices of Data & Analytics)

There are now more than dozen separate ODAs in operation in England. All vary a bit in design, but are fundamentally delivering against the same objective:

Harnessing the data and analytical capability from **multiple organisations** into a **virtual** team (e.g. councils, Police, NHS) to meet **common goals**.

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How does the 'ODA approach' differ from what has been done in Norfolk?

Single Organisation approach	ODA approach
Excellent analysis work undertaken in one part of an organisation (e.g. NCC Public Health)	Using data from multiple owners such as NHS, Police, other councils to deal with county-wide public health issues (such as Covid-19 response)
Organisation led project on single group of customers (e.g. adult social care clients)	Data on residents/patients/clients from across the county: Acknowledgement that **we all deal with the same people across different services**
Statistics and reports outputs, usually de-identified	**Actionable insight**: identifiable data is used to actually make decisions in regard to groups or even individual customers
Use of own IT network and data-warehouses	Use **shared analytical platforms** which allow for data matching, linking and use of data visualisation (e.g. health, social care and geo-spatial data)

Vision and Purpose

Vision

NODA provides evidence and insight to allow action to be taken

Purpose

- To join up information and data using suitable secure technology and analytical methods

- To generate evidence of where to target our resources to best effect

- To provide insight to prevent and reduce the need for services

- To contribute to improving outcomes for the population and community

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- To develop our collective analytical skills and access to data

3 Key Functions

DIRECT DELIVERY
Delivering data initiatives – conducting practical data sharing and data analysis projects

COORDINATION
Coordinating and convening Norfolk's data community. Providing an ecosystem to support data practitioners

SYSTEMATISE
Offering replicable processes and training in common areas such as analytics, data ethics, security and information governance

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NODA activity

NODA is supporting the Norfolk Resilience Forum's Covid-19 response and recovery:

1) Data briefings and RWCS

2) Economy of Norfolk

3) Vulnerable People

We are also starting to support other areas of work – for example supporting Norfolk Constabulary & Public Health with developing a Drug Market profile for the county.

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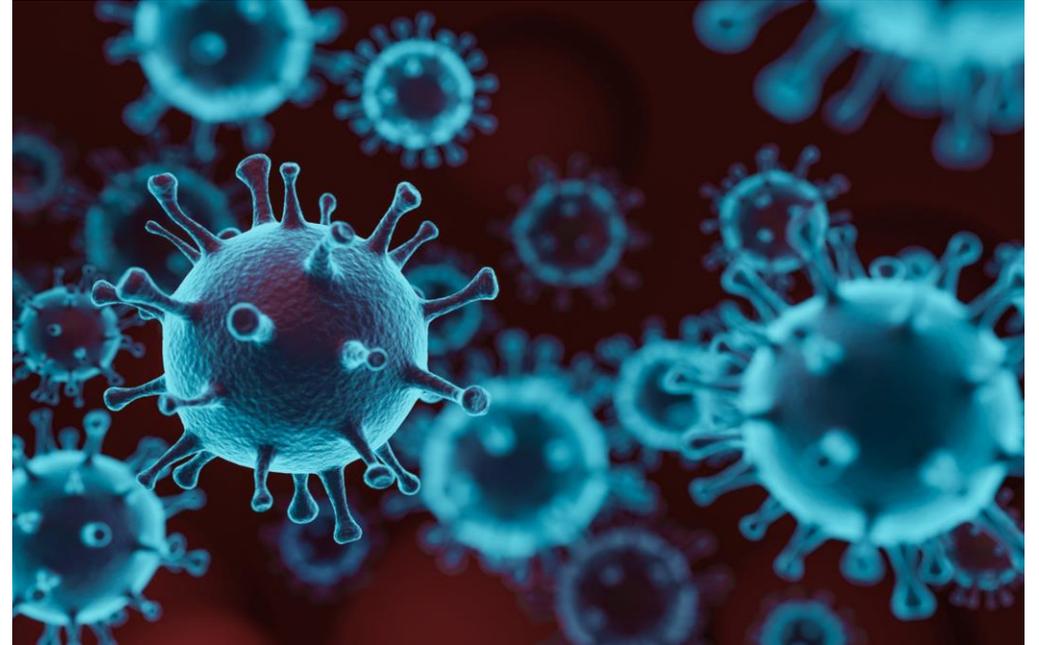
C-19 and the Norfolk economy

NODA can help Norfolk partners gather evidence to inform New Anglia's Renew Plan, the economic recovery plan for Norfolk & Suffolk.

We can also help provide local skills and labour market data.

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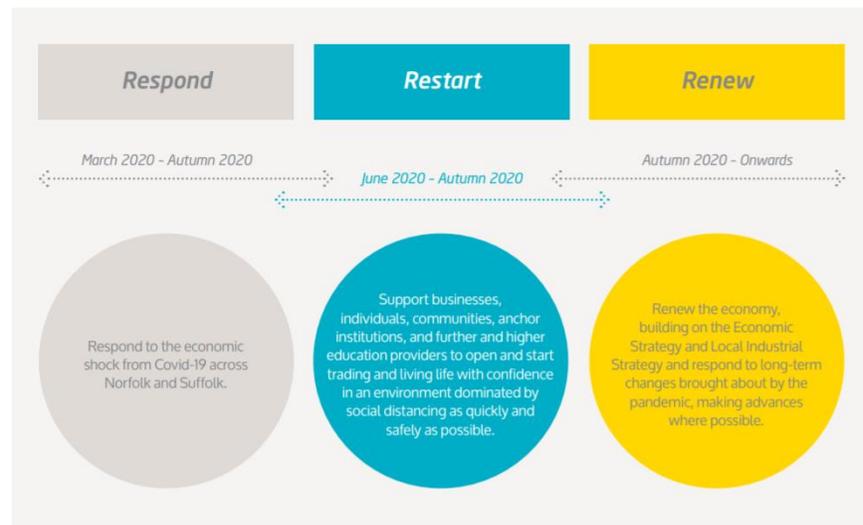
C-19 and Vulnerable People

NODA has developed a dashboard showing the indicators of vulnerability, to help the Community Resilience Hub predict changes in demand for services by geography.

Vulnerability Categories

Clinical
- Shielding Population / EVPS
- Over-70s
- BAME
- Deprivation
- Additional CCG Vulnerable

Societal
- Domestic Abuse
- Digitally-Excluded
- Frailty / Domiciliary Care
- Self-Isolating in need of supplies
- Disrupted support networks

Psychological
- Increased Stress & Anxiety
- Mental Health – untreated/undiagnosed & existing
- Digitally Excluded
- Rural/Social Isolation

Financial
Hardest-hit sectors – Leisure, Some Retail & Manufacturing?,
Seasonal Workers
Gig economy?
Reduced Hours - either employer or childcare-driven
At-risk of redundancy / unemployment

Cross-Cutting Characteristics

Project ADDER (Addiction, Diversion, Disruption, Enforcement and Recovery)

- The Home Office in conjunction with DHSC and PHE have secured funding from the HMT Shared Outcomes Fund to pilot an intensive whole system approach to tackling drug misuse in select locations worst affected by drug misuse, alongside national activity to disrupt the middle market supply of drugs.

- The Norwich pilot, (Project ADDER) will involve co-ordinated law enforcement and safeguarding activity, alongside expanded diversionary, support, and treatment/recovery provision in the chosen pilot areas.

- This will be complemented by Home Office and National Crime Agency activity to tackle middle market drugs and firearms supply.

- The project will build on existing work and look to expand multi-agency partnership working in the local areas to drive sustained health and crime related outcomes.

- The intention is for Project ADDER to be piloted over a period of three years beginning as soon as possible in this FY 20/21 and running until the end of FY 22/23.

- The project will be underpinned by an evaluation and monitoring framework which will help to inform the evidence base for future Government intervention and national investment in this field, as well as informing local strategy.

- NODA specific role: to offer information governance and information sharing advice to support the development of a drug market profile for the county, as well as providing a central platform for partners to identify opportunities to use data and information that might otherwise remain siloed.

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What activity do we undertake in the next 12m?

We need to continue to develop our 'business as usual' activity in parallel with delivery of the Covid-19 response activity, where resource and capacity allow

Potential activity	Groups supported with better outcomes
Mental Health (incl Self-Harm and Suicide)	Vulnerable Young People and Adults
Gangs / County-lines	Children, Families and Communities
Housing & planning	Inclusive Growth and Communities
Domestic Abuse	Families and Communities
Troubled Families.	Families and Communities
Protecting Children	Children
Alcohol licencing	Communities
Delayed Transfer of Care (DTOC) patient tracker	Patients
Inclusive Growth	Families and Communities
Information Sharing	All Groups

What analytical tasks?

Choose the analytical tasks that can make a difference

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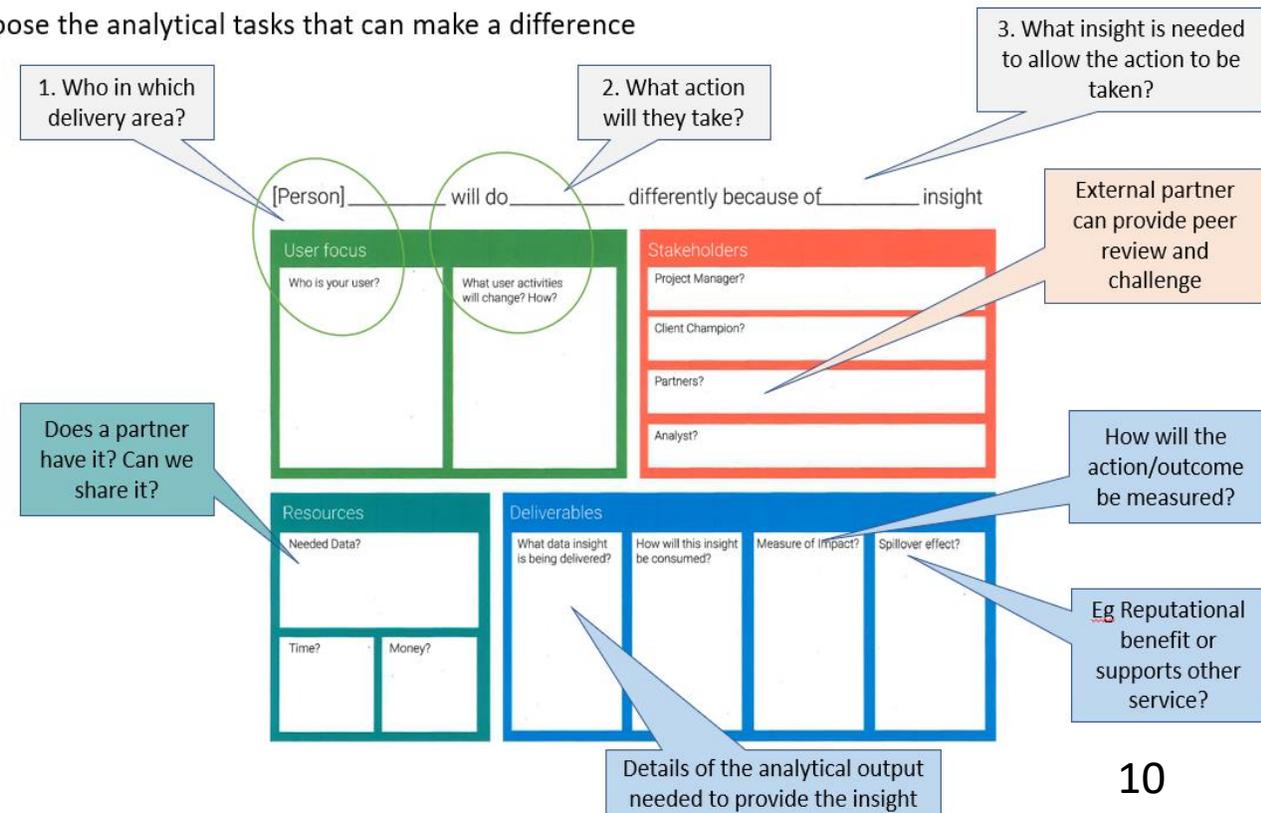
Case study: Digital Strategy for Care

Norfolk
County Council

Digital Strategy for Care

The Digital Strategy for Care will take a systemic, network approach to developing the use of digital technology to create a resilient, sustainable care sector which reflects the care needs of the Norfolk population. A number of actors are already operating in this sphere and multiple projects are currently running to support the sector including: Attend Anywhere pilots run by the NHS and GPs, wound management video consultations run by NCH&C and the Covid Protect project

- This workstream will look to understand the current system wide approach to driving digital into the care sector.
- This knowledge will allow for a proper gap analysis to be conducted to identify areas of opportunity.
- Innovation projects or projects that build the framework and support that can underpin innovation will be identified and a prioritised action plan will be developed to drive system wide change.
- This work will be co-produced with internal and external stakeholders and link explicitly into the market position statement and commissioning intentions work.
- External funding streams will always be sought to drive forward each project or pilot identified in the action plan.

Previous research into the residential care market, conducted by ASC and anecdotal feedback from NHS and NCH&C colleagues has highlighted that the sector needs support to develop digital skills and infrastructure. A Task and Finish Group has been established to support the development of digital skills that includes colleagues from Economic Development, IT and ASC as well as Care providers and the voluntary sector to oversee a range of projects to improve skills which remains a fundamental digital building block to wider system change.

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Case study:
Go Digital – free digital support to micro and SME businesses

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County Council

Free business support to help you do more with digital

Norfolk County Council

Go Digital

- Free business support to help Norfolk micro and SME's do more with digital.

- Focus on businesses in the tourism and care sectors and food & drink producers although any business can apply

- Launch on 7 December. Closes on 31 March 2021. Deadline for advisor applications is 15 February 2021.

- 43 businesses to receive advisory support

- 35 businesses to also receive business voucher support
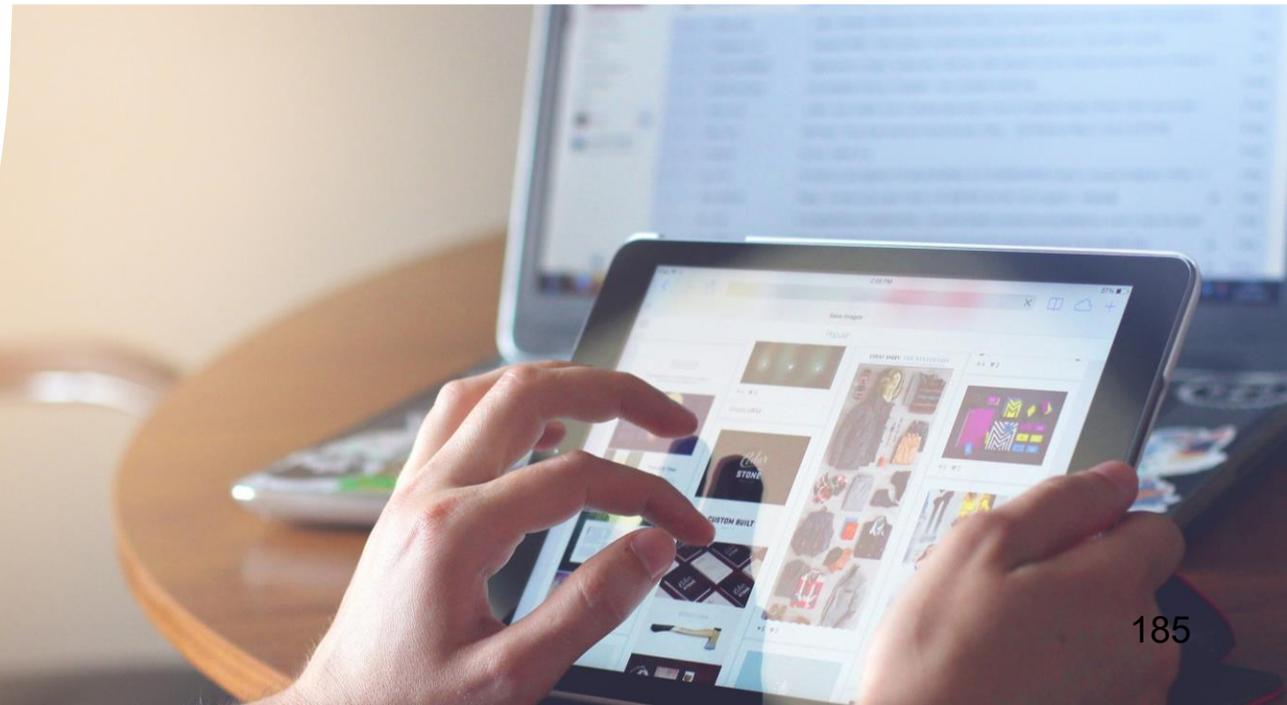
Norfolk County Council

Programme Overview

For micro, small and medium sized businesses based in Norfolk who want to make better use of digital tools to help them to grow.

Norfolk County Council
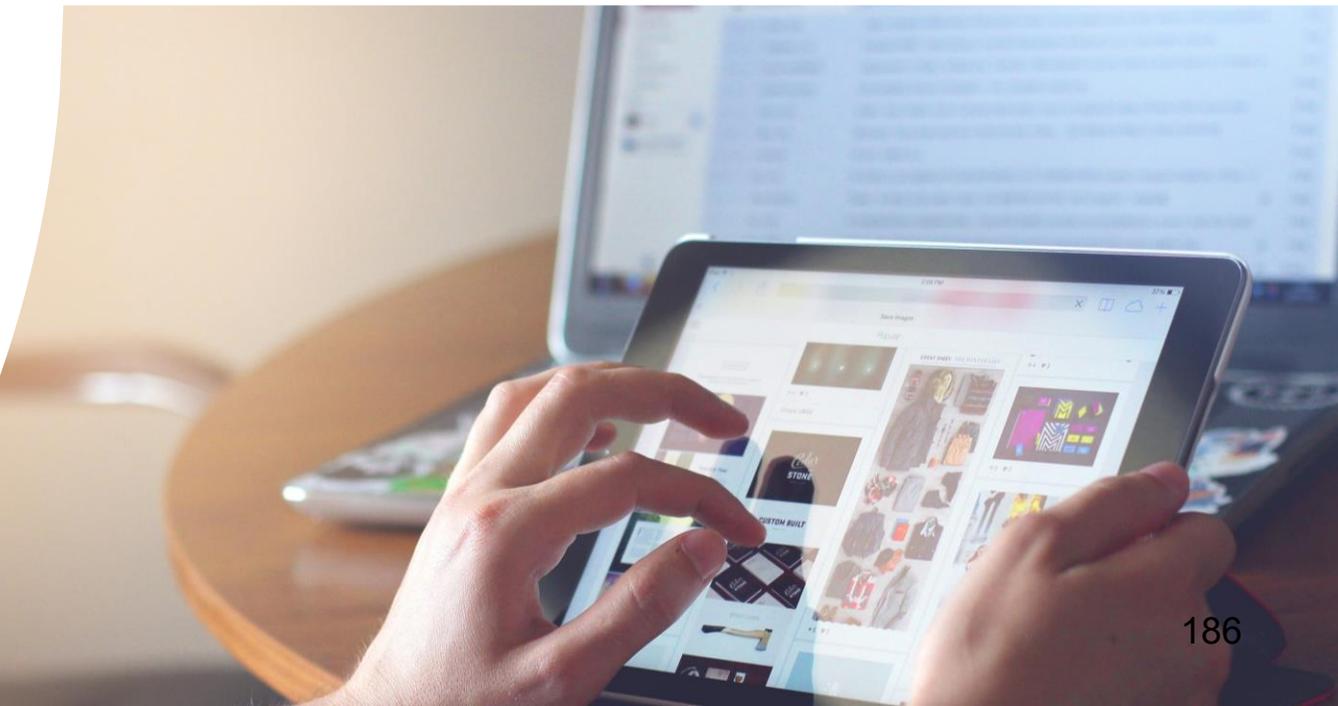
Programme Overview

For micro, small and medium sized businesses based in Norfolk who want to make better use of digital tools to help them to grow.
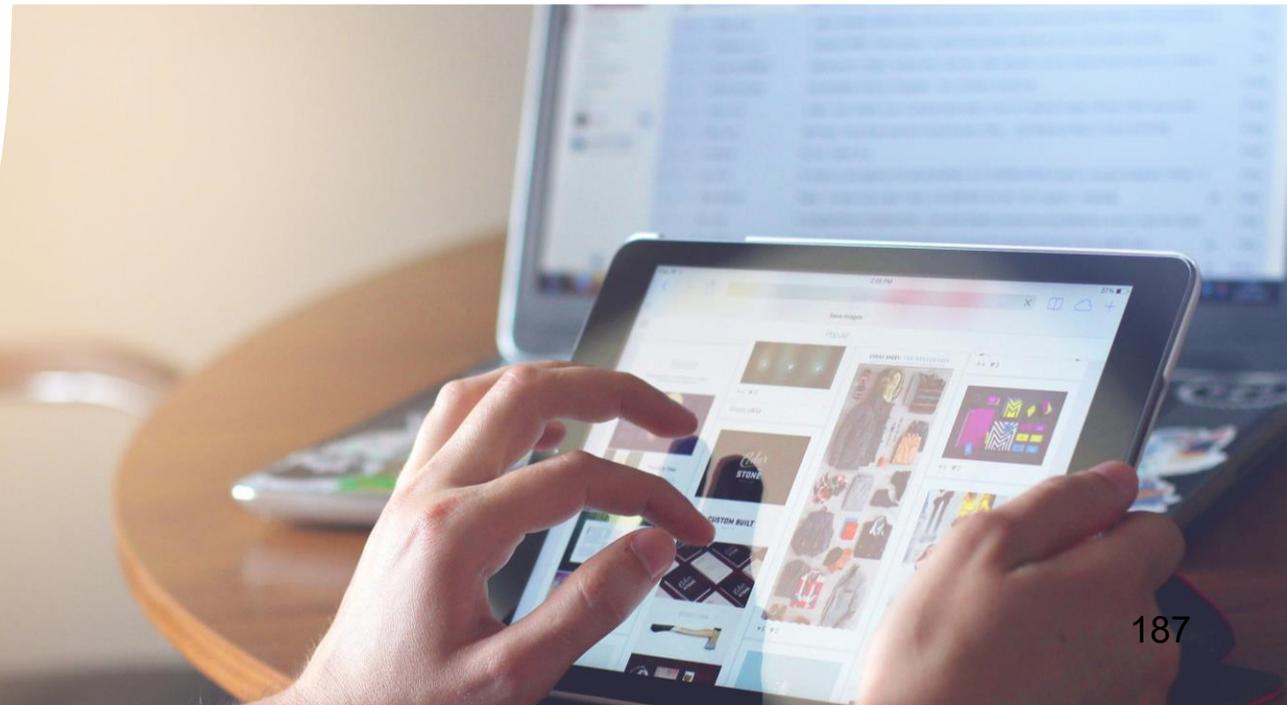
What will Go Digital do?
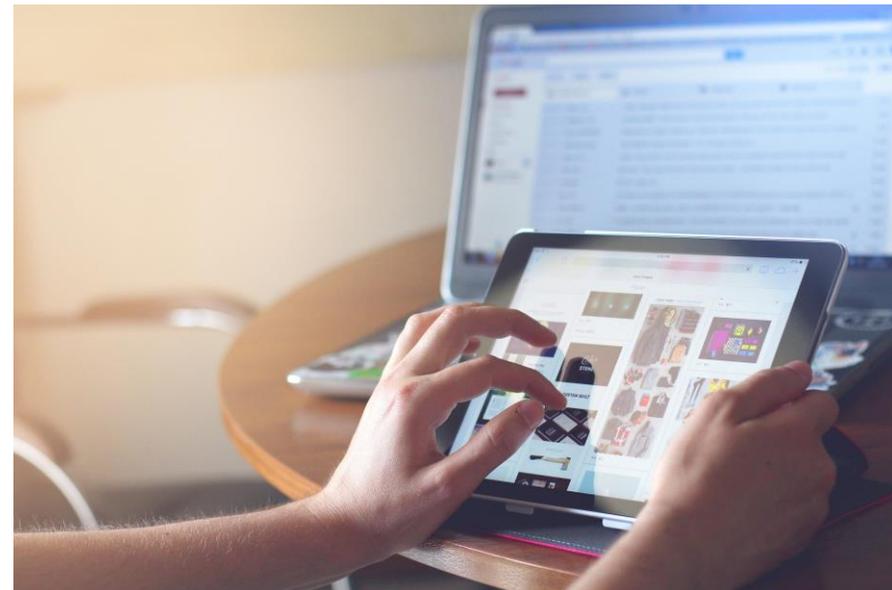
Go Digital will help businesses in Norfolk to:

- Identify the digital tools and projects that are right for them
- Understand the benefits of using digital tools
- Have the confidence to undertake digital transformation projects
- Discover and grow their knowledge of the digital tools available

110

Who are we targeting?

- Norfolk based micro or SMEs
- Preferably from the care, tourism sectors or food and drink producers
- They have some usage of digital tools e.g a website or they use social media to promote their products
- But little understanding of other digital tools that could help them
- They don't know where to start
- They need expert advice as to what tools are best for their business
- They need confidence to take forward projects

Go
Digital

11
1

What do clients get?

1. An experienced business advisor matched to their business
2. Quality advisor time to identify digital opportunities that fit with and add to existing business plans
3. A digital audit of their business and a comprehensive report identifying the digital tools needed to meet goals
4. An action plan which identifies the digital priorities and next steps
5. The opportunity to apply for a business grant worth up to £500 towards their digital action plan

What do clients get?

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Go Digital

11
3

Norfolk County Council

More information

- Programme launch 7 December 2020

- Please help us to promote

- www.norfolk.gov.uk/business/grants-and-funding/go-digital

- Contact us via econdev@norfolk.gov.uk
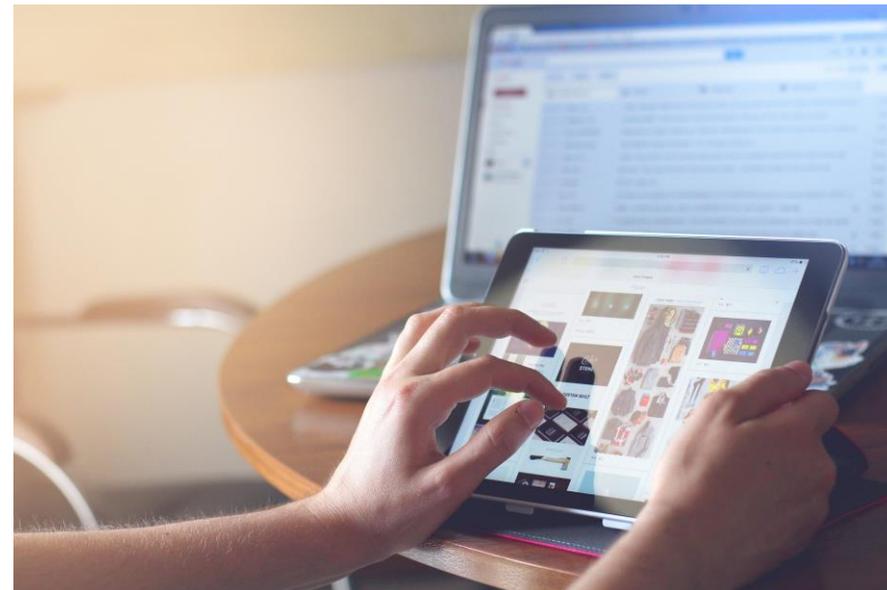
Go Digital

Case study: LoRaWAN – the largest free public sector deployment in the UK

Norfolk
County Council

Working to make Norfolk the best connected rural county in the UK

WAN
Fibre
Mobile
LoRaWAN
5G

The **largest** free public sector LoRaWAN deployment in the UK

LoRaWAN
Long Range Wide Area Network

Sensor   **Gateway**   **Dashboard**

Norfolk and Suffolk Innovation Network

Nodes (Sensors)

Gateways
Semtech Packet Forwarder

Internet

Applications Dashboards

NCC Network

The Things Network (Server)

Broadband
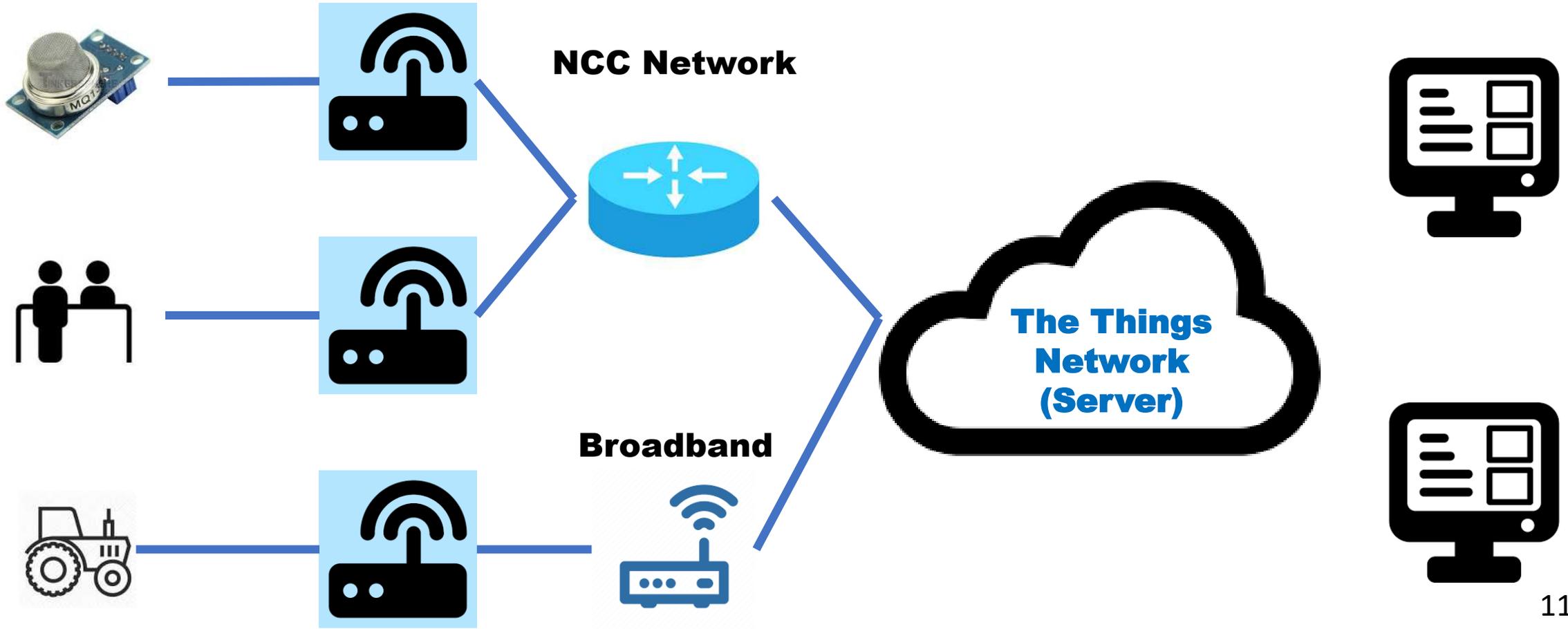
LoRaWAN

TCP/IP

Coverage Jan 2020

https://ttnmapper.org/
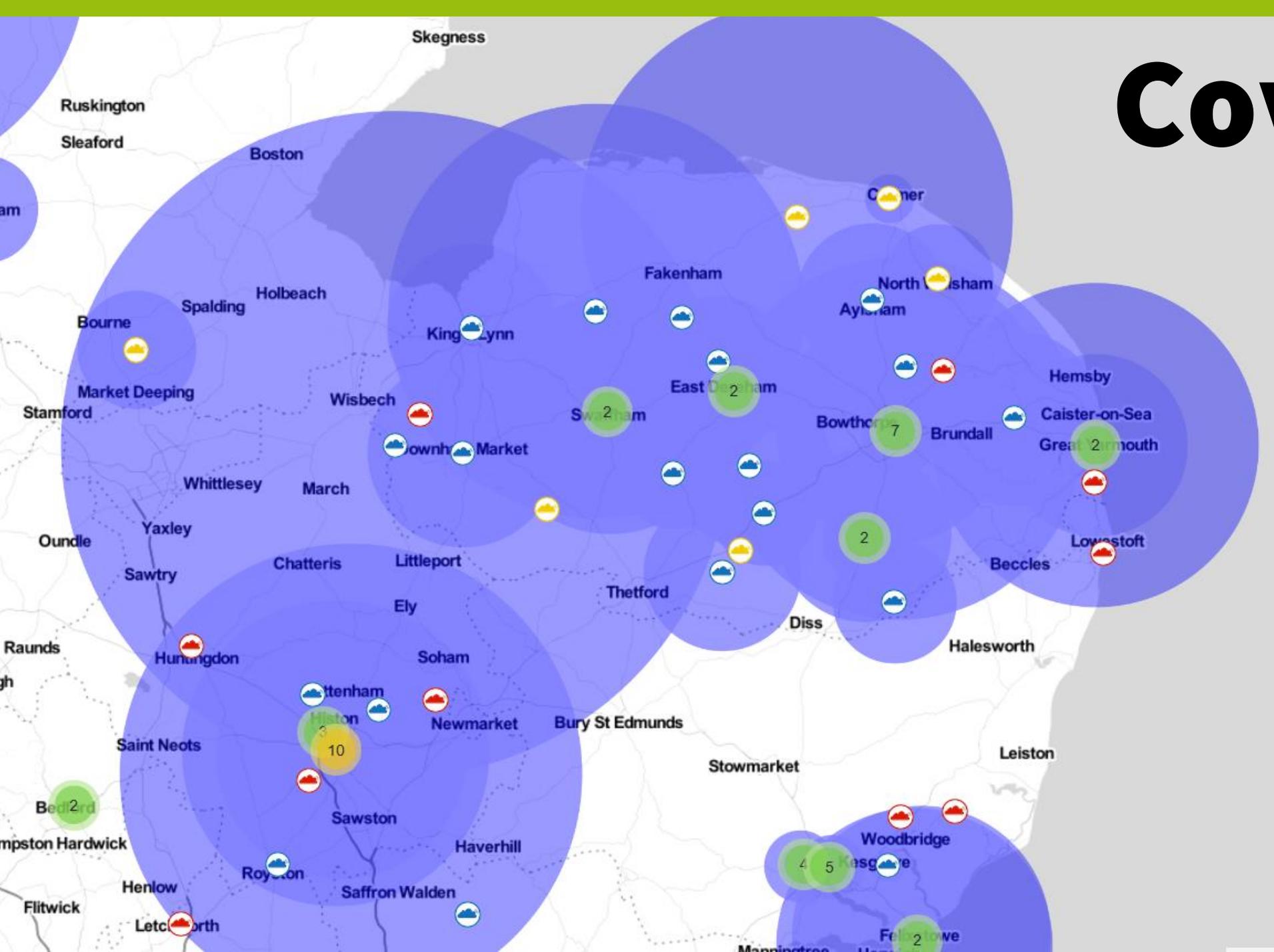
Case study: LoRaWAN case studies including highways, museums and business applications

Norfolk
County Council

BENBURGESS

USED MACHINERY   NEW MACHINERY ⌄   HIRE MACHINERY ⌄   SERVICES AND SUPPORT ⌄

USED MACHINERY   ONLINE SHOP   CONTACT US

8 REASONS TO BUY

A brand new John Deere combine for next harvest

CLICK HERE FOR FURTHER

123

201
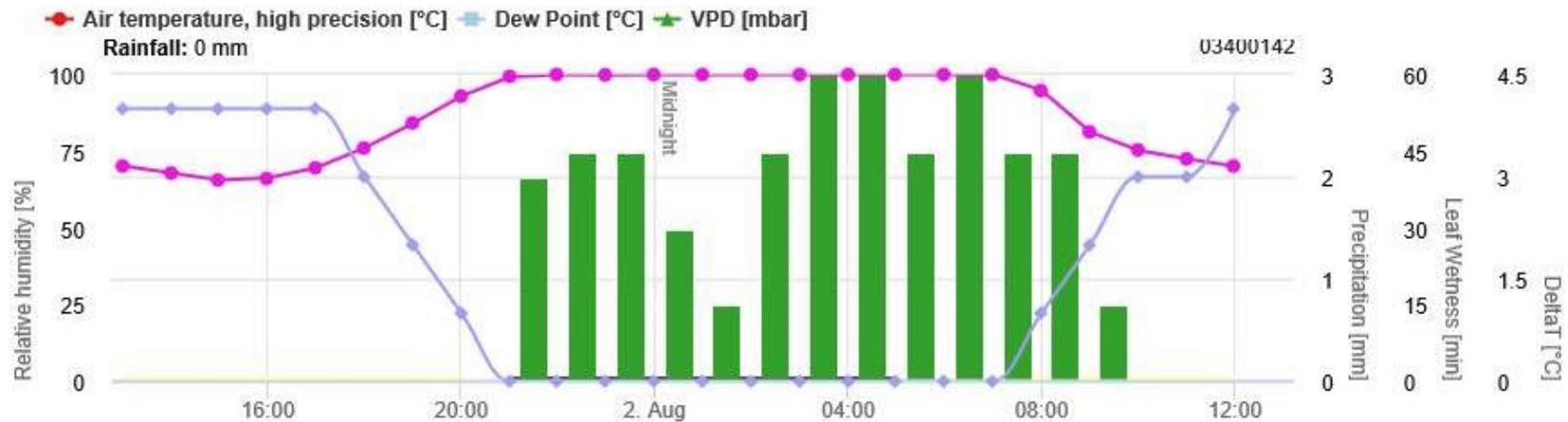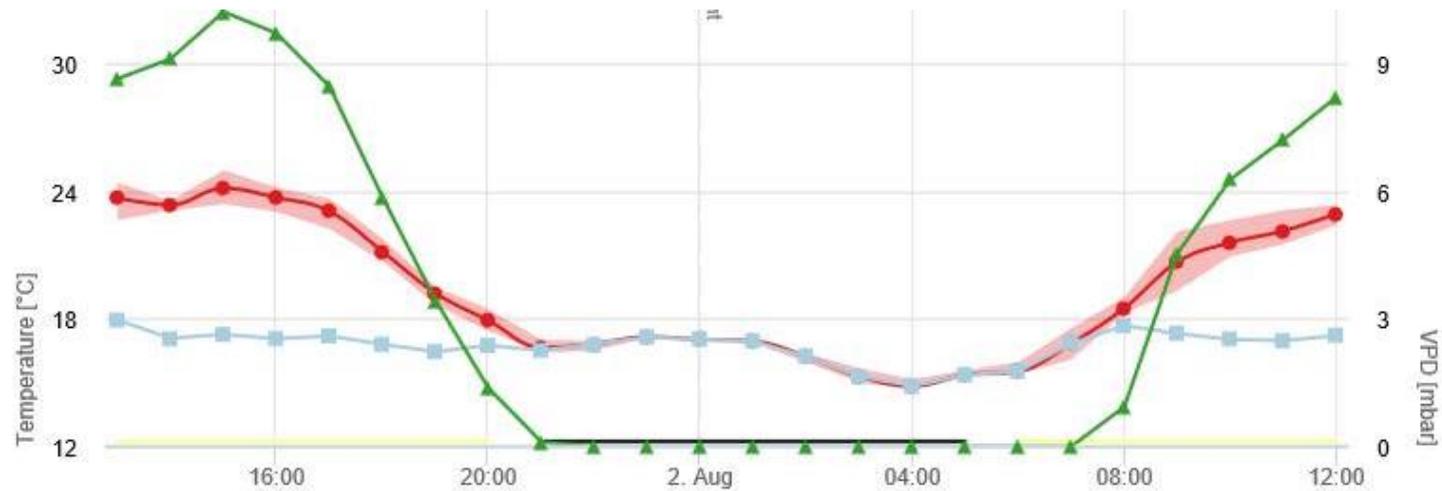
Innovation Centre
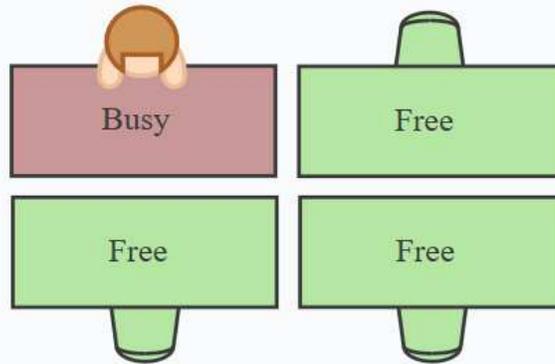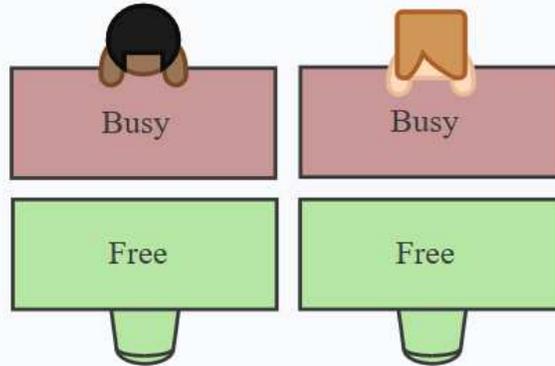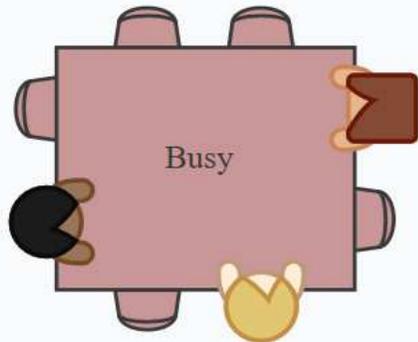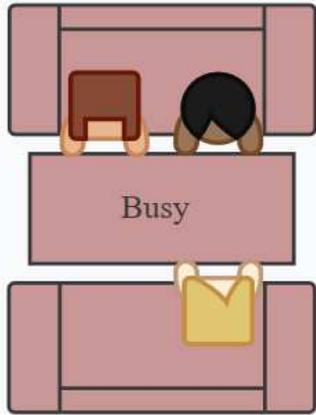
Property Office
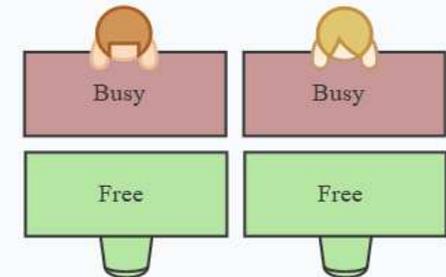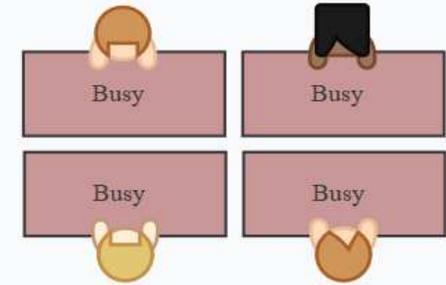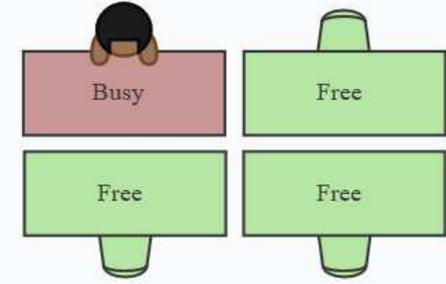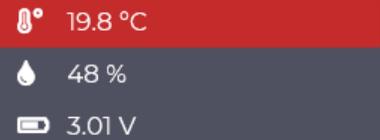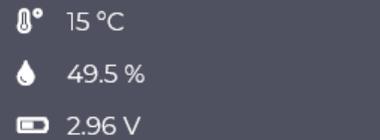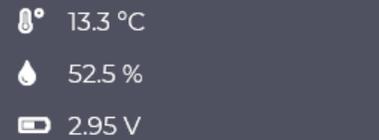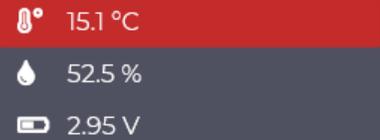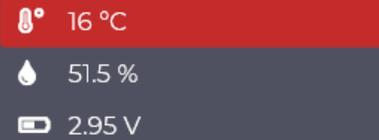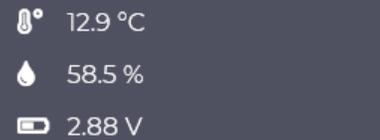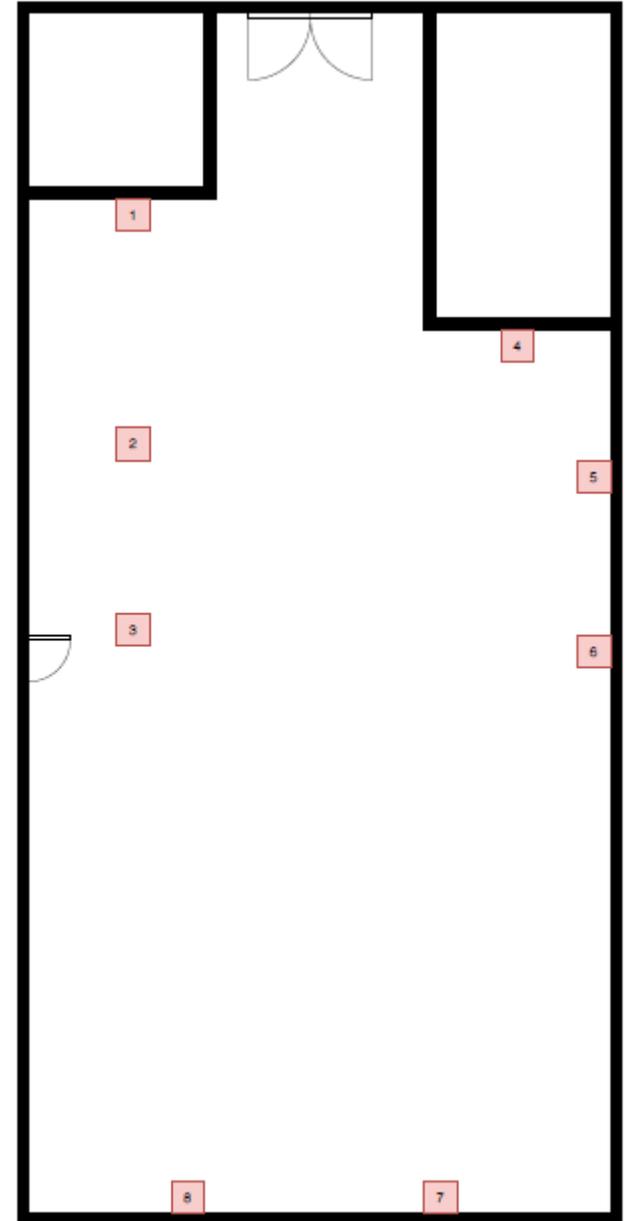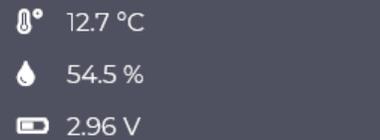
Case study: Schools Digital Skills Development

Schools
Digital Skills

Case study: Innovation Network - -Assistive Technology & Sensors

Norfolk
County Council

Innovation Network

Assistive Technology

Fact File

- Norfolk County Council spends £1m per day on adult social care for 14,000 people in Norfolk, predominantly for care services commissioned from 700 providers. The care market employs 27,000 people.
- Last year, 20,205 people received short term and long-term care packages and 5,000 had reablement services – helping them to get back on their feet after a crisis
- Demand for services is growing, with a rise in the number of over 65s – up 31 per cent, from 209,700 in 2015 to a predicted 274,800 in 2030
- The over 85 population will rise by 77 per cent over the same period and Norfolk has the third highest prevalence of dementia in the region

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Norfolk & Suffolk Innovation Network

- Using the Innovation Network this project will implement a closed field trial of discreet and simple to install sensors.
- Data stored on NCC Microsoft platform
- Capita funding via social value fund
- Capita provide sensors and platform for analysis of data
- It will also inform future decision making and business case development around the use of the Technology which if successful will be shared nationally

13
3

Norfolk & Suffolk Innovation Network

- Sensors
  - **Motion, Light Temp in each room**   Netvox RB11E LoRaWAN Occupancy Sensor X 12
  - **Kettle Use**   Netvox R809AG LoRaWAN Power Plug X4
  - **Front & Back Door**   Netvox R311A – LORAWAN DOOR/WINDOW CONTACT SENSOR X 6
  - **Shower Taken**   Netvox R711 LoRaWAN Temperature Humidity Sensor X 4
  - **Chair occupied**   Netvox R311WA wireless seat sensor X 4
  - **Bed occupied**   Netvox R311WA wireless seat sensor X 4
  - **Fridge open/close**   Elsys Mini Sensor or Netvox R311A X2
  - **Microwave Use**   Netvox R809AG LoRaWAN Power Plug X4
  - **Cupboard open/close**   NETVOX R311A – LORAWAN DOOR/WINDOW CONTACT SENSOR X4
  - **Cutlery Drawer open/close**   NETVOX R311A – LORAWAN DOOR/WINDOW CONTACT SENSOR X 4
  - **Kettle Use**   Netvox R809AG LoRaWAN Power Plug X4
- Locations
  - Test House - AT/IMT staff homes

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- Sensors
  - **Temperature, Light, Motion (all-in-one)**   Netvox RB11E LoRaWAN Occupancy Sensor X 12
  - **Kettle Use / Power Outlet Use**   Netvox R809AG LoRaWAN Power Plug X4

- Locations
  - HwC scheme (Bowthorpe and GFC)
  - Accommodation based reablement schemes (Benjamin Court, Gray Fairs Court)
  - Still to be confirmed with Chris Metcalf

13
6

Case study: Integrating the Fire Service

Integrating the Fire Service

A number of key activities have started to integrate the Fire Services IT systems into the wider NCC framework.

- In April 2020 the Fire and Rescue IMT team joined the Corporate IMT service
- Norfolk Fire & Rescues IT helpdesk has now been successfully migrated into the Corporate IT helpdesk
- By the end of December 2020 Norfolk Fire and Rescue's It infrastructure will have been merged with the Corporate Server Infrastructure
- The rollout of Windows 10 and Office 365, continues at pace and is due to be completed by the end of December 2020
- In January 2021 the rollout of new devices begins

The key future development for Norfolk Fire and Rescue is the deployment of the Emergency Services Network (ESN), This is a critical communication system which will replace the current Airwave service. ESN is a major national project which includes the police, fire and rescue, and ambulance service as well as a range of other users inc. local authorities. The new system will deliver better voice and data services using new handheld devices or operating equipment in vehicles, aircraft and control rooms.

Cabinet

Item No: 10

Decision making report title:	Trading Standards Service Plan 2021/22
Date of meeting:	12 April 2021
Responsible Cabinet Member:	Cllr Margaret Dewsbury (Cabinet Member for Communities and Partnerships)
Responsible Director:	Tom McCabe (Executive Director – Community and Environmental Services)
Is this a key decision?	No

Introduction from Cabinet Member

Over the last year, the Trading Standards service plans, service delivery and developments have been significantly impacted by the Covid-19 pandemic. Whilst continuing to deliver statutory duties and calibration services for businesses in a covid-secure manner, the service has seamlessly flexed to support Public Health and enforcement partners in responding to and recovering from the Covid-19 pandemic:

- Ensuring business compliance with constantly changing coronavirus restrictions legislation, including at retail level and sports venues
- Ensuring farmed animal welfare was not compromised as a result of Covid-19 outbreaks at meat processing businesses, and
- Working with the Norfolk Against Scams Partnership (NASP) to raise awareness of Covid-19 related scams and frauds, such as fake personal protective equipment (PPE), disinfection services and vaccinations.

On top of this, the service responded to five avian influenza outbreaks in the county in December, conducting foot patrols in the affected areas to identify and advise poultry keepers on how to protect their flocks and prevent further spread of the disease. (To put this into context, there were a total of 17 outbreaks across England in November and December).

The Trading Standards Service Plan and associated sub-plans (as annexed to the main plan) set out the service priorities for 2021-22, taking account of the service budget set in February 2021, and focusing on economic recovery for the county.

Executive Summary

The Trading Standards service takes an evidence-based approach to strategic and tactical planning and decision making and the service plan has been developed using analysis of information (intelligence), such as consumer complaints recorded by the Citizens Advice Consumer Helpline (CACH), information about threats and rogue traders recorded on the Trading Standards' national intelligence database, intelligence disseminated by enforcement partners such as the Food Standards Agency and the Office of Product Safety and Standards and lessons learned during our response to the coronavirus pandemic. This ensures that the service plan reflects the issues and problems Norfolk people and

businesses face, ensuring that our service is unique and focused on the needs of the county.

Recommendations

To agree and adopt the Trading Standards Service Plan and associated Annexes set out in Appendices 1 to 5

1. Background and Purpose

1.1. The Trading Standards service's ambition is for a safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities. In alignment with Together for Norfolk, the six outcomes the service is seeking to achieve are:

Growing Economy:
- More businesses start, grow and invest in Norfolk
- The local economy is inclusive, and supports and benefits local businesses and communities

Thriving People:
- All families, older people and people with learning or physical disabilities are supported to live well and independently in their community

Strong Communities:
- People of all ages enjoy good health and increased wellbeing
- Services in communities are joined up and more able to meet people's needs
- Communities are safe and resilient

1.2. In "normal" years, Trading Standards has a very broad remit:
- Protecting the integrity of the food chain, from farmed animal welfare and disease control (such as, in response to avian influenza) to food safety and standards
- Ensuring goods are safe and trading is fair
- Tackling underage and illegal sales of alcohol, tobacco and knives, and
- Since July 2020, ensuring the safety of a number of sports grounds in the county.

However, as demonstrated on pages 3 to 5 of the Trading Standards Service Plan 2021-22 (Appendix 1), the service's remit was broadened still further in 2020 to support Public Health and enforcement partners in responding to and recovering from the Covid-19 pandemic:
- Ensuring business compliance with a plethora of coronavirus restrictions legislation including at retail level and sports venues
- Ensuring farmed animal welfare was not compromised as a result of Covid-19 outbreaks at meat processing businesses, and
- Working with the Norfolk Against Scams Partnership (NASP) to raise awareness of Covid-19 related scams and frauds, such as fake personal protective equipment (PPE), disinfection services and vaccinations.

1.3. The service supports businesses through the provision of:

- information and advice to ensure compliance with trading standards/coronavirus restrictions
- calibration, verification, testing and hire of weighing and measuring equipment
- a level playing field by ensuring unscrupulous and unfair practices are not allowed to prosper.

The service investigates criminal offences and civil breaches and takes legal action where necessary to protect individuals, in particular the vulnerable, as well as wider legitimate public and economic interests. The service also seeks to protect Norfolk people from scams, fraud and rogue traders through awareness raising and our No Cold Calling Zones and Trusted Trader scheme.

Trading Standards therefore has an important social and economic role in the county, helping communities to strengthen, people to thrive, the economy of Norfolk to grow and both communities and businesses to recover from the Covid-19 pandemic.

1.4.   The Trading Standards service takes an evidence-based approach to strategic and tactical planning and decision making and the service plan has been developed using analysis of information (intelligence), such as consumer complaints recorded by the Citizens Advice Consumer Helpline (CACH), information about threats and rogue traders recorded on the Trading Standards' national intelligence database, intelligence disseminated by enforcement partners such as the Food Standards Agency and the Office of Product Safety and Standards and lessons learned during our response to the coronavirus pandemic. This ensures that the service plan reflects the issues and problems Norfolk people and businesses face, ensuring that our service is unique and focused on the needs of the county. This includes providing part of the 'national shield'; addressing both national issues that affect Norfolk and the impact of local businesses nationally and globally.

The service plan (Appendix 1) includes our 'plan on a page' (page 12) which summarises our strategic control strategy and focus on protecting the public and legitimate business.

2.   Proposals

2.1.   The Trading Standards Service Plan (Appendix 1) includes, and attention is drawn to:

- Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2021-22 and Operation CeCe bulletin (Appendices 2 and 3 to this report)

- Annex II: Food & Feed Law Enforcement Plan 2021-22 (Appendix 4 to this report), and

- Annex III: Delivery of Animal Health & Welfare Framework 2021-22 (Appendix 5 to this report).

2.2.   The Enforcement of Age Restricted Sales and Illicit Tobacco Plan enables the County Council to discharge its statutory duty to annually consider and review its enforcement of the Children and Young Persons (Protection from Tobacco) Act 1991 and the Anti-Social Behaviour Act 2003.

2.3. The Food and Feed Law Enforcement Plan is a statutory plan required by the Food Standards Agency; which incorporates work that is intended to protect the food supply chain, covering both food production and control of animal feed used for animals intended for human consumption.

3. Impact of the Proposal

3.1. The Trading Standards service has a track-record of evidence-based strategic and tactical planning and decision making. Our service plan ensures that we target our resources at those areas of trade that cause the most detriment to Norfolk consumers and businesses and anticipate emerging issues. It enables us to work with partners to achieve complementary aims, such as our work with the police and HMRC to tackle organised crime groups involved in illicit tobacco supply and modern slavery. Our planned approach promotes an environment in which businesses and people can thrive.

For example, during the last year, despite the constraints imposed by the coronavirus pandemic, the Trading Standards Service:

- Calibrated over 18,500 items of equipment, providing hire weights and verifying other weighing and measuring instruments at our Covid-secure laboratory at Hethel Engineering Centre

- In December, supported APHA to respond to five Avian Influenza outbreaks. To put this into context, there were a total of 17 outbreaks across England in November and December. Officers, supported by NCC libraries and countryside staff and colleagues from Suffolk Trading Standards, conducted foot patrols in the affected areas near Snetterton, East Winch, Great Ellingham (2) and Ickburgh, to identify and advise poultry keepers on how to protect their flocks and prevent further spread of the disease

- Continued to conduct "virtual" business inspections at high-risk businesses such as food manufacturers and PPE manufacturers and continued to take food samples and make test purchases of goods to ensure they meet regulatory standards, often using online purchasing. Our allergens sampling resulted in the identification and national withdrawal of a bread product with undeclared soya.

- Took four prosecutions during the year where the offenders either pleaded guilty or were found guilty at trial. The cases related to rogue builders, illegal tobacco sales and horse welfare.

4. Evidence and Reasons for Decision

4.1. The Trading Standards Service Plan is considered to be the most effective way to demonstrate how the service intends to fulfil its regulatory/statutory responsibilities taking into account the available intelligence, resources and the Together for Norfolk outcomes we are seeking to achieve.

5. Alternative Options

5.1. The proposed Plan and associated documents are considered to set out the most effective approach. Alternative approaches could be taken, but these

would require further work to develop and may result in a need to secure additional funding to deliver.

6. Financial Implications

6.1. There are no additional financial implications. The activities within the proposed service plan can be delivered within the agreed budget, with additional funding for Covid-related enforcement from the Contain Outbreak Management Fund (COMF) via Public Health.

6.2. As highlighted in the Service Plan itself, there is a risk that EU exit will impact significantly on the Trading Standards service in terms of increased demands for business advice, market surveillance and investigation of scams. As part of budget setting for 2020-22, members agreed additional revenue funding of £90K per annum for 2020-21 and 2021-22 to mitigate this risk.

7. Resource Implications

7.1. **Staff:**

Sufficient suitably qualified and competent officers are required to undertake enforcement activities, including the use of statutory powers. The Trading Standards service operates a career development plan and has a learning and development framework to maintain a complement of qualified and competent officers. Skills and competency are assessed during annual staff personal development plan discussions and a programme of Trading Standards Practitioner Diploma (TSPD) qualification and continuous professional development is implemented to ensure the maintenance of essential knowledge and skills.

In light of the difficulties in recruiting qualified Trading Standards Officers to fill vacancies and for the purposes of succession planning, the service is seeking to recruit a number of trainees during the 2021-22 service year.

7.2. **Property:**

None.

7.3. **IT:**

The Trading Standards service has invested in a replacement case management system, which will be launched during the 2021-22 service year. The Information Management Team (IMT) is providing technical support during the implementation phase and will provide ongoing technical support once the system is launched.

It is anticipated that, once fully implemented, the system will generate efficiencies in workflows, enhanced mobile working for officers and a reduction in the need for administrative and IMT support.

8. Other Implications

8.1. **Legal Implications**

Statutory duties are addressed in the Trading Standards service plan 2021-22 and associated plans.

The Norfolk County Council Constitution has been updated to delegate responsibilities relating to the Safety of Sports Grounds, Coronavirus restrictions regulations and specific environmental protection legislation to the Head of Trading Standards.

The Trading Standards service is principally concerned with preventing or reducing crime and disorder. Enforcement activities are determined via our intelligence-led approach and enforcement action is undertaken in accordance with the CES Compliance and Enforcement Policy.

Enforcement activities occasionally necessitate the use of covert surveillance or access to communications data, as regulated by the Regulation of Investigatory Powers Act 2000 (RIPA) and the Investigatory Powers Act 2016 (IPA).

The service complies with the Acts and the County Council's RIPA and IPA policies when considering the necessity and proportionality of such activities.

The service had regard to corporate data protection policies and procedures and service specific policies in relation to data protection where these differ in a criminal justice context.

8.2.   **Equality Impact Assessment (EqIA)**

There are no material changes to the Trading Standards Service Plan relevant to equality.

8.3.   **Health and Safety implications**

The service follows the County Council's Health & Safety – "Our Commitments policy" and associated corporate policies, including "Covid-19 Your Health and your safety". The service has comprehensive risk assessments for Covid-secure working practices which complement those for service-specific activities such as weights and measures inspections or potentially confrontational situations. Our comprehensive set of risk assessments are reviewed on an annual basis as part of our Health, Safety & Wellbeing Action Plan.

8.4.   **Sustainability implications**

The Service is committed to reducing our impact on the environment, where possible. This includes:
- A commitment to engage with the development of the corporate Environmental Action plan, adopting best practice where applicable
- Implementing the mobile working functionality of our replacement case management system and thus reducing our use of paper forms
- Sign-posting businesses to online information and advice and providing bespoke advice via email and thus reducing our use of information leaflets and letters, and
- Retaining the positive benefits of home-working and implementation of MS Teams to reduce business travel, especially for meetings.

9.   Risk Implications/Assessment

9.1.   This service plan provides a clear framework and mitigates any risk of legal challenge regarding the delivery of the regulatory/statutory enforcement function of the Trading Standards Service.

9.2.   As demonstrated in the last service year, plans will need to be revised if:

- Additional coronavirus restrictions enforcement is necessitated by further outbreaks
- The county is impacted by more animal disease outbreaks, such as avian influenza or classical swine fever, or
- The service is unable to recruit qualified Trading Standards Officers and/or trainees.

10.   Recommendations

10.1.   **To agree and adopt the Trading Standards Service Plan and associated Annexes set out in Appendices 1 to 5**

11.   Background Papers

11.1.   [CES Compliance and Enforcement Policy](#)

Officer Contact

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

Officer name: **Sophie Leney**   **Tel No.:**   **01603 224275**

Email address: **sophie.leney@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.

Trading Standards Service Plan 2021-22

Responsible Senior Officer Name: **Sophie Leney**

Period covered: **2021-2022**

Latest update: **26 February 2021**

What our service aims to achieve

The Trading Standards Service's ambition is for a safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities. In alignment with Together for Norfolk, the Norfolk County Council's business plan for 2019-2025, the six outcomes we are seeking to achieve are:

Growing Economy:

- More businesses start, grow and invest in Norfolk
- The local economy is inclusive, and supports and benefits local businesses and communities

Thriving People:

- All families, older people and people with learning or physical disabilities are supported to live well and independently in their community

Strong Communities:

- People of all ages enjoy good health and increased wellbeing
- Services in communities are joined up and more able to meet people's needs
- Communities are safe and resilient

Our priorities for the 2021/22 service year are:

- Investment in our workforce to develop a resilient service
- Recovery and continued development of best practice arising from the Covid-19 pandemic
- Response to the impact of EU exit
- Online market surveillance, and
- Development of our commercial services.

The values that underpin all that we do are:

- Reducing our impact on the environment
- Offering help early to prevent and reduce demand
- Joining up our work
- Being business-like
- Making best use of digital technology, and
- Using evidence and data to target our work

The things we do

1. Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services

2. Support the economy, through our traded service, by delivering calibration, verification, testing and hire to the public and private sectors

3. Safeguard vulnerable people and build community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme

4. Protect consumers and support legitimate businesses by tackling non-compliance, focusing on the most detrimental trading

5. Through programmes of intelligence-led market surveillance, education and enforcement activities:

   a) Safeguard communities and public health by tackling the supply of age restricted products to young people

   For further information see **Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2021-22**

   b) Ensure the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilizers

   For further information see **Annex II: Food & Feed Law Enforcement Plan 2021-22**

   c) Safeguard the standards of animal health and welfare and reduce the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health

   For further information see **Annex III: Delivery of Animal Health & Welfare Framework 2021-22**

   d) Ensure fair trading of products and services, and the safety and legal measurement of products

6. Ensure safety at sports grounds through the delivery of an effective inspection programme for designated stadia and regulated stands, and by working with partner agencies and other stakeholders via safety advisory groups

7. Safeguard communities and public health and support the economy through our response to the covid-19 pandemic

Our service structure

The Trading Standards Service consists of four teams:
- Calibration, Verification & Testing Services
- Food and Farming
- Intelligence and Enforcement Support
- Safety and Fair Trading

The service has a full-time equivalent staffing complement of 44.36 FTE with a headcount of 46, including two temporary posts funded from an EU transition grant for the period April 2020 to March 2022. The service is delivered from three offices, County Hall in Norwich, Priory House in King's Lynn and Hethel Engineering Centre (Calibration, Verification & Testing Services only).

Norfolk's population is 907,760[1] and there are 33,035[2] active enterprises in Norfolk. With a net budget of £1,689,560, the annual cost of the Trading Standards service is £1.86 per head or £51.14 per enterprise.

Monitoring our outcomes/performance

During the last year, in line with every other public sector service, business and third sector organisation, the Trading Standards Service's plans, service delivery and developments have been significantly impacted by the Covid-19 pandemic.

Since March 2020, the Trading Standards Service has worked closely with the Police, Environmental Health, Public Health, Communications and npLaw to provide advice and support to businesses and the public on business closure, business restrictions and self-isolation legislation, introduced to control the spread of the coronavirus. Due to the constantly and rapidly changing coronavirus restrictions legislative framework, three Norfolk-wide enforcement protocols have been agreed to date, setting out a joint working approach between all seven local authorities, Trading Standards and Norfolk Constabulary. These protocols enable:

- the sharing of intelligence between agencies,
- targeted enforcement in areas of non-compliance by the most appropriate partner
- sharing of briefings for operational staff on the new and amended legislation
- agreement of interpretation of the rules to ensure consistency across the County
- mutual aid and joint enforcement, and
- feeding into shared communications to both the business and wider community of Norfolk.

The prime objective is for the signatory agencies to seek to obtain compliance by consent, through a consistent staged approach of Engagement, Explanation and Encouragement. Where compliance by consent cannot be achieved, Enforcement will be contemplated. A variety of Regulations empower Trading Standards to issue prohibition or fixed penalty notices or to take legal proceedings, however, due to generally high levels of business compliance in the county, to date Norfolk County Council has issued only one prohibition notice.

Trading Standards officers have been deployed in response to emergency requests from Great Yarmouth Borough, Norwich City and Breckland Councils, to provide boots-on-the-ground support, delivering advice and guidance to businesses, in an effort to maintain low levels of coronavirus in communities where rates were beginning to increase. Most recently officers supported Operation Eagle, the surge testing of the community in Diss and Roydon, South Norfolk.

As part of the response to coronavirus outbreaks at two meat processing businesses in the county, Trading Standards chaired Animal Welfare Cells. Outbreaks raise the potential for on-farm animal welfare issues, as any disruption of processing capability on site restricts the ability for birds/animals to be moved off supplier farm sites. We worked with the companies and the Department of Environment, Food and Rural Affairs (Defra), the Animal and Plant Health Agency (APHA), the Food Standards Agency (FSA), the Environment Agency (EA), trade associations, Environmental Health and Public Health England officials to secure a workaround that did not compromise human or bird health.

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[1] 2019 Office of National Statistics figure (estimated)

[2] 2019 Office of National Statistics figure from the Inter Departmental Business Register

Enforcement of the Safety of Sports Grounds transferred from Democratic Services to Trading Standards in July 2020 and we have been working with the Sports Grounds Safety Authority (SGSA) to ensure that the County's Designated Stadiums and Regulated Stands are Covid-19 compliant, and that, where these are able to re-open, they do so in line with government guidance. Working with other agencies such as the Police, Fire and Rescue, Environmental Health, Public Health and the Ambulance Service, the service has reviewed the operating arrangements and/or re-issued safety certificates for eight venues around Norfolk, including for football, greyhounds, stock car racing and horse racing. Like most of our Covid-19 response activities, the return of sport remains subject to ongoing review, taking into account developing government policy and guidance for the sector.

With the exception of the calibration laboratory, the service converted to working from home with effect from 17 March 2020 and, without a break in service, through the adoption of MS Teams, operated our duty team system, enabling us to continue to respond to business requests for advice and support and to urgent consumer complaints such as those relating to unsafe products or animal welfare. During the period 1 February 2020 to 31 January 2021, the service received over 11,500 consumer complaints, almost a tenth of which related to coronavirus restrictions. During the same period, we handled 805 requests for advice and support from businesses, 15% of which related to coronavirus restrictions. We provided advice on business closures, the manufacture of hand sanitiser and personal protective equipment (PPE) to meet regulatory requirements, home-based business start-ups, consumer rights in relation to enforced holiday and wedding cancellations and food labelling and traceability advice to local authority food hubs; distributing food to those shielding or self-isolating. The service also works with the New Anglia Local Enterprise Partnership (NALEP) Growth Hub, the Norfolk Chamber of Commerce, Hethel Innovation Centre (HIC) and other business partners via the Norfolk Against Scams Partnership (NASP) to provide information on new legislation and raise awareness of scams and frauds affecting businesses.

The Calibration, Verification and Testing Services (CVTS) team is forecast to generate £533,500 of income, by year end, by calibrating over 18,500 items of equipment, providing hire weights and verifying other weighing and measuring instruments at its Covid-secure laboratory at Hethel Engineering Centre. This is £81,500 (18%) over the target set. Ways of working and travel have been significantly impacted by the pandemic, as has income from the service sector, but our reputation and flexibility has secured additional income from the pharmaceutical sector, including covid-19 vaccine manufacturers. The CVTS team is also responsible for maintaining Norfolk Trading Standards' own weights and measures and, via Section 101 agreements, those of Cambridgeshire, Central Bedfordshire, Essex, Luton and Suffolk. The CVTS team continues to work closely with NorseCare and others to ensure medical weighing equipment meets Care Quality Commission (CQC) requirements whilst generating savings for the company in equipment maintenance, although some inspections have been delayed due to covid-19 outbreaks. The team successfully maintained our accreditation from the United Kingdom Accreditation Service (UKAS), ISO9001 certification, and designation from the Secretary of State as an Approved Body.

As part of Norfolk County Council's post-lockdown economic recovery plan, the service was successful in bidding for a Norfolk Strategic Fund grant, to enable us to promote our Trusted Trader scheme. Additional staffing and marketing are designed to increase membership of the scheme by 150% over the next two years, supporting economic recovery in Norfolk and improving consumer confidence post-pandemic by improving coverage in market sectors that cause high levels of detriment to Norfolk people and in geographical areas that are currently poorly served by the scheme.

We have continued to work with the Norfolk Against Scams Partnership (NASP) to enable organisations to protect people and businesses from scams, doorstep crime and fraud and to help those who are defrauded. The Partnership has 55 public, private and voluntary sector organisations as members (to date, an increase of 5 this year). The partnership has worked together during the pandemic to raise awareness of covid-19 related scams, running three social media campaigns during lockdown periods. A suite of materials for social media and postcard-style scam information leaflets have been developed and delivered throughout Norfolk. We have worked with local radio and press, including a full-page advert in the EDP newspaper to raise awareness of frauds such as those relating to fake PPE and vaccinations.

We have continued to promote our No Cold Calling Zone (NCCZ) scheme and to support existing zones. 18 new zones have been added to the scheme during the current service year taking the total to 265 active zones, covering 12,012 households. During the first period of lockdown in 2020, work was suspended on the scheme but since then, including during the two further lockdown periods, we have continued remote work on the scheme; enabling us to restart ongoing community consultations, accept new applications and commence their consultations. As a result, we currently have a further 25 No Cold Calling Zones which are ready to be implemented once current restrictions are lifted. This will take Norfolk's total to 290 zones.

We have continued to promote Friends Against Scams, leading to an increase in Norfolk this year of 444, taking the total to 4,187 Friends. In addition, we have 55 Scam Champions (an increase of 4), 24 Scam Marshals (an increase of 6), 3 Businesses Against Scams and 7 Friends Against Scams organisations. At the commencement of the first period of lockdown, the National Trading Standards Scams Team requested that all face to face Friends Against Scams training should be suspended and this suspension continues to date. The Friends Against Scams training programme is now available on the Norfolk County Council Learning Hub; enabling any member of staff, who wishes to take the training, to do so.

While most officers were working from home or at the laboratory, Animal Health and Welfare officers continued to respond to farmed animal welfare complaints (exacerbated by heavy rainfall and flooding), animal by-products concerns and suspected illegal landings of puppies throughout the lockdowns. In December, including over the Christmas and New Year period, it was all hands to the pump as the Service supported APHA to respond to five Avian Influenza outbreaks. To put this into context, there were a total of 17 outbreaks across England in November and December. Officers, supported by NCC libraries and countryside staff and colleagues from Suffolk Trading Standards, conducted foot patrols in the affected areas near Snetterton, East Winch, Great Ellingham (2) and Ickburgh, to identify and advise poultry keepers on how to protect their flocks and prevent further spread of the disease. The service continues to respond to complaints about loose poultry and poultry welfare arising from the impact of the England-wide Avian Influenza Prevention Zone declaration which remains in place.

Alongside our coronavirus and avian influenza responses, the service has continued to deliver on our statutory duties, albeit adopting innovative approaches in some instances. For example, we:

- have conducted "virtual" business inspections at high risk businesses such as food manufacturers and PPE manufacturers
- have continued to take food samples and make test purchases of goods to ensure they meet regulatory standards, often using online purchasing. Our allergens sampling resulted in the identification and national withdrawal of a bread product with undeclared soya
- conducted the examination and test of Public Weighbridge Operators over Whats App video. (In order to operate a public weighbridge, people must be certified as competent by their local TS service. This involves completing an arithmetic test and demonstrating proper operation of the weighbridge at which they work)
- worked with the police, to support a landlord in King's Lynn to repossess a retail premises, the centre of the supply of illegal tobacco in the town for many years, which will now be converted to accommodation
- inspected four of our most complained about used car dealers; with a Dekra vehicle examiner, and
- continue to investigate rogue traders, taking witness statements online.

Despite the severe constraints on the court service, Trading Standards had four prosecutions during the year where the offenders either pleaded guilty or were found guilty at trial. The cases related to rogue builders, illegal tobacco sales and horse welfare.

We will know we have made a difference when:
- Businesses understand and comply with trading standards
- Communities can protect themselves and others from scams, fraud and rogue traders
- Traders who flout the law are brought to compliance and/or punished
- Illegal and/or unsafe products are prevented from entering or removed from the marketplace
- People and local businesses do not lose money to fraudsters and rogue traders

Measure	How we did in						Our target for this year
	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21 (to date)	
Percentage of businesses brought to broad compliance with trading standards	Target = 94% Actual = 96.44%	Target = 95% Actual = 95.30%	Target = 95% Actual = 94.69%	Target = 95% Actual = 95.66%	Target = 95% Actual = 94.87%	Target = 95% Actual = 97.98%	95%
Number of (a) Norfolk people who are 'Friends Against Scams' and (b) partners in the Norfolk Against Scams Partnership (NASP); protecting people from financial abuse	New measure		(a) FAS Target = 600 (a) FAS Actual = 626	Discontinued	No targets set (a) 3,886 (b) 50	No targets set (a) 4,187 (b) 55	No targets set
Percentage of rogue traders and most detrimental businesses brought to compliance	74.47%	Target = 80% Actual = 85.58%	Target = 85% Actual = 78.10%	Target = 85% Actual = 86.16%	Target = 95% Actual = 98.81%	Target = 95% Actual (YTD) = 98.73%	95%
Percentage of products, including foods and feeds, sampled or test purchased, which are found to be non-compliant and are subsequently brought to compliance or removed from the marketplace	Baselining measure	Target = 90% Actual = 94%	Target = 93% Actual = 95.45%	Target = 93% Actual = 98.27%	Target = 93% Actual = 97.34%	Target = 96% Actual = 95.56%	96%
Amount of money that, as a result of Trading Standards intervention, is not lost to or is recovered from fraudsters and rogue traders	New measure					Actual not available until year end	Baselining measure

Feedback from our customers

Measure	How we did in						Our target for this year
	2015/16	**2016/17**	**2017/18**	**2018/19**	**2019/20**	**2020/21 (to date)**	
Business satisfaction with Trading Standards services	Target = 90 Actual = 91.60	Target = 94 Actual = 91.20	Target = 93 Actual = 92.90	Target = 93 Actual = 93.50	Target = 97% Actual = 94.40%	Target = 97% Suspended due to covid-19	97%

Our key risks

Risk (Managed and monitored via the Trading Standards Risk Register)
The Food Standards Agency (FSA), through its "Achieving Business Compliance" (formerly "Regulating Our Future") Review and Strategic redesign, has determined that the current model for ensuring food is safe and as described is not meeting their expectations. The service is fully committed to working with the Food Standards Agency on the development of the Achieving Business Compliance strategic redesign of food standards, to determine a future intelligence-lead enforcement delivery model for official food controls.
EU exit may result in several risks to the service, which have, to date, been masked by the impact of Covid-19: • An increased demand on resources as a result of the need for officers to familiarise themselves with new legislation and new institutions, new processes and new frameworks that underpin the operation of trading standards laws. • An increased demand for advice from Norfolk businesses as they seek to understand new legislation and how it will operate in practice. • Despite our Calibration, Verification and Testing Services (CVTS) unit at Hethel becoming a UK Approved/Notified Body for conformity assessments for the GB/Northern Ireland markets, there may be a reduction in income as conformity assessments cannot be performed for local businesses exporting to the EU. Any products, with a few exceptions under discussion, being placed on the EU market must be conformity assessed by an EU27 notified body. • EU exit has resulted in increased administration and associated costs for importing goods traded by our Calibration, Verification and Testing Services (CVTS) unit, as well as long delays in receiving goods. This may result in a reduction in income from supply of new equipment. The introduction of a webshop, to enable trade in weights and measures via the Norfolk Calibration Services website, would help to offset the anticipated loss in income. • A need to undertake additional market surveillance at points of import and inland to identify and remove unsafe good and consumer goods. There may also be an increase in audits on UK market surveillance authorities by EU (and other international) regulators.

Risk (Managed and monitored via the Trading Standards Risk Register)

- A need to increase enforcement and awareness raising to combat fraudsters who will exploit any confusion arising from new rules, such as in relation to citizen payments or pet passports, for example.

A loss of staff due to the service's aging demographic and/or continued austerity measures could result in a loss of specialist trading standards knowledge and skills, resulting in an inability to (a) deliver statutory duties and (b) generate the required income through our commercial activities of Primary Authority Partnerships, bespoke advice, calibration, verification and testing services.

Measures (to monitor risks)

Measure	How we did in						Our target for this year
	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21 (to date)	
Income generated through our commercial activities of calibration, verification and testing services	Target = £327,500 Actual = £361,846	Target = £339,500 Actual = £397,846	Target = £355,000 Actual = £410,533	Target = £375,000 Actual = £420,407	Target = £425,000 Actual = £512,976	Target = £452,000 Actual = £533,500 (forecast)	£512,000
Income generated through our commercial activities of Primary Authority Partnerships and bespoke advice	New measure	Target = £20,240 Actual = £868	Target = £20,580 Actual = £20,522	Target = £21,030 Actual = £15,485	Target = £21,280 Actual = £25,532	Target = £41,280 Actual = £16,117	£41,280
Proportion of Trading Standards Officers/Managers who hold necessary qualifications and current competencies to be authorised to deliver the Trading Standards Service priorities (as required by statute and as set out in the Control Strategy).	New measure	Target = 100% Actual: July = 90% Nov = 94%	Target = 100% Actual: April = 97% Aug =99% Dec = 98.94% Mar = 99.64%	Discontinued		Target = 100% Actual not available until year end	100%

Supplementary information

In addition to the local ambition, outcomes and priorities outlined on page 1 above and Norfolk Trading Standards' Strategic Assessment 2021 recommendations, the Trading Standards Service Plan has regard to (a) the Chartered Trading Standards Institute (CTSI) Four Nations Priorities, which are:

1. **Protecting those at risk of the highest harm from the worst impacts of financial hardship** including:

   - Scams and doorstep crime – educating consumers on how to protect themselves from scams using local and national networks, preventing doorstep crime and taking action against fraudsters and scammers

   - Housing and rents – with so many people living in insecure or unsuitable homes Trading Standards plays a critical role to ensure consumers are getting a fair deal and ensuring tenants' rights are protected by working with estate agents, letting agents and landlords and taking action against rogue agents and landlords where necessary

   - Unfair terms – working with consumer protection partners and business to keep contracts fair and ensure consumer rights are upheld

   - Pricing and metrology – ensuring consumers have access to clear and accurate pricing information, get what they pay for and can make proper value for money choices, especially on essentials like food and fuel

   - Educating consumers who may be seeking cheaper products due to financial hardship and turn to troublesome websites or marketplaces where they may be scammed or sold dangerous goods.

2. **Identifying and removing dangerous or harmful products from the market**:

   - Intercepting and removing from the market dangerous or defective goods, including counterfeits e.g. PPE, Covid "cures" and claims, dangerous electronics and consumer goods, illicit alcohol and tobacco

   - Ensuring food standards and quality to avoid illness and even death caused by undeclared allergens or misdescribed and poor quality food

   - Preventing crises like BSE by assuring the integrity of the food chain from animal feed to final product

   - Taking enforcement action against those who do not comply with the law, including formal action for the most serious or persistent breaches.

3. **Supporting businesses to diversify and adapt to new circumstances**:

   - Working with businesses to help them diversify with new business models such as the shift to online transactions

   - Helping businesses to get different products and services on the market

   - Ensuring a level playing field by ensuring all businesses comply with trading standards laws.

4. **Helping businesses and consumers to successfully navigate the consequences of the UK's departure from the EU**:

   - Providing advice to business on new legislation and requirements especially in relation to the import and export of goods

   - Ensuring compliance with, and enforcement of new rules e.g. ensuring products are properly marked

- Working with partners to ensure consumers have the right information about their rights and obligations.

(b) the National Trading Standards (NTS) Strategic Assessment 2020 priorities and (c) the East of England Trading Standards Authorities (EETSA) Strategic Assessment 2021 priorities, which are:

Mass marketing scams	NTS	EETSA
Estate agency and lettings work	NTS	
Doorstep crime and cold calling	NTS	EETSA
Product Safety		EETSA
Animal Health		EETSA
Food		EETSA
Tobacco Control		EETSA
Fair trading: Energy-related fraud	NTS	EETSA
Age restricted sales of knives and tobacco/e-cigarettes (EETSA)	NTS	EETSA
Fair Trading – used cars	NTS	EETSA
Fair Trading – other areas including fake membership of trader approval schemes, copycat websites, subscription traps, travel business issues arising from the impact of the covid-19 pandemic and EU exit and double glazing (EETSA)	NTS	EETSA
Animal feed	NTS	
Intellectual property	NTS	EETSA
Intelligence		EETSA

This Service plan is supplemented by our 2021-22 control strategy and with the following functional specific plans which describe how we will address statutory responsibilities relating to underage sales, food and animal feed safety and standards, and farmed animal welfare and disease control:

- Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2021-22
- Annex II: Food & Feed Law Enforcement Plan 2021-22
- Annex III: Delivery of Animal Health & Welfare Framework 2021-22.

Please see the Trading Standards Service's plan on a page below.

Service: Trading Standards

What we'll do

Ambition: A safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities

Outcomes

Growing Economy:
- More businesses start, grow and invest in Norfolk
- The local economy is inclusive, and supports and benefits local businesses and communities

Thriving People:
- All families, older people and people with learning or physical disabilities are supported to live well and independently in their community

Strong Communities:
- People of all ages enjoy good health and increased wellbeing
- Services in communities are joined up and more able to meet people's needs
- Communities are safe and resilient

Focus for 2021/22
Investment in our workforce to develop a resilient service
Recovery and continued development of best practice arising from the Covid-19 pandemic
Response to the impact of EU exit
Online market surveillance
Development of our commercial services

How we'll do it

Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services

Support the economy, through our traded service, by delivering calibration, verification, testing and hire to the public and private sectors

Safeguard vulnerable people and build community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme

Protect consumers and support legitimate businesses by tackling non-compliance, focusing on the most detrimental trading

Through programmes of intelligence-led market surveillance, education and enforcement activities:
- Safeguard communities and public health by tackling the supply of age restricted products to young people
- Ensure the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilisers
- Safeguard the standards of animal health and welfare and reduce the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health
- Ensure fair trading of products and services, and the safety and legal measurement of products

Ensure safety at sports grounds through the delivery of an effective inspection programme for designated stadia and regulated stands, and by working with partner agencies and other stakeholders via safety advisory groups

Safeguard communities and public health and support the economy through our response to the covid-19 pandemic

How we'll know if we've made a difference

Businesses understand and comply with trading standards

Communities can protect themselves and others from scams, fraud and rogue traders

Traders who flout the law are brought to compliance and/or punished

Illegal and/or unsafe products are prevented from entering or removed from the marketplace

People and local businesses do not lose money to fraudsters and rogue traders

Values that underpin everything

Reducing our impact on the environment	Offering help early to prevent and reduce demand	Joining up our work	Being business-like Making best use of digital technology	Using evidence and data to target our work

Norfolk County Council

Community & Environmental Services

Trading Standards Service
Enforcement of Age Restricted Sales and Illicit Tobacco

A review of our activities in 2020-21 and a strategy for 2021-22 to deter the sale of age restricted products to young people and the sale of illicit tobacco in Norfolk, with the intention of improving community safety and public health.

IN TRAN
communication for all

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Context

The Children and Young Persons' (Protection from Tobacco) Act 1991 requires a Local Authority to review its enforcement activity relating to the supply of cigarettes and tobacco to persons under the age of 18 on an annual basis. There are similar duties arising from Section 54A of the Anti-Social Behaviour Act 2003. The Trading Standards service has a responsibility to enforce the compulsory health warning requirements on tobacco products and the age restrictions and composition legal requirements applicable to e-cigarette liquids which contain nicotine.

This plan fulfils these review obligations, as part of the overall work by Trading Standards to improve community safety and public health.

The supply of illicit tobacco continues to be a problem in Norfolk. There is evidence of supply spreading to smaller market towns in addition to the larger urban areas of Norwich, King's Lynn and Great Yarmouth. These products fail to carry the health warnings of legitimate tobacco products and are often counterfeits of established brands. Their unknown composition presents an additional health hazard to smoking, already the major cause of death in the UK. The service receives intelligence that sales of illicit cigarettes are being made to young people. The relative cheapness of these products makes them attractive to buyers; including those under 18 years of age and undermines smokers' attempts to quit. This plan integrates the Trading Standards Service actions to tackle these illicit products along with the obligations outlined above.

Background

Trading Standards community safety activities are intelligence-led and focus on both national and local priorities. Improving community safety and public health by tackling the sale of illicit and age restricted products is a key priority for the service.

Trading Standards recognises that effective enforcement of legislation to prevent the sale of age restricted goods requires a multi-agency approach and seeks to work in partnership with a range of agencies and stakeholders to ensure accurate identification of priority and high-risk areas, share best practice and engage in collaborative work, such as joint operations and licence reviews.

Trading Standards aligns its service delivery, wherever possible, to support the priorities of other council services. In order to align its community safety activities with Public Health priorities, the service will focus activities on:

- Preventing the sale of alcohol to young people
- Taking action through alcohol licensing requirements
- Preventing the sale of cigarettes, e-cigarette liquids and tobacco to young people
- Disrupting the supply of illicit tobacco products
- Working with the Norfolk Tobacco Alliance, and
- Working with Community Alcohol Partnerships (CAPs).

Service delivery will take place across the whole of the county; based on the intelligence derived from information received about the sale of age restricted products and illicit tobacco.

Review of 2019-20

The impact of Covid-19 severely restricted the actions that could be taken.

The amount of intelligence received regarding premises selling age restricted products to underage persons has remained very low. This includes complaints made to the police and district council licensing departments in the county.

1. **Alcohol**

   In the first three quarters of the 2020-21 service year, intelligence was received about four premises selling alcohol to underage persons. All premises were advised by remote means on their responsibilities in relation to underage sales. Following further complaints about two of these premises, visits by the Police were arranged via Police Licensing.

   Little activity has been possible with the Community Alcohol Partnership (CAP) in Gorleston & Bradwell, which, from October 2019 was building upon the success of the neighbouring Great Yarmouth CAP.

   The Trading Standards service is a Responsible Authority in licensing matters. Trading Standards continues to work closely with the other Responsible Authorities, in particular, Norfolk Constabulary Licensing Team, in order to ensure the licensing objectives are upheld in Norfolk. Where a premises is found to be selling alcohol to underage persons, Trading Standards, in conjunction with Norfolk Constabulary, will apply for a review of the premises licence. So far in the 2020-21 service year we have not had to use this approach in relation to alcohol but have used it in relation to premises suppling illicit tobacco.

2. **Tobacco**

   In the first three quarters of the 2020-21 service year, we received 1 complaint about premises selling cigarettes to persons aged under 18. Again, the premises was provided with advice by remote means.

   The Government's Tobacco Control Strategy is key to the Trading Standards Service's response in enforcing legislation in relation to both the supply of illicit tobacco and underage sales as well as ensuing that legal tobacco products are stored and labelled as required by legislation.

   Trading Standards has been limited in our ability to undertake face to face visits this year. However, Norfolk Police have carried out a number of seizures which Trading Standards are currently investigating; one of which includes a seizure of over 1 million illegal cigarettes.

   In 2020-21 one illicit tobacco trader was prosecuted and sentenced to 300 hours unpaid community work within the next twelve months and a victim surcharge of £80. The Bench also granted Trading Standards £1,000 towards our costs and granted a Deprivation Order in favour of Trading Standards for two vehicles, a Mercedes Van and a Jaguar car. Forfeiture and destruction of the seized tobacco products was also granted.

Other illicit tobacco investigations and prosecutions are ongoing.

Trading Standards, in conjunction, with Norfolk Constabulary's Licensing Team has continued to apply to revoke existing Premises Licences and prevent unsuitable applicants from obtaining them. Two applications were objected to. One was withdrawn just before the hearing. The other objection was invalidated by a date error by the Licensing Authority involved.

The service has not been able to adopt as comprehensive a multi-agency approach during 2020-21 to tackle illicit tobacco as has happened in previous years. Although Trading Standards participated in a multi-agency operation in Norwich in September 2020.

In King's Lynn, joint working with Norfolk Constabulary has taken place to deal with a number of shops which have persistently sold illegal tobacco. In the past, landlords of some shops have not been co-operative in tackling tenants who are engaging in the sale of illegal tobacco. Following work in Lincolnshire where a landlord was successfully prosecuted under Proceeds of Crime Act (POCA) legislation, a similar approach has been adopted in King's Lynn, initially with three shops. This work is ongoing but one landlord has evicted the tenant and is to convert the shop into domestic accommodation. One landlord has served an eviction notice and it is understood the tenant has agreed to leave. In the third case, initial steps have been taken and the landlord has provided details of his tenant.

3. **Nicotine inhalation products (electronic cigarettes or NIPs)**
The fluids used in nicotine inhalation products (NIPs) are subject to the same age restrictions as cigarettes and tobacco. No complaints were received in 2020-21 about underage sales of nicotine inhalation products.

4. **Knives**
No complaints have been received about premises in Norfolk selling knives to persons under 18 years of age in the first three quarters of 2019-20. Enforcement work with Norfolk Constabulary, as part of a national campaign, Operation Sceptre, did not take place this year, due to Covid-19 restrictions.

5. **Fireworks**
Figures continue to show a drop in the number of anti-social behaviour incidents involving fireworks in Norfolk. As a result of none of the recorded incidents being attributed to juveniles, Trading Standards agreed to assist Norfolk Constabulary in any enforcement action but not to lead.

Trading Standards will respond to any intelligence received regarding the supply of fireworks to persons under 18.

6. **Other Products**
Intelligence regarding the underage sales of other products is rare and none has been received in the first three quarters of 2020-21. Where this is received the premises will be visited and offered advice. An underage test purchase to check compliance will be carried out, where necessary.

Looking ahead to 2021-22
It should be noted that this plan has been written on the premise that the impact of Covid-19 on any activities proposed for the 2021-22 year will be minimal as the vaccine rolls out and we enter the new service year. However, if Covid-19 continues to impact upon planned activities to the extent and manner in which they can be delivered, the Service will prioritise and adapt its delivery in line with prevailing guidance, as it has done during the 2020-21 service year.

Enforcement Activities (including test purchasing programmes)
Trading Standards will continue to focus its limited resources on alcohol, tobacco, nicotine inhalation products and knives. We will also respond to intelligence related to other products, where there is an identified need.

A scaled approach is adopted with due regard to the Community and Environmental Services Compliance and Enforcement Policy. In respect of age restricted sales this includes:
- The provision and publicity of advice and support materials
- The delivery of advice and help to new retailers of age restricted products
- The investigation of complaints together with the delivery of advice and assistance to prevent the recurrence of underage sales
- Targeted test purchasing utilising young people and where appropriate, underage volunteers
- Recommendation to adopt a "Challenge 25" type policy
- Working with and supporting national or regional initiatives
- Multiagency/community group/industry partnership working, and
- Encouraging reporting of sales of illicit tobacco and sales of age restricted products to young people and improving the flow of intelligence in this regard.

Enforcement Approach
Following the provision of advice and support, the service will test the business' underage sales policies. Where information continues to indicate that underage sales are taking place, test purchasing by underage volunteers will be undertaken with support from Norfolk Police. We will also continue to provide officers and utilise Trading Standards young volunteers to support Norfolk Police, in relation to their lead role for 'on licence' premises.

The recruitment, selection and utilisation of young persons for test purchasing will only be in accordance with the protocols, systematic procedures and risk assessments adopted and developed in line with the Home Office and other guidelines. These protocols and procedures are maintained in the Service's Policies and Guidance System and are thus subject to rigorous internal audit. All officers involved in the test purchase programme have been subject to police vetting procedures.

Where Trading Standards carries out test purchasing utilising underage volunteers, this is in accordance with the Regulation of Investigatory Powers Act 2000 (RIPA). Generally, test purchasing utilising underage volunteers is only used where other methods of preventing a business from selling age restricted products to young people have failed.

Enforcement activity will also be carried out at premises where intelligence is received regarding the sale of illicit tobacco. This activity will include visits with specialist tobacco detection dogs to find concealed illicit tobacco. Formal action will be taken against businesses where it is found, as appropriate.

The service, working with our police partners, will take a robust stand regarding anyone found to be purchasing alcohol or tobacco products on behalf of a young person.

We will, in conjunction with Norfolk County Council Public Health and other agencies, as appropriate, promote ways of reporting sales of illicit tobacco and sales of age restricted products to young persons.

Tobacco
During 2021-22 it will remain a priority to gather and then act upon any intelligence received, including that received from our partners. Trading Standards is an active member of the Norfolk Tobacco Alliance and will be striving to help achieve CLeaR (Challenge, Leadership and Results) status in tobacco control for Local Government specifically for Norfolk County Council.

In line with our Compliance and Enforcement Policy we will continue in 2021-22 to provide an effective response to secure compliance of and/or disrupt Norfolk businesses engaged in supplying illicit tobacco, including:

- Seizure and destruction of illicit tobacco
- Seizure of criminal assets (including vehicles & cash)
- Institution of proceedings with a view to prosecution and the issue of simple cautions
- Preventing the issue of and securing the revocation of Premises Licences
- Carrying out safety testing, where appropriate, on illicit cigarettes, and
- Working with the landlords of properties used for the supply or storage of illicit tobacco with a view to securing the eviction of tenants who continue to break the law. Where appropriate, legal proceedings will be instituted against landlords who fail to co-operate.

Trading Standards, with partners, will carry out the highlighted activities at retail level. In parts of Norfolk, currently Great Yarmouth and King's Lynn, criminal organisations are thought to control the illicit tobacco supply. It will be necessary to work with enforcement partners to effectively tackle these groups.

Operation CeCe is joint working between Her Majesty's Revenue and Customs (HMRC), National Trading Standards (NTS) and every Trading Standards Region in England and Wales, including the East of England Trading Standards Authorities (EETSA). Funding is being provided by HMRC to NTS to carry out visits at a retail level to disrupt the supply of illegal tobacco. Full details are included in the bulletin attached to this plan.

Knives

The Offensive Weapons Act 2019 will require age verification to take place both at the point of sale of a knife and at the point when the item is delivered. Both are important steps in preventing the sale of knives to a person under the age of 18.

When the Act is fully implemented, this is likely to lead to a new area of work for Trading Standards. Trading Standards will continue to work with the Police and other agencies in support of local and national initiatives to reduce knife crime. Trading Standards will assist Norfolk Constabulary with Operation Sceptre, a national initiative to reduce knife crime by carrying out joint advice visits to knife retailers.

Alcohol & anti-social behaviour

The link between anti-social behaviour and the consumption of alcohol and substance abuse is established. The strategy of preventing the upstream supply of a number of restricted products to young people and thus reducing the level of anti-social behaviour associated with the use of these products will continue to be supported.

This plan will contribute to community objectives and those arising from Government strategy for community safety and public health. Alcohol and associated anti-social behaviour will continue to be a particular focus. We will continue to support both the Community Alcohol Partnerships (CAPs) in Norfolk.

Proof of Age Schemes

The Trading Standards Service does not promote any specific proof of age scheme but supports those schemes that conform to the PASS Scheme criteria. Many retailers have adopted the "Challenge 25" policies in relation to all age restricted products.

Trading Standards will continue in 2021-22 to encourage all premises involved in the sale of any age restricted products to adopt a policy which achieves the aims of "Challenge 25".

Our 'Minor Sales Major Consequences' pack includes a section on adopting a "Challenge 25" type policy. The Trading Standards Service will also encourage and promote the use of a 'Refusals Log' by traders to provide evidence that proof of age is being sought and sales refused in appropriate circumstances.

Operation CeCe:
Tackling the illegal tobacco trade

Tobacco control remains a top priority for the Government and the vision of a smoke-free generation is a strong driving force to make it happen.

Preventing the sale of illegal tobacco protects young people and adults from a habit that is proven to damage health. The illicit tobacco trade also impacts legitimate businesses trying to operate honestly, and this hits tax revenues to the tune of about £2 billion every year. This is a significant sum of money that could potentially be used to benefit public health.

A new partnership from January 2021

Combatting the illegal tobacco trade has always relied on strong partnership working across multiple agencies. From January 2021, we are pleased to be able to pool the significant expertise between Her Majesty's Revenue and Customs (HMRC) and National Trading Standards (NTS) to make an even bigger dent in this illicit trade. At a local level, this work will build on the work that local authorities have been doing to disrupt the sale of illegal tobacco for many years. Operation CeCe covers England and Wales and will run for 15 months.

Increasing tobacco prices

We know that increasing tobacco prices is the number one lever to encourage smokers to quit and discourage young people, who tend to have less disposable income, from starting to smoke. The illegal trade undermines this. Our operation will therefore focus on cutting off supplies - from the streets, right to the top of the chain. This will make it harder for the criminals and protect legitimate businesses.

We look forward to seeing the results of this important collaboration. As more intelligence is shared and acted upon, together we can help to stamp out this illegal trade.

Lord Toby Harris,
NTS Chairman

Anthony Usher,
HMRC Senior Responsible
Officer – Tobacco Fraud

Cutting off illegal tobacco supplies will disrupt the criminals' operations and protect legitimate businesses

The cost of legal vs illegal tobacco

Legal cost of 20 cigarettes (average)

£9-£13

Intended sale price of seized cigarettes*

£3-£5

Legal cost of 30g pouch of rolling tobacco (average)

£11-£17

Intended sale price of seized rolling tobacco*

Less than £5 - £10+

*Source: Chartered Trading Standards Institute 2019/20 Tobacco Control Survey (responses from local authorities)

HM Revenue & Customs

NATIONAL TRADING STANDARDS
Protecting Consumers
Safeguarding businesses

What's the impact of the illegal tobacco trade?

33%

market share for illegal hand-rolling tobacco 2018/19 (HMRC)

The impact of the illegal tobacco trade is far-reaching. Beyond the significant effects on people's health, the illicit tobacco trade is often part of other criminal activity including drug smuggling, people-trafficking and illegal alcohol and DVD production.

The illicit tobacco trade impacts people's health and is often linked with other criminal activity

Children and young people: increased smoking rates and dangerous situations

People's health: inadequate health warnings on the packaging

Crime and illegal trades: drug smuggling, people-trafficking, alcohol and DVD production

Legitimate business: illicit trade undermines trust and lawful earnings

Fire safety: many illegal cigarettes don't self-extinguish

Tax revenue: £2 billion lost tax revenues annually

Public health: due to lost tax revenues

A targeted approach for maximum disruption

Operation CeCe will disrupt everyone involved in the trade of illegal tobacco, from retailers to those masterminding fraudulent operations. The focus for this arrangement is England and Wales; other arrangements are being made for Scotland and N. Ireland. We have split this operationally into three tiers, outlined below.

Tier	Target	Main activity	Lead partner
1	Organised criminals financing and controlling fraudulent operations	Targeting organised OCGs that work internationally to produce and smuggle illicit tobacco	HMRC
2	Those transporting illegal tobacco between borders and retail establishments	Intercepting smuggled product and cash as part of frontline border control operations at air, sea and rail ports	Border Force and HMRC. Support from National Trading Standards
3	Those engaging in retail activity	Visits – seizures of illegal tobacco products	National Trading Standards, working closely with local authorities

Together we will go after those involved in every aspect of the illegal tobacco trade - from the shop floor to the criminal masterminds

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Case study:

Disrupting the West Midlands' illegal tobacco trade

A previous joint operation led to more than one million illegal cigarettes and 23 kilos of illegal tobacco being seized, as well as cash totalling £12,000. Officers visited 22 retail premises and 17 self-storage units during an operation to disrupt the sale and supply of illegal tobacco in Birmingham and Smethwick. The revenue lost to the UK exchequer would have been £260,000 had the seized tobacco gone on sale. Co-ordinated action through Operation CeCe will help disrupt the illegal tobacco trade.

Improved intelligence sharing

A key benefit of this joint initiative is that we will have the opportunity to share intelligence more effectively, with the aim of improving the outcomes of our targeted operations.

For instance, from January 2021, National Trading Standards will start to report tobacco pack prices quarterly (previously annually). This will provide more timely information on street-level retail activity to inform wider operations.

Trading standards officers

Intercept at shop level/ make seizures and share intel

Share intel from HMRC to support work by Trading standards officers to seize illegal tobacco at retail level

NTS

Share relevant intel from wider investigations

Assess and share intel

HMRC (including Border Force)
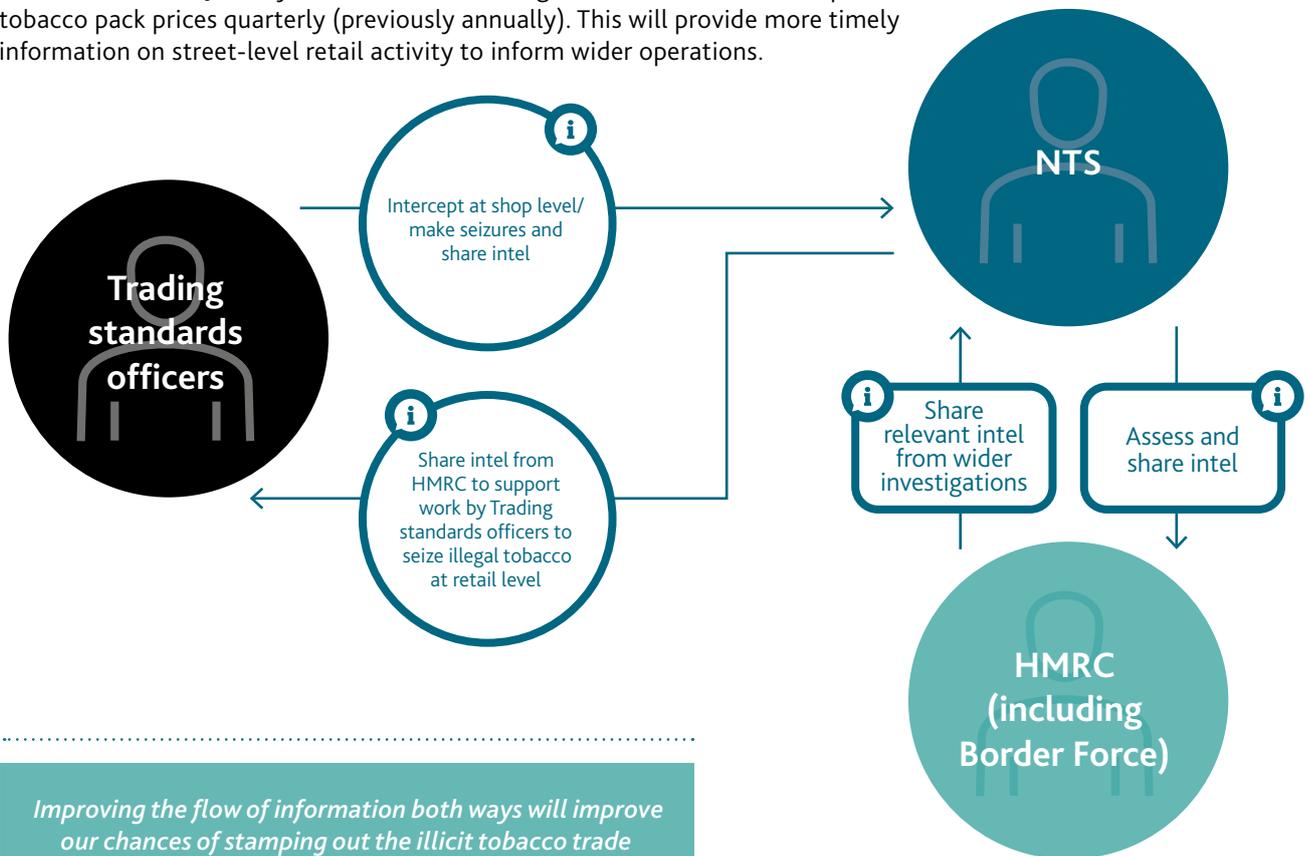
Improving the flow of information both ways will improve our chances of stamping out the illicit tobacco trade

Norfolk County Council

Community & Environmental Services

Trading Standards Service
Food & Feed Law Enforcement Plan
2021-22

**Produced in accordance with the requirements of the
Food Standards Agency Framework Agreement**

IN TRAN communication for all	**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.**

Contents

Food and Feed Sampling Policy

The Food Standards Agency (FSA) Framework Agreement requires Food & Feed Law Enforcement Plans to be laid out in a common format but recognises that, as local authorities may have corporate service plan templates, they may use the corporate format as long as the information requirements laid out in the Agreement guidance are included and are separately identifiable. Therefore, wherever possible this Annex makes reference to the applicable sections of the Trading Standards Service Plan 2021-22 rather than replicating the information it contains.

Section One: Trading Standards Service Aims and Objectives

1.1   Aims and Objectives
The Trading Standards service' ambition is a safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities. The six outcomes we are seeking to achieve are:

Growing Economy:

- More businesses start, grow and invest in Norfolk

- The local economy is inclusive, and supports and benefits local businesses and **communities**

Thriving People:

- All families, older people and people with learning or physical disabilities are supported to live well and independently in their community

Strong Communities:

- People of all ages enjoy good health and increased wellbeing

- Services in communities are joined up and more able to meet people's needs

- Communities are safe and resilient

1.2   Links to Corporate Strategic Ambitions
Our ambition and outcomes accord with the County Council's 2019-2025 plan for the County, **Together for Norfolk**, and its ambition, priorities and outcomes:

Ambition
For our County to be a place where we put people first, where everyone works together to create a better place to live. A place of opportunity: where we can fulfil our potential and lead productive, healthy and independent lives. A place where we all have the chance to contribute to and benefit from economic growth and regeneration, as well as protecting our unique environment. It will be a place where any of us can access the education we want, develop the skills we need, and gain the employment we seek.

Priorities
   o Focusing on **inclusive** growth and **improved social mobility**
   o Encouraging **housing**, **infrastructure, jobs and business** growth across the County
   o Developing our **workforce** to meet the needs of the sectors powering our local economy
   o Working to **reduce our impact** on the **environment**

Outcomes
- Growing Economy
- Thriving People
- Strong Communities.

1.3   How Trading Standards helps to deliver the County Council's ambition and strategy is captured in our plan on a page on page 12 of the Trading Standards Service Plan 2021–22.

Section Two: Background

2.1   Profile of the Local Authority
The population of Norfolk in 2019 was estimated to be 907,760[1]. The age profile of Norfolk's population is much older than England as a whole with 24.5% of people being aged 65 and over, compared to 18.4% for England.

Norfolk is the fifth largest of the 25 two tier (or shire) counties in England, with a geographical area of 549,751 hectares. The population density is one of the lowest for any of these counties, giving Norfolk a predominantly rural character.

There are 33,035[2] active enterprises in Norfolk. Nearly two thirds of VAT registered businesses in Norfolk are located in rural locations with 90% of these being small enterprises employing 10 people or less.

Agriculture remains a large employment sector with 10.1%[2] of enterprises in this sector. The total farm labour force is large with nearly 12,500[3] people employed on commercial holdings. In comparison with other local authority areas the county has one of the largest livestock populations of commercial poultry (15,515,558[3]) and pigs (539,174[3]).

The health and life sciences sector is also an important part of the economy in Norfolk. The Greater Norwich area in particular is home to a cluster of internationally renowned research organisations, such as the Quadram Institute. These organisations employ some 3,000 scientists, which is the largest concentration of health, food, plant and bio scientists in Europe. The Greater Norwich area has also been awarded Food Enterprise Zone Status.

2.2   Organisational Structure
The structure of the Trading Standards service is set out on page 2 of the Trading Standards Service Plan 2021-22.

The Trading Standards service currently reports, via the Director of Community, Information & Learning, Ceri Sumner, to the Executive Director of Community and Environmental Services.

The Executive Director of Community and Environmental Services, Tom McCabe, reports to the Council's Cabinet. The cabinet member for Communities and Partnerships is Councillor Mrs Margaret Dewsbury, margaret.dewsbury@norfolk.gov.uk.

[1] 2019 Office of National Statistics figure (estimated)
[2] 2019 Office of National Statistics figure from the Inter-Departmental Business Register
[3] Defra Farming Statistics 2016

The Council has 84 elected Members. The current political make-up of the Council is: 54 Conservative council seats, 16 Labour, 9 Liberal Democrat, 3 Independent, 1 Independent (non-aligned) and 1 vacancy.

Feed and food law enforcement is the responsibility of the Food and Farming Section of the Trading Standards service. The section's functions are:

- Providing support for Norfolk based businesses in the food and farming sectors, to further economic growth:
  - delivering targeted business information to achieve compliance, promoting self-help
  - providing business advice and support on request, including chargeable advice
  - acting as 'primary authority' for food and farming sector businesses.

- Ensuring the standards of animal health and welfare; the quality, safety and hygiene of the food chain and metrology standards through delivery of intelligence-led compliance programmes, including sampling, inspections, verifications and market surveillance enforcement activities in the following areas:
  - Animal health and welfare, including disease control and licensing
  - Primary food production including fertilizers, animal feeding stuffs and food hygiene
  - Food standards
  - Legal metrology.

- Intelligence-led criminal and civil interventions and investigations, tackling issues emerging from the tasking and coordination process and focusing on the most detrimental offending within the food and farming sectors.

2.2.1 The manager responsible for the delivery of official feed and food controls is:

Jon Peddle
Food and Farming Manager
Email: jon.peddle@norfolk.gov.uk
Tel: (01603) 224380

The Lead Feed Officer is Colin Maxwell and the Lead Food Officer is Julie Smith, both of whom are based in the Food and Farming Team. Additionally, another Lead Trading Standards Officer from the Food and Farming Team, Paula Crowson, manages the food high risk inspection programme. The Food Law Code of Practice lays down the responsibilities and competencies of the Lead Food and Feed role (which may be more than one person) which are shared in the Service between Jon Peddle, Colin Maxwell (feed) and Julie Smith (food).

2.2.2 The Authority has contracted with Public Analyst Scientific Services Ltd (PASS) to provide the public analyst and agriculture analyst functions for the county.

2.3 Scope of the Animal Feed and Food Service
The Trading Standards service delivers a range of animal feed and food enforcement services. Specific functions are detailed below:

- Programmed inspections at animal feed and high-risk food premises
- Targeted enforcement activities
- Inspections and other enforcement activities arising from complaints and referrals
- Sampling of food and animal feed for analysis and/or examination as part of national, regional and local programmes
- Primary Authority responsibilities
- Responding to food and feed safety incidents
- Provision of information, advice and support for businesses
- Publicity including public awareness campaigns
- Working in partnership with other agencies involved in the protection of the food chain including the Food Standards Agency (FSA); the Department of the Environment, Food and Rural Affairs (Defra); the Department of Health (DH); Public Health (PH); the other ten local Trading Standards authorities who together make up the East of England Trading Standards Authorities (EETSA) and the seven District Council Environmental Health Departments in Norfolk.

The animal feed and food law enforcement service is delivered exclusively by officers employed by the County Council, alongside other similar services, for example, the inspection of weighing and measuring equipment.

2.4 Demands on the Animal Feed and Food Service
Using the appropriate risk scoring profile food businesses are scored on a high, medium or low risk basis. There are 65 high-risk, 5,788 medium-risk and 4,322 low-risk food businesses recorded on the Trading Standards service's database, totalling 10,603 food businesses.

There are 6,044 agriculture businesses recorded on the Trading Standards service's database. The appropriate risk scoring profile for feed businesses scores them on a frequency of inspection basis from 1 to 5 years with a score of 1 being the highest risk and 5 being the lowest. The inspection programme, based on risk, is agreed with the FSA as part of the grant funded audit and inspection programme.

A number of businesses are designated both food and feed businesses. The Trading Standards service conducts food standards, feed standards, feed hygiene and food hygiene at primary production inspections or a combination of these interventions at these businesses.

There are 450 food manufacturers in Norfolk, 4% of the sector, ranging from major multinational companies to cottage industries. The majority of food businesses are caterers (6,546 = 62%) such as public houses, restaurants and hotels or retailers (2,510 = 24%) including general stores and bakers.

The county has 45 animal feed, including pet food, manufacturers as well as a very large number of on-farm mixers. The increase of 6 manufacturers from the previous year is indicative of a trend of starting such businesses at home.

A large percentage of the companies with which the Trading Standards service has a Primary Authority relationship are within the food and agriculture sectors.

The United Kingdom exited the European Union on 31 January 2020 and the subsequent transition period expired on the 31 December 2020. The effect of this departure and the new Trade and Cooperation Agreement signed with the EU could have a significant impact upon the demands on the service, including the potential for increased requests for business advice and an increased need to undertake inland market surveillance, particularly with regard to imported food and feed. Any increases in demand, as a result of EU exit are, at present, unknown and have therefore not been included in this plan.

In writing this annual plan it is standard practice to anticipate demands on the service, across various aspects of food and feed delivery, by examining the demands and resources required in the previous service year. However, the extraordinary impact and disruption caused by Covid-19 upon both businesses and the Service in its usual delivery of activities means that such comparisons are of little use. Where more appropriate to do so, this plan uses figures from the 2019/20 year to forecast demand.

It should also be noted that this plan has been written on the premise that the impact of Covid-19 on any activities proposed for the 2021/22 year will be minimal as the vaccine rolls out and we enter the new service year. However, if Covid-19 continues to impact upon planned activities to the extent and manner in which they can be delivered, the Service will prioritise and adapt its delivery in line with prevailing guidance, as it has done during the 2020/21 service year.

2.5   Enforcement Policy
The Community and Environmental Services (CES) directorate is responsible for a range of regulatory functions, including Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Norfolk Fire and Rescue (fire safety), Highways (networks, maintenance and blue badge enforcement) and Safety of Sports Grounds, and the CES Compliance & Enforcement Policy has been implemented, having regard to the established legal framework for decision-making, the Code for Crown Prosecutors (CPS) and the "Regulators' Code" published by the Office of Product Safety and Standards (OPSS).

Section Three: Service Delivery

3.1   Animal Feed and Food Premises Inspections (Interventions)
The Trading Standards service reviews its policy in relation to inspections (interventions) at business premises on an annual basis in accordance with the principles of better regulation, the Food Law Code of Practice (England) and the

Feed Law Code of Practice (England). In relation to farm premises the service also considers the Animal Health and Welfare Framework Agreement and the Farm Regulators' Charter.

3.1.1 In relation to feed businesses, this service leads the regional approach to feed enforcement with its East of England Trading Standards Authority (EETSA) partners and liaises with National Trading Standards (NTS) and the Food Standards Agency (FSA). At the time of compiling this plan the number of feed visits required by the NTS/FSA programme for the forthcoming year, based on a full risk-based inspection programme, is not confirmed but is expected to be the same as that required for the 2020/21 service year, with an estimate of 75 inspections at Norfolk based premises, out of a total of 250 inspections required across the EETSA region. This programme is entirely financed by grant funding provided by the FSA and administered by NTS. This proposed programme now takes full account of earned recognition for businesses that are members of an assurance scheme and covers equally the full range of feed businesses. Livestock and arable farms are the main types of premises to be visited; reflecting the importance of having feed controls in place at primary production.

The NTS/FSA programme of interventions and activity is produced using agreed risk models and desktop modelling of our premises database. The programme is agreed by the FSA prior to commencement and funding. As such it is accepted that this programme satisfies the requirements for interventions laid down in the Feed Law Code of Practice (England).

3.1.2 In relation to food businesses, the service will inspect all food businesses in Norfolk that are deemed to be high-risk by virtue of the previous trading history or the appropriate risk scheme, on at least an annual basis. In addition, intelligence-led inspections or other interventions will be conducted at those business sectors presenting the highest risk to the food chain and consumers/other legitimate businesses. It will also be appropriate, on occasion, to respond with inspections or other interventions where intelligence is received via consumer/trader complaints or referrals from other enforcement agencies about the non-compliance with trading standards of individual businesses. In line with Hampton principles[4] and the resources available the service will not therefore, as a matter of routine, carry out inspections at medium or low risk food businesses unless they are visited as a result of the aforementioned factors.

The above measures are intended to focus our available resources on the areas of greatest risk, using available intelligence, and as such the service will not be able to fulfil a food inspection programme in accordance with the requirements of the Food Law Code of Practice (England). This discrepancy is covered in greater detail under section 4: Resources.

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[4] Reducing administrative burdens: effective inspection and enforcement: Philip Hampton – March 2005

3.1.3 The service has assessed the value of carrying out unannounced inspections as opposed to announced inspections. It applies the following policy on animal feed and food inspections and audits:

(a) Where official controls take the form of an audit or there is a need to have the feed or food business operator present e.g. so that records can be examined, then such visits will be announced. In these cases, prior notification will be kept to a minimum.

(b) In all other cases and in particular where previous visits or intelligence suggests that serious non-compliances have occurred, visits will be unannounced. All establishments will be subject to ad hoc visits which will be unannounced.

The service will keep this policy under review and, if the policy leads to a disproportionate negative impact on the use of resources of both the service and Feed and Food Business Operators, it will be revised.

The policy will also be kept under review in light of the enhanced requirements of the Official Control Regulations (EU) 2017/625, as amended by The Official Controls (Animals, Feed and Food, Plant Health etc) (Amendment) (EU Exit) Regulations 2020, and the requirement for competent authorities to perform regular and unannounced risk-based controls to identify fraudulent activities. The service believes that the above policy is still valid, as the requirements of the legislation are met by activities covered in part (b) of the policy.

3.1.4 The inspection programmes for food and animal feed are shown below:

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2020/21	2021/22
Feed Hygiene & Standards Inspection Programme	To inspect 75 agriculture businesses, e.g. selected feed mills, importers, retailers and farms. To ensure compliance in relation to feed labelling/packaging, stock rotation/storage, feed hygiene, record keeping/traceability and sale or use of prohibited materials.	0.15 FTE	0.15 FTE
Inspection of High-Risk Food Businesses	To carry out inspections at 65 businesses identified as high risk for food.	0.85 FTE	0.90 FTE
*Excluding managerial, administrative and legal support but including revisits and follow up action			

Animal feed and food inspections are carried out by suitably qualified, competent and experienced Trading Standards Officers. Some targeted enforcement activities are carried out by Trainee Trading Standards Officers, studying for qualifications under the Chartered Trading Standards Institute (CTSI)'s Professional Competency Framework (CPCF), adequately supervised by qualified staff.

Feed/Food Standards Inspections are carried out in accordance with the Feed Law Code of Practice (England) and the Food Law Code of Practice (England).

3.2 Animal Feed and Food Complaints

Anticipated resource requirements for handling animal feed and food complaints are based on the complaint/contact numbers received in previous service years, the nature of those complaints/contacts and the level of enforcement response required. The number of food complaints/contacts is anticipated to be 230 and the number of agriculture complaints/contacts is anticipated to be 20.

The staffing resources required are given below:

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2020/21	2021/20
Complaints and Referrals	To undertake reactive enforcement in response to complaints from other enforcement agencies, businesses and the general public in relation to animal health, agriculture and food matters to ensure legal compliance. Analysis will be undertaken to identify further proactive work, identify trends and report on significant outcomes and impacts.	0.05 FTE (feed)

0.80 FTE (food) | 0.05 FTE (feed)

0.80 FTE (food) |
| *Excluding managerial, administrative and legal support | | | |

In addition to reactive complaints/referrals work, information and advice is made available to consumers. This is achieved through signposting to the Citizens Advice 'Advice guide' website via our website www.norfolk.gov.uk/business/trading-standards and through our social media posts on twitter and Facebook.

3.3 Home Authority Principle and Primary Authority Scheme

Following a change to our Business Services Policy in 2017, this service no longer offers the full range of functions under the Home Authority Principle. In particular, the service no longer offers free bespoke advice to businesses. Bespoke advice tailored to the individual needs of a business is now provided on a chargeable basis. The service supports Primary Authority Partnerships administered by the Office of Product Safety and Standards (OPSS).

The service will provide the following levels of service to Primary Authority businesses:

- Actively promote the benefits of the Primary Authority scheme to businesses within Norfolk and outside of Norfolk
- Designate Primary Authority Officer(s) to each partnered business, with the relevant competencies or access to the necessary expertise to be able to offer advice
- Respond to requests for advice and guidance
- Issue assured advice, where it is appropriate to do so
- Facilitate a response to enquiries raised by other authorities

- Maintain records of relevant incidents, business policies and diligence procedures, where known
- Maintain confidentiality in relevant circumstances
- Ensure businesses are aware of our procedure for dealing with complaints or disagreements
- Have in place arrangements to notify other authorities of indulgences relevant to "subsequently corrected" errors
- Participate in relevant sector groupings with enforcement partners where our Primary Authority Partners businesses operate in the applicable market sector
- Support national advice and conciliation procedures, where appropriate.

Primary Authority businesses will be inspected/visited or otherwise contacted:
- As part of the inspection programme for high-risk businesses, or
- As part of the planned series of targeted enforcement activities, or
- As a result of a complaint/referral received, or
- To maintain the Primary Authority Partnership relationship.

Currently, the service has Primary Authority Partnerships with two food businesses and two feed businesses. The resources required to handle complaints and service requests relating to these Primary Authority businesses are included in Sections 3.2 and 3.4.

3.4   Advice to Business
The Trading Standards service works with businesses to help them to comply with trading standards and to encourage the use of good practice. On receipt of business requests for advice we will respond in a number of ways including:
- directing the business to our website or that of a partner organisation, such as the Chartered Trading Standards Institute (CTSI)'s Business Companion and/or the New Anglia Growth Hub
- referring the business to another agency
- providing leaflets produced by partner organisations, our business briefings or standard letters
- providing comprehensive bespoke information or advice via the telephone, email or a letter, on a cost recovery basis and/or
- visiting the business to provide comprehensive advice, on a cost recovery basis.

In each case, our response will be proportionate to:
- the potential risk to consumers caused by a failure on behalf of the business to understand the information/advice provided,
- the experience of the business in question, and
- the impact upon the economic prosperity of the business or its competitors in not achieving compliance in the respective area(s) of the law.

In line with our Business Services Policy, if a business requires more detailed or interpretative advice on trading standards law then we will provide the advice on a cost recovery basis at a pro-rata hourly fee.

In dealing with any requests for advice we will prioritise requests for advice from new businesses, Primary Authority businesses and members of our Norfolk Trusted Trader Scheme.

The Service reviews all information and advice it provides to consumers and businesses on an annual basis. This is with a view to signposting customers to the most appropriate source of online information available to enable self-service and assisted service.

Animal feed and food service requests will be handled by virtue of the projects detailed below and further projects developed during the 2021/22 service year. Anticipated resource requirements are based on the service request numbers received in previous service years, the nature of those service requests and the level of enforcement response required.

The number of food service requests is anticipated to be 100. The number of agriculture service requests is anticipated to be 170.

As outlined in Section 3.3 above the service currently has Primary Authority Partnerships with two feed businesses and two food businesses. An estimate of billable hours of advice under Primary Authority Partnerships is included in these figures.

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2020/21	2021/22
Business Advice	To provide enforcement and compliance information and advice in relation to agriculture (animal feed, feed hygiene, pet food, fertilisers) and food in response to requests from businesses. Analysis will be undertaken to identify further proactive work, identify trends and report on significant outcomes and impacts.	0.20 FTE (feed) ** 1.00 FTE (food) **	0.20 FTE (feed) ** 1.00 FTE (food) **
*Excluding managerial, administrative and legal support			
**Includes estimated hours of advice to be delivered under Primary Authority Partnerships			

3.5 Animal Feed and Food Sampling
The Trading Standards service's Food and Feed Sampling Policy is annexed to this Plan.

The Trading Standards service targets its proactive sampling at locally produced animal feed and foods, those products/ingredients from companies that manufacture in, are based in, or import into Norfolk. In line with a letter from the FSA (ENF/E/08/061) the service is committed to ensuring that at least 10% of all food samples are of foods imported into the United Kingdom. In addition, animal feed/foods are targeted which are causing current concerns. These are identified

through communication with the Food Standards Agency (FSA) and the Department of the Environment, Food and Rural Affairs (Defra); through local, regional and national intelligence held by local authorities; and through consultation with the Public Analyst. The service's sampling programmes therefore include projects run in conjunction with the Food Standards Agency (FSA) and the East of England Trading Standards Association group of local authorities (EETSA).

Listed overleaf are sampling surveys that will be carried out in 2021-22. This list will be added to as, for example, intelligence identifies other animal feed/food that should be targeted. At the time of writing this plan the service planning cycle for food and feed sampling has not been concluded and further surveys will be added as a result of this process.

Through the examination of available intelligence and data the service is already aware that compliance with allergen requirements will again be an area of high priority for 2021/22. The Service will continue to develop activities under its long-term comprehensive programme of allergen compliance work, including sampling, business and consumer engagement and enforcement, if need be.

All sampling by officers is, wherever possible, undertaken in accordance with relevant legislation and all formal animal feed and food samples are taken in accordance with the Feed Law Code of Practice (England) or the Food Law Code of Practice (England) as applicable.

Samples are analysed and/or examined by the service's nominated Public/ Agriculture Analyst in accordance with the procedures laid down in the Food Safety (Sampling and Qualifications) Regulations 2013, the Food Law Code of Practice (England) and the Feed Law Code of Practice (England). Alternatively, some samples are examined/tested in house, if it is appropriate to do so.

The Public/Agriculture Analysts appointed by the Authority are employed by Public Analyst Scientific Services Ltd (PASS).

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2020/21	2021/22
Agricultural Sampling	To undertake animal feed and fertilizer sampling to ensure compliance in relation to composition, safety, hygiene and labelling.	0.80 FTE £5,500 Purchase and analysis costs	0.80 FTE £5,500 Purchase and analysis costs
Surveys under the sampling project will include: • Feed materials which are the subject of a complaint to the service • Imported feeds/ingredients that have been the subject of feed hazard notifications • Raw pet food (risk of salmonella and enterobacteriacae for both owner and pet).			
Food Sampling Programme excluding Allergens Project	Targeting food sampling at areas identified as causing the most harm to consumers in terms of food safety, quality or nutritional standards	1.30 FTE £33,000 Purchase and analysis costs	1.30 FTE £33,000 Purchase and analysis costs
Surveys under the sampling project will include: • Undeclared allergens in non-prepacked foods • Sampling during the investigation of complaints • Sampling during the investigation of food fraud including meat speciation in meat products or preparations • Foods produced in Norfolk or imported by Norfolk based businesses • Foods imported from outside the United Kingdom • Foods identified by Food Standards Agency priorities			
Allergens project		0.25 FTE	0.25 FTE
* Excluding managerial, administrative and legal support			

3.6 Control and Investigation of Outbreaks and Food Related Infectious Disease
Food poisoning notifications do not usually fall within the remit of the Trading Standards Service. If, however, the service becomes aware of any incident of food poisoning or infectious disease, the facts will be reported to the appropriate authority.

3.7 Animal Feed/Food Safety Incidents
On receipt of any animal feed or food alert, the Trading Standards service will respond as directed and as appropriate and in accordance with the Feed Law Code of Practice (England) or the Food Law Code of Practice (England).

The Food Standards Agency (FSA) issues Food Alerts and Allergy Alerts to let local authorities and consumers know about problems associated with food. In some cases, a "Food Alert for Action" is issued which requires intervention action by enforcement authorities. 63 food alerts were issued by the FSA in 2019 (January to

December). There were no food alerts for action by this service during 2019. The FSA also issued 116 allergy alerts.

During 2019, as a result of sampling activity, the service raised two food incidents with the FSA regarding undeclared allergens in prepacked foods as well as handling 24 complaints in-relation to undeclared allergens in non-prepacked foods which caused illness/injury.

Feed alerts are far less frequent than food alerts. During 2019 the service was involved in 15 feed incidents raised by the FSA. This was predominantly as a result of the businesses notifying us of their sample failures, before then notifying the FSA themselves. The Service also raised two feed incidents itself, as a result of non-compliances discovered by our own feed sampling activities.

It is estimated (based on non-Covid-19-disrupted 2019 data) that, for the coming service year, 0.10 FTE will be required for feed/food safety incident work.

In cases where the service receives reports of chemical contamination of food and there is a subsequent threat to human health, it will liaise with the appropriate district council environmental health department, with a view to taking over responsibility for the case, or for undertaking a joint investigation, as the situation demands.

3.8   Liaison with Other Organisations
The Trading Standards service works with a wide range of organisations, to varying degrees of formality, in carrying out its animal feed and food law enforcement function. These include the Food Standards Agency (FSA), the Department of Health (DH), the Department of Environment, Farming and Rural Affairs (Defra), the Animal Medicines Inspectorate (AMI), National Trading Standards (NTS), the other ten local authority Trading Standards Services in the East of England (EETSA) and District Council Environmental Health Departments.

The service maintains a strong commitment to the regional work of EETSA and officers from Norfolk contribute to the EETSA Food Group and the EETSA Agriculture Group. Via quarterly meetings and regional Knowledge Hub groups, the service aims to ensure that local food and feed enforcement activity is consistent with neighbouring authorities. The service participates in the National Food Standards & Information Focus Group and the National Agriculture Panel, with both being chaired by officers of this service.

The service also ensures co-ordination with Norfolk's Environmental Health Departments through the Norfolk Food Liaison Group (NFLG), set up to co-ordinate activities in line with the requirements of the Food Law Code of Practice (England).

The service is fully committed to working with the Food Standards Agency on the development of the Achieving Business Compliance strategic redesign of food standards, to determine a future delivery model for official food controls.

The estimated staffing resource for liaison work during the year is 0.30 FTE.

3.9 Animal Feed and Food Safety and Standards Promotional Work, other non-official Controls and Interventions

Animal feed and food safety and standards promotional work for the year is linked to the results of our sampling and other enforcement projects, to any relevant prosecutions, and to information provided by our enforcement partners, primarily the Food Standards Agency (FSA). Promotional work consists of postings on our website www.norfolk.gov.uk/business/trading-standards; including scam alerts, postings via our twitter feeds and Facebook pages and regular press releases, locally, regionally and nationally. In addition, we have developed a specific promotional campaign to assist with our consumer and business education work on allergen compliance. Resources in relation to allergens promotional work have been accounted for in 3.5.

Information and intelligence gathering work is carried out by feed and food officers as part of their ongoing duties. Information and intelligence is also gathered and analysed by our intelligence analyst and technical support staff in the Intelligence and Enforcement Support Section. Such work informs our control strategy, tasking and coordination function and our service planning cycle.

Resourcing details are provided in the table below:

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2020/21	2021/22
Promotional Work, Intelligence Gathering	Promotional work including results of market surveillance, enforcement projects, prosecutions and information dissemination. Promotion will include use of our website, social media pages and feeds, local, regional and national press releases and liaison with media organisations. Intelligence gathering work will include complaints and information monitoring, review of local, regional, national and international data to inform market surveillance and enforcement activity.	0.05 FTE (feed) 0.05 FTE (food)	0.05 FTE (feed)** 0.05 FTE (food)**
*Excluding managerial, administrative and legal support			
**Intelligence gathering work also undertaken by Intelligence and Enforcement Support Section.			

Section Four: Resources

4.1   Financial Allocation
        The net budget for the Trading Standards service for 2021/22 is £1,689,560. A breakdown of the Trading Standards budget for feed and food enforcement is shown below:

	2020/21 Outturn (tbc)	2021/22 Estimate
Staffing	Total F&F: £655,720 Food & Feed: £262,288 (based on 5.90 FTE)	Total F&F: £717,980* Food & Feed: £272,832 (based on 5.95 FTE)
Sampling budget (food & agriculture purchase and analysis)	£38,500	£38,500**
Subsistence/travel	Total TS: £25,000 (profiled budget) Food & Feed: £3,398 (based on 5.90 FTE)	Total TS: £5,040*** (profiled budget) Food & Feed: £676 (based on 5.95 FTE)

* Includes posts resourced by EU Transition funding
** At the time of writing this plan the Service is applying for grant funding for feed/hygiene audits and feed sampling to supplement the 2021/22 sampling budget. The results of any grant bid will affect surveys proposed in Section 3.5 above. Whilst the overall grant funding is likely to be the same as the 2020/21 funding, changes to the timing and allocation of these resources means we are unable to confirm at this time.
*** Overall figure reduced from 2020/21 as a result of corporate reduction of travel budgets.

The relative amounts allocated to food and feed law enforcement are based on the staff allocation breakdown given in Section 4.2.

4.1.1   The Food Law Code of Practice requires the service to inspect its food businesses over a prescribed cycle. In addition to the inspection of all high-risk businesses and other interventions detailed in this plan, the expectation is that all medium risk businesses will be inspected every 2 years and that an inspection or alternative enforcement strategy be undertaken at low risk premises once every 5 years.

The service has determined that, if it were to conduct the routine food inspection programme detailed above, the following resource would have to be redeployed from other enforcement activities, such as fair trading, animal health & welfare or product safety work:

Food Business Inspections:	• Medium risk	6.6 FTE
Food Business Alternative Enforcement Strategies	• Low risk	0.2 FTE

However, mindful of the recommendations of the Hampton[4] and Macdonald[5] Reviews which state the service should only carry out inspections of businesses where there is a clearly identified risk presented by that business, the service will, as in previous years, conduct intelligence-led inspections or other interventions within those business sectors or at those food business operators presenting the highest risk to the food chain and consumers/other legitimate businesses. A flexible approach to resourcing enables us to respond appropriately to incidents and our local approach to risk assessment and effective targeting of resources, rather than the conduct of a routine inspection programme, will provide the necessary protection to the county's food chain.

4.1.2   The service continues to invest in modern ICT systems and provides its annual Local Authority Enforcement Monitoring System (LAEMS) return via a direct download to the FSA. Access to the Internet, to the APP Civica database and to other information systems is seen as a vital resource for operational staff. The service currently uses the UK FSS iNet database for recording, managing and submitting food and feed sampling data. As a result of withdrawal of funding by the FSA the service is aware that UK FSS iNet, whilst still in operation, no longer benefits from external ICT support. At the time of writing this plan the service is awaiting further instruction from the FSA as to how the replacement system for data transfer will operate. The service has also signed up to the Register a Food Business national online portal operated by the FSA to enable it to receive real-time food business registration data.

The service has recently procured the newest database product from Civica, the cloud based "Cx" platform. During the 2021/22 service year the service will seek to introduce this database, to initially run alongside, and then replace our current "APP" Civica platform.

All food and feed law enforcement officers have been issued with laptops, smart mobile telephones (although some opt to retain talk and text 'phones) and digital cameras. During the 2020/21 year officers also received a refresh of their laptops with operational food and feed officers being issued with hybrid laptops that incorporate detachable tablets. The issue of such devices, along with the mobile working functionality of the Cx platform, will, in time, allow officers to directly record and update database information whilst off site at business premises.

The service does not have an individual budget for ICT as such matters have now been transferred to corporate budgeting.

4.1.3   No fixed amount is set aside for legal costs with specific regard to food and feed law. However, a general legal cost subjective is allocated to the budget, the budgeted amount for 2021/22 being £20,000, which may be supplemented from contingency, if necessary.

[4] Reducing administrative burdens: effective inspection and enforcement: Philip Hampton – March 2005
[5]Review of Regulation in Farming: MacDonald – May 2011

4.2   Staffing Allocation
The current staffing allocation to food and feed enforcement has been calculated on the basis of the projects/activities described in Section 3 above as summarised and unless otherwise stated FTE figures quoted relate to competent staff:

Plan Section	Project/Activity	FTE			
		2020/ 21 Feed	2020/ 21 Food	2021/ 22 Feed	2021/ 22 Food
3.1	Feed Hygiene & Standards Inspection Programme	0.15		0.15	
3.1	Inspection of high-risk food businesses		0.85		0.90
3.2	Complaints and Referrals	0.05	0.80	0.05	0.80
3.4	Business advice	0.20	1.00	0.20	1.00
3.5	Agricultural sampling	0.80		0.80	
3.5	Food Sampling Including Allergens Project		1.55		1.55
3.7	Food/feed alerts		0.10		0.10
3.8	Liaison	0.15	0.15	0.15	0.15
3.9	Promotional Work, Intelligence Gathering (including non-qualified staff)	0.05	0.05	0.05	0.05
	Subtotal:	1.40	4.50	1.40	4.55
	Total:	5.90		5.95	

4.3   Staff Development Plan
The service focuses on the needs of both specialist feed and food law enforcement officers and other staff in terms of their training and continuous professional development (CPD).

The current training arrangements are reflected in the Learning and Development Framework and the Learning and Development Plan. Over recent years the number of qualified food and feed officers within the service has reduced, as officers have left the service. The service has invested in supporting trainees to study for the Trading Standards Practitioner Diploma (TSPD) in order to attain the qualifications necessary to be able to undertake food and feed standards work. At present the Service has three trainees.

Skills and competency are assessed at annual staff personal development plan discussions, midyear reviews and 1-2-1 meetings and a programme of continuous professional development is implemented to ensure the maintenance of essential knowledge and skills.

The Food Law Code of Practice England (2015) laid down competency demonstration requirements for food officers (20 hours CPD per annum) which took effect from 1 April 2016 (which have been further clarified in the Food Law Code of Practice England (2017)). The service ensures that sufficient time and resources

are provided to allow food officers to attain the required 20 hours of CPD per annum.

The FSA is currently consulting on qualification and competency requirements for official controls enforcement officers.

Similarly, the Feed Code of Practice (England) (2018) requires that competent officers are able to evidence 10 hours CPD per annum. Again, the service ensures that sufficient time and resources are provided to allow feed officers to attain this CPD.

Section Five: Quality Assessment

5.1   Quality Assessment and Internal Monitoring
The following arrangements will be used to assess the quality of the Authority's service:
- All procedures and work instructions relating to feed and food law enforcement are subject to established in-house quality improvements and auditing procedures which apply to the whole of the Trading Standards service
- Evaluation surveys sent out to a sample of businesses following an inspection or request for advice
- Review of a random number of inspections, service requests and complaints by section/line managers
- Feedback at 1-2-1 meetings, midyear review and personal development plan discussions on individual performance
- Feedback at team meetings.

Section Six: Review

6.1   Review Against the Service Plan
The Service uses a performance measurement toolkit, "PMR", to collate, report and review performance on a monthly basis.

At monthly intervals the Trading Standards Management Team undertakes a performance review. The meeting includes recognition of any variance from target, the reasons for variance and any appropriate measures to be put in place to address such variance.

The Trading Standards Management Team also reviews progress against our Control Strategy Priority Actions of:

- Through a programme of intelligence- led market surveillance, education and enforcement activities ensure the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilisers, and

- Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services

at a monthly Tasking and Coordination meeting.

These priority actions include the provision of business advice, liaison with regulatory and business partners, intelligence led market surveillance and enforcement activities, including risk-based inspection and sampling.

The allocation of suitable resources to tackle any emerging food or feed issues or trends can also be raised for consideration by the Trading Standards Management Team at the monthly Tasking and Coordination meeting.

Information on performance measures and targets is set out on pages 7, 8 and 9 of the Trading Standards Service Plan 2021-22.

6.2   Identification of any Variation from the Service Plan
As outlined in Section 6.1 above the Service, on an ongoing basis, monitors its performance using the above means and takes action to address variance from target throughout the year.

6.3   Areas of Improvement
The service is committed to addressing areas of improvement highlighted by the ongoing quality assessment and internal monitoring as outlined in Section 5.1 above and the monthly reporting as outlined in Section 6.1 above.

Food and Feed Sampling Policy

Background
The six outcomes we are seeking to achieve are:

Growing Economy:

- More businesses start, grow and invest in Norfolk

- The local economy is inclusive, and supports and benefits local businesses and communities

Thriving People:

- All families, older people and people with learning or physical disabilities are supported to live well and independently in their community

Strong Communities:

- People of all ages enjoy good health and increased wellbeing

- Services in communities are joined up and more able to meet people's needs

- Communities are safe and resilient

Introduction
This policy outlines our general approach to the sampling of food and animal feed. This policy is produced in accordance with the service's obligations under the Framework Agreement on Official Food and Feed Controls and the respective Food and Feed Codes of Practice.

Policy
This service recognises that sampling and analysis is an essential part of food and feed standards enforcement, which enables authorised officers to assess compliance with food and feed standards, composition, safety and labelling requirements. This includes using sampling and analysis as part of proactive market surveillance and reactive responses to complaints.

The service is committed to maintaining a contract with a suitably qualified Public/Agriculture Analyst for the analysis of formal food and feed samples.

On an annual basis we will formulate and commit resources to a sampling programme for food and animal feed products. This programme will be developed taking into account factors including the nature of the food and feed businesses in the county, our intervention plan, Primary Authority functions, the Food Standards Agency (FSA) food and feed priorities and other available local, regional and national intelligence pointing to areas of most concern. We will also develop our sampling programme in consultation with the service's appointed Public/Agriculture Analyst.

This service is committed to participation in national and regional sampling surveys where proposed sampling/analysis fits in with the above-mentioned factors.

Although developed as an annual programme, this service will continue to monitor intelligence for emerging issues and will change or amend the sampling programme as necessary.

This service will target its proactive sampling at locally produced animal feed and foods, those products/ingredients from companies that manufacture in, are based in or import into Norfolk. In line with guidance issued by the FSA this service is also committed to ensuring at least 10% of all food samples are foods imported into the United Kingdom.

All formal food and feed sampling will be taken in accordance with the Food Law Code of Practice (England) or the Feed Law Code of Practice (England), as applicable. All formal samples are analysed and/or examined by the service's nominated Public/Agriculture Analyst in accordance with the applicable legislation. Officers who take formal samples are suitably qualified and competent to do so in accordance with the respective Food and Feed Codes of Practice.

Where it is the case that informal samples are taken by officers, wherever it is possible, these samples shall be taken in accordance with relevant legislation.

All food/feed samples and the result of examination/analysis will be recorded. Food and Feed Business Operators will be notified of both the samples taken and the results of analysis. Where sample results are considered to be unsatisfactory, the service will take appropriate action to ensure compliance is achieved. Any action will be carried out in accordance with the CES Compliance & Enforcement Policy.

Norfolk County Council

Community & Environmental Services

Trading Standards Service
Delivery of Animal Health & Welfare Framework
2021-22

IN TRAN
communication for all

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.

Norfolk County Council Trading Standards Service: Delivery of Animal Health & Welfare Framework 2021-22

County councils, metropolitan boroughs and unitary authorities in England have a statutory duty to help local communities comply with laws to prevent the spread of animal disease and protect the welfare of animals. It is compliance with these laws that gives our farming industry the freedom to trade freely and thrive, ensuring that the food we eat is safe and as described, shaping our countryside and making a major contribution to local economies.

The agriculture sector is a major industry in Norfolk and is synonymous with the character of the county. Just over 10%[1] of active enterprises in Norfolk are in the agriculture, forestry and fishing sector. The total farm labour force is large with nearly 12,500[2] people employed on commercial holdings. In comparison with other local authority areas, the county has one of the largest livestock populations of commercial poultry (15,515,558[2]) and pigs (539,174[2]) in the United Kingdom.

Central and local government partners have produced an updated Animal Health and Welfare Framework[3] that offers local authorities a set of practical principles to help deliver duties under animal health and welfare legislation in a way that:

- Is responsive and accountable to local communities;
- Is focused on high risk activities to make best use of limited resources;
- Recognises why national consistency is important for businesses, the public and to protect against animal disease;
- Delivers controls in a way that supports European and international trade agreements;
- Promotes collaborative working.

The Framework is a partnership agreement that aims to increase mutual understanding and collaboration between the Department for Environment, Food and Rural Affairs (Defra), the Animal and Plant Health Agency (APHA) and local authorities in relation to animal health and welfare work. It includes responsibilities for all partners to achieve this. The table on the following pages outlines the responsibilities for Norfolk County Council Trading Standards and how these are achieved.

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1 2019 Office of National Statistics Inter- Departmental Business Register
2 Defra Farming Statistics 2016
3 Produced in partnership between Defra, the Animal Plant Health Agency (APHA), the Association of Chief Trading Standards Officers (ACTSO) and the National Animal Health and Welfare Panel (NAHWP). It is supported by the Local Government Association (LGA).

	Responsibilities of Local Authorities

	Action Required	**Planned Service Delivery**
1	Undertake annual service planning based on the principles in the Animal Health and Welfare Framework.	This document, outlining the responsibilities of local authorities under the Animal Health and Welfare Framework, is included as an annex to the Trading Standards Service Plan. Safeguarding the standards of animal health and welfare and reducing the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health is a defined priority action in the Service Plan and the Trading Standards service's control strategy.
2	Develop a risk based, consistent and accessible process for responding to complaints relating to animal health matters on farms.	The actions of the Service are informed by the CES Compliance & Enforcement Policy. The policy includes reference to the Farm Regulators' Charter and the Regulators' Code. The service has adopted the Intelligence Operating Model (IOM) to direct its activities and prioritise its resources. Safeguarding the standards of animal health and welfare and reducing the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health is a defined priority action of the service's control strategy and activities take account of local, regional and national priorities. The service operates a duty system where all matters that have the potential to require further action, including complaints relating to animal health matters on farms, are reviewed by a Lead Trading Standards Officer. If further action is required, the Lead Trading Standards Officer allocates matters to qualified/competent staff, providing handling instructions to ensure a consistent approach. Within the general process, the service has a number of guidance documents, which have been developed to aid the duty team to respond consistently to animal health and welfare complaints, including: • a flow diagram for allocating animal health matters • a step by step guide to dealing with illegally imported animals • a guide for dealing with alleged breaches of the requirements of avian influenza controls • a guide for dealing with multiple animal welfare issues/complaints relating to the same keeper

	Action Required	Planned Service Delivery
		• guidance on how to deal with abattoir and welfare in transport notifications • a TB work instruction, and • instructions for dealing with missing ear tag referrals.
3	Provide transparency about how the local authority responds to animal welfare complaints, including collaborative arrangements with other partners and charities.	As outlined in 2 above, the service's standard policy and protocols for handling referrals and complaints include our response to animal welfare complaints. The Enforcement Policy and the Trading Standards Service Plan, including this framework annex are published. The service has an information exchange protocol with Norfolk Constabulary and has information sharing agreements with Citizens Advice and World Horse Welfare. In addition, the Service has memorandums of understanding with: • the East of England Trading Standards Association (EETSA), to enable the use of a shared intelligence database • Suffolk Trading Standards, to share resources in the event of an animal disease outbreak or major animal welfare event • the Animal and Plant Health Agency (APHA) (facilitated for the service by the Association of Chief Trading Standards Officers (ACTSO)), outlining roles and responsibilities to deal with the safe disposal of anthrax carcases. Referral handling instructions, covering matters including animal welfare complaints, are maintained for Citizens Advice and Norfolk Police. Where appropriate, the Service will arrange joint visits with Veterinary Officers (VO) from the Animal and Plant Health Agency (APHA) to investigate welfare complaints. Where a complaint raises serious welfare concerns the service will seek to investigate the matter within 24 hours of receipt. Liaison is also maintained with other appropriate agencies to try and establish if the subject of the complaint is the subject of any other complaints/investigations, so a consensus on how to move forward can be agreed.
4	Identify high risk businesses and activities on an annual basis.	The service uses a business risk assessment scheme based on that promoted by the Food Standards Agency (FSA) and has adopted the National Trading Standards Intelligence Operating Model (IOM) to inform its activities and prioritise its resources. The service uses

	Action Required	Planned Service Delivery
		available intelligence sources to risk-assess businesses and identify high risk businesses and activities on an ongoing basis. This informs our priority activities outlined in our control strategy and informs tasking and coordination decisions.
5	Produce an annual programme of interventions for all high-risk businesses and activities based on the risk presented by the activities carried out, intelligence, history of compliance and available resources.	The service produces an annual programme of interventions for all identified high risk businesses. In producing the programme, the service considers factors including risk, compliance history, local, regional and national priorities and any other available intelligence. Progress against targets (for interventions carried out) is monitored monthly by the Trading Standards Management Team via reports provided by Lead Trading Standards Officers.
6	Undertake an annual audit of each livestock market and collection centre in partnership with APHA to review documentation and procedures. Produce an annual programme of interventions based on the outcomes of the audit, which remains flexible to changing risk through the year.	There are one livestock market and three poultry sales operating in Norfolk and the service regularly liaises with the market operators. The service works with officers from APHA to undertake the annual audit of the livestock market, reviewing the market premises and their systems, processes and documented arrangements. This audit informs our agreed programme of interventions with the market, which is fed into our annual intervention programme, as outlined in 5 above.
7	Actively engage in regional animal health and welfare groups, attending meetings where possible and contributing to regional discussions about the implementation of the	The Service contributes significantly to regional and national groups. A Lead Trading Standards Officer with a Service Lead role in animal health and welfare was, for a considerable time, the chair of the East of England Trading Standards Authorities (EETSA) Animal Health and Welfare Regional Group and remains an active member of that group. This lead officer is also a member of the National Animal Health and Welfare Panel and sits on the National Equine Liaison Group.

	Action Required	Planned Service Delivery
	Framework. Ensure membership of the KHub.	The EETSA regional group is active and members support each other with the mutual provision of information and advice to ensure a consistent approach to the application/interpretation of legislation.
		The EETSA regional group also maintains a close working relationship with the National Animal Health and Welfare Panel. Officers of the service are members of the Animal Health and Welfare group on KHub (a public service digital platform).
8	Work closely with other local authorities to share knowledge and expertise, including opportunities for shared training, joint inspections, opportunities for contracting and peer to peer reviews.	In addition to that outlined in 7 above, the service has an ongoing commitment to work closely with Suffolk Trading Standards. The service has agreed a Memorandum of Understanding with Suffolk Trading Standards to enable sharing of resources (including cross border authorisation arrangements) to respond to animal disease outbreaks and animal health and welfare issues. Other collaborative working areas with Suffolk Trading Standards include collaborative intelligence functions, joint strategic management meetings to identify and share best practice, a common enforcement policy and shared learning and development activities.
		The EETSA Animal Health and Welfare Group has provided and maintains a regional store of equipment to facilitate responses to breaches of the legislation controlling rabies.
9	Proactively exchange and use information and intelligence to inform the delivery of animal health and welfare controls, using national intelligence databases where appropriate.	As outlined in 3 and 4 above the service has adopted a number of information sharing agreements/protocols and memoranda of understanding, and the National Trading Standards Intelligence Operating Model (IOM).
		All operational officers have access to the national intelligence database, IDB, and are encouraged to make submissions and review IDB intelligence in relation to their activities. The service has produced an easy protocol to allow officers to add to IDB from data stored on our own database (APP Civica) using an "add to IDB" action line.
		The service employs an Intelligence Lead and an Intelligence Technical Support Officer to support and facilitate our intelligence led approach.
		The Intelligence Lead scrutinises all incoming complaints, received via the Citizens Advice portal, and partner referrals, such as those from APHA, all of which come in through the secure "intel" email inbox.

	Action Required	Planned Service Delivery
		Each month the Intelligence Lead produces a tactical assessment for the Tasking and Coordination meeting. This assessment includes analysis (from IDB and APP Civica) by subject area (including "Animal Disease Control Measures"), the level of IDB submissions and horizon scanning for areas of concern. The report also highlights the level of use of IDB by individual officers via their last timed login.
		On a day to day basis if the Intelligence Lead receives any intelligence that raises a concern relating to a matter that had the potential to be a cross border issue this matter is sent to the EETSA Regional Intelligence Analyst (RIA) for further dissemination.
		The Intelligence Lead and Animal Health Officers of the service have given training to Norfolk Constabulary Control Room staff on Trading Standards matters, including those relating to animal health. The Intelligence Lead and an Animal Health Officer from the Service have attended the Norfolk CRAG (Crime Rural Advisory Group) meetings. These measures have and will improve the channels of communication and sharing of intelligence relating to matters concerning animal health and welfare.
10	Regional groups to discuss and agree how each local authority will be involved in the recording, accessing and analysis of intelligence relating to animal health and welfare with the aim of making a staged improvement in the level and quality of intelligence recorded and the influence this has on service planning across the region.	The Regional Intelligence Analyst (RIA) for the EETSA region has previously attended a meeting of the EETSA Animal Health and Welfare regional group and given advice on how to improve the quality and frequency of intelligence recording on the national intelligence database, IDB, relating to animal health and welfare matters. The EETSA regional group maintains communication with the EETSA RIA. The Intelligence Officer from APHA also regularly attends the EETSA regional group.

	Action Required	Planned Service Delivery
11	Each regional group to review the level of intelligence being recorded and use the intelligence to identify any potential threats on at least an annual basis. Steps should be taken to resolve any concerns about the level or type of intelligence being recorded and a response be formulated to any criminal activity that has been identified.	As per 10 above the EETSA Regional Intelligence Analyst (RIA) has previously attended the EETSA Animal Health and Welfare regional group and given advice on how to improve the quality and frequency of intelligence recording on IDB relating to animal health and welfare matters. The EETSA RIA produces a tactical assessment in anticipation of each bi monthly meeting of the EETSA Regional Tasking Group. The RIA will also highlight any concerns about the level or type of intelligence being recorded within the region. Such concerns are disseminated through senior management meetings within EETSA. The EETSA RIA produces an annual strategic assessment document that includes reference to the regional and national priorities.
12	All local authorities should actively engage in the sharing of environmental, political, legislative or organisational changes at regional meetings that may influence service planning and activities.	Such information is shared at the EETSA Animal Health and Welfare regional group. It is also shared at the EETSA Senior Management Group meetings, where progress of the agreed EETSA regional animal health and welfare workstream is reviewed on a quarterly basis. Issues of particular strategic importance are also discussed at EETSA Heads of Service meetings. In addition, as outlined in 8 above, such information is shared with Suffolk Trading Standards through a programme of collaborative working including collaborative intelligence functions, joint strategic management meetings to identify and share best practice, a common enforcement policy and shared learning and development activities.
13	Ensure that services consider the requirements laid down in the On Farm Charter and Regulators' Code where appropriate.	The Community and Environmental Services (CES) Compliance & Enforcement Policy has been devised with due regard to the Regulators' Code and the Farm Regulators' Charter and both documents are referenced in that policy.

	Action Required	Planned Service Delivery
14	Complete statutory data returns in a timely manner.	The service has a programme, outlining all the required national and regional statutory returns, which is monitored for progress. This programme includes the statutory animal health returns such as the annual return relating to inspections carried out under the Welfare of Animals (Transport) (England) Order and the bi annual return relating to the number of animal health prosecutions.
15	All services should consider how they meet EU standards for the delivery of Official Controls and any future standards that support trade agreements.	The service is aware of the requirements of Article 6 of 2017/625 (as amended by The Official Controls (Animals, Feed and Food, Plant Health etc.) (Amendment) (EU Exit) Regulations 2020) and the requirement to have transparent and accountable audit processes in place.
		The service has an annual programme of internal audits that can deal with all aspects of service delivery. If the need arises this programme would include an audit of official controls.
		Officers who undertake animal health and welfare activities must maintain a level of competency. The service has devised a definition of competency (including required qualifications) for this area of delivery. Officers must complete a learning and development log form where they evidence competency. This evidence can include reference to work completed (including the handling of reactive complaints). This log form is reviewed by line managers at least twice a year. Demonstration of competency is linked to the service's warrant issue process. Our modular approach to warrants means that we can add or revoke service delivery areas in officers' warrants in line with their individual competency review.
		Individual officers are also subject to the Council's performance management framework with annual goal setting and performance monitoring against those goals occurring at regular intervals during the year. In addition, line managers routinely quality monitor work undertaken by officers and give feedback as part of their 1-2-1 meetings.
		As stated in 14 above the service makes returns as per the government's single data list; including mandatory returns relating to official control delivery.
		The service has a number of performance measures that are reported to Councillors and senior managers of the council. These performance measures, which can include aspects of official control delivery, are reviewed against target on a monthly basis by the Trading Standards Management Team.

	Action Required	Planned Service Delivery
		As stated in 4 above, the service has adopted the National Trading Standards Intelligence Operating Model (IOM). This helps to manage prioritised threats and identified risks through enforcement and other activities, as well as reviewing the effectiveness of measures taken.
		Norfolk County Council also carries out audits of services within its organisation to ensure compliance with, for example, financial controls.
		The service is monitoring and horizon scanning to keep up to date with any potential issues as a result of EU exit and the new Trade and Cooperation Agreement signed with the EU.
16	Each local authority must have an up to date animal disease contingency plan in place, which is shared internally and with partners. Contact details are to be revised as changes happen. The plan should be updated within two years of any changes to the national template.	This Service has an Exotic Notifiable Animal Disease Contingency Plan based on the current national template (which is produced by the National Animal Health and Welfare Panel and the Association of Chief Trading Standards Officers). The Service's plan has recently been updated to reflect improvements made to operational practice during the response to the five outbreaks of avian influenza that occurred in Norfolk in December 2020. A separate Exotic Notifiable Animal Disease Contingency Plan for Norfolk Resilience Forum (NRF) Partners is also in place.
17	Local authorities should ensure that contact details on the Local Authority Master Contact List are updated in a timely fashion. This information is used by APHA to communicate details of possible animal disease outbreaks, make referrals and share intelligence.	The list of Norfolk contacts is currently up to date. The Senior Manager within the Service with responsibility for animal health and welfare is responsible for ensuring the currency of the information provided to the Master Contact List.

	Action Required	Planned Service Delivery
18	Officers involved in the delivery of animal health and welfare controls should be trained and qualified in line with local standards and authorisation processes. Local processes should ensure officers are competent in the delivery of effective animal health and welfare controls. As with all responsible employers, local authorities should support staff with personal development processes and training.	The service's approach to ensuring officers are qualified, maintain their competency and are suitably authorised is outlined in 15 above. In addition, as part of the annual service planning process, a learning and development plan is produced. This will include input from Lead Trading Standards Officers, including those who have a specialist lead in animal health and welfare matters, to ensure that required courses and briefings for the forthcoming service year are provided to line managers for discussion at proposed attendees' personal development plan discussions. Lead Trading Standards Officers are also responsible for ensuring that learning and development requirements are identified on an ongoing basis and are delivered, often through LTSO-led workshops.
19	Use the Framework to promote the delivery of animal health and welfare controls to managers and local politicians.	The annual Trading Standards Service Plan includes as an annex this document relating to the Animal Health and Welfare Framework Agreement. This plan is reviewed and agreed by the Trading Standards Management Team and then put forward for approval by members of the Council's Cabinet.

Cabinet

Report title:	Regulation of Investigatory Powers Act 2000 and Investigatory Powers Act 2016
Date of meeting:	12 April 2021
Responsible Cabinet Member:	Cllr Margaret Dewsbury (Cabinet Member for Communities & Partnerships)
Responsible Director:	Tom McCabe (Head of Paid Service)
Is this a key decision?	No

Introduction from Cabinet Member

Since 2010, members have received regular reports of the Council's use of the Regulation of Investigatory Powers Act 2000 (RIPA) and approved the Council's policy and guidance. Last year's report also covered implementation of the Investigatory Powers Act 2016 (IPA) and members approved separate policies for each piece of legislation. Although the legislation is currently only used by Trading Standards, the policies are corporate policies, applicable to the Council as a whole. Compliance with the legislation ensures that the Council's use of investigatory powers is in accordance with the Human Rights Act 1998.

Executive Summary

This report details the use of RIPA and the IPA by the Council for 2020, informs members of the recent inspection conducted by the Investigatory Powers Commissioner's Office (IPCO) and seeks approval of the current policies, which have been reviewed and slightly amended.

Recommendations

1. To note the use of RIPA and the IPA by the Council for 2020, as set out in Appendix A; and
2. To approve the revised policy documentation provided at Appendix B and Appendix C; and
3. To note the outcome of the recent IPCO inspection.

1. Background and Purpose

1.1. The current RIPA and IPA policy and guidance was approved in 2020, replacing the RIPA policy and guidance first developed in 2010. It provides a framework to ensure the Council's use of investigatory techniques regulated by the legislation (directed surveillance, the use of covert human intelligence sources and the acquisition of communications data) is compliant with the law. The policy and guidance is regularly updated and approved by members.

2. Proposals

2.1. **Cabinet notes the use of RIPA and the IPA by the Council for 2020**

A report setting out the use of the legislation by the Council is attached at Appendix A. 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 or 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 this period was as follows: -

- Surveillance: 1

- Covert Human Intelligence Source :0

- Acquisition of communications data: 3

It can be seen from the information in Appendix A that, across the whole of the Council, the only activities covered by the legislation were authorised in relation to Trading Standards' investigations.

2.2. **Cabinet approves the revised policy documentation provided at Appendix B and Appendix C**

These policies have been reviewed in conjunction with Trading Standards and minor changes have been made to references within the policies to make them more "user friendly"; to update the SRO's job title and to reflect issues raised by the IPCO inspection. In general, the policies refer the reader to the Codes of Practice for more detailed guidance in relation to specific issues. The two policies are crossed referenced.

Consultation and user engagement has not been necessary.

2.3. **Cabinet notes the outcome of the recent IPCO inspection**

The Council was inspected by the Investigatory Powers Commissioner's Office on 18.08.2020. The inspection was conducted remotely by an IPCO Inspector. Helen Edwards, Director of Governance and Monitoring Officer, Louise Hartley, Lawyer (nplaw) and Shaun Norris, Trading Standards Section Manager, were present.

The level of compliance with the legislation was such that a physical inspection was deemed unnecessary. Minor recommendations relating to the Council's Central Record of Authorisations and the wording of Directed Surveillance applications have been attended to.

The most substantive recommendation was that reporting to members should be undertaken annually. Last year, members had approved moving to a bi-annual reporting basis, unless an earlier report was considered necessary. However, in light of the Inspector's recommendation, reports will now revert to an annual basis.

3. Impact of the Proposal

3.1. The revised policies will help to ensure that the Council's use of investigatory powers remains compliant with the relevant legislation, including the Human

Rights Act 1998 and that evidence gathered as a result of the use of these techniques is admissible under law in criminal prosecutions.

4. Evidence and Reasons for Decision

4.1. The two Acts, the associated Regulations and Codes of Practice set out expectations for local authorities in relation to the oversight of RIPA authorisations for directed surveillance and CHIS and for the acquisition of communications data under the IPA. The recommendations set out in this report meet the requirements of the legislation. There are no other reasonably viable options to the recommendations above.

5. Alternative Options

5.1. These corporate policies are considered to be the most effective way to ensure the Council fulfils its legal responsibilities, when using covert investigatory techniques to gather intelligence for the purposes of one of its regulatory functions.

6. Financial Implications

6.1. There are no direct financial implications arising from this report.

7. Resource Implications

7.1. **Staff:**

N/A

7.2. **Property:**

N/A

7.3. **IT:**

N/A

8. Other Implications

8.1. **Legal Implications**

The legislation sets out the expectations for local authorities in relation to covert surveillance and the acquisition of communications data.

8.2. **Human Rights implications**

The legislation ensures 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.

8.3 **Equality Impact Assessment (EqIA) (this <u>must</u> be included)**

The legislation 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 and the IPA in relation to individuals could be considered for the future but is not considered necessary at this stage. The policies will continue to be reviewed periodically to ensure they reflect changes to legislation and that they safeguard the interests and rights of all.

8.4. **Health and Safety implications**

There are no health and safety implications.

8.5. **Sustainability implications**

There are no sustainability implications.

8.6. **Any other implications**

None.

9. Risk Implications/Assessment

9.1 The proposed policies set out expectations for the Council's use of RIPA and the IPA. Compliance with the policies will help to ensure that the Council's use of investigatory powers remains compliant with the relevant legislation, including the Human Rights Act 1998.

10. Select Committee comments

10.1. None.

11. Recommendations

11.1
1. **To note the use of RIPA and the IPA by the Council for 2020, as set out in Appendix A; and**
2. **To approve the revised policy documentation provided at Appendix B and Appendix C; and**
3. **To note the outcome of the recent IPCO inspection.**

12. Background Papers

12.1 The Council's current RIPA and IPA policy and guidance can be accessed on the intranet at https://intranet.norfolk.gov.uk/-/media/intranet/files/strategy-and-governance/documents/nplaw/ripa-policy.pdf and https://intranet.norfolk.gov.uk/-/media/intranet/files/strategy-and-governance/documents/nplaw/ipa-policy.pdf

Officer Contact

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

Appendix A

RIPA AND IPA AUTHORISATIONS 2020

NO	DATE	NATURE OF AUTHORISATION	REASON FOR AUTHORISATION	GRADE OF AUTHORISING/ SENIOR OFFICER	DEPT.
1.	06.02.20	Communications Data	Unfair Trading Regs/Fraud Act/Money Laundering	Section Manager (Shaun Norris)	CES
2.	10.03.20	Directed Surveillance	Underage sale of alcohol and tobacco	Section Manager (Shaun Norris)	CES
3.	05.05.20	Communications Data	Unfair Trading Regs	Section Manager (Shaun Norris)	CES
4.	19.05.20	Communications Data	Unfair Trading Regs	Section Manager (Shaun Norris)	CES

Norfolk County Council

Directed Surveillance and the use of Covert Human Intelligence Sources

Regulation of Investigatory Powers Act 2000

Policy and Guidance Notes

np**law**
Norfolk Public Law

Last Updated February 2021

1. Introduction

1.1 The main purpose of the Regulation of Investigatory Powers Act 2000 (RIPA) is to ensure that public bodies use their investigatory powers in accordance with the Human Rights Act 1998. The investigatory powers covered by the legislation are: -

(a) intrusive surveillance (on residential premises/in private vehicles) (NB: The Council is not permitted to engage in intrusive surveillance);

(b) covert surveillance in the course of specific operations;

(c) the use of covert human intelligence sources (agents, informants, undercover officers);

1.2 For each of these powers RIPA ensures that the law clearly covers the purposes for which they may be used, which authorities can use the powers, who should authorise each use of power, the use that can be made of the material gained, independent judicial oversight and a means of redress for any individual aggrieved by use of the powers.

1.3 In addition to the legislation itself, the Home Office has issued Codes of Practice dealing with covert surveillance and covert human intelligence sources. This guide is designed to cover the aspects of RIPA that regulate the use of investigatory powers by the Council.

1.4 Directed Surveillance can only be undertaken if it is for the purpose of preventing/detecting a criminal offence which is punishable (whether on summary conviction or on indictment) by a maximum term of **at least 6 months of imprisonment** - or would constitute an offence under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933 (sale of tobacco and alcohol to underage children).

2. What is regulated by RIPA

2.1 The monitoring, observing or listening to persons, their movements, their conversations or their other activities or communications where this is done in a manner calculated to ensure that the subject of surveillance is unaware that they are being monitored or observed etc.

2.2 The recording of anything monitored observed or listened to during surveillance.

2.3 Use of a surveillance device, e.g. a hidden video camera, a listening device.

2.4 See paragraph 19 below for further advice on activities/operations considered to involve directed surveillance.

3. What is not regulated by RIPA?

3.1   Local authorities are only able 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.

3.2   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 (e.g. 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 European Convention on Human Rights (ECHR) are likely to be interfered with. This can be reduced by following a similar self-authorisation process, which can be achieved by using the non-RIPA authorisation form available from nplaw and which should be completed by the officer and authorised by a person identified in Appendix A.

3.3   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 nplaw.

3.4   Directed surveillance does not include covert surveillance carried out by way of an immediate response to events or circumstances which, by their very nature, could not have been foreseen. Thus, a local authority officer would not require an authorisation to conceal himself and observe a suspicious person that he came across in the course of his duties.

3.5   Overt CCTV surveillance systems are not normally covered by RIPA as their use is obvious to the public. There may, however, be occasions where public authorities use material obtained from overt CCTV systems for the purpose of specific investigation or operation. In such cases authorisation for directed surveillance may be necessary.

3.6   The Investigatory Powers Act 2016 regulates investigatory actions in respect of the acquisition of communications data. This is therefore outside the scope of this guide and reference should be made to the Council's "Investigatory Powers Act 2016" guidance.

3.7   See paragraph 22 below for further advice on activities/operations considered **not** to involve directed surveillance.

4. Rules of Evidence

4.1 Material obtained through covert surveillance may be used as evidence in criminal proceedings. Provided that surveillance has been properly authorised, the evidence gathered should be admissible under law and in accordance with Section 78 of the Police and Criminal Evidence Act 1984 (PACE) and the Human Rights Act 1998 (HRA). Material gathered as a result of surveillance authorised under RIPA is subject to the ordinary rules for retention and disclosure of material and the Criminal Procedure and Investigations Act 1996 (CPIA).

5. Some Definitions

5.1 "Covert": Concealed, done secretly

5.2 "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.

5.3 "Directed surveillance": Surveillance which is covert, but not intrusive, and is undertaken for the purposes of a specific investigation or specific operation, in such a manner as is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation) and otherwise than by way of an immediate response to events or circumstances.

5.4 "Intrusive surveillance": Is 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.

5.5 "Private information": Includes any information relating to a person's private or family life. Private information should be taken generally to include any aspect of a person's private or personal relationship with others, including family and professional or business relationships.

5.6 "Confidential Information": Confidential information consists of communications subject to legal privilege, communications between a Member of Parliament and another person on constituency matters,

confidential personal information, or confidential journalistic material.

6. Entering onto or interfering with property, or with wireless telegraphy or postal communications

6.1 <u>Only</u> members of the intelligence services are able to make applications to enter onto or interfere with property or with wireless telegraphy. Council staff <u>are not permitted</u>, under any circumstances, to engage in such activity.

6.2 It is an offence to intercept communications sent by public postal service and public telecommunication systems. Interception of communication can be done with lawful authority, however only a limited group can grant a warrant for such an activity (Secretary of State or his representative to such persons as the Directors-General of the Security Service and Director of GCHQ, the Chief of Secret Intelligence Service and the Chief Constables of Police). Therefore, it is not envisaged that the Local Authority would ever be permitted to make a lawful interception of a communication.

7. Authorisations

7.1 <u>Purpose of Authorising surveillance</u>

7.1.1 An authorisation under RIPA, with subsequent appropriate approval by a Justice of the Peace, provides lawful authority for a public authority to carry out surveillance. Responsibility for authorising surveillance investigations is given by an "authorising officer". Approval is then required by a Justice of the Peace. Surveillance must not be carried out without prior authorisation and approval (but see 2.1 above).

7.1.2 The consequence of not obtaining an authorisation and approval under RIPA may be that the action is in breach of the Human Rights Act/European Convention on Human Rights (ECHR) and that any evidence so gained could be excluded in any proceedings that arise.

7.1.3 Authorisation should be obtained for any covert surveillance that is likely to interfere with a person's rights to privacy under Article 8 ECHR by obtaining private information about that person, whether or not that person is the subject of the investigation or operation.

7.2 <u>Basis for Authorising Surveillance Activities</u>

7.2.1 Authorisation can only be granted where there is <u>justifiable</u> interference with an individual's human rights, i.e. it is necessary and proportionate for surveillance activities to take place.

7.2.2 The authorising officer must believe that the authorisation is necessary in the circumstances of the particular case for the statutory grounds for directed surveillance to exist (See paragraph 12.1).

7.2.3 The authorising officer must also believe that the activity is proportionate to what is sought to be achieved. They must balance the intrusiveness of the activity proposed on both the target and others who may be affected, against the need for the activity in operational terms.

7.2.4 Before authorising surveillance, the authorising officer must also take into account the risk of intrusion into the privacy of persons other than those who are the target of the investigation. This is known as collateral intrusion. The authorisation procedures allow for an assessment of collateral intrusion which the authorising officer will be required to consider prior to granting authorisation. In order to decide whether to grant authorisation the authorising officer must have a full picture of the operation, the proposed method(s) of observation and the Human Rights Act implications of the operation.

7.2.5 Where one agency acts on behalf of another, for example, this authority acts on behalf of a neighbouring authority, it will be the responsibility of the lead authority to obtain the authorisation.

7.2.6 Once authorisation is obtained, approval by a Justice of the Peace must be granted before the relevant surveillance activity can be undertaken. The requirement for Magistrates' approval applies to both authorisations and renewals.

8. The Senior Responsible Officer's Role

8.1 The Council's Senior Responsible Officer (SRO) is the Director of Governance and Monitoring Officer.

8.2 The SRO is responsible for:

- The integrity of the process in place within the Council for the management of Covert Human Intelligence Sources and Directed Surveillance
- Compliance with Part II of RIPA and the Codes of Practice
- Oversight of the reporting of errors to the Investigatory Powers Commissioner's Office (IPCO) and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors
- Engagement with IPCO inspectors when they conduct their inspections
- Oversight of the implementation of any post-inspection action plan approved by the IPCO

- Ensuring that all Authorising Officers are of an appropriate standard in light of any recommendations in the inspection reports by the Investigatory Powers Commissioner's Office.

8.3   Specific responsibilities

8.3.1 The Senior Responsible Officer is responsible for ensuring this **Policy Guidance is reviewed** on a regular basis with Cabinet. Cabinet is responsible for ensuring the Policy Guidance remains fit for purpose; they are not involved in making decisions on specific authorisations.

8.3.2 The Senior Responsible Officer is responsible for submitting **annual statistics** to the IPCO in relation to authorisations.

8.3.3 The Senior Responsible Person is also responsible for communicating to the IPCO any **unauthorised activity** that might come to the attention of the authority. This must be done within 5 working days. The records, documentation, and associated documentation relating to this unauthorised activity must be retained by the Senior Responsible Officer and disclosed to the IPCO upon request, and certainly to an inspector from the IPCO at the commencement of the next scheduled inspection.

8.3.4 The Senior Responsible Officer must also undertake a regular review of **Errors.** The Codes of Practice provide that a written record must be made of each review and include requirements to report relevant and serious errors to the IPCO.

Officers should familiarise themselves with the requirements in the Codes of Practice relating to errors.

9.   Records

9.1   The Senior Responsible Officer is responsible for ensuring a central record of authorisations and approvals is maintained. Each application must be given a Unique Reference Number, which will then be used to locate the application on the Central Record.

9.2   The central record and all associated documents relating to authorisations and approvals, reviews, cancellations, or renewals and refused applications should be retained in an auditable format, with each particular authorisation and approval allocated a unique reference number.

9.3   Records should be retained for a period of five years from the ending of the authorisation and should contain information as specified in the Codes of Practice.

10.   Retention and destruction of results of investigations

10.1 Material obtained in the course of criminal investigations and which may be relevant to the investigation must be recorded and retained in accordance with the Criminal Procedure and Investigations Act 1996.

10.2 The authority must have in place arrangements for handling, storage and destruction of material obtained through the use of covert surveillance and compliance with the appropriate data protection requirements must be ensured.

11. Confidential Information

11.1 Confidential information consists of; communications subject to legal privilege, (i.e. matters arising from the confidential lawyer – client relationship), communications between a Member of Parliament and another person on constituency matters, confidential personal information or confidential journalistic material. Special consideration must be given to authorisations that involve confidential information. If the use of surveillance may result in confidential information being acquired, the use of surveillance will be subject to a higher level of authorisation. (i.e. the Head of Paid Service)

11.2 Confidential personal information is information held in confidence relating to the physical or mental health or spiritual counselling of a person (whether living or dead) who can be identified from it. Examples include consultations between a health professional and a patient, or information from a patient's medical records. Such information is held in confidence if it is held subject to an express or implied undertaking to hold it in confidence or it is subject to a restriction on disclosure or an obligation of confidentiality contained in existing legislation.

11.3 Material which is legally privileged is particularly sensitive and an application for surveillance which is likely to result in the acquisition of legally privileged information should only be authorised in exceptional and compelling circumstances. The person authorising must also be satisfied that the proposed covert surveillance or property interference is proportionate to what is sought to be achieved.

11.4 Legal privilege is defined in section 98 of the Police Act 1997 . This definition should be used to determine how to handle material obtained through surveillance authorised under RIPA. Special safeguards apply to matters subject to legal privilege and legal advice should be sought.

11.5 If there is any doubt as to the handling and dissemination of confidential information, legal advice should be sought before any further dissemination of material takes place.

12. Grounds for Authorisation

12.1 Section 28(3) of RIPA allows for authorisation for directed surveillance to be granted by an authorising officer where he believes that the authorisation is

necessary in the circumstances of the particular case. In the case of a Local Authority the only circumstances allowed are: -

28(3) b for the purpose of preventing and detecting crime.

12.2   The authorising officer must also believe that the surveillance is proportionate to what it seeks to achieve. "Proportionality" is defined by paragraph 3.6 of the Covert Surveillance and Property Interference Revised Code of Practice: -

> *3.6   The following elements of proportionality should therefore be considered:*
> *   *balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;*
> *   *explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;*
> *   *considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result;*
> *   *evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.*

12.3   Authorisation must be given in writing.

12.4   Authorising officers should not ordinarily give authorisations in investigations or operations in which they are directly involved unless this is unavoidable.

13.   Information to be provided in applications for authorisation

13.1   An application for authorisation for directed surveillance should be made in writing and should describe any conduct to be authorised and the purpose of the investigation or operation. The application should include:

(a)   the reasons why the authorisation is necessary;

(b)   the grounds upon which it is sought, including specifying the offence(s) under investigation;

(c)   the reasons why the surveillance is considered proportionate to what it seeks to achieve; (see paragraph 12.2) e.g. could the information be achieved by other means?

(d)   the nature of the surveillance; e.g. where will officers be located, will they use a vehicle, what equipment will be used?

(e)   the identities, where known, of those to be the subject of the surveillance;

(f)   an explanation of the information which it is desired to obtain as a result of a surveillance;

(g)   the details of any potential collateral intrusion and why the intrusion is justified;

(h)   the details of any confidential information that is likely to be obtained as a consequence of the surveillance;

(i)   the level of authority required (or recommended where that is different) of the surveillance;

(j)   a subsequent record of whether authority was given or refused, by whom and the time and date.

14.   Duration of authorisations

14.1   A written authorisation/approval ceases to have effect unless renewed and approved at the end of a period of three months beginning with the date on which it took effect (12 months for CHIS).Note: an authorisation takes effect on the date judicial approval is granted.

15.   Reviews

15.1   Authorisations should be reviewed regularly to assess the need for surveillance to continue. The results of a review should be recorded on the relevant form in the central record of authorisations. Particular attention should be paid to reviews where the surveillance provides access to confidential information or involves collateral intrusion.

15.2   It is the responsibility of the authorising officer to determine how often a review should take place and this should be as frequently as is considered necessary and practicable.

16.   Renewals

16.1   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, he may renew it in writing for a further period of three months. Magistrate approval must then be obtained prior to expiry of the original authorisation in order for activity to continue.

16.2   All applications for renewal of an authorisation should record:

(a)   whether this is the first renewal or every occasion on which the authorisation has been renewed previously;

(b)   any significant changes to the information contained in the original application;

(c)   the reasons why it is necessary to continue the surveillance;

(d)   the content and value to the investigation or operation of the information so far obtained from the surveillance;

(e)   the result of regular reviews of the investigation or operation.

16.3   Renewal records should be kept as part of the central record of authorisations.

17.   Cancellations

17.1   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 nplaw. Cancellations are to be effected by completion of the cancellation form available on the government website.

17.2   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. Those acting under an authorisation must keep their authorisations under review and notify the authorising officer if they consider that the authorisation is no longer necessary or proportionate.

17.3   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.

17.4   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 and record those details on the cancellation form.

18.   Authorising the Use of Covert Human Intelligence Sources (CHIS)

18.1   In most cases a human source that volunteers or provides information that is within their personal knowledge, without being induced, asked or tasked by a public authority, will not be a CHIS and therefore will not require authorisation. However, the tasking of a person is not the sole benchmark in seeking a CHIS authorisation. It is the activity of the CHIS in exploiting a relationship for a covert purpose which is ultimately authorised by RIPA, whether or not that CHIS is asked to do so by a public authority. It is possible therefore that a

person will become engaged in the conduct of a CHIS without a public authority inducing, asking or assisting the person to engage in that conduct.

18.2   Local Authorities are permitted to use CHIS.

18.3   A person is a CHIS if:

a)   he establishes or maintains a personal or other relationship with a person for a covert purpose or facilitates the doing of anything within paragraph b) or c).

b)   he covertly uses such a relationship to obtain information or to provide access to any information to another person; or

c)   he covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

18.4   The grounds for authorisation and approval under Section 29(3) of RIPA are broadly similar to those in S28(3) (see paragraph 12.1 above). However, note there is no requirement to meet the serious crime threshold for CHIS.

18.5   In line with section 29(5)(a) and (b) of RIPA a "handler" and a "controller" will be appointed for each CHIS.

The person referred to in section 29(5)(a) of RIPA (the "handler")
  •   will have day to day responsibility for dealing with the CHIS.
  •   directing the day to day activities of the CHIS;
  •   recording the information supplied by the CHIS; and
  •   monitoring the CHIS's security and welfare.

The handler of a CHIS will usually be of a rank or position below that of the authorising officer.

The person referred to in section 29(5)(b) of RIPA (the "controller") will normally be responsible for the management and supervision of the "handler" and general oversight of the use of the CHIS.

The authorising officer must ensure that there is a satisfactory risk assessment in place.

18.6   Detailed records must be kept of the authorisation and approval and use made of a CHIS. Section 29(5) of RIPA provides that an authorising officer must not grant an authorisation for the use or conduct of a CHIS unless he believes that there are arrangements in place for ensuring that there is at all times a person with the responsibility for maintaining a record of the use made of the CHIS. The Regulation of Investigatory Powers (Source Records) Regulations 2000; SI No: 2725 details the particulars that must be included in these records. The records kept by public authorities should be maintained in

such a way as to preserve the confidentiality, or prevent disclosure of the identity of the CHIS, and the information provided by that CHIS.

Particulars to be contained in records

The following matters are specified for the purposes of paragraph (d) of section 29(5) of the 2000 Act (as being matters particulars of which must be included in the records relating to each source):

- the identity of the source;

- the identity, where known, used by the source;

- any relevant investigating authority other than the authority maintaining the records;

- the means by which the source is referred to within each relevant investigating authority;

- any other significant information connected with the security and welfare of the source;

- any confirmation made by a person granting or renewing an authorisation for the conduct or use of a source that the information in paragraph (d) has been considered and that any identified risks to the security and welfare of the source have where appropriate been properly explained to and understood by the source;

- the date when, and the circumstances in which, the source was recruited;

- the identities of the persons who, in relation to the source, are discharging or have discharged the functions mentioned in section 29(5)(a) to (c) of the 2000 Act or in any order made by the Secretary of State under section 29(2)(c);

- the periods during which those persons have discharged those responsibilities;

- the tasks given to the source and the demands made of him in relation to his activities as a source;

- all contacts or communications between the source and a person acting on behalf of any relevant investigating authority;

- the information obtained by each relevant investigating authority by the conduct or use of the source;

- any dissemination by that authority of information obtained in that way; and

- in the case of a source who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the source's activities for the benefit of that or any other relevant investigating authority.

18.7 Vulnerable adults and minors are the subject of special provisions when used as CHIS. Authorisation will not be given for the collation of information from a CHIS under the age of 16 for the purpose of gathering information against his parents.

18.8 Where the use of a CHIS is being contemplated, the need to seek legal advice should be considered. Consideration should be given, in any case likely to place the CHIS at any risk of danger or of violence, to seeking assistance from Norfolk Constabulary.

19. Activities/operations involving directed surveillance

19.1 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.

19.2 The consequence of not obtaining an authorisation may render the surveillance action unlawful under the HRA/ECHR, or any evidence obtained may be inadmissible in Court proceedings.

19.3 It is strongly recommended that Council Officers seek an authorisation, where the surveillance is likely to interfere with a person's Article 8 ECHR 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.

19.4 Proper authorisation of directed surveillance should also ensure the admissibility of evidence under the common law, PACE and the Human Rights Act. 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.

19.5 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.

20. Online covert activity, including covert surveillance of Social Networking Sites

20.1 Wherever possible officers should continue to adopt overt methods in seeking to achieve business compliance. However, as a result of the scale of online trading the need to make online test purchases and investigation checks is inevitably increasing. It is therefore recognised that from time to time covert methods will need to be employed. Whenever it is intended to carry out covert activity online, officers must first consider whether the proposed activity is likely to interfere with a person's Article 8 ECHR rights, including the effect of any collateral intrusion. 'General' test purchases from an open internet site or marketplace (such as Ebay) are unlikely to require RIPA authorisation. However, any covert activity likely to interfere with an individual's Article 8 ECHR rights should only be carried out when it is necessary and proportionate to meet the objectives of a specific case. Where it is considered that private information is likely to be obtained, a directed surveillance authorisation must always be sought, as set out elsewhere in this guidance.

20.2 Although social networking and internet sites are easily accessible, if they are going to be used during the course of an investigation, consideration must be given as to whether a RIPA authorisation should be obtained.

20.3 Viewing of open source material does not require authorisation unless and until it is repeated or systematic, at which stage a directed surveillance authorisation should be considered.

20.4 Passing an access control so as to look deeper into the site, for example by making a 'friend request', requires at least directed surveillance authorisation. If the investigator is to go further and pursue enquiries within the site, thereby establishing a relationship with the site host in the guise of a member of the public, this requires CHIS authorisation.

20.5 The Home Office Revised Codes of Practice on Covert Surveillance and Property Interference and Covert Human Intelligence Sources provide detailed guidance in relation to online covert activity, including covert surveillance of Social Networking Sites:

https://www.gov.uk/government/collections/ripa-codes

21. **Test Purchasing of Age Restricted Products**

21.1 It has long been the view 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 Covert Surveillance and Property Interference Revised Code of Practice states 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.

21.2 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.

21.3 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 the 'non-RIPA' form which has been devised to cover this eventuality.

21.4 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.

21.5 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".

21.6 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. This includes giving due consideration to the impact of instructing an underage test purchaser to lie about their age if challenged by the seller of an age restricted product. The application for directed surveillance or the CHIS application must fully consider the impacts this might present together with the mitigation measures of any additional risks that may emerge as a result of the change in approach.

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.

21.7   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.

21.8   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.

21.9   In the vast majority of test purchase operations, it is likely that there will be minimal risk to the test purchaser involved. Where an operation differs in the standard approach, for example where the test purchaser of an age restricted product may be asked to lie about their age, a directed surveillance or CHIS application must fully consider the mitigation of any additional risks that may emerge as a result of the change in approach.

22.   Activities/operations not involving directed surveillance

22.1   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.

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

22.3   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.

22.4   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 enforcement, to identify and tackle offenders;

- 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 a RIPA authorisation.

22.5   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.

23.   Investigatory Powers Commissioner's Office

23.1   The Investigatory Powers Commissioner is an independent person who has oversight of the operation of RIPA. Public bodies are liable to inspection on behalf of the Investigatory Powers Commissioner and have a duty to produce records and comply with requests for information made by the Investigatory Powers Commissioner or his inspectors.

24.   Safeguarding Surveillance Material Obtained

24.1   The revised Codes set out significant requirements relating to the handling of any material obtained as a result of surveillance or the use of a CHIS. Officers should familiarise themselves with the requirements in the Codes relating to safeguarding. Officers should also refer to any Departmental policies regarding evidential material.

25. <u>Complaints</u>

25.1 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 operations under RIPA, they must be informed of the existence of the Investigatory Powers Tribunal.

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

25.3 The address for the Investigatory Powers Tribunal is:

PO Box 33220
London
SW1H 9ZQ.
Tel: 0207 035 3711
Website address: www.ipt-uk.com

PROCEDURE FOR OBTAINING AUTHORISATION FOR DIRECTED
SURVEILLANCE OR USE OF CHIS UNDER RIPA

DIRECTED SURVEILLANCE

1.   Applying for Authorisation

1.1   Where an Investigating Officer believes that there is a need for Directed
Surveillance during the course of an investigation, the Investigating Officer
must complete an Application for Authority for Directed Surveillance [see
appendix B] after discussion with his line manager, if appropriate.

1.2   The completed form must be submitted to the Authorising Officer [see
appendix A for departmental Authorising Officers.]

1.3   The Authorising Officer can only approve an application where the statutory
grounds for doing so are met.

1.4   Where the Authorising Officer is satisfied that the criteria for granting
authorisation are met, he will approve the application and return a copy of the
endorsed application to the Investigating Officer. In authorising the
application, the Authorising Officer will set the first review date and specify the
expiry date in accordance with the prompts provided on the authorisation
forms (3 months less one day for directed surveillance; 12 months less one
day for CHIS).

2.   The judicial approval process

2.1   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).

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

- The local authority must contact HMCTS to arrange a hearing, or to deal
  with the matter administratively.

- 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 provided
  to the JP.)

- Unless dealt with administratively, a hearing will usually 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.

2.3   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.

2.4   For the form for seeking judicial approval, see Appendix B.

2.5   Once approved by a JP, the Authorising Officer must ensure that a copy of the completed application and approval documentation is included within the central record of authorisations.

3.   Reviewing Authorisations

3.1   The Authorising Officer, in granting the Authorisation, will endorse it with a review date. At the review the Investigating Officer will complete the Review of Directed Surveillance Authorisation form [see appendix B] for consideration by the Authorising Officer. The Authorising Officer is responsible for determining whether the grounds for continued surveillance remain. If not, the application should be cancelled.

3.2   It is recommended that authorisations are reviewed on at least a monthly basis. The maximum period that may elapse between reviews is 3 months.

3.3   The Authorising Officer must ensure that a copy of the Review of Directed Surveillance Authorisation documentation is included within the central record of authorisations.

4.   Refusing Authorisations

4.1   Where the Authorising Officer is not satisfied that the criteria for granting an authorisation for directed surveillance are met, he will refuse the application and endorse the application accordingly.

5.   Cancelling Authorisations

5.1   Any activity authorised under RIPA must be kept under review. Where surveillance is completed the IO will complete a Cancellation of Directed Surveillance form [see appendix B] and forward it to the Authorising Officer for approval.

5.2   The Authorising Officer must ensure that a copy of the cancellation documentation is included within the central record of authorisations.

6.   Renewals

6.1   Authorisations last for a maximum of 3 months in the first instance and must be renewed if surveillance is to continue beyond this time limit. The Investigating Officer is responsible for ensuring that any application for a renewal is made in a timely manner.

6.2   Where it is necessary to renew an authorisation, the Investigating Officer will complete a Renewal of Directed Surveillance Authorisation form and forward it to the Authorising Officer for approval. The investigating officer must then obtain approval for the renewal from a Justice of the Peace, using the specified form and supplying the required authorisation documentation, before the expiry of the original authorisation in order for the activity to continue.

6.3   The Authorising Officer will arrange for the original application and renewal approval documentation to be included within the central record of authorisations.

7.   Retention of Authorisation Records

7.1   The SRO will retain records relating to authorisations under RIPA for 5 years from the date authorisation was granted or renewed.

8.   COVERT HUMAN INTELLIGENCE SOURCES

8.1   Applications, Reviews, Cancellations and Renewals apply in relation to CHIS as above, and there are separate forms applicable to such applications [See appendix B.]

8.2   The Authorising Officer should not grant any such application without first considering whether to take legal advice.

Officer	**Name**
Head of Paid Service	Tom McCabe (Authorising Officer for confidential information)
Senior Responsible Officer (SRO)	Helen Edwards, Director of Governance and Monitoring Officer
Authorising Officers	Sophie Leney, Head of Trading Standards
	Shaun Norris, Section Manager – Trading Standards
	Alice Barnes, Section Manager – Trading Standards
	Jon Peddle, Section Manager – Trading Standards
	Nick Johnson, Head of Planning

APPENDIX B
RIPA FORMS

All forms can be downloaded from:
https://www.gov.uk/government/collections/ripa-forms--2
It is your responsibility to ensure that you are using the current version of the RIPA forms.

The form to be used for applications for Magistrate approval, in both the Directed Surveillance and CHIS sections is at:
http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/

Directed Surveillance

1. Application for Directed Surveillance Authorisation

2. Review of Directed Surveillance Authorisation

3. Cancellation of Directed Surveillance Authorisation

4. Renewal of Directed Surveillance Authorisation

5. Magistrate approval of authorisation/renewal.

Covert Human Intelligence Sources

6. Application for Use of CHIS

7. Review of CHIS Authorisation

8. Cancellation of CHIS Authorisation

9. Renewal of CHIS Authorisation

10. Magistrate approval of authorisation/renewal.

Please also see:

Home Office Guidance to Local Authorities, at:
http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/local-authority-england-wales?view=Binary

The application process to the Magistrates is explained from page 10 onwards.

Norfolk County Council

Accessing Communications Data

Investigatory
Powers Act 2016

Policy and Guidance Notes

np**law**
Norfolk Public Law

Last Updated February 2021

1.0   Introduction

1.1   The Investigatory Powers Act 2016 (IPA) regulates access to Communications Data. This policy should be read in conjunction with the current Home Office Code of Practice on Communications Data. The Code is available at; https://www.gov.uk/government/consultations/investigatory-powers-act-2016-codes-of-practice

1.2   The Regulation of Investigatory Powers Act 2000 (RIPA) regulates investigatory actions involving surveillance and the use of covert human intelligence sources. These actions are therefore outside the scope of this guide and reference should be made to the Council's "Regulation of Investigatory Powers Act 2000" guidance.

1.3   Communications data includes the 'who', 'when', 'where', and 'how' of a communication but not the content i.e. what was said or written. It includes the way in which, and by what method, a person or thing communicates with another person or thing. It excludes anything within a communication including text, audio and video that reveals the meaning, other than inferred meaning.

It can include the address to which a letter is sent, the time and duration of a communication, the telephone number or email address of the originator and recipient, and the location of the device. It covers electronic communications including internet access, internet telephony, instant messaging and the use of applications. It also includes postal services.

Communications data is generated, held or obtained in the provision, delivery and maintenance of communications services including telecommunications or postal services.

Application to the County Council

1.4   The County Council is only entitled to seek the acquisition of communications data defined as Entity data and/or Events data. Both these terms are defined within the Code of Practice at paragraph 2.38 through to 2.43 for Entity Data, and from para 2.44 to 2.45 for Events Data.

The interception of postal, telephone, email and other electronic communications

1.5   There is no legal means for the County Council to 'intercept communications data' under the IPA.

2.0   Authorising the acquisition and disclosure of communications data

Authorisation

2.1 It is crucial that the acquisition of communications data is properly authorised. No officer may seek the acquisition of any form of communication data unless he is authorised to do so, an Approved Rank Officer is aware of the Application, and the application has been provided to the Single Point of Contact (SPoC) and approved by the Office for Communications Data Authorisations (OCDA) in accordance with the Code of Practice.

Failure to secure proper approval and to comply with this procedure could lead to evidence being excluded by Courts, complaints against the Council, and in some cases the commission of criminal offences. The Council is subject to audit and inspection by the Investigatory Powers Commissioner's Office and it is important that we demonstrate compliance with the IPA.

Acquisition of communications data

2.2 Where an authorisation for the acquisition of communications data has been granted, persons within a public authority may engage in conduct relating to a postal service or telecommunication system, or to data derived from a telecommunication system, to obtain communications data.

The following types of conduct may be authorised:

- conduct to acquire communications data - including obtaining data directly or asking any person believed to be in possession of or capable of obtaining such data to obtain and disclose it; and/or

- giving of a notice – requiring a telecommunications operator to obtain and disclose the required data.

2.3 In the case of Norfolk County Council the physical acquisition of communications data will be facilitated through our membership of the National Anti-Fraud Network (NAFN), with NAFN providing a comprehensive SPoC service.

2.4 It will be the responsibility of NAFN to ensure all requests to a telecommunications/postal operator for communications data, pursuant to the granting of an authorisation, comply with the requirements of the Code of Practice, specifically para's 6.1 to 6.18.

3.0 Roles & Responsibilities

3.1 Acquisition of communications data under the IPA involves four roles:

(a) Applicant;

(b) Approved Rank Officer (ARO)

(c) Single point of contact (SPoC);

(d) Senior Responsible Officer in a Public Authority (SRO)

The Applicant

3.2   The applicant is a person involved in conducting or assisting an investigation or operation within a relevant public authority who makes an application in writing or electronically for the acquisition of communications data.

Any person in a public authority which is permitted to acquire communications data may be an applicant, subject to any internal controls or restrictions put in place within public authorities.

Approved Rank Officer (ARO)

3.3   The Approved Rank Officer is a person who is a manager at service level or above within the Public Authority. The ARO's role is to have an awareness of the application made by the Applicant and convey this to the SPoC when requested to do so.

The ARO does not authorise or approve any element of the application and is not required to be 'operationally independent'. The AROs for Norfolk County Council are identified in **Appendix I**.

The Single Point of Contact (SPoC)

3.4   The SPoC is an individual trained to facilitate the lawful acquisition of communications data and effective co-operation between a public authority, the Office for Communications Data Authorisations (OCDA) and telecommunications and postal operators. To become accredited an individual must complete a course of training appropriate for the role of a SPoC and have been issued the relevant SPoC unique identifier.

Public authorities are expected to provide SPoC coverage for all communications data acquisitions that they reasonably expect to make. Norfolk County Council is a member of the National Anti-Fraud Network (NAFN). NAFN is an accredited body for the purpose of providing data and intelligence under the IPA for all public bodies. As part of their portfolio they offer a comprehensive SPoC service.

Authorising Agency (OCDA)

3.5   The Office for Communications Data Authorisations (OCDA) is the independent body responsible for the authorisation and assessment of all Data Communications applications under the IPA. They undertake the following roles:

- Independent assessment of all Data Communications applications.
- Authorisation of any appropriate applications.

- Ensuring accountability of Authorities in the process and safeguarding standards.

The Senior Responsible Officer (SRO)

3.6 The Senior Responsible Officer (SRO) is a person of a senior rank, a manager at service level or above within the Public Authority. The SRO for Norfolk County Council is identified in **Appendix 1**.

The SRO is responsible for:

- the integrity of the process in place within the public authority to acquire communications data;
- engagement with authorising officers in the Office for Communications Data Authorisations (where relevant);
- compliance with Part 3 of the IPA and with the Code of Practice, including responsibility for novel or contentious cases;
- oversight of the reporting of errors to the Investigatory Powers Commissioner's Office (IPCO) and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors;
- ensuring the overall quality of applications submitted to OCDA;
- engagement with the IPCO's inspectors during inspections; and
- where necessary, oversight of the implementation of post-inspection action plans approved by the IPCO.

4.0   Necessity & Proportionality Test

When should an Application for Communications Data be made?

4.1 Applications for the acquisition of Communications Data should only be made where it is **necessary** for an '**Applicable Crime Purpose**', as defined by Section 60(A) of the IPA.

This allows for applications to be made for '**Entity data'**, previously referred to as subscriber data, where the purpose of obtaining the data is for the **prevention and detection of crime.** This definition permits the obtaining of Entity data for 'any' crime, irrespective of seriousness.

Applications for **'Events data'**, previously referred to as service or traffic data, requires a higher standard, and applications for this data should only be made where the purpose is the 'prevention and detection of **serious crime**'. Serious crime is defined in Section 86(2A) of the IPA, and includes, but is not limited to the following;

- Any crime that provides the potential for a 12mth+ sentence of imprisonment. (Either way or indictable offences)
- Offences committed by Corporate Bodies

- Any offence involving, **as an integral part**, the sending of a communication OR a breach of a person's privacy.

Applications should only be made where they are proportionate, and alternative means of obtaining the information are either, exhausted, not available or considered not practical to obtain the same information.

However, use of applications to obtain data **should not be considered a last resort**. Where applications are 'proportionate & necessary' the IPA should be used as a tool to advance criminal investigations efficiently and quickly, and where this is considered by the Local Authority to be in the public interest, and in the interest of suspects.

Any Applicant must ensure clear explanation is provided to demonstrate the necessity and proportionality test in any application, and the Approved Rank Officer must be satisfied that such explanation has been provided. Where any explanation is insufficient it should be referred back to the applicant for rework by the Approved Rank Officer.

How should we demonstrate Necessity?

4.2   A short explanation must be provided in every application explaining:

(a) The event under investigation, such as a crime.

(b) The person whose data is sought, such as a suspect **AND** a description of how they are linked to the event.

(c) The communications data sought, such as a telephone number or IP address, and how this data is related to the person and event.

The application must explain the link between the three aspects to demonstrate the acquisition of communications data is necessary.

How should we demonstrate Proportionality?

4.3   Applications should include the following key explanations;

(a) An outline of how obtaining the data will benefit the investigation. The relevance of the data being sought should be explained and anything which might undermine the application.

(b) The relevance of time periods requested.

(c) How the level of intrusion is justified against any benefit the data will give to the investigation. This should include consideration of whether less intrusive investigations could be undertaken.

(d) A consideration of the rights (particularly to privacy and, in relevant cases, freedom of expression) of the individual and a balancing of these rights against the benefit to the investigation.

(e) Any details of what collateral intrusion may occur and how the time periods requested impact on the collateral intrusion, if applicable.

(f) Where no collateral intrusion will occur, **such as when applying for entity data**, the absence of collateral intrusion should be noted.

(g) Any circumstances which give rise to significant collateral intrusion.

(h) Any possible unintended consequences. This is more likely in more **complicated requests for events data** or in **applications for the data of those in professions with duties of confidentiality**. E.G journalists/doctors/solicitors.

Type of Data not permitted to be requested by the Local Authority

4.4   The following data is not permitted to be applied for by the Local Authority:

- Internet Connection Records
- Content of data communications e.g. content of text messages, emails etc.

5.0   The Application Procedure

Applying for authority to acquire communications data

5.1   Applicants must submit applications through the central NAFN (SPoC) portal. Applicants will need to be registered with NAFN to access the portal and have valid login and security details (currently a randomised number/alphabet grid card). An allocated SPoC officer will then check all applications for legal compliance and, where necessary, provide feedback. NAFN will then request confirmation from a local authority Approved Rank Officer (ARO) of their awareness of the application before submitting for authorisation to the OCDA.

5.2   The OCDA will independently assess each application and will undertake one of the following actions;

- Authorise the application
- Require reworking of the application
- Reject the application

Authorised Applications

5.3   Where the OCDA authorises the data request, this decision is communicated to the SPoC (NAFN) and actions are taken to request the data from the

relevant telecommunications providers and other agencies holding such communications data to provide the necessary data.

Reworking Applications

5.4   Where rework is required, the application will be returned to the applicant, via the SPoC and the **applicant will have 14 calendar days to rework** the application and resubmit. Failure to rework the application within the 14 days will result in the application being automatically rejected.

Rejected Applications

5.5   Where the OCDA rejects an application, the Authority has three options;

- Cease to proceed with the application
- Re-submit the application with revised justification and/or revised course of conduct to acquire the data
- Re-submit the application without alteration and request a review of the decision by the OCDA.

In the case of seeking a review, or effectively appealing against the original determination **the Authority has 7 calendar days to seek the review**. Any appeal must be made by the Authority's SRO. The OCDA will provide guidance on this process.

Notices in Pursuance of an Authorisation

5.6   The giving of a notice is appropriate where a telecommunications operator or postal operator can retrieve or obtain specific data, and disclose that data, and the relevant authorisation has been granted. A notice may require a telecommunications operator or postal operator to obtain any communications data, if that data is not already in its possession.

5.7   For Local Authorities the role to issue Notices to telecommunications/postal operators sits with the SPoC (NAFN), and it will be the SPoC's role to ensure notices are given in accordance with the Code of Practice meeting the requirements of 6.19 to 6.29 of the Code.

Duration of authorisations and notices

5.8   An authorisation becomes valid on the date the authorisation is granted by the OCDA. It remains valid for a maximum of one month. Any conduct authorised or notice served should be commenced/served within that month.

5.9   Any notice given under an authorisation remains in force until complied with or until the authorisation under which it was given is cancelled.

5.10   All authorisations should relate to a specific date(s) or period(s), including start and end dates, and these should be clearly indicated in the authorisation.

Where the data to be acquired or disclosed is specified as 'current', the relevant date is the date on which the authorisation was granted.

Please note however that where a date or period cannot be specified other than for instance; 'the last transaction' or 'the most recent use of the service', it is still permitted to request the data for that unspecifiable period.

5.11 Where the request relates to specific data that will or may be generated in the future, the future period is restricted to no more than one month from the date of authorisation.

Renewal of authorisations and notices.

5.12 A valid authorisation may be renewed for a period of up to one month by the grant of a further authorisation and takes effect upon the expiry of the original authorisation. This may be appropriate where there is a continuing requirement to acquire or obtain data that may be generated in the future.

5.13 The Applicant will need to consider whether the application for renewal remains 'necessary and proportionate' and should reflect this in any renewal application made. The Authorising body (OCDA) will need to consider this carefully in authorising any renewal.

Cancellation of an Authorisation where it is no longer Necessary/Proportionate

5.14 Where it comes to the Authority's attention after an authorisation has been granted that it is no longer necessary or proportionate, the authority is under a duty to notify the SPoC (NAFN) immediately.

5.15 It is the SPoC's (NAFN) responsibility to cease the authorised action and take steps to notify the telecommunications service provider. E.g. Such a scenario may occur where a legitimate application has been made for Entity data to identify and locate a suspect, but subsequently, and before the data has been acquired the Authority becomes aware by some other legitimate means of the suspect's name and address etc.

6.0   Offences

6.1 Under section 11 of the IPA, it is an offence for a person in a public authority knowingly or recklessly to obtain communications data from a telecommunications operator or postal operator without lawful authority.

6.2 The roles and responsibilities laid down for the Senior Responsible Officer and SPoC are designed to prevent the knowing or reckless acquisition of communications by a public authority without lawful authorisation. Adherence to the requirements of the IPA and this Code, including procedures detailed in this Policy, will mitigate the risk of any offence being committed.

6.3   An offence is not committed if the person obtaining the data can show that they acted in the reasonable belief that they had lawful authority.

6.4   It is not an offence to obtain communications data where it is made publicly or commercially available by a telecommunications/postal operator. In such circumstances the consent of the operator provides the lawful authority. However, public authorities should not require, or invite, any operator to disclose communications data by relying on this exemption.

7.0   Keeping of records

7.1   Applications, authorisations, copies of notices, and records of the withdrawal and cancellation of authorisations, must be retained in written or electronic form by the Council for 5 years. A record must be kept of the date and, when appropriate, the time each notice or authorisation is granted, renewed or cancelled.

7.2   Records kept must be held centrally by the SPoC and be available for inspection by the Investigatory Powers Commissioner's Office upon request and retained to allow the Investigatory Powers Tribunal (IPT), to carry out its functions. The retention of documents service will be provided by NAFN. In addition, the ARO must provide the SRO with copies of the records referred to in 7.1 above, for the purposes of the SRO monitoring role.

7.3   Nothing in the Code or this policy affects similar duties under the Criminal Procedure and Investigations Act 1996 requiring material which is obtained in the course of an investigation and which may be relevant to the investigation to be recorded, retained and revealed to the prosecutor.

7.4   For full details of the level of information expected to be retained by the SPoC reference should be made to the Code, para's 24.1 to 24.9.

8.0   Recordable/Reportable Errors

8.1   Where any error occurs in the granting of an authorisation or because of any authorised conduct a record should be kept.

8.2   Where the error results in communications data being acquired or disclosed incorrectly, a report must be made to the IPCO by whoever is responsible for it. ('reportable error'). E.g. The telecommunications operator must report the error if it resulted from them disclosing data not requested, whereas if the error is because the public authority provided incorrect information, they must report the error. The SRO would be the appropriate person to make the report to the IPCO.

8.3   Where an error has occurred <u>before</u> data has been acquired or disclosed incorrectly, a record will be maintained by the public authority ('recordable error'). These records must be available for inspection by the IPCO.

8.4 A non-exhaustive list of reportable and recordable errors is provided in the Code at para 24.25.

9.0 Notification of serious errors under the IPA

9.1 There may be rare occasions when communications data is wrongly acquired or disclosed and this amounts to a 'serious error'. A serious error is anything that '**caused significant prejudice or harm to the person concerned**.' It is insufficient that there has been a breach of a person's human rights.

9.2 In these cases, the public authority which made the error, or established that the error had been made, must report the error to the authority's Senior Responsible Officer and the IPCO.

9.3 When an error is reported to the IPCO, the IPC may inform the affected individual subject of the data disclosure, who may make a complaint to the IPT. The IPC must be satisfied that the error is a) a serious error AND b) it is in the public interest for the individual concerned to be informed of the error.

9.4 Before deciding if the error is serious or not the IPC will accept submissions from the Public Authority regarding whether it is in the public interest to disclose. For instance, it may not be in the public interest to disclose if to do so would be prejudicial to the 'prevention and detection of crime'.

10.0 Notification in criminal proceedings

10.1 When communications data has been acquired during a criminal investigation that comes to trial an individual may be made aware data has been obtained.

10.2 If communications data is used to support the prosecution case it will appear in the 'served' material as evidence and a copy provided to the defendant.

10.3 Where communications data is not served but retained as unused material it is subject to the rules governing disclosure under the Criminal Procedure and Investigations Act 1996 (CPIA). The prosecution should reveal the existence of communications data to a defendant on a schedule of non-sensitive unused material, only if that data is relevant, and copies of the material may be provided to the defendant if it might reasonably be considered capable of undermining the prosecution case and/or assisting the defence.

10.4 Where communications data is acquired but not directly relied on to prove offences, the material may alternatively be listed in the schedule of 'Sensitive' unused material and not disclosed to the defendant. The CPIA sets out exemptions to the disclosure obligation. Under section 3(6) of that Act, data must not be disclosed if it is material which, on application by the prosecutor, the Court concludes it is not in the public interest to disclose. Any communications data which comes within the scope of this exemption cannot

be disclosed. E.g. Material that reveals a 'method of investigation' is usually not disclosable.

10.5   If through any of the above notification processes, an individual suspects that their communications data has been wrongly acquired, the Investigatory Powers Tribunal ("IPT") provides a right of redress. An individual may make a complaint to the IPT without the individual knowing, or having to demonstrate, that any investigatory powers have been used against them.

APPENDIX 1

Officer	Name
Head of Paid Service	Tom McCabe
Senior Responsible Officer (SRO)	Helen Edwards, Director of Governance and Monitoring Officer
Approved Rank Officers	Sophie Leney, Head of Trading Standards
	Shaun Norris, Section Manager – Trading Standards
	Alice Barnes, Section Manager – Trading Standards
	Jon Peddle, Section Manager – Trading Standards
	Nick Johnson, Head of Planning

SPoC Service provided by NAFN

Cabinet

Report title:	Corporately Significant Vital Signs report
Date of meeting:	12th April 2021
Responsible Cabinet Member	Cllr FitzPatrick, Cabinet Member for Innovation Transformation and Performance
Responsible Director:	Sam Pittam-Smith, Director of Transformation
Is this a key decision?	No

Executive Summary/Introduction from Cabinet Member

The purpose of this report is to provide the Cabinet with an update on the Council's performance towards achieving its strategic outcomes set out in Together, For Norfolk.

Each quarterly performance report provides the opportunity to review current performance, validate the actions being taken to address performance deviation and identify further opportunities for improvement.

This paper outlines the actual performance of the Council against its targeted performance for quarter three of 2020/21.

A Performance Summary

Performance is measured using Red, Amber and Green (RAG) ratings. The chart below shows the proportion of corporately significant vital signs within each RAG rating at the end of quarter three. The ratings are similar to that of the previous quarter.

	Totals
Green	14 vital signs met or exceeded the target.
Amber	4 vital signs are within the accepted tolerance of the set target
Red	10 vital signs are below or behind the target set.
Tracker	1 vital sign is a tracker measure and has no target set (Ref: 415)
Not reported	1 vital sign is **not** reported this quarter as it's on an annual frequency (505 – Capital Receipts).

Cabinet are asked to:

1. **Review and comment on the current performance data**
2. **Agree the planned actions as set out in Appendices 1 and 2.**
3. **Agree the proposed reduced target for vital sign 349: Number of Apprenticeship starts**

1. Background and Purpose

1.1 Vital signs provide measurements of operational processes (internal) and strategic outcomes (external). Poor performance represents a risk to the organisation in terms of our ability to meet legal responsibilities, maintain financial health and meet the needs of our citizens.

1.2 The Corporately Significant Vital Signs are closely aligned to the four principles underpinning our Council Plan - Together, For Norfolk:

- Offering our help early to **prevent and reduce** demand for specialist services

- **Joining up** our work so that similar activities and services are easily accessible, **done well and done once**

- Being **business-like** and making best use of **digital technology** to ensure value for money

- Using evidence and data to **target our work** where it can make the most difference.

1.3 Each vital sign has a target which has been set based on the performance required for us to work within a balanced budget and meet statutory requirements. Where the measure relates to the delivery of services benchmarking data has also been used to assess our performance against that of our statistical neighbours.

1.4 **COVID-19 and Corporately Significant Vital Signs**

1.5 COVID-19 has had a significant impact on our residents, communities, businesses and council operations. Service demands have changed, resulting in a temporary shift in priorities.

1.6 With the emergence of COVID-19, some performance deviates from expected plans and trajectories. Performance for 2021/22 will account for the effects of COVID-19 through adjusted targets and the agreed set of vital signs.

2. Current performance

2.1 **Table 1.0.** below identifies the vital signs that have met or positively exceeded their target at the end of quarter three.

Department	Corporately Significant Vital Sign
Adult Social Services	**204:** Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)
Children's Services	**400:** Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months
	401: Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months
	402: Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2 yrs)
	403: Percentage of Children Starting to be looked-after who have previously been looked-after
	405: Child Protection (CP) - % children seen

	410: Rate of Looked-After Children per 10,000 of the overall 0-17 population
Community and Environmental Services	311: % of Norfolk homes with superfast Broadband coverage
	349: Number of apprenticeship starts (target change proposed)
Workforce Indicators	639: Vacancy rate
Financial Indicators	500: Budget monitoring – forecast vs budget at a County level
	502: Capital programme tracker
	503: Ratio of corporate net expenditure compared to frontline net expenditure
	504: Savings – Efficiencies compared to Front Line

2.2 **Table 1.1.** below highlight the vital signs that have not met their target.

Department	Corporately Significant Vital Sign
Adult Social Services	202: % of people who require no ongoing formal service after completing reablement
	203: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)
Children's Services	404: Child in Need (CIN) with up to date CIN Plan
	406: LAC with up to date Care Plan
	408: LAC with up to date Health Assessment (HA)
	414: Percentage of all young people in EET
	416: Percentage of Education, Health & Care Plans completed within timescale
	417: Percentage of Relevant and Former Relevant Care Leavers in EET
Community and Environmental Services	317: On call (retained) fire station availability
	325: Customer Satisfaction (with council services)
Workforce Indicators	615: Sickness absence - percentage lost time
	637: New Employee Retention
	638: Performance Development % of written goals agreed
Financial Indicators	501: Savings targets delivered - by Service

3.0 Services Performance

3.1 The following section outlines the vital signs that are being monitored to maintain a view of the current and forecast pressures for Adults Social Services and Children's Services. The following vital signs allow us to monitor the progress of the activities that are being delivered to establish a more sustainable model.

3.2 Adult Social Services

3.3 Promoting Independence is the Adult Social Services strategy for accelerating the delivery of improved outcomes for people who require adult social care within the ongoing challenging financial context.

3.4 People who live in their own homes tend to have better outcomes than those cared for in residential care and the Care Act 2014 requires that the council does all that it can to

prevent or delay the need for formal or long-term care. Therefore, two vital signs track the number of people in residential care. This is split into two cohorts, people between 18 and 64 and those who are 65 and over.

203: Permanent admissions to residential and nursing care per 100k population (18-64)

Historic admissions to residential care for people aged 18-64 were very high in Norfolk at nearly three times the family group average. Our priority focus has been to transform services for people with learning disabilities. This should see fewer people with learning disabilities in permanent residential and nursing care, because of wider choices of accommodation.

Analysis of choices for younger people with disabilities highlighted shortcomings in options for people, with a lack of 'step-down' or step-up facilities for people as an alternative to permanent accommodation.   In response, we have developed two accommodation-based enablement schemes.

A range of actions are being taken to reduce the rate of permanent admissions to residential and nursing care such as:

- Development of 2 further accommodation-based enablement schemes is in progress.
- An options appraisal to inform the recommissioning of our shared lives provision has been concluded with the recommendation agreed by DLT to bring it in-house.
- Actions to increase the take up of direct payments so more people can manage and arrange their own bespoke care.
- A project looking at the possibility of collecting housing needs data via LAS is being scoped.
- A three-year housing development plan in the process of being signed off across LD, MH & PD.
- Building a business case for bespoke specialist accommodation for those with the most complex needs.
- Creating alternatives to residential care for individuals with severe, enduring mental health issues.
- We have recruited to a team of reviewers to review learning disability residential settings to ensure that they are of high quality, meet the needs of residents and deliver positive outcomes. A similar team is being planned to work with people with mental health issues in residential accommodation.
- Working to ensure more independent settings are always considered before residential care.

204: Permanent admissions to residential and nursing care per 100k population (65+)

In the last year reductions in permanent admissions have been driven by a focus on preventing older people requiring permanent residential care. Whereas people would previously often be admitted to residential care indefinitely (or "permanently"), there has been a much greater focus on reablement and rehabilitation (including new accommodation-based reablement schemes)

There appears to be a real reduction in the rate of permanent admissions, as overall numbers of people in long term residential care has reduced slightly in the last year.

As overall numbers of people aged 65+ within all residential care settings has not reduced by the same amount, it is likely that reductions in permanent admissions are offset by increases in short-term placements.

Analysis of the impact of COVID to date highlights that Adult Social Services is supporting more people than anticipated. However, further work needs to happen to understand if this will have a significant impact on the rate of permanent admissions.

The impact of quick hospital discharge has led to more short-term placements which are now being reviewed through Scheme 1 and 2.

3.5   A key element of the Adults' Strategy is to intervene and keep people living independently. The Council has provided a reablement service for several years to help people get back on their feet after a crisis.

202: The effectiveness of Reablement Services - % of people who do not require long term care after completing reablement.

With the COVID-19 outbreak first wave many people initially were reluctant to have face to face visits from Norfolk First Response plus there were less hospital discharges. Since November, the service has been under extreme pressure with staff being affected by COVID-19 and an increase in cases being discharged from the hospitals. The service has not been able to return to the same level of calls per day due to staffing capacity.

Actions to bring this performance indicator back within target include:

- To continue to work on targeted recruitment to vacancies within the council's Home-Based Reablement services.
- (Norfolk First Support) in order to meet rising demand and ensure that the service can be provided to all those who would benefit from reablement to remain living independently at home.
- To be the lead provider for Cawston Lodge; a new step-down facility for COVID-19 patients.
- Part of the short-term offer and delivery of the NFR review.
- Recent staff absences have grown due to COVID positive results this has affected the capacity of the service, but this has started to improve.

210: Delayed transfers of care attributable to Adult Social Care.

Delayed Discharges of Care reporting was suspended during COVID-19. Therefore, there is no data reported for this quarter. The NHS has indicated it will not be re-introduced before April 2021.

3.6   Children's Services

3.7   The Children's Services strategy focuses on meeting the needs of children by ensuring that they are:
- Resilient and able to learn
- Build positive, long-lasting relationships
- Receive family-based care

3.8   The number of Looked After Children (LAC) and those returning to being looked after are key indicators of how successful we are being in our early interventions and in identifying the right children to return to their families.

410: Rate of Looked After Children per 10,000 of the overall 0-17 population

The Looked After Children population has decreased slightly in the quarter 1,103 to 1,101 in the quarter if you exclude the UASC population this shows an increase from 995 to 1004. This quarter is particularly impacted by 31 starts to LAC in December – this is a 'typical' picture for December, we often see an increase due to increasing risk and fewer resources to support children at home – largely linked to Christmas bank holidays.

The overall rate throughout the quarter has stayed steady and lower than previous quarters. The number ceasing care has reduced from 27 in September to 17 in December due to a lack of services in working with families to support reunification work.

403: Percentage of children starting to be looked after who have previously been looked after

This measure helps to ensure we continue to provide good and sustainable outcomes for children.

The overall rate across this quarter has remained steady, at 6.1%. However, this is an increase on the previous quarter; September at 2.8%, but still considerable below the <15% target.

We saw an increase in parents seeking to place their children (often aged 16+) into care prior to the Christmas holiday. Many of the returns are young people who had a previous short-term stay in Care, had returned home for many months and were then readmitted. We also saw an increase in breakdown of long-term LAC reunifications.

400: Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months

Early Help Services aim to offer support early and ensure the support that is offered delivers long-term sustainable outcomes that prevent re-referral.

Performance at the end of this quarter is below target at 10.2%. However, there has been significant variance in the month on month performance.

An increase of more complex referrals with the presenting issue of Family Support and an increase in Step Downs from Social Work. As contacts and referrals have increased so have re-referrals.

3.9   A good quality care plan alongside regular health assessments are essential to ensure that Looked After Children receive the correct services and support to achieve their full potential.

406: LAC with up to date Care Plan

The Looked After Children population has decreased slightly from the start of the quarter 1,103 to 1,101 at the end of the quarter. However, if you exclude the UASC population this shows an increase from 995 to 1004

Looked after Children with up to date Care Plan at the end of December is 85.7%. This is a decrease on the previous quarter and down on the targeted 100% performance.

408: LAC with up to date Health Assessment (HA)

Norfolk Community Health & Care (NCH&C) LAC Health Team have worked with NCC Childrens Services to improve performance. Social work teams have focused on ensuring requests for assessments are sent to health colleagues in good time – 96% of IHA requests sent in timescale.

The majority of delayed Health Assessments are for children placed out of county and older young people declining their health assessment.

Performance at the end of December is 90.5%. This is down on the targeted 100% performance, but on-par with actual performance in the previous quarter and an improvement from quarter one.

3.10   Participating in full time education or employment with accredited training is a key indicator and demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life and contribute fully within their communities.

3.11   In addition to this, several measures monitor the quality of the educational establishments in Norfolk, the participation in education and the identification of educational, health and social needs and additional support needed to meet these needs.

414: Percentage year 12 and 13 cohort participating in full time education or employment with accredited training (EET)

Those participating post-16 include those in fulltime education or employment with accredited training e.g. apprenticeships. Those who are employed but not undertaking accredited training are not counted as participating in EET.

Norfolk's participation rate in December was 91.3%. This is an improvement in performance from the previous months and only marginally lower than that of our target of 92%.

Norfolk's Employment without training (3.2%) is more than twice that of England's (1.4%). It's Not Known figure of 1.4% is lower than the National figure of 3.6% giving a more accurate picture of the current position.

417: Relevant and Former Relevant Care Leavers (19-21) in Employment, Education and Training

We have changed the age parameters for these measures to 19-21-year olds in line with the benchmarking. However, we continue to monitor the data across all age groups.

The trajectory throughout lockdown was for us to be increasingly in touch with Care Leavers to know their current situation. Care Leavers have found the contact at times overwhelming. In December 87.9% of Care Leavers were in Suitable Accommodation – sourcing appropriate accommodation had become increasingly challenging due to the initiative to move street homeless adults into accommodation

Norfolk has experienced difficulties in sourcing appropriate training and employment for young people under 25 which are similar to the rest of the country in respect of the impact on jobs from Covid-19. This is demonstrated in a further decline in performance from previous quarters.

416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

EHCP timescale performance has been an area of leadership focus since 2018 and has been overseen within the SEND and AP Transformation Programme. Governance has now moved to the Ofsted / CQC Written Statement of Action.

Referrals for assessment and assessments carried out continue to rise and has outstripped additional capacity and so we have not yet seen a significant performance improvement. The performance for quarter three (26%) although below target, is an improvement on the previous quarters – showing EHCP completion moving in the right direction.

The Service responsible for delivering EHCPs has recently expanded and restructured. We now have a single dedicated team singularly focussed on the first EHCP needs assessment and plan consisting of a team manager and 12 EHCP Coordinators. This discrete team with sole responsibility for new EHCPs will not have the competing demands of the existing EHCP casework and this is a key aspect of our timescale improvement planning.

Our overall % in timescales for 2020 ended at 20.1% from a position in 2019 of 8.2%. The DfE East Regional Adviser confirms that we have the second highest rate of improvement of all local authorities whose performance was in single figures last calendar year.

415: Number of Children subject to a Permanent Exclusion

Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

The Inclusion Team have continued to have a positive impact in reducing exclusions. As seen from the number of exclusions in Autumn 2020 being significantly lower than in the previous two years. This is particularly significant as children returned to full time education following a long break due to the partial school closures during Summer 2020 due to COVID-19.

A number of governor panels for permanent exclusions have been delayed due to COVID-19 which means there will be a minimum reduction in permanent exclusions of 30% compared to Autumn 2019.

The Inclusion Team experienced a significant rise in the number of requests for support during Autumn 2020 demonstrating the confidence school leaders have in the service. There will be additional capacity from January 2021 to meet requests for support following investment in the team.

349: Number of Apprenticeship starts

Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay).

Overall starts in Q1 20/21 have significantly declined by 32% in Norfolk when compared to Q1 19/20. This compares to a 28% decrease across England during the same period.

Intermediate Level starts remains the most affected with a 46% drop (43% decline for). Higher apprenticeships show the smallest impact in the county with an 8% reduction. However, England showed a very small increase of 1% in Higher Apprenticeships when compared to 2019/20.

There is a significant amount of activity underway to raise the profile of apprenticeships and arrest the decrease in starts seen in recent times. This activity is detailed in the corresponding report card in Appendix 2 of this report.

TARGET CHANGE RECOMMENDATION: A change in the target for 2020/21 has been proposed to be reset to 4,156. In 2019/20 we ended on 4,890 with a -15% drop in new starts. Q1 of 2020/21 has started with a bleak -32% drop, compared with the same period in 2019/20. The proposed target is about Norfolk not continuing to decline beyond -15% in the forthcoming 2020/21 year. Meeting the proposed target of 4,156 would mean a lesser decline than in 2019/20, thereby moving in the right direction and at least maintaining the status quo, following a turbulent and still very unsettled, unpredictable year. We can then look to more ambitious growth targets the following year, with a more stable position.

3.12   Community and Environmental Services

3.13   In addition to the social care measures we monitor several indicators relating to access to wider services across Norfolk:

317: on call (retained) fire station availability

Responding quickly to an emergency can reduce the impact of the incident. To do this, the service needs its response resources (fire engines) to be available. This measure records the combined availability of the first on call fire engine from each station. The aim is to have these available 90% of the time.

At the end of quarter 3, the performance is amber but within agreed tolerances. On-call availability shows a decline mainly due to staff sickness. This is due to normal sickness, COVID and isolation periods due to close contact with confirmed cases. This has meant that on occasion a whole station may have been unavailable for up to 10 days due to the Governments Isolation period.

We are focusing on a range of actions to address the performance deviation:

• Currently recruiting on-call firefighters, a media campaign has been run with significant interest.
• Managers regularly review the availability provided by on-call firefighters to ensure they comply with their contracted arrangements and performance manage this where required.
•   Resources have been identified to enable focused improvement for on¬-call recruitment.

Due to the ongoing pressures of C19 the EEAST have established a Bank System of part-time employees. Over 40 FF's now work to support the trust and our communities through this system; OC staff engaged in this new endeavour are being managed by NFRS in the same manner that all non-FRS forms of employment are

managed when balancing an individual's availability and commitment to their "On Call" contracts in order to mitigate any impact on Availability.

325: Customer Satisfaction (with council services)

This indicator measures customer satisfaction across a wide range of council services and communication channels.

For February, overall satisfaction increased to 88%. Email satisfaction increased to 62% whilst, phone satisfaction also increased to 92%.

The Microsoft services, that improve the Council's cyber security, have been switched on since the 18th of November and have been triggering erroneous and incomplete GovMetric survey responses. This has adversely impacted previous satisfaction scores. Now these responses have been identified and removed from the customer satisfaction data, email satisfaction sits at 70% for February, 70% for January, 65% for December and 68% for November.

It should be noted that the 90% performance target assumed a traditional service operating model, which is currently not the operating reality.

311: % of Norfolk Homes with superfast broadband coverage

Access to superfast broadband will provide businesses and individuals access to the resources needed to maintain independence and a strong economy. Currently, 95% of properties in Norfolk can access fast broadband which meets the target of 95%.

Work continues to extend this coverage through the Better Broadband for Norfolk partnership.

3.14 **Financial and Workforce Measures**

3.15 A number of financial and workforce measures are monitored to review how effectively the council is maximising the resources available for service delivery. All of these indicators are NCC-wide measures.

3.16 **Financial indicators**

500: Budget monitoring – Forecast vs. Budget

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves; this measure monitors the forecast spend vs. the budget.

Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 9 (December) was an underspend of £0.165m on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total £111.8m. Covid-19 financial pressures have been taken into account in the forecasts.

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

501 Savings targets delivered – by Service

Making savings is key to supporting the delivery of a balanced budget and ensuring that the Council maintains a robust financial position. Savings are identified across the council each financial year and the savings identified for 2020/21 is £40.244m.

Historically the Council has a good record of achieving budgeted savings delivering £325.706m of savings in the period 2011-12 to 2018-19, against budgeted savings of £363.768m (90%).

In the current year, 2020-21, as at Period 9 (Quarter 3), a shortfall of £17.580m is forecast against a wide range of the total budgeted savings of £40.244m. (44% of planned savings). This is out of line with previous year trends for delivery and is substantially due to the impact of the response to COVID-19, which has absorbed organisational capacity and impacted on both the operating environment and underlying assumptions within saving plans.

An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Work is underway across services to re-establish delivery of saving programmes and minimise delay / non-delivery.

502: Capital Programme Tracker

Members set a capital budget each year in the expectation that capital projects will be delivered, and budgets controlled.

Actual spend for the nine months to December after adjusting for year-end accruals was £129m. Year end accruals account for approximately 2 months of capital expenditure, so the spend represents roughly 7 month's expenditure at an average spend of £18.5m.

In 2019-20, average monthly capital spend was £15.5m. Based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling this is 115% of anticipated expenditure at this stage of the year.

503: Ratio of Corporate net expenditure compared to Frontline

The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

The ratio of corporate to frontline costs, both Budget and actual has been consistent over the past few years when adjusted for adjustments to reflect evolving changes in the way services are managed, and for year-end capital accounting adjustments.

As Covid related pressures previously affecting front line services have largely been mitigated by government grants received, the actual ratio forecast for 2020-21 at the end of December 2020 (P9), is 6.85% which is in line with the budget ratio.

504 Savings – Efficiencies compared to Front Line

This figure demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over savings which impact on front line delivery. Savings of £40.244m are budgeted for 2020-21 of which £33.679m are planned to be efficiencies (84%).

The forecast outturn position (as at Period 9), is for a significant shortfall in the delivery of savings of £17.580m, across the full savings programme due to the impact of COVID-19. Further details are set out in monitoring reports to Cabinet.

An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Forecasts for the subsequent years reflect the 2020-21 MTFS and are assumed to be broadly in line with budget.

3.17 Workforce

3.18 A number of measures are monitored to understand the total available capacity and engagement of the organisation to deliver our services.

615: HR: % lost time due to sickness

Supporting employees to be healthy, positive and productive at work is a priority and staff absence is also an indicator of the overall relationship between the employee and employer.

The sickness absence rate to the end of December 2020 was 3.9%, above the target of 3.5% and compared to 3.6% at the same point last year. The average lost time due to sickness absence for local government is 2.7%

December levels were higher again, which in addition to the normal seasonal increase in sickness is also explained by higher levels of COVID sickness, both for employees and across the whole community.

Adults (5.0%), with and Children's Services (3.3%) continue to have the highest levels of absence (although Children's Services has reduced and is now below target). 12% of Adults sickness in December was COVID related. We continue to work proactively with these services to understand the reasons for absence and support improvement. All other departments have absence rates at under 3.%.

Mental Health continues to be the primary cause for time lost to sickness being the reason for approximately a third of all time lost, but no significant changes between Q3 and Q2.

637: New employee retention

Improving our retention rate will reduce costs associated with recruitment and training and improve service performance, this indicator measures how many new entrants to NCC stay in post for longer than two years.

Our average retention rate during the 12 months up until the end of December is 71.4% which is broadly comparable with the 2018 national CIPFA survey where the average retention rate was 70%.

It remains the case that the pandemic has led to some instability in the job market and we continue to see increased unemployment in certain sectors leading to an increase in candidates for NCC roles and more stability in our workforce (although numbers have consistently increased since the initial drop in leavers in May). Our current insight indicates that this has had a positive impact on retention. We will continue to monitor impact over the coming months.

638: HR Performance Development (Previously appraisals) Percentage of written goals agreed

External research identifies that goals linked to future plans and conversations between managers and building on employee strengths are critical for effective people performance. This is the third year that services are operating to plans on a page supporting the linkage between performance development and organisational goals.

At end of Dec 2020 81% of colleagues had their date of written goals agreed recorded. This represents sustained improvement from Dec 2019 (48%), although below the target.

Actions taken to provide dashboard information at Directorate and Service level on completions and non-completions for 20/21 together with new functionality within My HR and Payroll has improved ease of recording and tracking.

639: Vacancy Rate (Accuracy of establishment data)

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being.

The vacancy rate for December 20 was 11.65%, so below the target rate, although continuing to increase from a July low of 9.2%. The uplift over the last couple of months is partly explained by some significant restructure work in Adults Business Support which has resulted in the building of new positions on Oracle which are duplicate existing roles, albeit mapping to the newer structure. This will resolve once the old positions are ended.

The expectation is that the impact of COVID-19 on people's mobility will continue to diminish as we move into 2021, so likely to result in higher turnover levels, so higher vacancy rates.

4.   Impact of the Proposal

4.1   Information Report

5.   Evidence and Reasons for Decision

5.1   N/A

6.   Alternative Options

6.1   Information Report

7.   Financial Implications

7.1   N/A

8.   Resource Implications

8.1   Staff N/A

8.2   Property N/A

8.3   IT N/A

9.   Other Implications

9.1   **Legal Implications** N/A

9.2   **Human Rights implications** N/A

9.3   **Equality Impact Assessment (EqIA) (this <u>must</u> be included)** N/A

9.4   **Health and Safety implications** (where appropriate) N/A

9.5   **Sustainability implications** (where appropriate) N/A

9.6   **Any other implications** N/A

10   Risk Implications/Assessment

10.1   This report is intended to be read with the Risk Management Report.

11   Select Committee comments

11.1   N/A

12   Recommendations

12.1   This report is for information and therefore, there are no recommendations.

13.   Background Papers

13.1   Information within Appendices 1 and 2

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

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communication for all

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

Corporately significant vital signs – Dec. 2021

Ref	Monthly	Bigger or Smaller is better	Apr 20	May 20	Jun 20	Jul 20	Aug 20	Sep 20	Oct 20	Nov 20	Dec 20	Jan 21	Feb 21	Target	Trend	Past Performance
202	{ASC} % of people who require no ongoing formal service after completing reablement	Bigger	58.1%	60.3%	59.5%	63.2%	61.6%	60.4%	61.9%	57.6%	59.2%			69%	↘	
203	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	Smaller	23.31	21.74	20.37	19.98	19.98	20.76	21.35	22.33	23.5			16.9	↗	
204	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	Smaller	563.8	536.11	520.62	522.49	499.96	495.27	499.96	494.80	471.79			571.1	↘	
317	{NFRS} On call (retained) fire station availability	Bigger	95.8%	93.6%	92.2%	90.7%	86.2%	87.7%	86.9%	91.1%	87.8%	87.3%		90%	↘	
325	Customer satisfaction (with council services)	Bigger	91.6%	91.5%	89.3%	80.7%	84.0%	84.3%	80.5%	78.4%	85.0%	83.0%	89.0%	90%	↗	
400	{ChS} Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months	Smaller	7.5%	9.8%	13.1%	8.6%	12.1%	17.3%	11.6%	16.9%	10.2%			20%	↗	
401	{ChS} Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months	Smaller	28.4%	22.8%	16.8%	19.1%	22.6%	17.3%	16.8%	18.6%	16.3%			20%	↘	
402	{ChS} Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2 yrs)	Smaller	10.0%	9.8%	10.5%	11.5%	11.0%	11.7%	11.7%	11.5%	10.1%			<15%	↘	
404	Child in Need (CIN) with up to date CIN Plan	Bigger	70.0%	74.4%	75.3%	71.0%	69.9%	65.9%	65.3%	70.1%	68.9%			100%	↗	
405	{ChS} Child Protection (CP) - % children seen	Bigger	97.6%	98.4%	99.1%	96.5%	96.0%	93.6%	98.5%	98.0%	100.0%			100%	↗	
406	{ChS} LAC with up to date Care Plan	Bigger	95.3%	93.9%	94.3%	95.1%	96.0%	91.6%	84.9%	91.5%	85.7%			100%	↘	
408	{ChS} LAC with up to date Health Assessment (HA)	Bigger	82.2%	86.2%	87.0%	89.1%	90.1%	91.5%	90.7%	92.2%	90.5%			100%	↗	
414	{ChS} Percentage of all young people in EET	Bigger	90.4%	90.2%	90.2%	89.9%	90.2%	80.7%	84.7%	89.7%	91.3%			92%	↗	
417	{ChS} Percentage of Relevant and Former Relevant Care Leavers in EET	Bigger	52.9%	53.5%	53.7%	54.3%	51.5%	50.5%	51.5%	50.4%	50.3%			70.0%	↘	
500	{Finance} Budget monitoring – forecast vs budget at a County level	On plan	-£0m	£1.58m	£7.78m	£7.9m	£5.31m	£3.96m	£1.26m	£0.349m	-£0.165m			£0.0m	↘	

Appendix 1: Corporately Significant Vital Signs Dashboard – Monthly Indicators Cont'd

Ref		Bigger or Smaller										Target		Past Performance
501	{Finance} Savings targets delivered - by Service	Bigger	£40.24m	£22.14m	£22.46m	£22.46m	£22.94m	£22.86m	£22.56m	£22.56m	£22.66m	£40.2m	↗	
502	{Finance} Capital programme tracker	Bigger	N/A	N/A	102.2%	112.6%	109.0%	112.0%	108.3%	107.1%	114.8%	100.0%	↗	
503	{Finance} Ratio of corporate net expenditure compared to frontline net expenditure	Smaller	N/A	N/A	6.9%	6.9%	7.0%	6.9%	6.9%	7.0%	6.8%	6.8%	↗	
504	{Finance} Savings - Savings – Efficiencies compared to Front Line	Bigger	83.7%	85.0%	85.0%	85.0%	85.3%	85.3%	85.1%	85.1%	85.2%	84.0%	↗	
615	{HR} Sickness absence - percentage lost time	Smaller	3.60%	3.54%	3.40%	3.45%	3.44%	3.30%	3.70%	3.50%	3.90%	3.50%	↗	
637	{HR} New Employee Retention	Bigger	68.50%	63.64%	68.33%	76.47%	64.86%	87.50%	74.23%	68.29%	70.73%	80.0%	↗	
639	{HR} Vacancy rate	Smaller	11.7%	9.7%	11.7%	9.2%	9.5%	9.8%	9.9%	11.7%	11.7%	12.00%	↗	

Appendix 1: Corporately Significant Vital Signs Dashboard – Quarterly, Termly and Annual Indicators

Ref	Quarterly	Bigger or Smaller is better	June 20	Sept 20	Dec 20	Target	Past Performance
311	{BBfN} % of Norfolk homes with superfast Broadband coverage	Bigger	95%	95%	95%	95%	
349	{PE} Number of apprenticeship starts	Bigger	4,210	4,890	1,230	1,230	Data is cumlative
403	{ChS} Percentage of Children Starting to be looked-after who have previously been looked-after	Smaller	5.1%	2.8%	6.1%	<15%	
410	{ChS} Rate of Looked-After Children per 10,000 of the overall 0-17 population	Smaller	64.5	64.9	64.1	69.4	
416	{ChS} Percentage of Education, Health & Care Plans completed within timescale	Bigger	19.8%	19.8%	26%	55%	
638	{HR} Performance Development % of written goals agreed	Bigger	58%	79%	81%	95%	

Ref	Termly	Bigger or Smaller	Autumn 19	Spring 20	Summer 20	Autumn 20
415	{ChS} Number of Children subject to a Permanent Exclusion	Smaller	84	38	0	21

Ref	Annual	Bigger or Smaller	2018/19	2019/20	Target	
505	Capital Receipts	Bigger	£5.06m	£8.87m	£10.3m	↗

Appendix 2: Individual Report Cards

202: The effectiveness of Reablement Services -% of people who do not require long term care after completing reablement

Why is this important & What will success look like?	• The Care Act 2014 requires that the council does all that it can to prevent or delay the need for formal or long-term care. Norfolk has provided a reablement service for a number of years that helps people get back on their feet after a crisis. • Success in this indicator means that a high proportion of people completing home based reablement do not need ongoing care. The business case agreed by NCC and the CCGs in April 2018 for additional investment in NFS home based reablement was based on delivering 15% more referrals –and these targets were exceeded. NCC invested further in NFS in 2019-20 and the CCGs provided some more funding in the latter part of 2019-20 and in 2020-21 , meaning more people have been reabled.

Performance

The percentage of people receiving reablement that do not go on to require formal care services

Chart values – % People not receiving formal services (result): Nov-19 66.80%, Dec-19 65.70%, Jan-20 60.80%, Feb-20 62.60%, Mar-20 62.30%, Apr-20 58.10%, May-20 60.40%, Jun-20 59.50%, Jul-20 62.90%, Aug-20 51.40%, Sep-20 60.10%, Oct-20 61.90%, Nov-20 57.60%, Dec-20 59.20%

Number of people receiving reablement: Nov-19 651, Dec-19 750, Jan-20 756, Feb-20 361, Mar-20 873, Apr-20 556, May-20 584, Jun-20 669, Jul-20 712, Aug-20 640, Sep-20 715, Oct-20 725, Nov-20 747, Dec-20 686

Legend:
- People receiving reablement (result)
- People receiving reablement (target TBC)
- % People not receiving formal services (target)
- % People not receiving formal services (result)

What is the background to current performance?

• The Promoting Independence Strategy aims to increase the amount of reablement available, with the number of people completing reablement going up year-on-year for the last nine years.
• It is calculated that for each £1 invested in home based reablement (NFS), Adult Social Services save £4.06 (gross).
• 56% of people who have been through reablement do not need a package of care at the end of it. Of the other people who go through reablement, this figure has reduced slightly this year and that indicates the change in the complexity of the cases the service is taking on.
• With the COVID-19 outbreak first wave many people initially were reluctant to have face to face visits from Norfolk First Response plus there were less hospital discharges. Since November the service has been under extreme pressure with staff being effected by Covid-19 and increased cases being discharged from the hospitals. The service has not been able to return to the same level of calls per day due to staffing capacity .
• Staff have been supported through clarity on infection control and now having a stable source of PPE.
• Cawston Lodge closed in July as there was no Covid positive patients but recently Norfolk First Support has been requested to register the facility as a designated setting to accept people that are Covid-19 positive. This has pulled on the management capacity to get the facility registered with CQC as a designated setting in 3 weeks and it opened on 11.02.21.

What are the planned actions?

• To continue to work on targeted recruitment to vacancies within the council's Home-Based Reablement services.
• (Norfolk First Support) in order to meet rising demand and ensure that the service can be provided to all those who would benefit from reablement to remain living independently at home.
• To be the lead provider for Cawston Lodge, a new step down facility for COVID-19 patients.
• Part of the short term offer and delivery of the NFR review.
• Recent staff absences have grown due to COVID positive results this has effected the capacity of the service but this has started to improve.

What is the action status?

• Recruitment and induction is continuing and introducing an apprenticeship scheme.
• Cawston Lodge opened on 11.02.2021 as a designated setting, the scheme is being supported by Norfolk Primary Care and they have commissioned an external care provider to supply the care staff.
• The service is also focused at maximising capacity to meet the increased in demand improving face to face contact.

203: Permanent admissions to residential and nursing care per 100k population (aged 18-64)

Why is this important & What will success look like?	• People that live in their own homes, including those with some kind of community-based social care, tend to have better outcomes than people cared for in residential and nursing settings. It is usually cheaper to support people at home, meaning that the council can afford to support more people in this way. • Norfolk's rates of admission to residential and nursing care have historically been higher than the 'family group' average. Success would mean rates sustained below this rate, and subsequent reductions in the overall number of people in residential and nursing care. It would also mean the delivery of genuine alternatives to residential care for those that need intensive long-term support.

Performance

Admissions (18-64) to permanent residential/nursing care per 100,000 population - rolling 12 month totals

Data labels on Result (rate per 100k) line: 22.72, 22.13, 20.57, 21.15, 23.31, 23.11, 21.35, 20.37, 19.78, 19.78, 20.57, 21.35, 22.33, 23.5

Target callouts: 22.7, 16.9

Admissions (number) bars: 116, 113, 105, 108, 119, 118, 109, 104, 101, 101, 105, 109, 114, 120

X-axis: Nov-19, Dec-19, Jan-20, Feb-20, Mar-20, Apr-20, May-20, Jun-20, Jul-20, Aug-20, Sep-20, Oct-20, Nov-20, Dec-20

Legend: Admissions (number) — Target (rate per 100k) — Result (rate per 100k)

Y-axis left: Admissions in the previous 12 months; Y-axis right: Admissions per 100,000 population (aged 18-64)

What is the background to current performance?

- Historic admissions to residential care for people aged 18-64 were very high in Norfolk at nearly three times the family group average.
- Our priority focus has been to transform services for people with learning disabilities. This should see fewer people with learning disabilities in permanent residential and nursing care, because of wider choices of accommodation
- Analysis of choices for younger people with disabilities highlighted shortcomings in options for people, with a lack of 'step-down' or step-up facilities for people as an alternative to permanent accommodation. In response, we have developed two accommodation-based enablement schemes for people with learning disabilities. Work has also been undertaken with providers of residential accommodation for people with mental health issues to modernise the provision with a focus on enabling people to move on to more independent living..
- The reporting period here is during the pandemic and pre-COVID-19, following which fewer people we support have been able to change their accommodation, but work continues to develop alternatives to residential accommodation.
- The Preparing for Adult Life Service which works across adults, children's, education and health to support and improve transitions between children's and adults services, works to ensure people are supported to live as independently as possible..

What are the planned actions?

- Development of 2 further accommodation-based enablement schemes is in progress.
- An options appraisal to inform the recommissioning of our shared lives provision has been concluded with the recommendation agreed by DLT to bring it in-house.
- Actions to increase the take up of direct payments so more people can manage and arrange their own bespoke care.
- A project looking at the possibility of collecting housing needs data via LAS is being scoped.
- A three year housing development plan in the process of being signed off across LD, MH & PD.
- Building a business case for bespoke specialist accommodation for those with the most complex needs.
- Creating alternatives to residential care for individuals with severe, enduring mental health issues.
- We have recruited to a team of reviewers to review learning disability residential settings to ensure that they are of high quality, meet the needs of residents and deliver positive outcomes. A similar team is being planned to work with people with mental health issues in residential accommodation.
- Working to ensure more independent settings are always considered before residential care.

What is the action status?

- Implementation of Living Well model of social work is ongoing.
- A Physical Disability plan has been agreed and being delivered by the physical disability work group, made up of operational Physical Disability leads from locality teams, commissioners and finance colleagues.
- Monthly Steering groups across specialisms, and performance and finance meetings at locality level to develop actions, scrutinise performance, identify issues, and problem solve.
- We have a dedicated joint commissioning/operational team reviewing all our Supported Living settings in Learning Disabilities to ensure that they are of high quality, meet the needs of residents and deliver great outcomes.
- The Supported Living Reviewing Team commenced in 2019/20, and has delivered £2.5m in savings to date, with a projected additional £0.500m when the remaining reviews are completed.

204: Permanent admissions to residential and nursing care per 100k population (aged 65+)

Why is this important & What will success look like?	• People that live in their own homes, including those with some kind of community-based social care, tend to have better outcomes than people cared-for in residential and nursing settings. It is usually cheaper to support people at home -meaning that the council can afford to support more people in this way. • Norfolk's rates have historically been higher than the 'family group' average. Success would mean rates sustained below this rate, and subsequent reductions in the overall number of people in residential and nursing care.

Performance

Admissions (65+) to permanent residential/nursing care per 100,000 population - rolling 12 month totals

Admissions (number) values: 1,209; 1,236; 1,253; 1,239; 1,223; 1,215; 1,159; 1,136; 1,116; 1,067; 1,068; 1,065; 1,054; 1,005

Result (rate per 100k) values: 567.56; 580.24; 588.22; 581.64; 574.13; 570.38; 544.09; 533.29; 523.9; 500.9; 501.37; 499.96; 494.8; 471.79

Target: 571.1 / 551.1

Series "Admissions (number)" Point "Dec-19" Value: 1236

Legend: Admissions (number) — Target (rate per 100k) — Result (rate per 100k)

What is the background to current performance?

- Historically admissions to residential care have been higher than Norfolk's statistical family group average
- Over the past three years the rate of admissions in Norfolk has decreased and the most recent benchmarking data shows that Norfolk's rates of admission for older people are just below the England average and 'family group' average.
- In the last year reductions have been driven by a focus on preventing older people requiring permanent residential care. Whereas people would previously often be admitted to residential care indefinitely (or "permanently"), there has been a much greater focus on reablement and rehabilitation (including new accommodation-based reablement schemes)
- Nevertheless there appears to be a real reduction in the rate of permanent admissions, as overall numbers of people in long term residential care has reduced slightly in the last year. As overall numbers of people aged 65+ within all residential care settings has not reduced by the same amount, it is likely that reductions in permanent admissions are offset by increases in short-term placements.
- Analysis of the impact of COVID to date highlights that Adult Social Services is supporting more people than anticipated. However, further work needs to happen to understand if this will have a significant impact on the rate of permanent admissions.
- The impact of quick hospital discharge has led to more short term placements which are now being reviewed through Scheme I and 2

What are the planned actions?

- Commissioning activity in line with the agreed joint winter plan to focus on effective interventions such as reablement, sustainable domiciliary care provision, crisis management and extra care accommodation
- We are reviewing – with NHS partners – how out of hospital services are best organised, ensuring a balance between reablement, rehabilitation, and other community based support.
- We are developing a short term out of hospital offer to better asses and re-able people before making a permanent placement.

What is the action status?

- Systematic approach underway to review people already discharged.
- Focus on assessing and reviewing people in the community – rather than in hospital – to support maximum return to independent living.
- The impact of Covid is making it difficult to continue to reduce the holding lists.
- Reablement activity is returning closer to pre-COVID levels which will contribute to enabling people to return to live in their homes

317: on call (retained) fire station availability

Why is this important?

Responding quickly to an emergency can reduce the impact of the incident. To do this, the service needs its response resources (fire engines) to be available. This measure records the combined availability of the first on call fire engine from each station. The aim is to have these available 90% of the time.

Performance
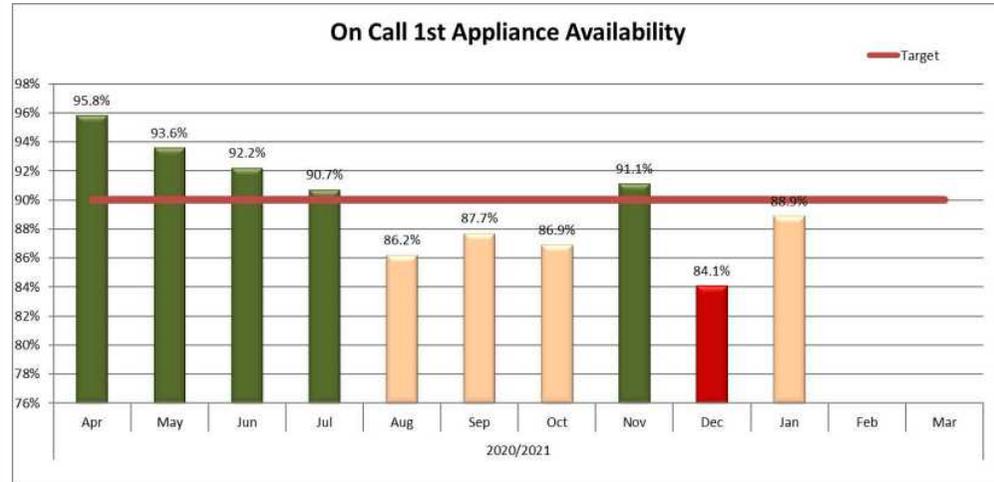
What is the background to current performance?

- On-call firefighters are employed on a contract to provide a set number of hours of availability. They must be located within five minutes of their station and are paid to respond to emergencies. They often have other primary employment.
- At the end of quarter 3, the performance is amber but within agreed tolerances. On-call availability shows a decline mainly due to staff sickness. This is due to normal sickness, COVID and isolation periods due to close contact with confirmed cases. This has meant that on occasion a whole station may have been unavailable for up to 10 days due to the Governments Isolation period.
- **Monthly On-Call Availability** Generally declined since the start of Covid-19, though it has remained consistently higher than in the annual availability of previous years. January's availability increase reflects lower numbers of staff absent due to illness (including Covid-related absences).
- **Annual On-Call Availability** has been steadily improving over recent years as the service has been taking effective action to improve. This year has been the best in recent years

2016/17	82.1%
2017/18	83.1%
2018/19	85.1%
2019/20	84.1%
2020/21	90.2% to the end of January

What will success look like?

- Consistent performance improvement to achieve the 90% target
- The first fire engine responds to an emergency when they are needed (avoiding the need to send the next closest available fire engine).
- Wholetime (full-time) firefighting resources are almost always available so they have not been included in this data. They provide a level of resilience and support for surrounding On-Call stations. .

Action required

We are focusing on a range of actions to address the performance deviation:

• Currently recruiting on-call firefighters, a media campaign has been run with significant interest.

• Managers regularly review the availability provided by on-call firefighters to ensure they comply with their contracted arrangements and performance manage this where required.

• Resources have been identified to enable focused improvement for on¬-call recruitment.

Due to the ongoing pressures of C19 the EEAST have established a Bank System of part-time employees. Over 40 FF's now work to support the trust and our communities through this system; OC staff engaged in this new endeavour are being managed by NFRS in the same manner that all non-FRS forms of employment are managed when balancing an individual's availability and commitment to their "On Call" contracts in order to mitigate any impact on Availability.

Responsible Officers

Lead: Stuart Ruff, *Chief Fire Officer*   Data: Stephen Maxwell, *Intelligence and Performance Analyst*

325: Customer Satisfaction (with council services)

Why is this important?
This measures the organisations ability to attract the right calls and deal with them effectively. Where people are phoning to chase an earlier contact / request it is a signal of inefficiency in the organisation – it also adds unnecessary cost in dealing with a second customer contact.
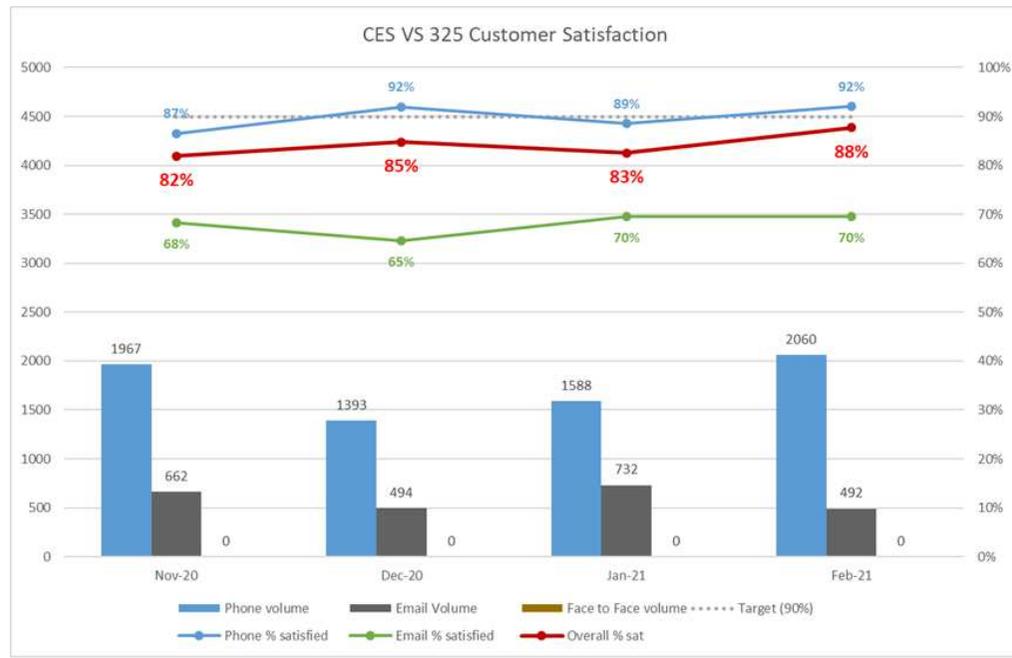
Performance	What is the background to current performance?
	Overall satisfaction Overall satisfaction increased to 88% for February 2021. **Email** To encourage richer feedback from customers a new instance of the GovMetric survey has been launched. 782 surveys were completed in February and satisfaction has risen to 62%. It has come to light that the Microsoft services, that improve the Council's cyber security, have been switched on since the 18th of November and have been triggering erroneous and incomplete GovMetric survey responses. This has adversely impacted previous satisfaction scores. These responses are now being identified and removed from the customer satisfaction data. Email satisfaction is 70% for February, and once corrected was 70% for January, 65% for December and 68% for November. Revised satisfaction scores are shown on the graph. **Phone** Satisfaction increased to 92% for February 21.

What will success look like?	Action required
• Over 90% of customers are satisfied with the service they receive • As the customer service programme progresses the number of avoidable customer contacts by service should reduce, as customers are more able to self-serve online.	• Continue to monitor closely and investigate instances of calls not connecting to an agent

Responsible Officers	Lead: Ross Cushing, Contact Centre Delivery Manager; Data: Paul Green, Customer Services Reporting Officer

400: Percentage of Referrals into Early Help Services who have had a referral to EH in the previous 12 months

Why is this important?
To ensure we are providing good and sustainable outcomes for children who have previously had a Referral into Early Help Services

Performance	What is the background to current performance?
Percentage of Referrals into Family Support who have had a referral to FS in the previous 12 months (line chart, Dec-19 to Dec-20, target line at 20%, data points showing values around 14% declining to 5.5% in Feb-20, rising to 16.9% in Nov-20 then 10.2% in Dec-20; annotations 20%, 16.9%, 11.6%, 10.2%)	• Over the last quarter then has been another overall increase in Family Support Cases. • An increase of more complex referrals with the presenting issue of Family Support and an increase in Step Downs from Social Work. • As contacts and referrals have increased so have re-referrals, however month on month performance has had significant variation.
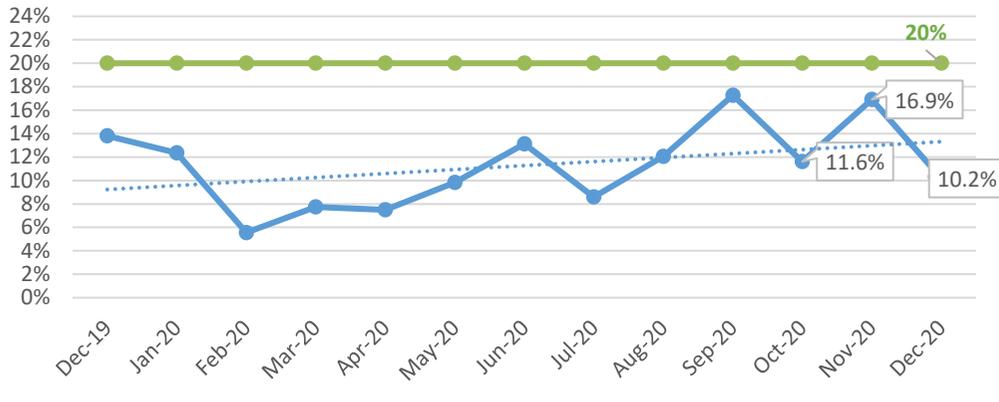
What will success look like?	Action required
• A reduction of re-referrals into services.	• Capacity within the Family Support service is being addressed to allow more focussed time for intervention. • Ensuring that the focus of the work being completed by the Family Support service is targeted on the identified issues. • Ensuring more link up with Community and Partnerships to support community support alongside the family network.

Responsible Officers	Lead: Dan Newbolt (AD Social Care) Data: George Potter (Senior Systems & Reporting Manager)

401: Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months

Why is this important?
To measure and ensure the efficacy of Social Work assessment and intervention.
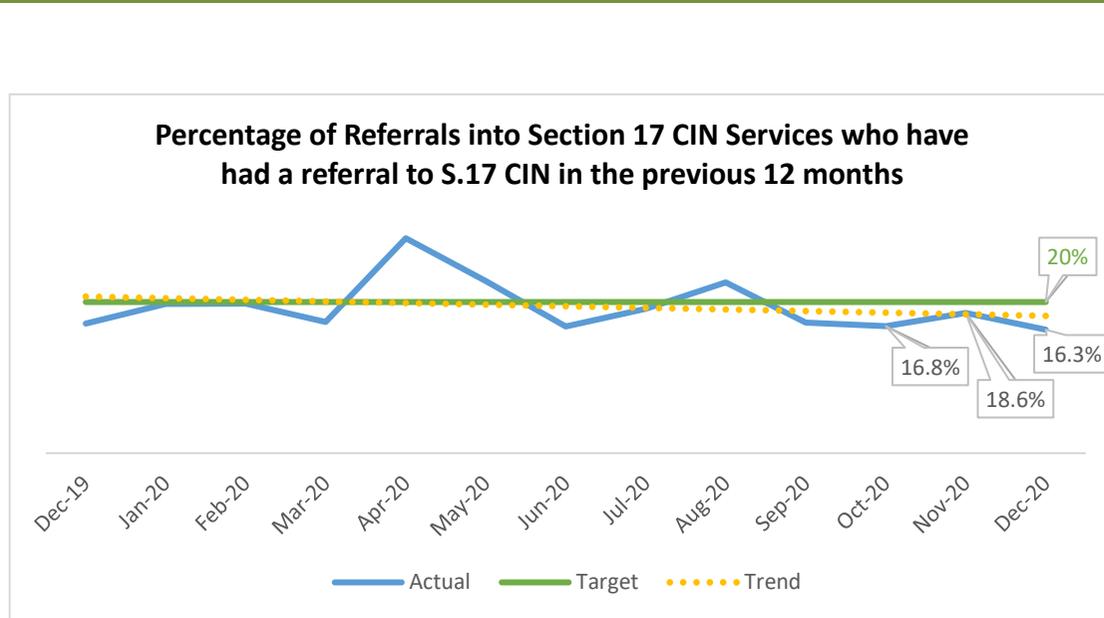
Performance	What is the background to current performance?
Percentage of Referrals into Section 17 CIN Services who have had a referral to S.17 CIN in the previous 12 months 20% 16.8% 18.6% 16.3% Dec-19 Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20 Jul-20 Aug-20 Sep-20 Oct-20 Nov-20 Dec-20 — Actual — Target ⋯ Trend	• An overall reduction of contacts and referrals compared to the same point last year • Lower level contacts coming to the front door CADS • The overall CIN population has reduced from 1324 in September to 1281 in December

What will success look like?	Action required
• A continued reduction of re-referrals into services	• The use of the Family Network Approach in building more sustainable networks with families continues to be a driver for reduced rereferrals. • Renewed focus upon outcomes for children and young people will create more effective practice.

Responsible Officers	Lead: Hayley Griffin (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

402: Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)

Why is this important?
To ensure we are providing and have provided good and sustainable outcomes for children who have had a Child Protection Plan
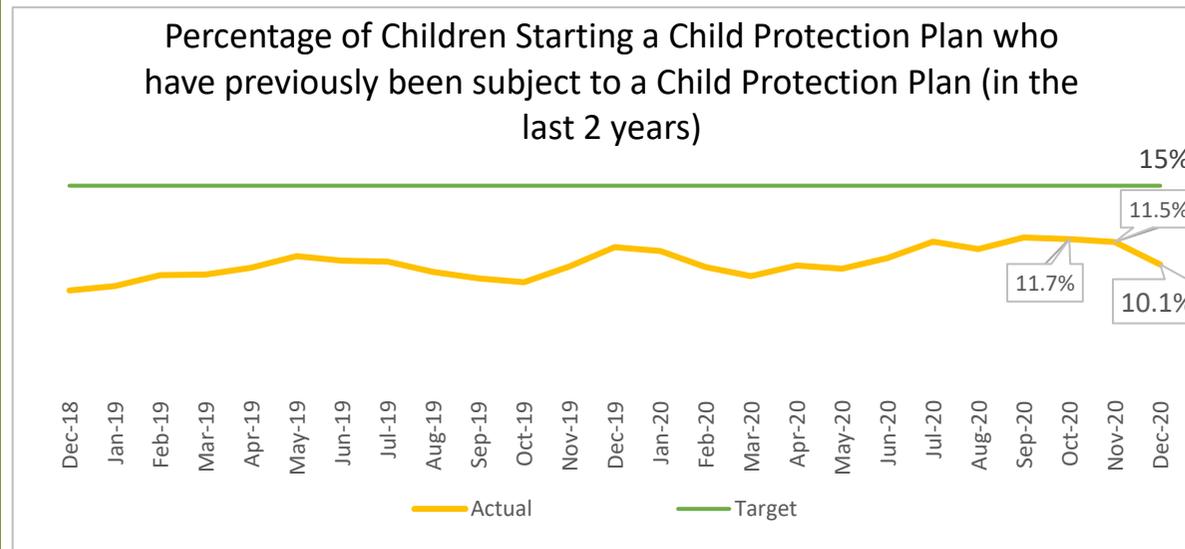
Performance	What is the background to current performance?
Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years) 15% 11.5% 11.7% 10.1% Dec-18 Jan-19 Feb-19 Mar-19 Apr-19 May-19 Jun-19 Jul-19 Aug-19 Sep-19 Oct-19 Nov-19 Dec-19 Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20 Jul-20 Aug-20 Sep-20 Oct-20 Nov-20 Dec-20 Actual — Target	• Strategy Discussions have increased compared at the levels seen in the first two quarters but lower than the same point last year • Throughout the quarter the number of Section 47 investigations have increased • The overall CPP population has reduced from 530 to 453 in the last quarter • Overall re-referrals to Social Care are reducing in the quarter to 16.3% in December

What will success look like?	Action required
• A reduction of the % of children who are subject to child protection plan for a second or subsequent time	• Family Network Approach remains a central point to create sustainable planning within families which will reduce rereferrals. • A renewed outcome focus will create more effective interventions with families.

Responsible Officers	Lead: Hayley Griffin (Assistant Director CSC) Manager)	Data: George Potter (Senior Systems & Reporting

403: Percentage of children starting to be looked after who have previously been looked after

Why is this important?

To ensure we are providing good and sustainable outcomes for children who have previously been looked after

What is the background to current performance?

Percentage of Children Starting to be looked-after who have previously been looked-after
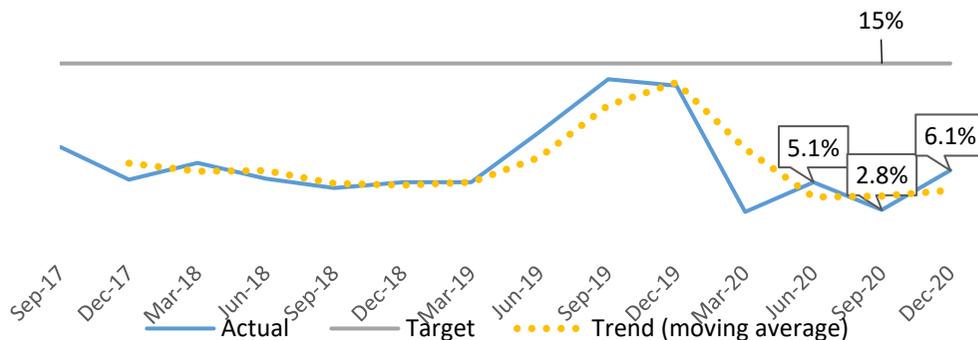
- The overall rate has stayed steady in the quarter and lower than previous quarters
- We saw an increase in parents seeking to place their children (often aged 16+) into care prior to the Christmas holiday
- Many of the returns are young people who had a previous short term stay in Care, had returned home for many months and were then readmitted.
- We also saw an increase in breakdown of long-term LAC reunifications

What will success look like?

- A reduction of the number and percentage of children who are readmitted to care

Action required

- Implement the new Corporate Parenting Service which goes live 1st April
- Ensure enough focus on stabilising young people who have returned home following long term LAC status
- Implement New Roads which will support adolescents to remain at home with their families

Responsible Officers	Lead: Kate Dexter Assistant Director for Corporate Parenting Data: George Potter (Senior Systems & Reporting Manager)

404: Child in Need (CIN) with up to date CIN Plan

Why is this important?
Demonstrates driving positive outcomes with management oversight a plan for Children in Need

Performance	What is the background to current performance?
Child in Need (CIN) with up to date CIN Plan 100% 65.3% 70.1% 68.9% Dec-19 Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20 Jul-20 Aug-20 Sep-20 Oct-20 Nov-20 Dec-20 — Actual — Target	• CIN section 17 numbers in the quarter have fallen from 1324 in September to 1281 in December (with a low in November of 1236) • CIN number including CPP have fallen from 1854 in September to 1734 in December (with a low in November of 1728) • CIN Visits have remained above 85% during this period as contact with children was prioritised
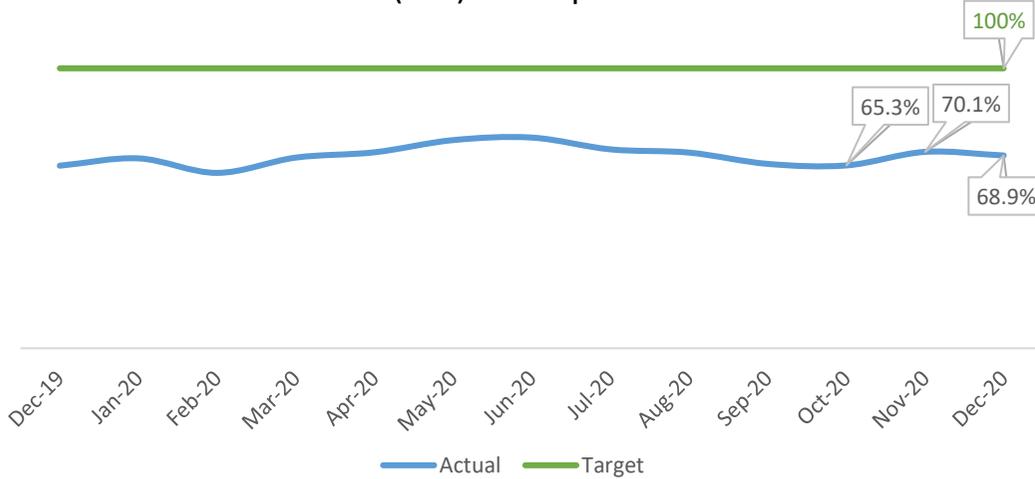
What will success look like?	Action required
• Family Network Approach used as foundation of CIN planning. • Plans up to date and effective.	• Renewed focus upon CIN planning via Family Network Approach within performance discussions to ensure that CIN planning is up to date and effective.

Responsible Officers	Lead: Hayley Griffin (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

405: Child Protection (CP) - % children seen

Why is this important?

By visiting children regularly this informs planning and safety factors. Additionally, it ensures we mitigate risk and understand the child's lived experience as part of the care planning process

Performance	What is the background to current performance?

Child Protection (CP) - % children seen

100%

98.5% 98.0% 100.0%

Dec-19 Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20 Jul-20 Aug-20 Sep-20 Oct-20 Nov-20 Dec-20

—— Actual —— Target ····· Linear (Actual)
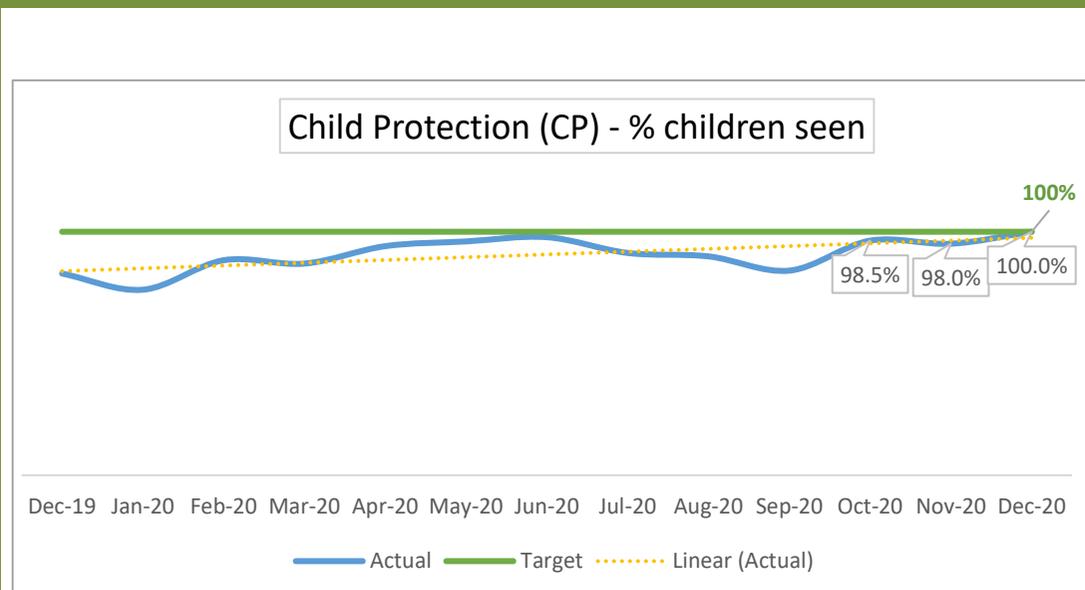
- All CP children are seen face to face unless there is an overriding risk to children from Covid.
- The overall CPP population has reduced from 530 in September to 453 in December
- There was an increase in new CP children in October with 38 new plans compared to 31 the month previously. This Trend continued in November and December with 47 and 36 new plans respectively
- Between 98% to 100% of CP children in the last quarter are seen within the 20-day national standard

What will success look like?	Action required

- Children seen within timescales
- Good quality visits to children

- Maintain visit rates and have continued focus upon the quality of visits.

| Responsible Officers	Lead: Hayley Griffin (Assistant Director CSC) Data: George Potter (Senior Systems & Reporting Manager)

406: LAC with up to date Care Plan

Why is this important?
By ensuring LAC have an up to date care plan we can ensure their needs are met and provide stability to their placement

Performance	What is the background to current performance?
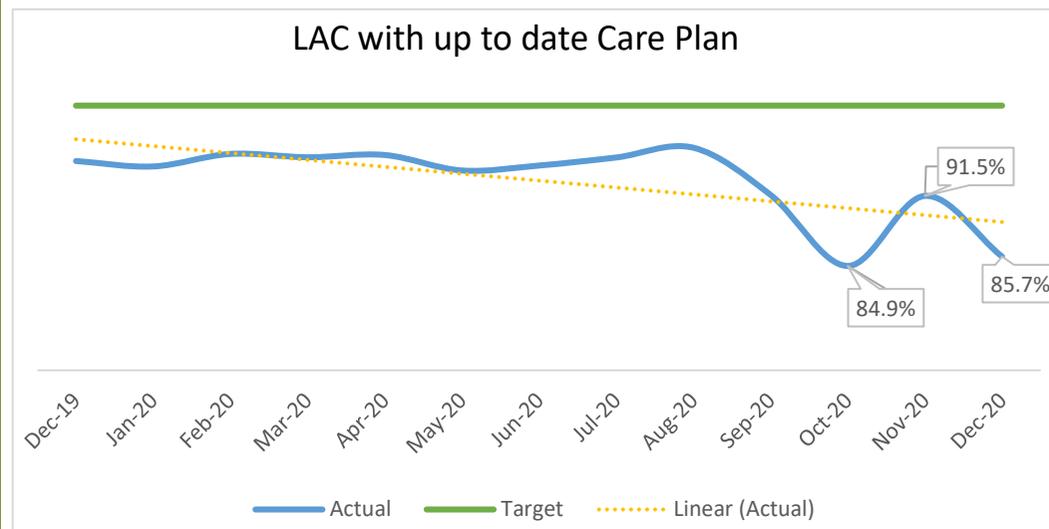
LAC with up to date Care Plan

91.5%

84.9%

85.7%

Legend: Actual — Target — Linear (Actual)

X-axis: Dec-19, Jan-20, Feb-20, Mar-20, Apr-20, May-20, Jun-20, Jul-20, Aug-20, Sep-20, Oct-20, Nov-20, Dec-20

- The Looked After Children population has decreased slightly in the quarter 1103 to 1101 in the quarter if you exclude the UASC population this shows an increase from 995 to 1004
- We saw a number of young people enter care in December 2021 – 31

What will success look like?	Action required

What will success look like?
- A large proportion of LAC with an up to date Care Plan – at least 90%
- Plans that include the decisions of the most recent LAC Review
- Good quality Plans that include the child's voice
- Care plans are written in a way that children can understand and engage with their own plan

Action required
- Ensure our safeguarding service know how to complete the Care Plans in a way that the child/young person can understand
- Continue Ways of Working training for all workers and managers in respect of Looked After Children
- Complete planned workshop to support our safeguarding social workers with the LAC process

Responsible Officers	Lead: Kate Dexter Assistant Director for Corporate Parenting Data: George Potter (Senior Systems & Reporting Manager)

408: LAC with up to date Health Assessment (HA)

Why is this important?
To ensure that we are a good Corporate Parent to the children in our care, that their health needs are assessed regularly

Performance	What is the background to current performance?

LAC with up to date Health Assessment (HA)

100%

90.7% 92.2% 90.5%

Dec-19 Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20 Jul-20 Aug-20 Sep-20 Oct-20 Nov-20 Dec-20

—— Actual —— Target ········ Linear (Actual)
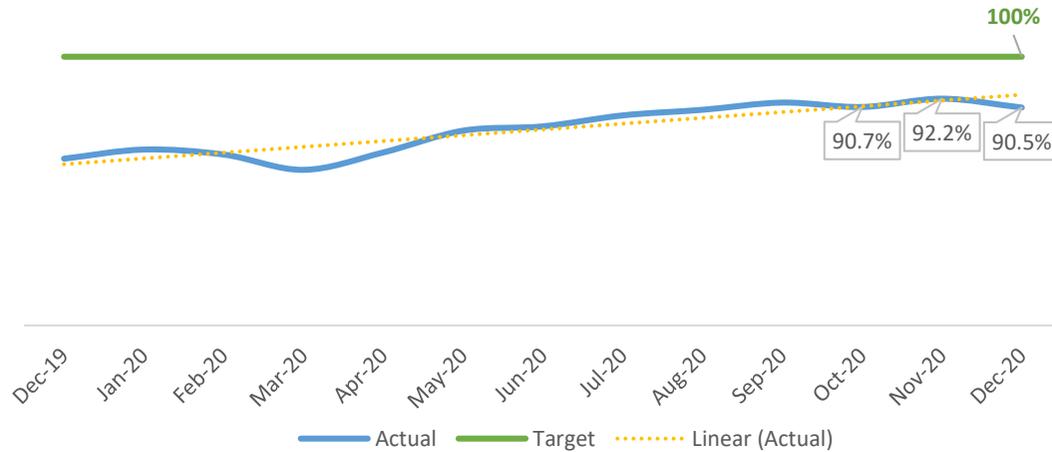
- Norfolk Community Health & Care (NCH&C) LAC Health Team have worked with NCC Childrens Services to improve performance
- SW teams have focused on ensuring requests for assessments are sent to health colleagues in good time – 96% of IHA requests sent in timescale
- The majority of delayed Health Assessments are for children placed out of county and older young people declining their health assessment

What will success look like?	Action required
- All Looked After Children having regular health checks within timescale - Initial Health Assessments will be completed within 28 days of a child becoming Looked After for all LAC in Norfolk	- Continue to work with Health colleagues to improve performance for out of county assessments - Continue to work with teams to ensure requests are sent in a timely way

| Responsible Officers	Lead: Kate Dexter Assistant Director Corporate Parenting Data: George Potter (Senior Systems & Reporting Manager)

410: Rate of Looked-After Children per 10,000 of the overall 0-17 population

Why is this important?
The rate of LAC enables a comparison across National, Regional and Statistical Neighbours

Performance	What is the background to current performance?
Rate of Looked-After Children per 10,000 of the overall 0-17 population 63.6 64.3 64.1 Dec-19, Jan-20, Feb-20, Mar-20, Apr-20, May-20, Jun-20, Jul-20, Aug-20, Sep-20, Oct-20, Nov-20, Dec-20 Actual — Target ····· Linear (Actual)	• The Looked After Children population has decreased slightly in the quarter 1103 to 1101 in the quarter if you exclude the UASC population this shows an increase from 995 to 1004 • This quarter is particularly impacted by 31 starts to LAC in December – this is a 'typical' picture for December, we often see an increase due to increasing risk and fewer resources to support children at home – largely linked to Christmas bank holidays • The overall rate has stayed fairly steady in the quarter and lower than previous quarters • The number ceasing care has reduced from 27 in September to 17 in December due to a lack of services in working with families to support reunification work
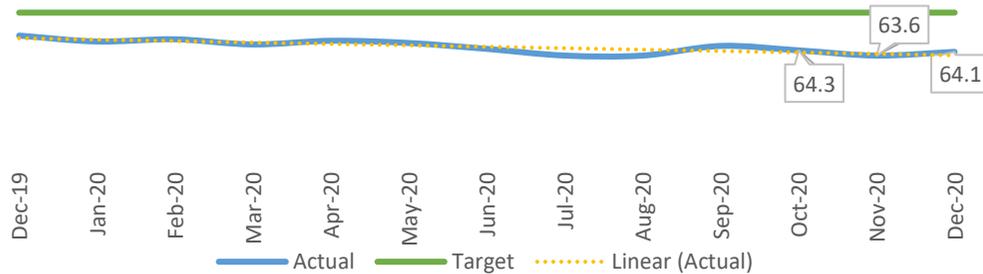
What will success look like?	Action required
• A reduction of LAC to a rate to that of similar local authority areas • Reduced numbers of young people becoming looked after and increased numbers of young people returning to their parent's/family's care	• New Corporate Parenting Service including Support for Success Teams go live 1st April, with new reunification services provided to Long Term looked after • Improved emergency/out of hours support service to go live 1st April to prevent children from coming into care

| Responsible Officers | Lead: Kate Dexter Assistant Director Corporate Parenting Manager) | Data: George Potter (Senior Systems & Reporting |

414: Percentage of year 12 and 13 cohort participating in fulltime education, or employment with accredited training (EET)

Why is this important?

This key indicator demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life. The Department for Education requires us to report this data to them each month.

Performance	What is the background to current performance?

Performance

Norfolk Participation - year 12/13 - December 2020

- Dec-18: Norfolk 91.7%, England 91.7%
- Dec-19: Norfolk 91.9%, England 91.9%
- Dec-20: Norfolk 91.3%, England 92.2%
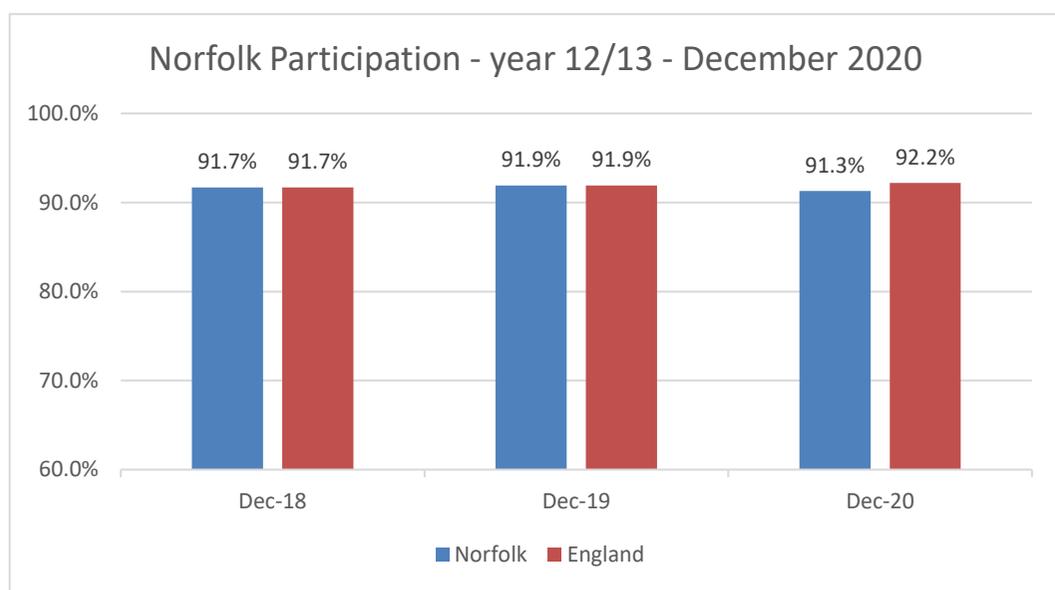
What is the background to current performance?

- Those participating post-16 include those in fulltime education or employment with accredited training e.g. apprenticeships. Those who are employed but not undertaking accredited training are not counted as participating in EET
- Norfolk's Employment without training (3.2%) is more than twice that of England's (1.4%)
- Norfolk's Not Known figure of 1.4% is lower than the National figure of 3.6% giving a more accurate picture of the current position.
- Updates from schools and colleges in March, April and May inform the LA when young people have left a course early. This affects the participation figures

What will success look like?

- Closing the gap for young people who are disadvantaged and achieving sustained participation in EET that is better than England

Action required

- Identifying and supporting young people in year 11 and 12 who are at risk of not continuing in learning with a specific focus on home educated, vulnerable groups and progression from year 12 to 13
- Decreasing the number of young people who enter employment without accredited training through promotion of apprenticeships
- Work with providers to reduce the number of young people who 'drop out' and providing support for those who do to re-engage

Responsible Officers

Lead: Karin Porter, Participation & Transition Strategy Manager

Data: Peter Kean-Cockburn, Information Systems and Analysis Officer

415: Number of children subject to a Permanent Exclusion. Summer term 2020
This report is based on mainstream schools and only Confirmed Exclusions (as per DfE methodology)

Why is this important?
Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

Performance	What is the background to current performance?
Number of children subject to a Permanent Exclusion (Norfolk Mainstream Schools / Confirmed Exclusions only) 96, 67, 88, 91, 84, 56, 84, 46, 1, 21 Aut 17, Spr 18, Sum 18, Aut 18, Spr 19, Sum 19, Aut 19, Spr 20, Sum 20, Aut 20	• The Inclusion Team have continued to have a positive impact in reducing exclusions. • The number of exclusions in Autumn 2020 was significantly lower than in the previous two years. This is particularly significant as children returned to full time education following a long break due to the partial school closures during Summer 2020 due COVID-19. A number of governor panels for permanent exclusions have been delayed due to COVID-19 which means there will be a minimum reduction in permanent exclusions of 30% compared to Autumn 2019. • The Inclusion Team experienced a significant rise in the number of requests for support during Autumn 2020 demonstrating the confidence school leaders have in the service. There will be additional capacity from January 2021 to meet requests for support following investment in the team. • Part of this success has been due to the development of more integrated and strategic working with the Norfolk Steps and Fair Access Team, and wider teams across Children's Services. Bespoke support and advice for schools is enabling more pupils to maintain placement and have their needs met within mainstream settings, and emerging work from the Prevention and Inclusion Around Education (PIE) workstream is supporting a more holistic response to pupil and family needs when necessary

What will success look like?	Action required
Fewer children subject to Permanent Exclusions from schools & colleges	*For pupils who need short term intensive interventions to stabilise challenging behaviours to receive this whilst remaining in mainstream settings through a combination of bespoke support and accessing alternative provision as appropriate.* *For pupils to make timely reintegrations from the Short Stay School for Norfolk when appropriate.*

Responsible Officers	Lead: Andy Tovell, Head of Service, Inclusion and Opportunity Service Data: Dom Mingaye, Data Manager, Education Achievement and EY Service

416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

Why is this important?

Completion/conversion of the EHCP within required timescales in order to establish and secure best possible outcomes across education, health and social care.

Performance

% EHCP On Time (Including Exceptions)

Period	Value
Oct - Dec 18	10.2%
Jan - Mar 19	3.1%
Apr - Jun 19	4.5%
Jul - Sep 19	10.3%
Oct - Dec 19	13.3%
Jan - Mar 20	13.7%
Apr - Jun 20	19.8%
Jul - Sep 20	19.8%
Oct - Dec 20	26.0%
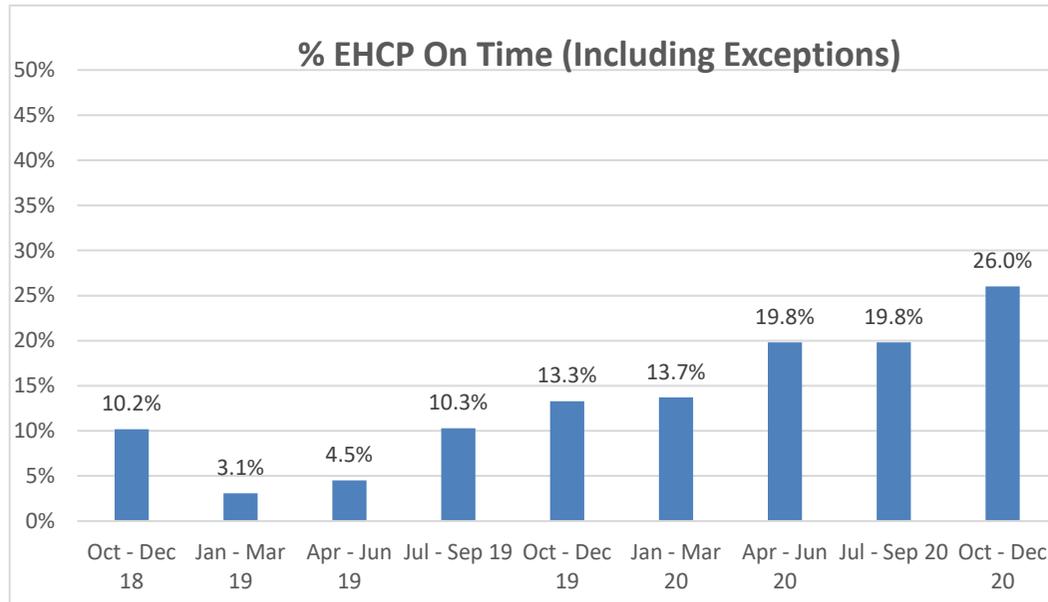
What is the background to current performance?

- Performance directly relates to the significant increase in the rates of assessments for EHCPs carried out by the Local Authority with thresholds for such set out in statutory legislation.
- Rates of assessments carried out have risen by 70% since 2016.
- Referrals for assessment and assessments carried out continue to rise and has outstripped additional capacity and so we have not yet seen a significant performance improvement.
- The Service responsible for delivering EHCPs has recently expanded and restructured. We now have a single dedicated team singularly focussed on the first EHCP needs assessment and plan consisting of a team manager and 12 EHCP Coordinators. This discrete team with sole responsibility for new EHCPs will not have the competing demands of the existing EHCP casework and this is a key aspect of our timescale improvement planning.
- Our overall % in timescales for 2020 ended at 20.1% from a position in 2019 of 8.2%. The DfE East Regional Adviser confirms that we have the second highest rate of improvement of all local authorities whose performance was in single figures last calendar year.

What will success look like?

- Success will be where Norfolk's timescale completion rates reflect at least the national average which currently stands at 60%.
- Norfolk's overall ambition is to have timescale completion rates of 90%+.
- The overall number of days taken to issue an EHCP has been gradually improving and there is a steady reduction in the numbers of cases out of timescales.

Action required

- EHCP Timescale Performance and Quality is a central theme of NCC's Ofsted / CQC SEND Written Statement of Action (WSOA) and overseen by the Norfolk WSOA Board chaired by the Director of Children's Services. A robust action plan has been constructed which DfE has confirmed is a strong response to our challenges.
- The Actions within the WSOA are subject to direct scrutiny by the Head of Service and Director for Learning and Inclusion and in turn reports to the WSOA Executive Board chaired by the Executive Director.

Responsible Officers

Lead: Nicki Rider, Interim Head of Education High Needs SEND Service

Data: Dom Mingaye, Data Manager Education Achievement and Early Years Service

417: Relevant & Former Relevant Care Leavers (aged 19-21) in Employment, Education or Training

Why is this important?

To ensure that Care Leavers are afforded the opportunities that will give them lifelong skills and financial stability

Performance
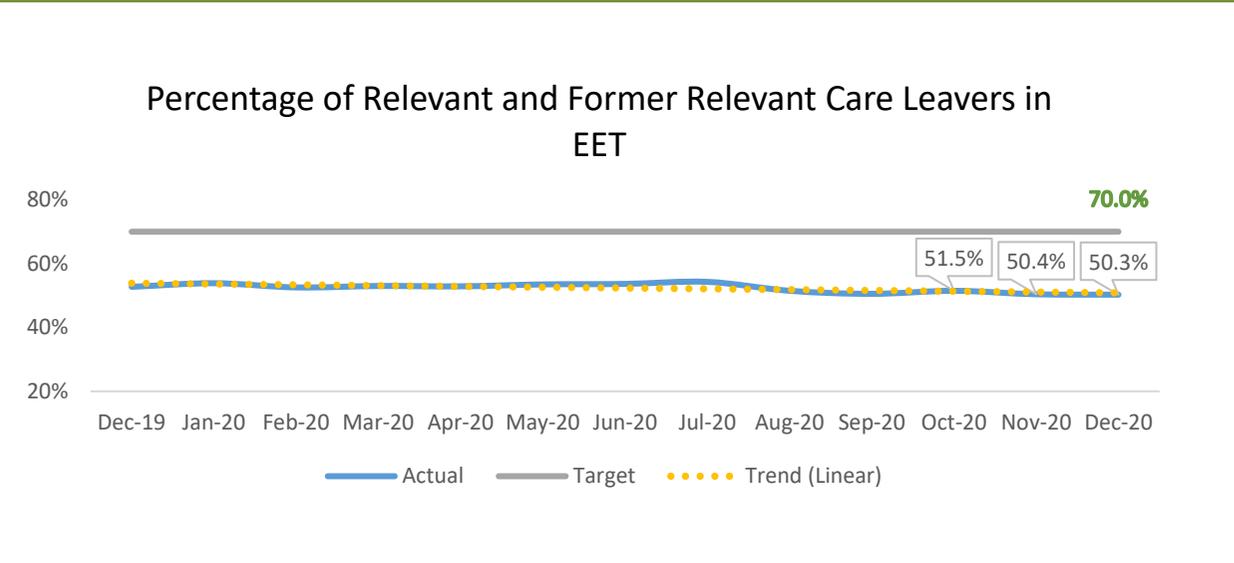
Percentage of Relevant and Former Relevant Care Leavers in EET

70.0%

51.5% 50.4% 50.3%

Legend: Actual — Target — Trend (Linear)

(Chart: percentages from 20% to 80%, months Dec-19 through Dec-20)

What is the background to current performance?

- The trajectory throughout lockdown was for us to be increasingly in touch with Care Leavers to know their current situation
- Care Leavers have found the contact at times overwhelming
- In December 87.9% of Care Leavers were in Suitable Accommodation – sourcing appropriate accommodation had become increasingly challenging due to the initiative to move street homeless adults into accommodation
- Norfolk has experienced difficulties in sourcing appropriate training and employment for young people under 25 which are similar to the rest of the country in respect of the impact on jobs of Covid-19

What will success look like?

- All Care Leavers reaching their potential by being in Employment, Education or Training

Action required

- Implement new training for PAs on coaching conversations to support young people into EET
- Continue to work with County and District Colleagues on plans such as Kickstart and increased apprenticeships

Responsible Officers

Lead: Kate Dexter (Assistant Director Corporate Parenting)   Data: George Potter (Senior Systems & Reporting Manager)

500: Budget monitoring – Forecast v Budget

Why is this important?

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves.

Performance	What is the background to current performance?
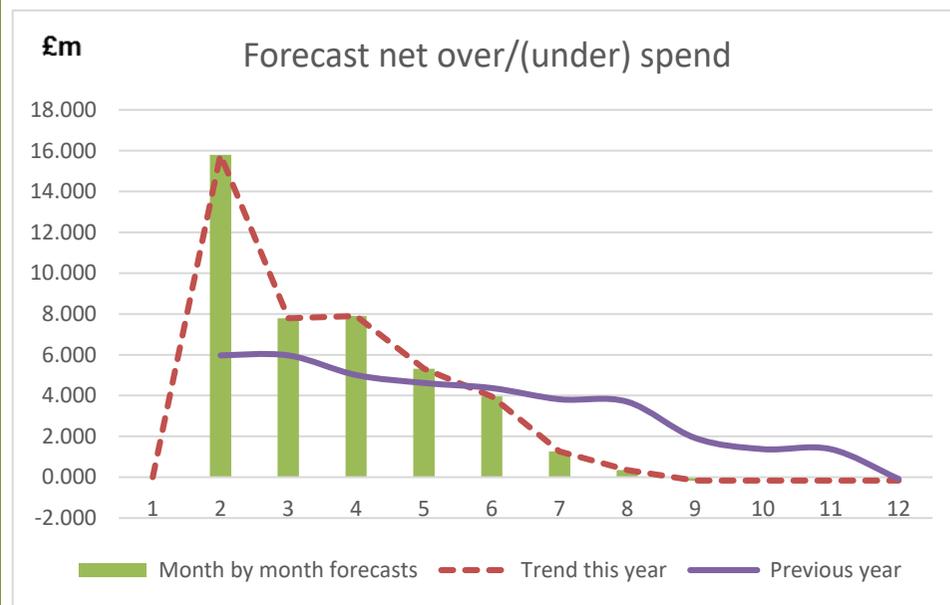
Performance

The graph above shows a forecast P9 (end of December 2020) **underspend** of **£0.165m** for 2020-21.

What is the background to current performance?

Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 9 (December) was an underspend of **£0.165m** on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total £111.8m. Covid-19 financial pressures have been taken into account in the forecasts.

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

What will success look like?

- A balanced budget, with no net overspend at the end of the financial year.
- Where forecast overspends are identified, actions are put in place to mitigate and minimise these overspends.

Action required

- Chief Officers have responsibility for managing their budgets within the amounts approved by County Council.
- Chief Officers take measures throughout the year to reduce or eliminate potential over-spends.

Responsible Officers   Lead: Harvey Bullen, Director of Financial Management   Data: Howard Jones, Corporate Accounting Manager

501: Savings targets delivered – by Service

Why is this important?
Making savings is key to supporting delivery of a balanced outturn position and ensuring the Council maintains a robust financial position.

Performance	What is the background to current performance?

Performance

Budgeted Savings compared to Actual / Forecast by Service

Legend:
- Adult Social Services
- Children's Services
- Community and Environmental Services
- Strategy and Governance
- Finance and Commercial Services
- Finance General
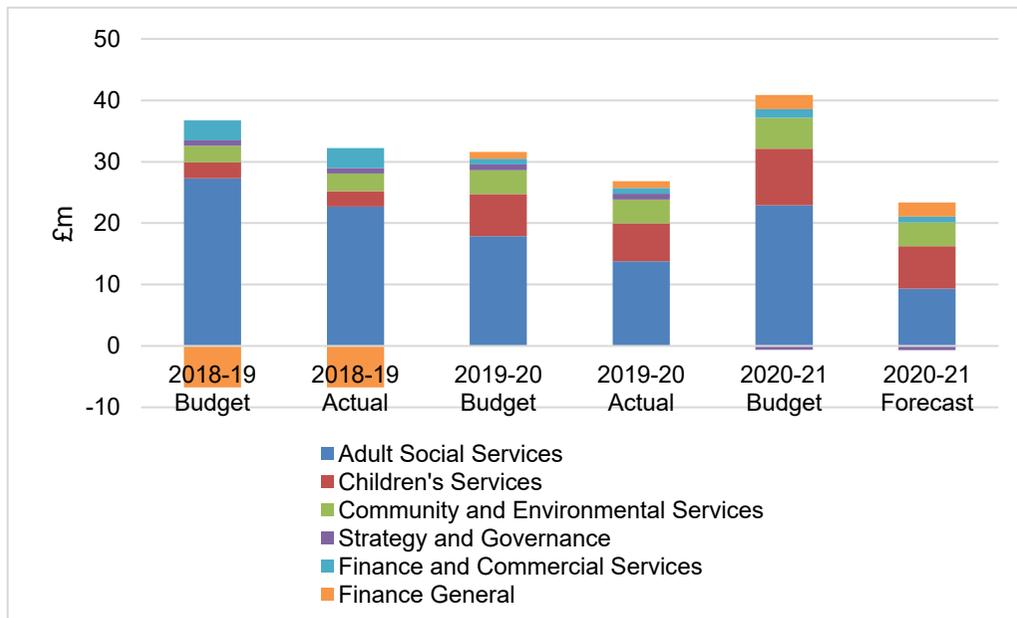
At Period 9, the savings forecast to be achieved for 2020-21 are £22.664m, this is 44% below budget.

What is the background to current performance?

- Historically the Council has a good record of achieving budgeted savings, delivering £325.706m of savings in the period 2011-12 to 2018-19, against budgeted savings of £363.768m (90%).
- In 2019-20 savings of £26.853m were delivered, a shortfall in savings of £4.752m, compared to budgeted savings of £31.605m (85%). The shortfall principally related to achievement of Adult Social Services savings linked to Promoting Independence, and also savings relating to Transport and Digital / New Technology. In the main these are ultimately expected to be delivered, although not in line with the original timescales.
- In the current year, 2020-21, as at Period 9 (Quarter 3), a shortfall of £17.580m is forecast against a wide range of the total budgeted savings of £40.244m. (44% of planned savings). This is out of line with previous year trends for delivery and is substantially due to the impact of the response to COVID-19, which has absorbed organisational capacity and impacted on both the operating environment and underlying assumptions within saving plans. An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Work is underway across services to re-establish delivery of saving programmes and minimise delay / non-delivery.

What will success look like?	Action required

What will success look like?

- Planned levels of savings are achieved and/or COVID-19 delays minimised, supporting the Council to deliver a balanced outturn position for 2020-21.
- A robust financial position ensuring stability for the budget-setting process for future years.

Action required

- Actions to deliver individual saving plans taken in 2020-21, and/or to restart delivery of savings to minimise 2021-22 impacts and/or alternative options identified.
- The shortfall in savings is reported to Cabinet monthly, and details of mitigating actions are also set out in that report.

Responsible Officers	Lead: Harvey Bullen, Assistant Director – Finance Data: Titus Adam, Financial Projects and Planning Manager

502: Capital Programme Tracker

Why is this important?
Members set a capital budget each year in the expectation that capital projects will be delivered and budgets controlled.

Performance	What is the background to current performance?
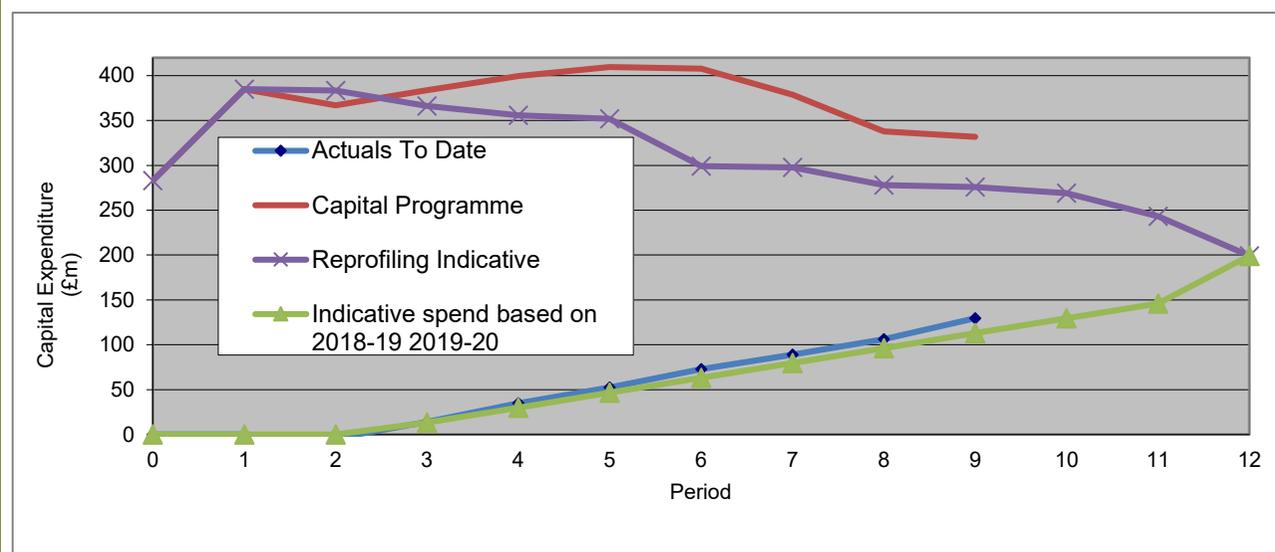
Actual spend to P9 after clearing year end accounting accruals, was £129m. This is 15% higher than an indicative spend based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling.

Actual spend for the nine months to December after adjusting for year-end accruals was £129m. Year end accruals account for approximately 2 months of capital expenditure, so the spend represents roughly 7 month's expenditure at an average spend of £18.5m.

In 2019-20, average monthly capital spend was £15.5m.

Based on the current year's opening capital programme and previous year's patterns of expenditure and re-profiling this is 115% of anticipated expenditure at this stage of the year.

What will success look like?	Action required
• Expenditure in line with indicative calculations based on budgets and historic patterns of expenditure. • Capital projects and programmes remain within budget, and are delivered on time.	• Capital budgets continue to be re-profiled into future years to reflect likely project spend.

Responsible Officers	Lead: Harvey Bullen, Director of Financial Management Data: Howard Jones, Corporate Accounting Manager

503: Ratio of Corporate net expenditure compared to Frontline

Why is this important?
The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation, and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

Performance	What is the background to current performance?

Budgeted ratio of Corporate to Frontline compared to Actual / Forecast

Corporate costs as percentage of front line

- The ratio of corporate to frontline costs, both Budget and actual has been consistent over the past few years when adjusted for adjustments to reflect evolving changes in the way services are managed, and also for year-end capital accounting adjustments.
- As Covid related pressures previously affecting front line services have largely been mitigated by government grants received, the actual ratio forecast for 2020-21 is as per budget.

Legend: Actual / latest forecast, Budget - Corporate Frontline

At end December 2020 (P9), the forecast actual ratio is 6.85% which is in line with the budget ratio.

What will success look like?	Action required
• Corporate costs of Resources and Finance and Property departments minimised and delivered in line with budget plans. • Corporate: Frontline ratio is maintained or improved in future years as efficiencies in support services are delivered.	• Where overspends are identified, action is taken to deliver savings plans and achieve an overall outturn position in line with the approved budget.

| Responsible Officers	Lead: Harvey Bullen, Director of Financial Management	Data: Howard Jones, Corporate Accounting Manager

504: Savings – Efficiencies compared to Front Line

<table>
<tr><td colspan="2" align="center">Why is this important?</td></tr>
<tr><td colspan="2">Demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over those which impact on front line delivery (ceasing or reducing a service) to users, partners, and members of the public.</td></tr>
</table>

Performance	What is the background to current performance?

Budgeted Efficiencies and Service Reductions compared to Actual / Forecast, with percentage of Efficiencies
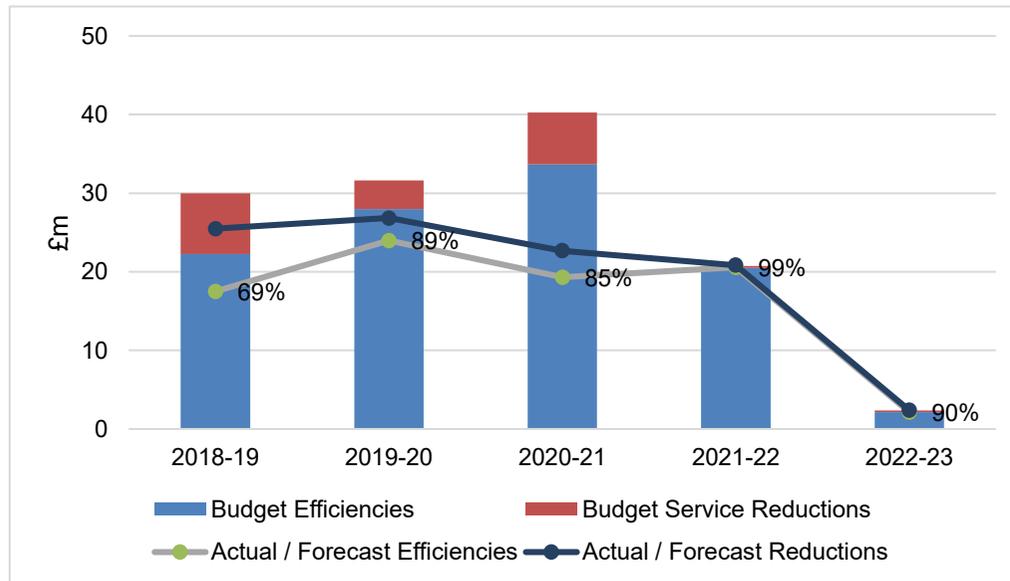
As at Period 9, the percentage of savings forecast to be achieved from efficiencies is 85%, this is in line with the budgeted percentage (84%).

What is the background to current performance?

- The Council has a good track record of savings, with a focus on delivering efficiencies while minimising service reductions.
- In the period 2011-12 to 2018-19, against budgeted savings of £363.768m, £246.130m (68%) were planned to come from efficiencies. Actual savings achieved for the period saw £229.650m from efficiencies against total savings of £325.706m (71%)
- In 2019-20 £23.978m came from efficiencies out of total savings delivered of £26.853m (89%). There was a shortfall in the overall delivery of savings in the year of £4.752m.
- Savings of £40.244m are budgeted for 2020-21 of which £33.679m are planned to be efficiencies (84%).
- The forecast outturn position (as at Period 9), is for a significant shortfall in the delivery of savings of £17.580m, across the full savings programme due to the impact of COVID-19. Further details are set out in monitoring reports to Cabinet. An element of the funding received from Government for the COVID-19 response is intended to support the non-delivery of savings. Forecasts for the subsequent years reflect the 2020-21 MTFS and are assumed to be broadly in line with budget.

What will success look like?	Action required

What will success look like?

- Savings delivered in line with budget plans, with a focus on efficiency savings – 84% of total savings delivered from efficiencies.
- Council budget balanced with the impact on front line service delivery to the public minimised as far as possible.
- Improvements in support service effectiveness and efficiency achieved.

Action required

- Actions to deliver individual saving plans taken in 2020-21, along with mitigating actions as part of COVID-19 response.
- The shortfall in savings is reported to Cabinet monthly, and details of mitigating actions are also set out in that report.

Responsible Officers	Lead: Harvey Bullen, Assistant Director – Finance	Data: Titus Adam, Financial Projects and Planning Manager

615: HR % lost time due to sickness

Why is this important?

Supporting employees to be healthy, positive and productive at work is a priority. Staff absence is an important indicator to measure the overall relationship between the employee and employer.

Performance

% lost time to sickness

Values shown on chart: 3.80%, 3.90%, 3.70%, 3.45%, 3.44%, 3.50%, 3.30%, 4.40%, 4.20%, 4.00%, 3.80%, 3.60%, 3.40%, 3.20%, 3.00%. X-axis: 2018/19, Dec-19, Jan-20, Feb-20, Mar-20, Apr-20, May-20, Jun-20, Jul-20, Aug-20, Sep-20, Oct-20, Nov-20, Dec-20
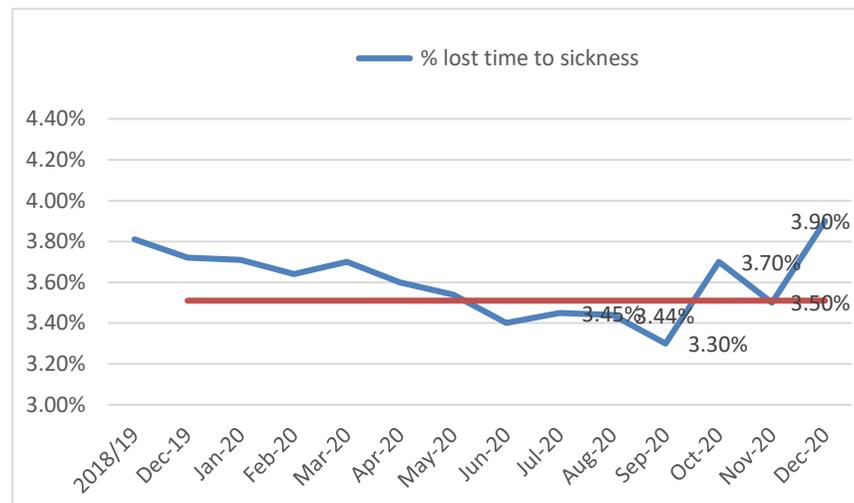
What is the background to current performance?

- The **sickness absence** rate to the end of December 2020 was **3.9%,** above the target of **3.5%** and compared to **3.6%** at the same point last year. The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available) and for large employers (5,000+ employees) is **4.3**% (CIPD Health and Wellbeing at work survey 2018).
- This equates to 213 fte in lost productivity.
- Sickness absence has consistently decreased since the pandemic restrictions. This is in line with trends reported by other organisations (CIPD website). December levels were higher again, which in addition to the normal seasonal increase in sickness is also explained by higher levels of COVID sickness, both for employees and across the whole community.
- Adults (**5.0%**), with and Children's Services (**3.3%**) continue to have the highest levels of absence (although Children's Services has reduced and is now below target). 12% of Adults sickness in December was COVID related. We continue to work proactively with these services to understand the reasons for absence and support improvement
- All other departments have absence rates at under **3.%**.
- Mental Health continues to be the primary cause for time lost to sickness being the reason for approximately a third of all time lost, but no significant changes between Q3 and Q2.

What will success look like?

- Continuing to achieve our sickness absence target. The target is **3.5%**
- The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available)
- The average absence rate for large organisations (5,000+ employees) is **4.3%** (CIPD Health and Wellbeing at work survey 2018).

Action required

- Implementation of the HR & Finance Replacement system to speed up the current lag between notification and system entry.
- HR to continue to provide proactive support for managers, ensuring that all relevant absence cases have a clear case management plan
- HR to continue to provide focussed support to ASSD and Children's Services, both in terms of absence management and well-being e.g. seeking advice from occupational health and supporting managers with absence review meetings, undertaking well-being assessments and signposting to additional services such as Norfolk Support Line (NSL) and the musculoskeletal scheme where appropriate.

Responsible Officers

Lead: Sarah Shirtcliff, Director for People   Data: Teresa Baker, HR Customer Services Manager Manager and Dave Nugent, Workforce Insight Lead

637: New employee retention

Why is this important?
Evidence shows that where there is a mismatch in terms of employee skills, experience and engagement with the organisation (i.e. the employee deal) to those required in the post they have been recruited to, will make an early exit from NCC more likely. Improving our retention rate will reduce costs associated with recruitment and training and improve service performance.

Performance	What is the background to current performance?

Performance

New employee retention rate
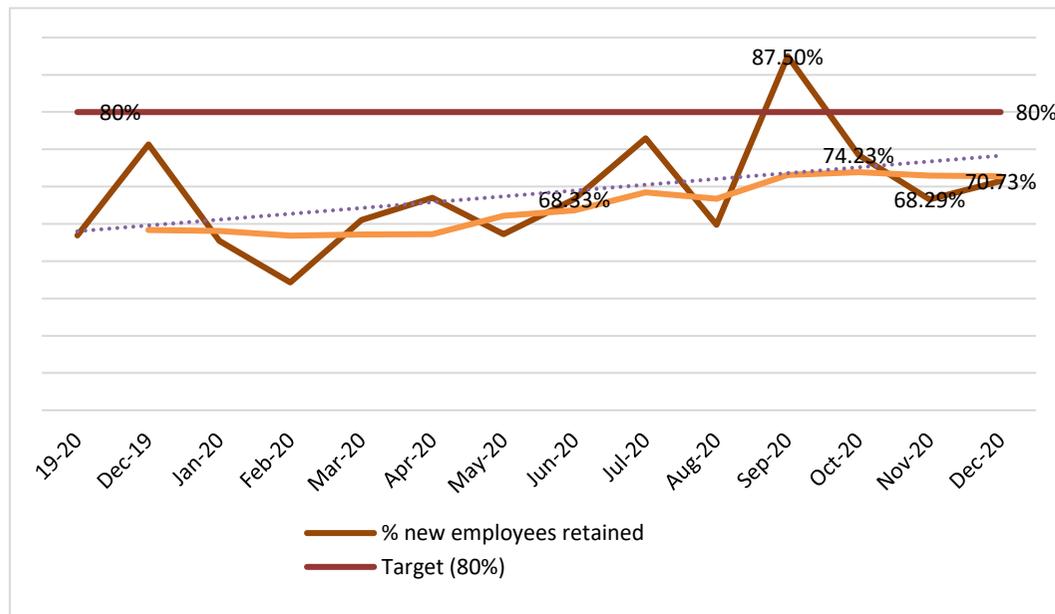
The monthly new employee retention rate has worsened since the end of summer as the impact of COVID-19 on people's mobility has diminished.

The average retention rate for the current financial year 2020-21 is **71.4%**, broadly comparable with the 2018 national CIPFA survey where the average retention rate was **70%**. The average retention rate for the previous financial year was **63.6%**, however COVID may have a bearing on that difference.

What is the background to current performance?

This measures how many of the new entrants to NCC stay in post for longer than 2 years. The measure excludes fixed term and temporary contracts to avoid planned short term appointments skewing the data.

Turnover for the last 12 months is **10% (8.6)%** voluntarily) with (**593** voluntarily) employees leaving NCC employment. Of those, **168 (145 voluntary)** had less than one years' service on leaving. There were a total of **932** new starters to NCC during the same period. The relationship between recruitment and retention is an important one. If we are successful at retaining colleagues, the recruitment demand will reduce.

Our average retention rate during the 12 months up until the end of December is **71.4%** which is broadly comparable with the 2018 national CIPFA survey where the average retention rate was **70%**.

It remains the case that the pandemic has led to some instability in the job market and we continue to see increased unemployment in certain sectors leading to an increase in candidates for NCC roles and more stability in our workforce (although numbers have consistently increased since the initial drop in leavers in May). Our current insight indicates that this has had a positive impact on retention. We will continue to monitor impact over the coming months.

The impact of recent work to implement mechanisms to retain social workers will be measured carefully, however it is too soon to draw any conclusions currently. As at end of December annual turnover of Social Worker roles is at 9.6% in Children's

|	and 9.4% in Adults, both of which are slightly below the overall NCC rate. The roll out of management dashboards has raised visibility on employee retention.
What will success look like?	**Action required**

• **80%** of our new entrants to NCC will be retained longer than 2 years. This is a stretching benchmarked target when comparing data from the annual CIPFA HR benchmarking survey, however given recruitment challenges for certain key groups, this must be a key priority. We will review our targets for next year with a focus on retention of key frontline roles for social work and social care.	HR working group to:
	
	• Provide analysis of turnover and work with SHRBP's alongside Service senior stakeholders to:
	  • understand nature and root causes of 'hot spots'
	  • recommend evidence-based methods of costing turnover
	• Develop an exit survey approach to build learning
	• By the end of Q4 have an integrated survey approach that is easy to complete and targeted as close as possible to when people leave

Responsible Officers	Lead: Sarah Shirtcliff, Director for People Data: Teresa Baker, HR Customer Delivery Manager and Dave Nugent, Workforce Insight Lead

638 HR: Performance Development (previously appraisals) - % Written Goals agreed

Why is this important?
The new approach to Performance Development is intended to contribute to the people development of an effective performance culture.

Performance	What is the background to current performance?

% Performance Development written goals agreed
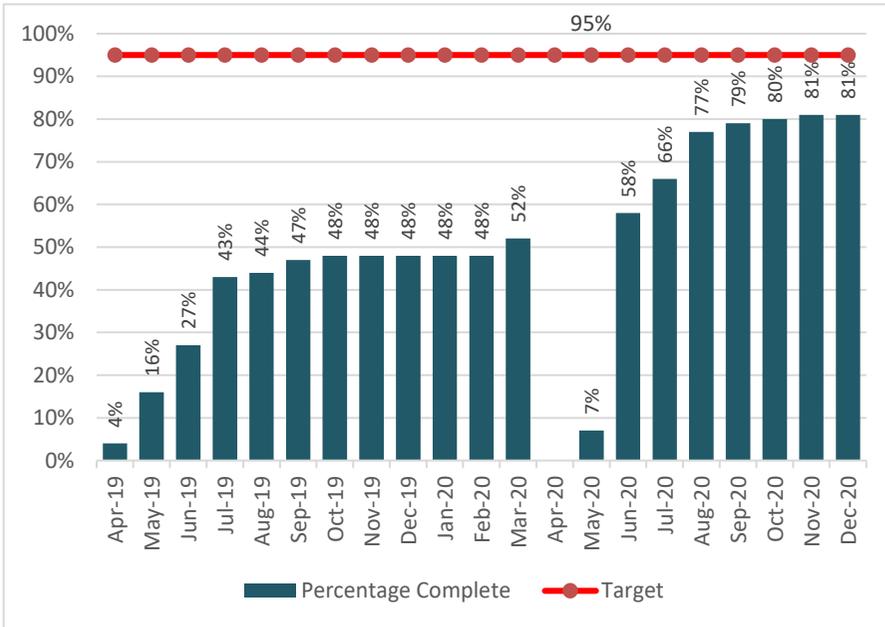
Bar chart showing "Percentage Complete" against "Target" line of 95%. Values by month:
- Apr-19: 4%
- May-19: 16%
- Jun-19: 27%
- Jul-19: 43%
- Aug-19: 44%
- Sep-19: 47%
- Oct-19: 48%
- Nov-19: 48%
- Dec-19: 48%
- Jan-20: 48%
- Feb-20: 48%
- Mar-20: 52%
- Apr-20: (no data)
- May-20: 7%
- Jun-20: 58%
- Jul-20: 66%
- Aug-20: 77%
- Sep-20: 79%
- Oct-20: 80%
- Nov-20: 81%
- Dec-20: 81%

Note No reporting in April 2020 due to COVID Pandemic

External research identifies that goals linked to future plans and conversations between managers and building on employee strengths are critical for effective people performance.

- This is the third year that services are operating to plans on a page supporting the linkage between performance development and organisational goals.

- The goal is for all employees between April and June annually to have a PDP and followed up mid-year Oct-Nov. (For Education as a result of operating on an academic year, the annual discussion is Aug-Sept.)

- 2,237 staff in the 2020 staff survey told us that the most important factor in their contribution is whether 'there is a clear link between my Performance Development Discussion and my team's goals'. Speaking openly about work related issues as an opportunity to improve things is the second most important factor for employee engagement and motivation.

- At end of Dec 2020 **81%** of colleagues had their date of written goals agreed recorded. This represents sustained improvement from Dec 2019 **(48%),** although below the target. Actions taken to provide dashboard information at Directorate and Service level on completions and non-completions for 20/21 together with new functionality within My HR and Payroll has improved ease of recording and tracking.

What will success look like?	Action required
• 95% of employees having agreed written goals	• Work is being finalised in Q4 to integrate Performance Development discussions so that all new employees have these discussions from the start of employment. The Performance Development Framework and Probation Policy have been integrated. • System improvements utilised so that managers receive system generated emails when new starters are due to receive a 3 month and 6 month review. Manager communications due to be released March 2021.

Responsible Officers	Lead: Sarah Shirtcliff, Director for People	Data: Ruth Grant (Strategic OD Lead) Dave Nugent (Workforce Insight and Data)

639: Vacancy Rate (requires accuracy of establishment data)

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being. Accurate data allows for recruitment planning to fill vacancies in a timely way and identify challenges in recruitment for professional groups.

| Performance | What is the background to current performance? |

% of established posts which are currently vacant

- % Vacancy rate
- Target (12%)
- Linear (% Vacancy rate)

12% is the target set which broadly mirrors the turnover rate to ensure an optimal workforce and delivery of people costs within budget, while maintaining services. Any deviation above or below could carry risk. If the vacancy rate is above 12% there is a risk to service delivery. It is normal to have some level of vacancy rate as managers manage budget opportunities as well as reflecting time to hire.

This measures the number of FTE posts which are shown as vacant as a percentage of the total established FTE posts in the HR system (Oracle).

Oracle data may not always be up to date, nor reflective of current organisational structures as it is shows positions that are built, and not necessarily active. There is also a reliance on managers to ensure their structures are up to date on Org Plus. Managers may believe that as they have updated other sources such as Budget Manager, all data is accurate. Unfortunately, Oracle and Budget Manager are not integrated systems.

However, several measures including management dashboards, and the introduction of online claims have encouraged mangers to ensure that their current organisation is more accurately reflected on the pay system.

In the longer term, the HR& Finance System Transformation project will deliver an end to end solution with integrated HR and Finance data.

Our intention for future reporting is to measure voluntary turnover as this better reflects the impact of vacancies on our business

The vacancy rate for December was **11.6%,** increasing from **9.8%**, in September 20, so below the target rate, although continuing to trend upwards in the last 6 months.

The vacancy rate for December 20 was **11.65%**, so below the target rate, although continuing to increase from a July low of **9.2%**. The uplift over the last couple of months is partly explained by some significant restructure work in Adults Business Support which has resulted in the building of new positions on Oracle which are

	duplicate existing roles, albeit mapping to the newer structure. This will resolve once the old positions are ended. The expectation is that the impact of COVID-19 on people's mobility will continue to diminish as we move into 2021, so likely to result in higher turnover levels, so higher vacancy rates.
What will success look like?	**Action required**
• NCC will have a vacancy rate of 12% of established posts • We will hold and maintain accurate establishment data	• Implementation of new integrated HR & Finance system which will ensure that establishment information is in one system only
Responsible Officers	Lead: Sarah Shirtcliff, Director for People Insight Lead Data: Teresa Baker, HR Customer Delivery Manager and Dave Nugent, Workforce

349: Number of Apprenticeship starts

Why is this important?
Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay). Apprenticeships can offer a route into employment, provide upskilling or re-skilling opportunities and higher level qualifications, enabling individuals to progress through the various levels.

Performance	What is the story behind current performance?

Actual and Target for Number of Overall by Academic Year
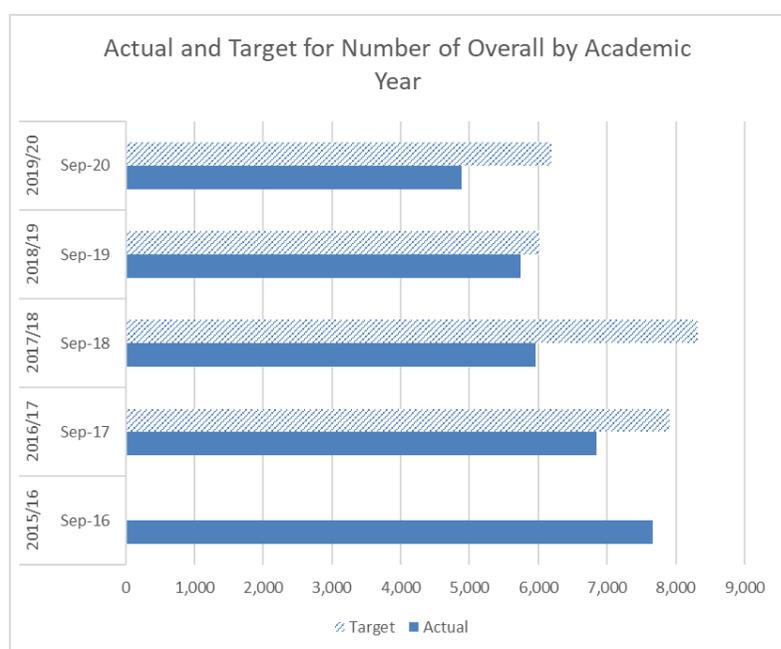
Apprenticeship Starts	2015/16	2016/17	2017/18	2018/19	2019/20	2019/20
	Actual	Actual	Actual	Actual	Actual	Target
All starts – all levels/ages	7,670	6,850	5,960	5,740	4,890	6,199

Apprenticeship Starts Summary - Norfolk and England				
All Starts	2020/21 Q1 Starts	2019/20 Starts	Difference	% Change
Norfolk	1,230	1,820	-590	-32.42%
England	91,100	125,800	-34,700	-27.58%

- Overall starts in Q1 20/21 have significantly declined by 32% in Norfolk when compared to Q1 19/20. This compares to a 28% decrease across England during the same period.

- Norfolk's under 19s continue to be the most impacted with a 50% drop in starts (42% decline for England). 19-24s are down 33% (England 30%) and 25+ down 18% (England 14%)

- Intermediate Level starts remain the most affected with a 46% drop (43% decline for England). Higher apprenticeships show the smallest impact in the county with an 8% reduction. However, England showed a very small increase of 1% in Higher Apprenticeships when compared to 2019/20.

- All Norfolk districts reported a decline in starts with North Norfolk showing the highest fall of 42%. Breckland showed the smallest decrease but this was still 28% down.

Overall, a more difficult position than we thought. Q1 covers the period from August to October so between lockdowns but obviously the impact of the Covid-19 pandemic on would-be apprentices,

employers and providers is significant and continuing. However, we should bear in mind that these stats are provisional as per the following notice published with this dataset:

Impact of COVID-19 on reporting of FE and apprenticeship data - The 2020/21 data covers a period affected by varying COVID-19 restrictions, which will have impacted on apprenticeship and traineeship learning and provider reporting behaviour via the Individualised Learner Record. Therefore, extra care should be taken in comparing and interpreting data presented in this release.

What will success look like	Action required
Success will be measured by the overall achievement of annual target whilst maintaining quality, level and range.	Much activity is taking place that will raise the profile of apprenticeships and hopefully arrest the decrease in starts seen in recent times, encouraging employers to invest in apprenticeships. Current activity: - NAW21 has been exhausting! We have had some incredible feedback from the NAW Apps Awards... with HUGE increases in engagements across all platforms and a significant rise in followers too. 6 successful winners from 69 nominations with special Covid19 categories and a press release with a quote from Graham Plant - Tom's weekly blog contained information about AN - Information and advice sessions delivered for JCP and variety of conferences and webinars attended - The NEW Apps Norfolk survey has been distributed to all schools, 6th Forms, providers and via social media - currently has a massive 733 responses - ESF Insight Apprentice application successful, planning for implementation - RRR 119 successful applications - Continuing to compile and distribute weekly vacancy data identifying trends in sector and geography which can be used to increase impact of targeted marketing. - Website launched 19th January, lots of positive feedback including the EoEAN, providers and stakeholders https://apprenticeshipsnorfolk.org/ - First NEW Apps Norfolk newsletter published at end of January. Good feedback received from DC colleague already. - New VS targets approved by Graham Plant, will be presented at DMT shortly for final sign off
Responsible Officers Lead: Jan Feeney	Data: Jan Feeney 15/02/21

Cabinet

Decision making report title:	Risk Management
Date of meeting:	12th April 2021
Responsible Cabinet Member:	Cllr. Andrew Proctor, Cabinet Member for Governance and Strategy
Responsible Director:	Simon George, Executive Director of Finance and Commercial Services
Is this a key decision?	No

Introduction from Cabinet Member

Risk management is required by regulations and as part of the Council's Constitution. It contributes to achieving corporate objectives, the Council's key priorities and Business Plan and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework. This report sets out the key messages and the latest corporate risks.

Executive Summary

The Council continues to work through the implications of the COVID-19 pandemic. With a third lockdown, coupled with the extensive vaccination programme being rolled out at pace over the last three months, rates of COVID-19 continue to fall both in Norfolk and across the UK.

Corporate risks continue to be monitored and treated appropriately in line with the Council's risk management framework, with risk-based decisions supporting the Council's recovery.

Recommendations

1. **To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2021.**

2. **To consider and agree the corporate risks as at March 2021 (Appendix C).**

1. Background and Purpose

1.1. This report sets out the latest corporate risks for the Cabinet to consider and agree. **Appendix A** provides a summary of the latest proposed changes to corporate risks since January 2021, with the current general corporate risk register scores visually summarised in **Appendix B**, which also shows proposed score changes. Details of all risks on the general corporate risk register are located in **Appendix C**.

The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's Constitution. There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution.

2. Proposals

2.1. The key corporate risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice, and is supporting the Council's recovery from the pandemic.

- The review of corporate risks has taken place with risk owners, and reviewers, and Corporate Board as a group.

- It is proposed to decrease the current score of risk RM032 – Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery) from 20 to 16 (impact lowered from 5 to 4).

- It is proposed to decrease the score for RM004 - The potential risk of failure to deliver effective and robust contract management for commissioned services from 9 to 6 (likelihood lowered from 3 to 2). following completion of the current timed mitigations.

- With the Council's budget for 2021/22 now agreed and set, the risk score for risk RM002 - The potential risk of failure to manage significant reductions in local and national income streams decreased to meet its' target score of 8 by the end of the last financial year 2020/21. The risk score has reverted to 12 whilst the Council works through the financial implications of 2021/22, working towards setting and agreeing a budget for 2022/23 next February.

- Target dates set for the end of the financial year 2020/21 have been revised to be forward facing.

- The Audit Committee continues to be responsible for monitoring the adequacy and effectiveness of the systems of risk management.

- This corporate risk management report should be read in conjunction with the performance and finance reports.

Further details of proposed risk changes can be viewed at **Appendix A**.

3. Impact of the Proposal

3.1 Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015. Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.

3.2 Details of the proposals above in 2.1 can be viewed in Appendix A, offering further rationale and impact of the proposals.

4. Evidence and Reasons for Decision

4.1. Not applicable as no decision is being made.

5. Alternative Options

5.1. There are no alternatives identified.

6. Financial Implications

6.1. There are financial implications to consider, which are set out within the risks at **Appendix C**. The budget for the financial year ahead 2021/22 was set and agreed in February 2021. Mitigations supporting the controlled treatment of the risk of the potential risk of failure to manage significant reductions in local and national income streams are set out in risk RM002.

7. Resource Implications

7.1. **Staff:** The risk of COVID-19 negatively impacting on staff can be seen within risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery).** There are also staffing resource implications to consider as part of risk **RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5**

years and longer term. With the implications of COVID-19 on the economy, there continue to be signs that NCC is attracting more candidates as the public sector is seen as a more secure employer. This will continue to be closely monitored in the months ahead.

7.2. **Property:** Risk assessments will be carried out by the Health, Safety, and Wellbeing team at sites where services are preparing to be restarted following the third national lockdown, to ensure that it is appropriate to reopen with adapted measures, ensuring that the Council follows advice with regards to social distancing. The Health, Safety and Wellbeing team continue to work closely with services that would normally deliver a face to face offering to the public.

7.3. **IT:** The Council's Information Management Technology team are continuing to closely monitor cyber security threat levels, and continue to roll out the technology advances that are helping Members and officers to carry out their duties effectively.

8.   Other Implications

8.1.   **Legal Implications**

There are no current specific legal implications to consider within this report.

8.2.   **Human Rights implications**

There are no specific human rights implications to consider within this report.

8.3.   **Equality Impact Assessment (EqIA) (this <u>must</u> be included)**

None applicable.

8.4.   **Health and Safety implications** (where appropriate)

There are health and safety risk implications as set out in the corporate risk **RM028 - Risk of any failure to monitor and manage health and safety standards of third party providers of services.** This risk captures the support from the Health and Safety team to departments running services involving third parties, to ensure that health and safety standards of third party providers meet the expectations set of them within the partnership.

8.5. **Sustainability implications** (where appropriate)

There are no specific sustainability implications to consider within this report. Any sustainability risks identified as part of the Council's [Environmental Policy](#) (page 58) will be recorded and reported appropriately.

8.6. **Any other implications**

There are no other risk implications to consider within this report.

9. Risk Implications/Assessment

9.1. The risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

10. Select Committee comments

10.1. There are no recent Select Committee comments to note within this report.

11. Recommendations

11.1.
- **To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2021.**

- **To consider and agree the corporate risks as at March 2021 (Appendix C).**

12. Background Papers

There are no further background papers to note.

Officer Contact

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

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Key Changes to Corporate Risks

The quarterly review of the corporate risk register has generated changes. These are captured below as follows;

Risk Number	Risk Score Change	Risk title Change	Risk Description Change	Mitigations Change	Risk Owner Change	New Corporate Risk
RM001						
RM002						
RM003a			✓			
RM003b						
RM004	✓					
RM006						
RM010						
RM013						
RM022a						
RM022b		✓				
RM023						
RM024						
RM026						
RM027						
RM028						
RM029						
RM030						
RM031						
RM032a	✓					

RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)

It is proposed to decrease the current score of risk RM032 – Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery) from 20 to 16 (impact lowered from 5 to 4). With the continuation of the Council's resilience to effectively manage the impact of COVID-19 throughout the winter period, the overall impact on business continuity is now lower, with the Council moving towards recovery, however it is important to note that the overall impact still remains high. The scope of the risk will be further reviewed considering further government announcements and developments in the coming months ahead.

RM004 - The potential risk of failure to deliver effective and robust contract management for commissioned services.

It is proposed to decrease the score for RM004 - The potential risk of failure to deliver effective and robust contract management for commissioned services from 9 to 6 (likelihood lowered from 3 to 2). This follows completion of the current timed mitigations.

Risk Title Change

RM022b - Implications of Brexit for a) external funding and b) Norfolk businesses

The risk title has been amended to separate out the different implications for external funding, and Norfolk businesses.

Target date changes

Target dates for the end of the financial year 2020/21 have been revised to future facing dates.

Generic Corporate Risks - Heat Map

		Insignificant 1	Minor 2	Moderate 3	Major 4	Extreme 5
LIKELIHOOD	Almost Certain 5					23
	Likely 4				32a (▽)	31
	Possible 3		4 (▽)	3a 3b 22b 1 22a	2	28 29 30
	Unlikely 2				24	26 6 27
	Rare 1				10 13	

IMPACT ➡
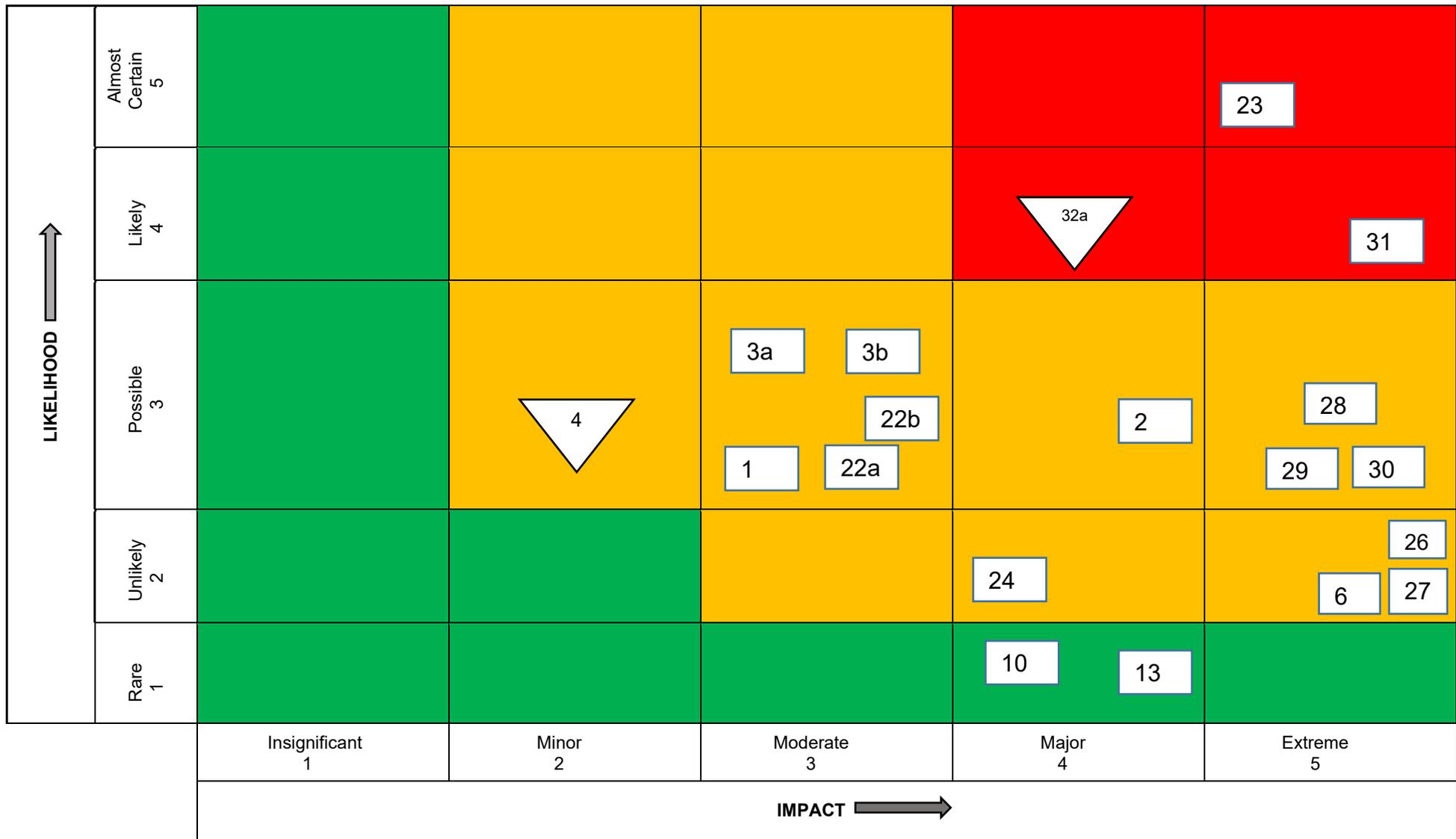
Key
△ = Risk score increase ▢ = no score change ▽ = risk score decrease

No.	Risk description	No.	Risk Description
RM001	Not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.	RM022a	Implications of Brexit for Council staff and services
		RM022b	Implications of Brexit for a) external funding and b) Norfolk businesses
RM002	The potential risk of failure to manage significant reductions in local and national income streams.	RM023	Lack of clarity on sustainable long-term funding approach for adult social services at a time of increasing demographic pressures and growing complexity of need.
RM003a	Potential for failure to comply with statutory information compliance requirements.	RM024	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023).
RM003b	Potential for failure to comply with relevant information security requirements		
		RM026	Legal challenge to procurement exercise.
RM004	The potential risk of failure to deliver effective and robust contract management for commissioned services.	RM027	Risk of failure of new Human Resources and Finance system implementation.
RM006	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.	RM028	Risk of failure to monitor and manage health and safety standards of third-party providers of services.
		RM029	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term.
RM010	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.	RM030	Non-realisation of Children's Services Transformation change and expected benefits.
		RM031	NCC Funded Children's Services Overspend
RM013	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions	RM032a	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)

Risk Number	RM001					Date of update			02 March 2021	
Risk Name	Not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan									
Portfolio lead	Cllr. Martin Wilby					**Risk Owner**	Tom McCabe			
Risk Description						Date entered on risk register			03 June 2019	

1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • Congestion, delay and unreliable journey times on the transport network • A lack of the essential facilities that create attractive conditions for business activity and investment, and sustainable communities, including good connectivity, public transport, walking and cycling routes, open space and green infrastructure, and funding for the infrastructure necessary to enable the county council to perform its statutory responsibilities, eg education. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	**9**	3	3	**9**	3	2	**6**	Mar-22	**Amber**

Tasks to mitigate the risk

1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment.
1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment.
1.3) Engage with providers of national infrastructure – Highways England for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks.
1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers.
1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the emerging Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner.
1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.

Progress update

Progress update

Overall: Impact of Covid-19 likely to affect funding streams in both the short and longer-term. Government announcement 21 October on one year spending review potentially provides opportunity for new announcements, but likely to lead to overall delay in long-term funding decisions. Still awaiting LTP funding settlement details for 2021/22

1.1) March Cabinet will be asked to approve NWL OBC and appoint Design and Build contractor. OBC will then be submitted to DfT. City Council withdrew their support for NWL on 20 January 2021. Liaison with city council being picked up to resolve, including on TfN strategy. OBC for Long Stratton Bypass submitted to DfT 15 Jan 2021. West Winch Housing Access Road Strategic OBC to go to Cabinet March 2021 prior to DfT submission. Work continues on scheme development at A47/A14 Pullover Junction King's Lynn. Positive funding decision received from DfT for Transforming Cities funding (£32m). Now in delivery phase. Gt Yarmouth Third River Crossing: Works started on 4 January 2021 as planned. Transport East will be asked to confirm their support, and write letters of endorsement for business case submissions at Forum meeting 24 Feb..

1.2) Funding secured from PBR for development of Norwich Western Link; West Winch Housing Access Relief Road (see 1.1). £1.5m received for Phase 2 Emergency Active Travel Fund from DfT (now known as Active Travel Fund). Delivery phase now commenced.

1.3) October A47 Alliance meeting agreed refreshed advocacy work up to 2021 spending review. Officers met DfT and Highways England 27 January 2021 to discuss closer working on future programmes. Continuing work on Great Eastern Main Line (Norwich to London rail): Network Rail need to do further work on business case for infrastructure improvements, which will delay moving to next stage, although should not affect overall project programme. Local authorities' study on wider economic benefits complete. Continuing to work on Ely Task Force: Consultation undertaken by Network Rail on infrastructure improvements required to unlock a range of additional passenger and freight services showed public support. Continuing to support East West Rail Consortium: Eastern Section prospectus published. Pre-SOBC work underway on Eastern Section.

1.4) Government review of planning system (consultation) published in August. County Council proposed response agreed at October Cabinet and submitted.

1.5) Continuing to work with Transport East on transport strategy and Interim Investment Plan; liaising with DfT, Network Rail and Highways England on strategic road and rail schemes; attending wider partnership groups including LEP Transport Board.

1.6) Continuing to update new systems to ensure monitoring is effective and up to date.

Risk Number	RM002		Date of update	26 February 2021
Risk Name	The potential risk of failure to manage significant reductions in local and national income streams			
Portfolio lead	Cllr. Andrew Jamieson		**Risk Owner**	Simon George
Risk Description			**Date entered on risk register**	31 May 2019

This may arise from global or local economic circumstances (i.e. Brexit), government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Strategy savings required for 2020/21 - 2024/25 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website. Overall risk treatment:Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	**12**	3	4	**12**	2	4	**8**	Mar-22	**Amber**

Tasks to mitigate the risk

Medium Term Financial Strategy and robust budget setting within available resources.
No surprises through effective budget management for both revenue and capital.
Budget owners accountable for managing within set resources.
Determine and prioritise commissioning outcomes against available resources and delivery of value for money.
Regular and robust monitoring and tracking of in-year budget savings by Corporate Board and members.
Regular finance monitoring reports to Cabinet.
Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants.
Plans to be adjusted accordingly once the most up to date data has been received.

Progress update

County Council on 21.02.21 approved the 2021-22 budget and future Medium Term Financial Strategy 2021-25 taking into account the Final Local Government Finance settlement for 2021-22. The risk target score for 31 March 2021 has been met.
The council's external auditors gave an unqualified audit opinion on the 2019-20 Statement of Accounts and were satisfied that the County Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31.03.2020.
The implications of the COVID-19 response, coupled with continued uncertainty and the further delay of the significant planned reforms for local government finance, represents a major challenge for the Council in developing its Medium term Financial Strategy. Further reports will be presented to Cabinet during the year incorporating future Government funding announcements and updates on the budget planning process in order that County Council can agree the 2022-23 Budget and level of council tax at its February 2022 meeting.

Risk Number	RM003a			Date of update	11 February 2021	
Risk Name	Failure to comply with statutory information compliance requirements					
Portfolio lead	Cllr. Andrew Proctor			**Risk Owner**	Andrew Stewart	
Risk Description				**Date entered on risk register**		05 June 2019

There is a risk of failing to comply with statutory information compliance requirements (e.g. under GDPR, FOI, EIR) which could lead to reputational damage and financial impact from any fines or compensation sought.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	**12**	3	3	**9**	2	3	**6**	Sep-21	**Green**

Tasks to mitigate the risk

1. Mandatory Training in place for all colleagues - ongoing
2. Development and monitoring of MI for responding to Data Subject Rights Requests, FOIs, EIRs and breaches - ongoing
3. Developing a positive relationship with the ICO - ongoing
4. Implementation of activities determined by the SOCITM report in March 2020 by December 2020
    •Deliverable 1: Define a clear Information Governance approach for Norfolk County Council (incorporating clear responsibilities and measures of success)
    •Deliverable 2: Deliver a management information suite to allow effective management, analysis and assurance of the Information Governance Service
    •Deliverable 3: Review all current "record management" type processes to ensure efficient, proportionate and up to date
    •Deliverable 4: Appoint to all roles required (including DPO, SIRO and Member lead) and ensure reflected in the constitution
    •Deliverable 5: Relaunch the Information Compliance Group with clear accountabilities
    •Deliverable 6: Review and update all Information Governance related policies, standards and procedures
    •Deliverable 7: Define and deliver effective Information Governance training and engagement across NCC, Members and Partners
    •Deliverable 8: Review and deliver identified opportunities for Smarter Working
    •Deliverable 9: Define a clear future vision for the Information Governance Service and resource appropriately

Progress update

Progress update
Head of Information Governance appointed to take forward the SOCITM recommendations and embedding the information governance agenda in NCC. This will enhance many of the mitigations to a higher standard, reducing the risk further over the next two years. - IG Framework created and due to be published alongside revised policies and procedures on myNet alongside mandatory e-learning on Information Governance (including Data Protection) was launched in December 2020. - Basic MI now in place and being further developed to give the full picture of performance and compliance across Information Governance remit - All recruitment finalised in October 2020 to enable focus on both backlog and ongoing statutory and non statutory Information related activities (e.g. DSR, EIR, FOI, Police, breaches) with good progress already being made - All key IG roles in place including separation of DPO / SIRO roles - Information Compliance Group relaunched in November 2020 as the Information Governance Group, along with a new Information Goverance Steering Group to provide effective escalation and oversight - Smarter working opportunities progressing with a new online FOI/ EIR request form being delivered in October 2020 - Future vision being evolved and discussions underway to ensure 2021/22 budget is able to cover the current remit. - Focus on improved storage and retention to reduce risk - Risk score of 9 remains until all issues identified in SOCITM report that need addressing to reduce the likelihood of the risk manifesting. The impact should anything happen would likely result in local or national media attention, depending on the severity of the issue.

Risk Number	RM003b		Date of update	03 March 2021

Risk Name	Failure to comply with relevant information security requirements

Portfolio lead	Cllr. Tom Fitzpatrick	Risk Owner	Geoff Connell

Risk Description		Date entered on risk register	05 June 2019

There is a risk of failing to comply with relevant information security requirements (e.g. NIS, PSN, PCI-DSS) which could lead to reputational damage and financial impact.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	**12**	3	3	**9**	1	3	**3**	Sep-21	**Green**

Tasks to mitigate the risk

1. Mandatory Training in place for all colleagues - ongoing
2. Development and monitoring of MI for breaches - ongoing
3. Implementation of improved security measures - ongoing
4. External networking to ensure best practice - ongoing

Progress update

- Rollout of new Mandatory training to all colleagues
- Implementation of improved security measures e.g. E5 Licencing
- Involvement with National cybersecurity organisation
- Extensive communications to NCC staff on remaining vigilant against cyber-attacks
- Increased take up of IT training;
- A simulated phishing exercise, carried out to understand where weaknesses remain;
- Roll-out of Safe Links and Safe Attachments technology, which screens MS Office attachments and links
before being opened;
- Anti-spoofing technology software being introduced.

Risk score of 9 at present due to improved measures that have been implemented but acknowledgment that further activities would reduce the risk further, with a number of new challenges in a COVID landscape. The impact should anything happen would likely result in local or national media attention, depending on the severity of the issue.

Risk Number	RM004		Date of update		03 March 2021

Risk Name: The potential risk of failure to deliver effective and robust contract management for commissioned services.

Portfolio lead	Cllr. Andrew Jamieson		**Risk Owner**	Simon George

Risk Description		Date entered on risk register		02 June 2019

Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes. The council spends some £700m on contracted goods and services each year. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	2	3	6	2	3	6	Mar-22	Met

Tasks to mitigate the risk

1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately.
Next steps:
- Develop robust process to respond to CreditSafe alerts
2) Continue to report the pipeline of expiring contracts to Corporate Board every six months. Continue to discuss the pipeline of expiring contracts with CES DMT every quarter.
Next steps:
- Start to discuss the pipeline of expiring contracts with other departmental management teams or individual senior managers
3) Through the contract compliance and optimisation workstream of the Smarter Workstream priority under the Norfolk Futures programme, implement measures to ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively.
Next steps:
Implement phased plan as agreed at corporate board 3 December 2019
4) Develop a standard specification for service transition that can be used as the basis for new sourcing exercises and used to manage transitions effectively by end June 2019
5) Internal audit undertaking audits of the contract management control environment in the three service directorates.

Progress update

1) Process developed with finance to respond to CreditSafe alerts. Complete
2) Pipeline reporting frequency at Corporate Board increased to quarterly and process is in place for monthly review by Director of Procurement and Executive Director of Finance. Procurement staff review monthly and make sure plans are in place with departments. Complete
3) Contract compliance and optimisation workstream plan was approved at Corporate Board in December 2019 and phased implementation was under way, prior to COVID-19. Implementation of phased plan paused whilst efforts are focussed on the COVID-19 response.
4) Transition/handover checklist developed and in use. Complete.
5) Internal Audit have completed an audit of the senior management monitoring of significant contracts. Complete

Risk Number	RM006		Date of update	04 March 2021
Risk Name	The potential risk of failure to deliver our services within the resources available for the period 2021/22 to the end of 2023/24.			
Portfolio lead	Cllr. Andrew Proctor		**Risk Owner**	Tom McCabe
Risk Description			**Date entered on risk register**	13 June 2019

The failure to deliver agreed savings or to deliver our services within the resources available, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service users. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	**10**	2	5	**10**	1	5	**5**	Mar-22	**Green**

Tasks to mitigate the risk

1) Clear robust framework, 'Together for Norfolk - Business Plan' in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand.
2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets.
3) A robust annual process to provide evidence for Members to make decisions about spending priorities.
4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures.
5) Sound engagement and consultation with stakeholders and the public around service delivery.
6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.

Progress update

Regular budget and performance monitoring reports to Cabinet will continue to demonstrate how the Council is delivering against the 2021/22 budgets and priorities set for each of our services.
The Council has a robust and established process, including regular reporting to Members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about Government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports. There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2021-22 spend to be reported to Cabinet on a monthly basis and monitoring of COVID-19 spend reported to Corporate Board regularly. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2021/22. There will be an updated MTFS position reported to Cabinet within the year, savings proposals published for consultation in October, budget setting meeting of Full Council in February 2022, and monitoring reports taken to Cabinet in 2021/22. Work is being carried out by Departmental Leadership Teams, the Recovery Group and the Business Transformation Programme on future savings required. Savings proposals will be presented again for Member review and then taken to Cabinet.

Risk Number	RM010				Date of update			03 March 2021		
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Portfolio lead	Cllr. Tom Fitzpatrick				**Risk Owner**	Simon George				
Risk Description					**Date entered on risk register**			01 July 2019		

Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood,or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: Treat.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	**6**	1	4	**4**	1	3	**3**	Sep-21	**Green**

Tasks to mitigate the risk

1) Full power down completed periodically
2) Replace ageing Local Area Network (LAN) equipment
3) Implement Cloud-based business systems with resilient links for key areas
4) Review and Implement suitable arrangements to protect against possible cyber / ransonware attacks including;
5) Running a number of Cyber Attack exercises with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack
6) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios

Progress update

Progress update

1) Full power down completed as required by Property programme plans
2) New Local Area Network equipment has been procured and we are now implementing with County Hall.
3) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly.
4) We have now completed the cyber audit actions.
5) We have delivered a Cyber Attack exercise with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack. We are scheduling a National Cyber Security Centre (NCSC) 'Exercise in a box' session for IMT to test our approach during a cyber attack and we will follow this up with a NCSC 'Exercise in a box' exercise for the business leads, resilience team and IMT to jointly rehearse a cyber attack. IMT and the resilience team will be presenting a number of scenarios selected by the business to the silver group to test, understand and challenge a number of key disaster scenarios to inform the business continuity plans and highlight any further improvements we can make.
6) We have already held a Business Continuity exercise to understand and reduce the impact of risk scenarios and this will be re-run within 12 months to further reduce the risk. Since COVID-19 has resulted in the majority of the workforce working from home, the network has been able to cope effectively with a vastly increased number of users working remotely. Exercise Steel will build on the work of Exercise Horseshoe.

The score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure.

Risk Number	RM013		Date of update	04 March 2021
Risk Name	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.			
Portfolio lead	Cllr. Greg Peck		**Risk Owner**	Simon George
Risk Description			**Date entered on risk register**	02 July 2019

The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incuring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	**4**	1	4	**4**	1	4	**4**	Mar-22	**Met**

Tasks to mitigate the risk

1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.
The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.
The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.
2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Strategy and Governance for the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.
3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.
4) To ensure that governance procedures are being discharged appropriately to Independence Matters. The Executive Director for Finance and Commercial Services' representative attends as shareholder representative for Independence Matters.
5) Approve the Outline Business Case for Repton Property Developments Ltd.
6) Shareholder representation required from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

Progress update

Progress update

1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register.

2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned LA company. The shareholder committee meets quarterly and monitors the performance of Norse. A member of the shareholder board, the shareholder representative, also attends the Norse board.

3) The Council has reviewed its framework of controls to ensure it is meeting its Teckal requirements in terms of governance and control, and a series of actions has been agreed by the then Policy and Resources Committee. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected.

All County Council subsiduary limited company Directors have been approved in accordance with the Constitution. The new Chairman of Norse has initiated change with one Director looking after NCS and NPS, with a view to maximising returns back to NCC.

A further strengthening of the Board is proposed with the appointment of two independent Non-Executive Directors with one vote each. As with Repton the appointments would be made through a transparent process of advertisement, interview and appointment.

4) The ED of F&CS directs external governance. An external company is undertaking a review of Norse Group's financial performance, discharging the Executive Director for Finance and Commercial Services' responsibility as per the Constitution.

5) The Outline Business Case for Repton Property Developments Ltd has been approved.

6) There is Shareholder representation from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

Risk Number	RM022a		Date of update	04 March 2021
Risk Name	Implications of Brexit for Council staff and services			
Portfolio lead	Cllr. Andrew Proctor		Risk Owner	Tom McCabe
Risk Description			Date entered on risk register	28 August 2020

There are important risk implications to the Council in the following areas: The legal base – legal implications need to be considered and statutory changes applied. Council services dependent on a migrant workforce – for example nationally, 7% of existing adult social care staff come from other EU nations. There is a risk that initially, implications for Norfolk County Council of the UK leaving the EU are not known or understood, causing uncertainty in Council business, planning, and service delivery.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Sep-21	**Amber**

Tasks to mitigate the risk

1) Human Resources to support managers and staff who may be directly affected by this issue.
2) Understand the risks and implications of Brexit to service delivery, wider community and business continuity. This includes managing particular risks around the supply of food and fuel, to enable us to support vulnerable people.

Progress update

1) Potential loss of staff for NCC and our service providers was looked at in Feb '19 & is under constant review. Signposting to HM Govt websites was undertaken and correspondence sent to service providers. Most recent update:
 - Keeping HR Direct up to date with developments to advise staff
- Refreshing employee information on peoplenet
- Undertook exercise to refresh employee data on nationality status
- Provided information to key stakeholders within social care on the pilot
- Surveyed Heads of Services/Departments regarding impacts
2) There has been a transition period until the end of 2020, whilst the UK and EU negotiated additional arrangements. Trade deal talks between the UK and the EU have concluded with a deal struck. The implications of the deal for Norfolk County Council are being worked through.

Risk Number	RM022b		Date of update	02 March 2021

Risk Name	Implications of Brexit for a) external funding and b) Norfolk businesses

Portfolio lead	Cllr. Graham Plant		Risk Owner	Tom McCabe

Risk Description		Date entered on risk register	28 August 2020

a) Departmental Risk RM14429 covers the closedown of the France (Channel) England INTERREG programme, managed by NCC. In terms of future external funding, we need to make a compelling case to Government for investment in Norfolk from the UK Shared Prosperity Fund, which replaces EU funding. b) Now we have left the EU, we need to understand the implications for Norfolk businesses of the Territorial Cooperation Agreement and work with partners to support Norfolk businesses to trade.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Sep-21	Amber

Tasks to mitigate the risk

a) Development of Norfolk Investment Framework to target the UK Shared Prosperity Fund (replacement for EU funding).

b) Focussed support for business, in conjunction with LEP and Chamber of Commerce.

Progress update

a) Norfolk investment priorities being developed, in light of early guidance in the Autumn Statement 2020. Inital £220m for 21-22 targeted at 'places most in need across the UK, such as ex-industrial areas, deprived towns and rural and coastal communities, focussing on investment in people, communities and place and local business'. Further guidance to be set out in 'UK-wide investment framework' due in Spring 2021. Early thoughts on Norfolk's investment priorities being shared with Norfolk MPs 12 February.

b) LEP Resilience Manager collates intelligence for Government on issues affecting business (eg and updates the weekly Norfolk Economy Cell meeting of county, district and LEP officers. Signposting to support available from Government, Chamber and Growth Hub on NCC and partner websites. Work planned to understand the opportunities of Brexit for firms to increase trade with non-EU countries.

Risk Number	RM023		Date of update	01 March 2021
Risk Name	Failure to respond to changes to demography, funding, and government policy, with particular regard to Adults Services.			
Portfolio lead	Cllr. Bill Borrett		**Risk Owner**	James Bullion
Risk Description			**Date entered on risk register**	18 August 2017

Whilst acknowledging the pressures on adult social services, and providing some one-off additional funding, the Government has yet to set out a direction of travel for long-term funding. At the same time, the pressures of demography and complexity of need continue to increase. This makes effective strategic planning highly challenging and there is a risk that short-term reductions in support services have to be made to keep within budget; these changes are likely to be counter to the long-term Promoting Independence strategy. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	**25**	5	5	**25**	2	4	**8**	Mar-22	**Amber**

Tasks to mitigate the risk

1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future.
2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care.
3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system.
4) Judicious use of one-off winter funding, as announced by Government.
5) Close tracking of government policies, demography trends and forecasts.
6) A new set of NCC corporate priorities which aims to address longer-term demand management in children's and adult services.

Progress update

1) Detailed work to understand the financial and service impact of COVID for the next financial year and for medium term. Main themes for transformation being reviewed, and priorities for department being shaped. Overall strategy remains sound, but further work to identify the highest priority transformation areas and to track the interdependencies of programmes across the department..
2) Market shaping and development - strengthened working relationships; significant financial support for the market, now requires on-going work in partnership with care sector to look at future shape and sustainability.
3a) Refreshed preventions strategy required, building on the additional understanding and ways of working experienced through0ut the pandemic.
3b) Workforce – continues to be hugely challenging within Adult Social Services and in the wider care market. On-going recruitment campaign to sustain levels of

Progress update

front line social workers and occupational therapy staff. Joint European funded programme with Suffolk to support workforce in the wider care market

3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care. Better Care Fund currently under review to reflect closer joint aims and objectives between health and social care

4) Close joint working with NHS, through the STP and interim Integrated Care System, to shape and influence future integration of health and social care

5) White Paper on Health and Social Care integration published in February 2021. Does not include proposals for the reform of social care.

6) Collaboration with children's services to develop a preparing for adult life service to strengthen transition experience for young people, and to improve service and budget planning.

Risk Number	RM024		Date of update	02 March 2021
Risk Name	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023)			
Portfolio lead	Cllr. Martin Wilby		**Risk Owner**	Tom McCabe
Risk Description			**Date entered on risk register**	14 June 2019

There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes put timescales at risk and/or contractor prices increase project costs. Event: The 3RC is completed at a later date and/or greater cost than the agreed budget, placing additional pressure on the NCC contribution. Effect: Failure to construct and deliver the 3RC within budget would result in the shortfall having to be met from other sources. This would impact on other NCC programmes. Overall risk treatment: Treat, with a focus on maintaining or reducing project costs and timescales.

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	4	**8**	2	4	**8**	2	3	**6**	Jan-23	**Amber**

Tasks to mitigate the risk

The project was agreed by Full Council (December 2016) as a key priority infrastructure project to be delivered as soon as possible. Since then, March 2017, an outline business case has been submitted to DfT setting out project costs of £120m and a start of work in October 2020. 80% of this project cost has been confirmed by DfT, but this will be a fixed contribution with NCC taking any risk of increased costs. Mitigation measures are:
1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings.
2) NCC project team to include specialist cost and commercial resource (bought in to the project) to provide scrutiny throughout the scheme development and procurement processes.This will include independent audits and contract/legal advice on key contract risks as necessary.
3) Programme to be developed that shows sufficient details to enable overall timescales to be regularly monitored, challenged and corrected as necessary by the board.
4) Project controls and client team to be developed to ensure systems in place to deliver the project and to develop details to be prepared for any contractual issues to be robustly handled and monitored.
5) All opportunities to be explored through board meetings to reduce risk and programme duration.
6) An internal audit is currently being carried out to provide the Audit Committee and management with independent assurance that the controls in place, to mitigate, or minimise risks relating to pricing in stage 2 of the project to an acceptable level, are adequate and effective and operating in practice.

Overall risk treatment: Reduce, with a focus on maintaining or reducing project costs and timescales

Progress update

Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. Progress against actions are: 1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there were no significant concerns identified that impact project delivery). Internal audit on governance report finalised 14 August 2019 and findings were rated green. Further gateway review completed summer 2020 ahead of progressing to next stage of contract (construction). 2) Specialist cost and commercial consultants appointed and continue to review project costs. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget remains sufficient. A further budget review was completed following appointment of the contractor. The full business case has been developed and submitted to DfT at end of September 2020 - the project is still at agreed budget. 3) An overall project programme has been developed and is owned and managed by the dedicated project manager.

Any issues are highlighted to the board as the project is delivered. The start of DCO examination was 24 September 2019, with a finish date on 24 March 2020. The approval of the DCO was confirmed on 24 September 2020 (no legal challenge). Construction started on 4 January 2021 as planned. The bridge completion and opening date remains early 2023. 4) Learning from the NDR the experience of commercial specialist support was utilised to develop contract details ahead of the formal commencement of the procurement process. Further work fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019) and continue in this role to manage contract administration. 5) The project board receives regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates. The project currently remains on budget and the programme to complete the works and open the scheme in early 2023 is still on track.
6) The further internal audit has been concluded and a report circulated. Findings were green with only one minor observation (already actioned).

Risk Number	RM026			Date of update	04 March 2021
Risk Name	Legal challenge to procurement exercise				
Portfolio lead	Cllr. Andrew Jamieson		Risk Owner	Simon George	
Risk Description			Date entered on risk register	04 June 2019	

That alleged breach of procurement law may result in a court challenge to a procurement exercise that could lead to delay, legal costs, loss of savings, reputational damage and potentially significant compensation Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Dec-21	Green

Tasks to mitigate the risk

Review processes and practice in light of recent caselaw, in particular Amey Highways Ltd v West Sussex County Council [2019] EWHC 1291 (TCC) and Lancashire Care NHS Foundation Trust & Anor v Lancashire County Council [2018] EWHC 200 (TCC).

1) At team meeting w/c 10 June 2019, remind procurement staff of need to escalate any proposal to run a procurement exercise in an unreasonably short timescale

2) Take pipeline to corporate board every six months and to directorate management teams quarterly to minimise risk of rushed procurement exercises.

3) Seek corporate board sign-off for new approach with consistently adequate timelines,fewer evaluators and greater control over choice of evaluator

4) Review scale of procurement exercises, avoid unnecessarily large exercises that increase risk and complexity and the scale of any damages claim.

5) Make incremental change to instructions to evaluators and approach to scoring and documenting rationale, and test on tender NCCT41801 in w/c 3 June 2019

6) Review standard scoring grid and test 'offline' on tender NCCT41830 w/c 10 June 2019

7) Review template provisional award letter w/c 17 June

8) Develop standard report to decision-maker w/c 17 June

9) Make more significant changes to instructions to evaluators and pilot new approach on a future tender.

10) Pilot new scoring grid in a future tender

11) Institute formal annual review of sourcing processes in light of developments in case law. Review each December; add to senior staff objectives.

Additional tasks identified February 2020:

12) Update HotDocs to include definitive versions of new templates - by 31 March 2020

13) Formal sign-off of updated process by Nplaw- by 31 March 2020

14) Further formal training for procurement officers - by 30 April 2020

Progress update

Progress update

1) Reminder given at team meeting - complete
2) Pipeline report frequency now quarterly. Pipeline being discussed with EDs or senior commissioners before each board - complete
3) Corporate board has signed off the new approach - complete
4) Ongoing as need to consider each procurement on a case by case basis.
5) Evaluator guidance was updated immediately. More significant changes have also now been implemented - see 9. Complete.
6) Scoring grid was updated as planned. Complete.
7) Template provisional award letter has been reviewed and updated. Complete
8) Existing reports have been reviewed and new report is being developed. Complete.
9) Evaluator guidance updated and in use as standard. Feedback from evaluators is positive. A new mechanism for capturing feedback on tenders is now in use after extensive piloting.
10) Scoring grid has now been updated and is in use as standard. - Complete
11) Added to senior staff objectives. Reviewed January 2020; no new issues identified beyond those in this risk 26
12) HotDocs templates have been updated.Complete.
14) All procurement staff in Sourcing have been trained in the new process and are adherring to it. Complete.

Additional task 13 was paused in the wake of managing the COVID-19 response. However, the Government's Procurement Green Paper is proposing a number of changes to the Public Contract Regulations, which would affect the process. Any changes are likely to implemented in late 2021 and therefore this task will be put on hold until the impact on the process is understood.

Risk Number	RM027		Date of update	04 March 2021
Risk Name	Risk of failure of new Human Resources and Finance system implementation			
Portfolio lead	Cllr. Tom FitzPatrick		**Risk Owner**	Diana Dixon
Risk Description			**Date entered on risk register**	16 August 2019

Risk that there is a significant impact to HR and finance services through potential lack of delivery of the new HR & finance system. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	**10**	2	5	**10**	2	2	**4**	Sep-21	**Green**

Tasks to mitigate the risk

1) Programme has moved from procurement phase to Implementation as planned
2) Rigorous monitoring of risk accurs at Programme level on a weekly basis with significant risks escalted to Programme Board for management. Particular attention is being paid to the risk to the project of being impacted by any Covid-19 resurgence that may affect NCC and / or Implementer teams causing a delay and associated cost. Mitigation of this includes agreement to protect the project team resources such that they remain aligned to the programme (at one stage 50% of team had been moved to C-19 response)
3) Programme management team from NCC and Systems Implementer jointly develop plan with formal sign off underpinned by contractual stage payments
4) Initial impact of Covid-19 mitigated by the addition of a new transition stage into the plan with delay to implementation held to 1 month
5) Programme governance revised to reflect move to Implementation
6) Corporate Select Committee continue to oversee the programme

Progress update

1) Cabinet via delegated approval to Exec Director S&G (in consultation with ED for FCS, the Leader and Cabinet Member for Innovation, Transformation and Performance) endorsed the award of the contract to Oracle Consulting Services implementing a cloud Oracle solution as planned.
2) On-going visibillty of the plans via Programme Board, also the Corporate Select Committee continues to offer oversight.
3) Strong engagement from HR and Finance into the familiarisation stage of the programme which supports system design decisions
4) Eight benefit themes applied to the project from the outset underpin all design discussion / decision, programme board are responsible for delivering against these benefits.
5) Governance managed by project board and programme board for project plans and budget.
6) Strong management of the familiarisation process by both NCC and the Systems Implementer to ensure remote ways of working are not impacting the quality of the engagement or decision-making
7) Robust risk management in place, particularly in respect of C-19 and the potential impact this could have on timescales and costs
8) Business impacts being captures as familiarisation with the software solution develops
9) The procurement of a change partner with local authority expertise and experience in adopting our software solution has taken place to support business adoption of new ways of working that underpin realisation of savings
10) Resource levels are kept under review as the understanding of the future plan matures with pressures around resourcing being managed by Project Board

Risk Number	RM028		Date of update	23 February 2021
Risk Name	Risk of any failure to monitor and manage health and safety standards of third party providers of services			
Portfolio lead	Cllr. Andrew Proctor		**Risk Owner**	Sarah Shirtcliff
Risk Description			**Date entered on risk register**	29 July 2019

The potential for the Council not proactively monitoring and managing 3rd party providers to ensure the standards of health and safety. There is a risk of prosecution for health and safety failings, reputational damage and a failure to deliver services. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	**20**	3	5	**15**	2	5	**10**	Mar-22	**Amber**

Tasks to mitigate the risk

1) HSW team to undertake remote monitoring of high risk areas e.g accomodation providers

2) Departments to investigate specific concerns raised by the surveys

3) Departments to review their approach to contract management and implement sustainable improvements in monitoring with the support of Health and Safety Team (HSW)

Progress update

1) Monitoring undertaken by HSW Q3 2017/18
     Report taken to the then CLT with findings Q4 2017/18 - actions 2 & 3 agreed at the former CLT.

2) Departments have reviewed their approach to contract management and integrated responsibilities into roles in revised structures.

3) Monitoring is actively in place for a number of services and is due to commence for other services throughout 2020/21. Monitoring of service providers has significantly improved.

The Health and Safety Team have been focussing efforts on carrying out risk assessments ahead of the re-opening of sites for service delivery. This work has included supporting departments to seek assurance on 3rd party providers approach to being COVID-Secure as their services re-open/scale up.

Prospects of meeting target changed to amber to reflect identification of some areas of further work needed following investigation by HSE

Risk Number	RM029		Date of update	24 February 2021
Risk Name	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term			
Portfolio lead	Cllr. Andrew Proctor		**Risk Owner**	Sarah Shirtcliff
Risk Description			**Date entered on risk register**	29 July 2019

There is a risk that a range of critical new/future skills are not available within NCC in the medium to longer term. The lack of these skills will create problems for, or reduce the effectiveness of service delivery. An inability or failure to consider/identify these until they are needed will not allow sufficient time to develop or recruit these skills. This is exacerbated by: 1.The demographics of the workforce (ageing) 2.The need for changing skills and behaviours in order to implement new ways of working including specialist professional and technical skills (in particular IT, engineering, change & transformation; analytical; professional best practice etc) associated with the introduction or requirement to undertake new activities and operate or use new technology or systems - the lack of which reduces the effective operation of NCC . 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 8. Brexit uncertainty impacting in some sectors 9. Uncertainty of covid impact which could increase pool of candidates and simultaneously increase current colleagues' possibilities for new jobs in other locations Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	**15**	3	5	**15**	2	5	**10**	Mar-22	**Green**

Tasks to mitigate the risk

• Identification of what new critical skills are required in services – using new workforce planning process and toolkit. As each directorate makes their changes to make savings / manage demand.

• Identification of pathways to enable staff to learn, develop and qualify into shortage areas – As each directorate makes their changes to make savings / manage demand

Creation of career families and professional communities, providing visible and clear career paths for colleagues.

Adding a strengths based approach to performance development conversations and development plans - help people to know what their strengths are and the range of jobs where they could use those strengths

Recruit for strengths not just qualifications and skills and experience

• Explore further integration with other organisations to fill the gaps in our workforce - ongoing

• Develop talent pipelines working with schools, colleges and universities

• Undertake market rate exercises as appropriate and review employment packages

• Explore / develop the use of apprenticeships and early career schemes; this will help grow talent and act as a retention tool

• Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements.

Progress update

We are utilising the apprenticeship levy to focus on critical areas e.g. Social Work, Fire Service. New Apprenticeship strategy 20-23 signed off Dec 2020.

Workforce Development Plans in services are in development focusing on areas of critical service delivery. We are also developing an improved approach to workforce planning through accessing regional expertise and support. This approach will support targetted provision of apprenticeships and other schemes.

We have developed key Organisational Development priorities of future and roles of work in NCC, suporting an effective organisation, recruiting for strengths, creating life friendly careers and the deal in service of our people vision. These priorities thread through and inform all strategic work carried out by the HR team. A strengths-based approach to Talent is under development and will support, via the Oracle HR&Finance system, increased transparency of vacancies and the ability of current NCC employees to find and match themselves with appropriate roles.

We are a Cornerstone Employer, and have a silver award for the Armed Forces Convenance, supporting an inclusive approach to recruitment

We are revising our mandatory training policy to support key skills and knowledge of our workforce

Implementation of HR & Finance system will give us capability to improve our workforce planning through real time reporting, improved data and access to talent information. This system will be implemented on a phased basis. The creation of Career Families is central to making best use of the system and supporting col

leagues to find and develop into vacancies they might otherwise not see. A pilot of this work has been completed and the implementation of it in the rest of the organisation commences in March, ending by April 2022.

We are developing our branding of NCC to attract people with the future skills we need to continue to be successful and deliver NCCs vision and strategy

We are working with partners to establish joined up recruitment and systems streamlining needs

We have reshaped our core learning and development offer to the organisation through the Norfolk Development Academy and Social Care Academy e.g. digital skills, leadership and management skills. We now have a comprehensive suite of learning offers for both areas and all relevant learning is available via virtual means.

The Human Resources Team have been focussing their staff resources on addressing work related to COVID-19. This risk will continue to be mitigated with an ongoing commitment to ensuring that the Council continues to operate effectively with the required skillsets of its staff in place going forward. Government initiatives being introduced to try and mitigate the impact of COVID-19 on the economy may offer more opportunities to help mitigate this risk. Further information is expected in September and we will evaluate these before updating in the next period. There are also early signs that NCC is attracting more candidates as the public sector is seen as a more secure employer and people explore moving out of major cities. It is too early however to reduce the level of risk on this basis.

Risk Number	RM030		Date of update	25 February 2021
Risk Name	Non-realisation of Children's Services Transformation change and expected benefits			
Portfolio lead	Cllr. John Fisher		Risk Owner	Sara Tough
Risk Description			Date entered on risk register	08 August 2019

There is a risk that Children's Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	**20**	3	5	**15**	1	5	**5**	Mar-23	**Amber**

Tasks to mitigate the risk

1) A demand management and prevention strategy and associated business cases have been completed and a 5 year transformation programme has been established covering social care and education
2) Significant investment has been provided to delivery transformation including £12-15 million for demand management and prevention in social care and £120m for capital investment in Specialist Resource Bases and Specialist Schools
3) A single senior transformation lead, operational business leads and a transformation team have been appointed / aligned to direct, oversee and manage the change
4) Scrutiny structures are in place through the Norfolk Futures governance processes to track and monitor the trajectories of the programme benefits, risks and issues
5) Services from corporate departments are aligned to provide support to transformation change e.g. HR, Comms, IT, Finance etc
6) Interdependencies with other enabling transformation programmes e.g. smarter working will be aligned to help maximise realisation of benefits.

Progress update

Scoring rationale - Risk impact relates to outcomes for children and families not being met, a key county council objective and financial loss of benefits over £3m therefore scored 5. Risk likelihood has reduced from "probable" prior to programme being initiated to "possible" as the transformation programme is seeing initial success after first 24 months of initial 5 year programme, therefore scored 3.

Feb 2021 update:

- The investment in transformation has proved successful during the last 24 months- have met existing targets for specific schemes albeit in the context of overall dept overspends
- Currently (period 9) projecting a balanced budget outturn position for 2020/21, including a £3m contribution to a Children's Services Business Risk Resilience reserve due to one-off Covid-related underspends
- Overall programme is on track to tip into net cash benefits – growing in the coming years

Progress update
- Core indicator of number of Children in Care plateaued during lockdown but is now falling again
- Following first COVID lockdown, resulted in a 6-month delay to existing schemes – so potential shortfall on planned savings as well as delivering new targets will need to be picked up in 2021/22 – but momentum maintained
- Following recent COVID lockdown (Jan 2021) a significant COVID response was established across departments, overall programme prioritised to release sufficient resource but majority of programme still being delivered
- Still working with considerable uncertainty in terms of demand levels and other factors so will need to keep all modelling under-review
- Still bringing through new schemes of transformation and efficiency
- Balancing transformation with focus on Covid and also on Ofsted – delivering SEN Written Statement of Action

Risk Number	RM031			Date of update	25 February 2021
Risk Name	NCC Funded Children's Services Overspend				
Portfolio lead	Cllr. John Fisher		Risk Owner	Sara Tough	
Risk Description			Date entered on risk register	01 September 2019	

There is a risk that the NCC Funded Children's Services budget results in a significant overspend that will need to be funded from other parts of Norfolk County Council

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	**25**	4	5	**20**	3	5	**15**	Mar-22	**Amber**

Tasks to mitigate the risk

Improved monitoring systems identified and revised CSLT tier 2, 3 & 4 structure proposed.
Transformation programme that is targeting improvement to operating model, ways of working, and placement & sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention & placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs. In turn, this will enable the most expensive areas of NCC funded spend (placement costs and staffing costs) to be well controlled and to remain within budget. Cohorts will be regularly analysed to ensure that all are targeted appropriately.
The Functioning Family Therapy service has been launched. Family Group Conferencing is being reintroduced.
Recognition of underlying budget pressures within recent NCC budgets and within the MTFS, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.

Progress update

Scoring rationale - Risk impact relates to financial impact of over £3m, therefore scored 5. Risk likelihood has reduced from "almost certain" to probable, due to department currently projecting a balanced budget outturn position for 2020/21, but balanced against considerable financial pressures for 2021/22 and uncertainties due to COVID 19. Risk "Target date" updated to the end of the next financial year

Feb 2021 update:

Improved monitoring systems in place and becoming embedded: Assistant Director financial monitoring meeitngs, LAC tracker, Permanancy Planning Meetings, DCS Quarterly Performance meetings, weekly Getting to Good Meetings and Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by Members and CSLT.
Multiple Transformation projects under-way and delivered, for example the new Social Care delivery model, Fostering Recruitment Transformation and use of an enhanced fostering model. Our remodelled LAC and LC Service is due to go live in April 2021. Norfolk has been successful

Progress update

in being awarded DfE funding to introduce the No Wrong Door model in partnership N Yorks, which will be called New Roads. This is a proven model at working with adolescents differently improving outcomes and reducing costs. Due to COVID the project was initially delayed but implementation has now commenced and we are on track for a go live date of June 2021.

Children Looked After numbers have now been in steady sustained decline for a since January 2019, which has resulted in reduced overall placement costs. The rate of reduction has slowed during COVID, but remains stable and has started to reduce again. Where numbers have reduced, overall unit costs have not decreased. A number of existing transformation projects are in train to support these young people more effectively and reduce unit costs over the medium term.

Over the course of this year and beyond a core focus of our transformation will be to reshape the system of preventative and early help services in Norfolk, further reducing demand for specialist services.

Risk Number	RM032a		Date of update	02 March 2021
Risk Name	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)			
Portfolio lead	Cllr. Andrew Proctor	**Risk Owner**	Tom McCabe	
Risk Description		**Date entered on risk register**	27 February 2020	

There is a risk of disruption to service delivery if there are widespread cases of COVID-19 in Norfolk affecting the health, safety and wellbeing of Norfolk County Council and contracted partner employees. This could impact on Norfolk County Council financially and reputationally. Cause: Not effectively containing COVID-19. Event: Widespread positive cases of COVID-19 across Norfolk, affecting NCC staff, partners, and service users. Effect: There are potential effects on staff, partner organisations, and service user's health, safety and wellbeing if there is widespread exposure to COVID-19 within Norfolk. Overall risk treatment: Treat

Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	**10**	4	4	**16**	3	2	**6**	Sep-21	**Green**

Tasks to mitigate the risk

1) Coordination of communications to make staff, service users, and contracted third parties aware of the latest guidance from Public Health England to help to contain cases of COVID-19, provide reassurance of the Council's response to COVID-19, contribute to the support structure, and demonstrate leadership. Action owner: James Dunne

2) Ensuring staff continue to be provided with information on safe working, particularly for those working in the community. To continue to ensure that measures to support mental health are available. Action owner: Derryth Wright

3) Modelling to be carried out to give best estimates on the prevalence of COVID-19 in Norfolk. Action Owner: Tim Winters

4) Adaptation of Business Continuity arrangements to meet service demands. Business Continuity Plan owners will need to review BCP's with their management teams to ensure that they reflect changes since COVID-19 which could affect current plans around such events as a loss of ICT, loss of a key system, shortage of key personnel, recognising other current priorities of services. Action Owner: Heads of Service

5) Assessment of financial impact. Action Owner: Harvey Bullen

6) Continued monitoring of risk mitigation progress for risks covering the winter 2020/21 period and beyond. Action Owner: Recovery Group and Risk Management Officer

7) Identifying nuanced implications of pupils back at school and working to ensure that all aspects of this are managed. Action Owner: Chris Snudden

8) To consider how and when sites might be re-opened for staff on a prioritisation basis using any revised government guidance, where and when it is safe to do so. Action Owner: John Baldwin

9) To ensure that children with disabilities (CWD) and their families are able to access short breaks to prevent family breakdown or potential harm to vulnerable children.

Progress update

Progress update

1) Communications continue to go out to all staff advising on how to seek further guidance issued by Public Health England. External communications to third parties are reviewed to ensure that external communications as well as internal communications are consistent. Communications are providing reassurance of the Council's response to COVID-19, contributing to the support structure, and demonstrating leadership. Members are receiving a Members Briefing document. In line with cases rising nationally and a subsequent second national lockdown, communications have been launched to further help to stop the spread of COVID-19 in Norfolk, encouraging people to stay at home as much as possible to protect ourselves, protect others and protect Norfolk.

2) Office-based staff continue to work at home wherever possible. All staff continue to receive guidance on safe working, including the use of personal protective equipment provided for staff delivering face to face services. The Health and Safety team continue to issue regular communications and provide wellbeing support to ensure people have access to any mental health support they may need including Norfolk Support Line, Mental Health First Aid Champions, wellbeing officers, and online e-Learning on personal resilience, all of which are available to staff. Support channels continue to be widely communicated to staff. This is important to help to mitigate the risk of staff feeling isolated from prolonged home working. Significant changes re. PPE have been incorporated in the guidance. The wellbeing staff survey provides greater insight to the wellbeing of the workforce during COVID-19. The survey is showing an increased level of pressure being felt by staff in the teams that have undertaken it, but the survey is designed to support the development of solutions by the team, for the team. This will help teams to manage their wellbeing directly. The provision of additional well-being support is also being launched through a wider winter offer. This includes adult learning sessions following the 5 ways to wellbeing model.

3) Modelling has been carried out to provide further understanding of the numbers of expected cases in Norfolk. We have also modelled to align numbers of resources to how many we think we need e.g. for social care discharges, community food distribution, and projected mortality rates. The COVID-19 epidemic curve forecasts produced at a national and regional level for mortality, hospital admissions and infection prevalence are being applied to our local population as we have done previously. This gives us scenarios around which to estimate system capacity required for testing, hospital admissions, hospital discharges and mortality. The Head of Public Health Information is reviewing the implications for Norfolk of the potential national scenarios as and when they are published, including the challenges we face during this Winter period.

4) Service delivery is being modified to adapt to the everchanging demands on services, including through online channels during lockdown for those services where it is appropriate to do so. Significant work on winter planning has been carried out, including putting in place contingency plans with key providers. In relation to care homes, the Health Protection Care Provider delivery group continues to support collaboration between NCC and Norfolk & Waveney CCG and has been developed to prevent new outbreaks in care homes.

Progress update

The Care Provider Incident Room (managed by N&W CCG) is the single point of contact for care homes to access support and advice and to report outbreaks. The Outbreak Management Team (managed by NCC) includes a Multi-disciplinary team with the ASSD Quality team working with PH consultants to manage outbreaks and to offer wrap around support to care homes. Enhanced arrangements continue to be in place for governance & oversight, infection control, testing, PPE & clinical equipment, workforce support and financial support. Business Continuity Plans across the Council continue to be reviewed to ensure they incorporate changes to service delivery. Consideration is being given to looking at how to gauge any potential capacity issues. Our critical services list is being reviewed, so we are clear about where we need to put our efforts in the event of a reduction in capacity. Key areas have recruited additional resource, including Public Health and Resilience. We continue to work as part of the Norfolk Resilience Forum (NRF), so that capacity across all agencies can be assessed (this is reviewed regularly as part of the NRF dashboard). A separate risk (RM14447) is being managed at departmental level (CES) on concurrent major disruptions to business.

5) There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2020-21 spend reported to Cabinet on a monthly basis. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2020-21. The Strategic and Financial Planning report was taken to Cabinet in October highlighting the latest assessment of significant areas of risk and uncertainty around emerging budget pressures for the 2021-22 Budget and Medium Term Financial Strategy. This paper also asked Members to consider and agree proposed savings. Public consultation will be undertaken on the 2021-22 Budget and saving proposals ahead of the budget setting meeting of Full Council in February 2021. The October paper also proposed next steps in the Budget planning process for 2021-22, including the actions required to develop further saving proposals in light of the significant uncertainty about the overall financial position. Monitoring reports will be taken to Cabinet in 2021-22.

6) Further risk management through Recovery Group, with support from the Risk Management Officer.

7) Staff with children continue to show great flexibility around family needs. The Health and Safety team are working with Children's Services (CS) on the general monitoring programme, with Children's Services identifying which schools require additional support. Health and Safety are providing feedback to CS with common themes needing to be addressed.

8) Reopening of services has suspended following the national lockdown. However, when we return to a situation where services can reopen again a clear process for assessing need and suitability considering all the risks has been developed and is in place. This is managed through a working group chaired by the Head of Finance Exchequer Services and Health and Safety are members of that group.

9) CWD short breaks is one of the prioritised areas to resume face to face services under Theme G, with additional support provided in response to growing evidence of fatigue and strain amongst families.

Report to Cabinet

Report title	Finance Monitoring Report 2020-21 P11: February 2021
Date of meeting	12th April 2021
Responsible Cabinet Member	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	No

Introduction from Cabinet Member

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

Executive Summary

Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 11 (February) was an **underspend of £0.183m** on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total **£140.3m.**

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

Recommendations

1. To note the period 11 general fund forecast revenue **underspend of £0.183m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;

2. To note the COVID-19 grant funding received of **£121.161m,** the proposed use of that funding, and the related expenditure pressures resulting in net Covid-19 pressure, of **£14.529m** taking into account proposed transfers to the Corporate Risk reserve;

3. To note the allocation of Phase 2 of the Contain Outbreak Management Fund as set out in paragraph 5.14 and table 4b of Appendix 1;

4. To note the period 11 forecast shortfall in savings of **£17.691m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;

5. To note the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;

> 6. To note the expenditure and funding of the revised current and future 2020-23 capital programmes.

1. Background and Purpose

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

2. Proposals

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

3. Impact of the Proposal

3.1. The impact of this report is primarily to demonstrate where the Council is anticipating financial pressures not forecast at the time of budget setting, primarily relating to the implications of the Covid-19 pandemic, together with a number of other key financial measures.

4. Evidence and Reasons for Decision

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

Appendix 1 summarises the revenue outturn position, including:
- Forecast over and under spends
- Covid-19 pressures and associated grant income
- Changes to the approved budget
- Reserves
- Savings
- Treasury management
- Payment performance and debt recovery.

Appendix 2 summarises the capital outturn position, and includes:
- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

5. Alternative Options

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

6. Financial Implications

6.1. As stated above, the forecast revenue outturn for 2020-21 at the end of P11 was an **underspend of £0.183m** linked to a forecast shortfall in savings of

£17.691m. Forecast service reserves and provisions are forecast to total **£140.3m**, and general balances of **£19.7m**. Grant funding of **£121.161m** has been received to off-set additional expenditure occurred as a result of the COVID-19 pandemic, resulting in net Covid-19 pressure of **£14.529m**.

Within the forecast underspend are financial pressures mainly relating to Covid-19, the majority of which have been offset by additional Covid grant funding received. Overall, any service net pressures have been off-set by underspends in Finance General. A full narrative is given in Appendix 1.

The Council's capital programme is based on schemes approved by County Council on February 2020 in respect of the current year, and 22 February 2021 for future years, including previously approved schemes brought forward and new schemes subsequently approved.

7.   Resource Implications

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

8.   Other Implications

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

8.2.   **Human Rights implications**
          None identified.

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

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

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

9.   Risk Implications/Assessment

9.1.   Corporate risks continue to be assessed and reported on a quarterly basis to both Cabinet and the Audit Committee. The Council's key financial based corporate risk (RM002 - The potential risk of failure to manage significant reductions in local and national income streams) has been reviewed and refreshed in February 2021 to incorporate the 2021/22 budget and medium term financial strategy 2020/21 - 2024/25 being set. Key risk mitigations include amongst others regular (monthly) financial reporting to Cabinet, working to the

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Medium Term Financial Strategy and setting robust budgets within available resources.

Unlike many other parts of the public sector such as the NHS, local authorities are required by law to set a balanced budget. As part of their duties, the Executive Director of Finance and Commercial Services has a responsibility to report to members if it appears to him that the authority will not have sufficient resources to finance its expenditure for the financial year. While not underestimating the severity of the current crisis and its continuing impact on the Council's finances, the Executive Director of Finance and Commercial Services believes a balanced budget will be achieved in 2020-21.

10. Select Committee comments
10.1. None

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

12. Background Papers
12.1. Equality & rural impact assessment report (page 450)
COVID-19 equality impact assessment
Dedicated Schools Grant (DSG) Funding report (page 550)

Officer Contact
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Appendix 1: 2020-21 Revenue Finance Monitoring Report Month 11

Report by the Executive Director of Finance and Commercial Services

1   Introduction

1.1   This report gives details of:
- the P11 monitoring position for the 2020-21 Revenue Budget
- additional financial information relating to the Covid-19 pandemic
- forecast General Balances and Reserves at 31 March 2021 and
- other key information relating to the overall financial position of the Council.

2   Revenue outturn – over/underspends

2.1   **At the end of February 2021** an **underspend of £0.183m** is forecast on a net budget of £430.421m

Chart 1: forecast /actual revenue outturn 2020-21, month by month trend:
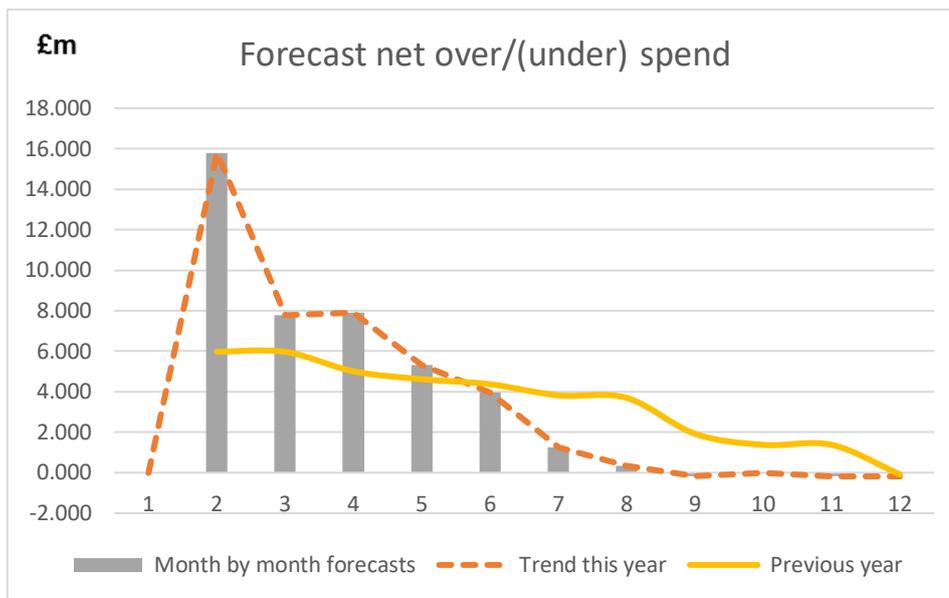
2.2   Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. They have been charged with reviewing all their cost centres to ensure that, where an overspend is identified, action is taken to ensure that a balanced budget will be achieved over the course of the year.

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

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

Service	Revised Budget	Net (under)/ over spend	%	RAG
	£m	£m		
Adult Social Services	255.793	0.324	0.1%	G
Children's Services	196.311	0	0.0%	G
Community and Environmental Services	161.718	0	0.0%	G
Strategy and Governance	9.365	0.029	0.3%	G
Finance and Commercial Services	32.668	0.035	0.1%	G
Finance General	-225.434	-0.571	0.3%	G
Totals	**430.421**	**-0.183**	**-0.0%**	**G**

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

2.4   **Children's Services:** The forecast outturn as at Period 11 (end of February 2021) remains at a break-even position. This forecast takes into account the anticipated 2020-21 impact of Covid-19, the allocated Covid-19 grants and the re-started transformation programme. The reserves forecast reflects some grant carry forward into 2021-22 where spend will occur in the new financial year due to the ongoing impact of Covid-19. Work will continue through to year-end to review the direct and in-direct financial impact of Covid-19 in this financial year, as well as looking ahead to the risks for the next financial year to support the department's ongoing financial strategy and planning.

2.5   The significant pressures previously identified remain in the areas of Learning & Inclusion (primarily lost trading income and home to school / college transport) and Social Care (primarily delays in savings delivery, approximately 6 months delay to the transformation programme, and support for the market). These have been offset by government grants allocated to the service.

2.6   The business planning for this financial year had included significant investment in additional staffing capacity through the transformation programme and, in particular, the social care operating model. Significant progress has been made to implement the new operating model despite the pandemic, but there has been delays in recruitment whilst attention was focussed upon both the immediate and ongoing response to the pandemic. This has led to a one-off staffing underspend in this financial year.

2.7   Alongside this one-off impact upon staffing, the department has identified some direct one-off pandemic related expenditure that is likely to continue into the new financial year for which there is no additional government funding identified, for example increased support to schools and education providers, additional cost of provision for children and families due to ensure provision is covid secure, market pressures within social care and transport due to the uncertainty of the current trading conditions, and uncertainty regarding the impact of further peaks in infection upon transformation.

2.8   Any surge, or the impact of the second peak that we are now seeing as a nation, could lead to unpredictable demand for social care support and placements, and could disrupt current, stable placements. Currently, placements appear relatively

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stable. The department continues to monitor patterns of demand carefully and flexing services to meet the identified impact where appropriate, such as the significant rise in referrals both to Family Support teams (through the Childrens' Advice and Duty Service) and to the Inclusion Helpline for schools compared to the same time period last year. There has also been a significant increase in the number of parents electing to home educate, which brings additional duties to the authority. It is too early to know how these trends will continue in the medium-term, and how they may translate into increased demand in Social Work teams and, potentially, for placements in the medium-to-longer-term. These risks will continue to be kept under close review.

2.9   It should be noted that as we near year-end final work is being undertaken to relation to the financial impact of Covid-19 and the financial year that the impact will materialise. There is likely to be significant risk being carried forward into 2021-22 and the final outturn position and contributions to reserves will be adjusted to reflect this. Given the current national context, there continues to be significant influences beyond the Council's control that continue to make delivery of the transformation programme (and, therefore, savings) difficult in light of the ongoing recovery work, ongoing Covid-related restrictions, potential surge in demand and further waves. Again, this risk will continue to be kept under close review.

2.10   **Dedicated Schools Grant**: The outturn forecast remains at £11.822m overspend on the High Needs Block, with a small underspend of (£0.259m) on the Schools Block and all other blocks forecast to break-even. Therefore, the net forecast outturn as at Period 11 (end of February 2021) is £11.563m.

2.11   Within the High Needs Block there are various small movements as a result of amendments to placement and support that you would expect as the year progresses, and given the changing landscape due to education, but the overall picture remains stable. The forecast is based upon the best information available at the time of preparation and is subject to amendment prior to the final outturn position due to the final month's activities.

2.12   In comparison to this forecast, 2019-20 saw an overspend of £10.307m within the High Needs Block and this forecast represents an increase in expenditure year-on-year compared to 2019-20 of approximately £8m, primarily due to demographic growth and increasing needs seen nationwide, and the full-year effects of last year's pressures, partially offset by in-year savings delivered due to the SEND & AP Transformation Programme. This in-year overspend will be combined with the cumulative overspend of £19.703m brought forward from prior years. This forecast is in line with the latest reset of the DSG Recovery Plan for Norfolk and considers:

- demographic growth based upon modelling;
- the significant pressure seen in 2019-20 for Section 19 related support and post-16 support;
- ongoing pressure for special school places (2019-20 included a significant increase (approx. £2-2.5m) in independent school expenditure in the last third of the year);
- presumed continued reduction in expenditure for Alternative Provision following significant work to reduce exclusions alongside schools;
- savings based upon the special school and SRB places opening during the financial year reducing the demand upon independent provision;
- specific school-based posts to support inclusion within mainstream schools and to reduce demand for specialist placements.

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2.13 Whilst there was a HNB increase year-on-year of funding allocation of £11.3m, approximately £5.4m was assumed prior to the Autumn government announcements regarding 2020-21 HNB funding (both 1% growth assumption previously seen in funding allocations alongside ongoing transfer from the Schools Block in line with the 2019-20 that would have required approval from the Secretary of State). Given the government funding announcements in the Autumn, the funding increase above our planning expectations was just under £5.9m.

2.14 Significant work is being undertaken through the Special Educational Needs and Disabilities (SEND) and Alternative Provision (AP) part of the Transformation programme both to ensure that the right specialist provision is in the right place to meet needs, whilst also progressing work to transform how the whole system supports additional needs within mainstream provision.

2.15 Learning and Inclusion colleagues have continued to actively support the Covid-19 response from the Council, with their focus upon supporting the schools of Norfolk (mainstream and specialist) to remain open, as appropriate, in line with government expectations and Public Health advice, as well as to support schools to support pupils to adapt to the changed expectations upon them. This work will continue for the foreseeable future to support schools to continue to adapt as the education landscape changes in response to the latest government announcements. However, focus has also returned to the transformation programme work, wherever possible.

2.16 Construction work was paused during the first national lockdown, affecting builds in relation to expanding Specialist Resource Base provision and additional special school places. This work has restarted, and the forecast is based upon the current anticipation that the additional places will be open in line with pre-Covid-19 expectations.

2.17 Whilst all schools in Norfolk returned in line with Government expectations for the Autumn term, they are now all operating differently with remote learning for the majority of pupils except for those offered childcare either because parents/carers are critical workers or they are vulnerable children. Given the fluid situation, there remains considerable uncertainty as to how school budgets have been affected by Covid-19 in the medium term and, in the short-term, there is significant variances between schools with regards to the financial impact. Therefore, there remains a risk that if schools have seen a significant impact this could cause further pressure in terms of schools being unable to meet the needs of children. This could result in increases in exclusion, higher referral rates for Education, Health and Care Plans, higher requests for HNB support into mainstream or special schools.

2.18 At the end of the summer term, the government announced additional, DSG funding for 2021-22 onwards. Estimates of the impact for Norfolk have been produced and shared with schools as part of the funding consultation undertaken with all schools and Norfolk Schools Forum in October and November 2020. The final DSG funding was confirmed in December 2020 and the Dedicated Schools Grant Budget for 2021-22 was agreed by Cabinet in February 2021.

2.19 The impact of the additional DSG funding announced for 2021-22 for the HNB has been built into the DSG Recovery Plan for Norfolk, as previously shared with Cabinet in February 2021. The plan was reset to reflect the latest information available with respect to demand, funding and the SEND & AP Transformation Programme, and has been shared with Norfolk Schools Forum and the Department for Education. The

plan will be reviewed on a regular basis to reflect amendments to assumptions and to refine the financial modelling.

2.20 **Adult Social Services:** The forecast outturn as at Period 11 (end of February 2021) is a net overspend of £0.324m after utilising £26.052m of Council Covid-19 grant funding and an estimated £35m of funding from the NHS to support hospital discharge arrangements. The forecast also includes previously reported transfers of £8m to the Adult Social Services Business Risk Reserve to mitigate some of the continuing financial risks arising from the pandemic, affecting both the current forecast position and additional financial pressures for next financial year. The risks for the service have been highlighted to Cabinet in previous reports and are detailed below.   Following the final instalment, the service has received £22.829m of infection control funding during the year, which will be allocated to the Norfolk care market and used in full to enable care providers to action infection control measures in line with government guidance. Further government announcements of funding support to the care market were made in January to help funding of costs to boost staffing levels and to support testing in care homes. In relation to the testing in care homes, which totals £149m nationally, Norfolk will receive £3.068m to help finance some of the costs of lateral flow testing in care homes. This grant will primarily be passported to care homes based on an amount per registered bed. Norfolk received £2.098m of the £120m workforce capacity grant.

2.21 The forecast overspend is now £0.324m, a reduction of £0.176m from the Period 10 position.

2.22 As reported in previous monitoring reports, the forecast has been challenging this year, due to changing legislation affecting the number and breadth of people that we are supporting; the funding routes requiring monthly reclaim of costs; the price of care during the pandemic and the difficulty delivering a significant proportion of planned savings. The three key financial risks are described in more detail below.

2.23 Hospital discharge – our front-line teams are supporting significantly more discharges, particularly during this wave of the pandemic. This means many more people being supported with adult social care by the Council. This is predominately due to the hospital discharge arrangements during the pandemic, which required self-funders and people who would normally have received continuing health care to be supported through council held contracts for discharges before 1 September and for up to six week for discharges after this date. The additional costs of this have been funded via monthly claims to NHS England and Improvement (NHSEI), however, from 1 September 2020, adult social care teams and the Norfolk and Waveney Clinical Commissioning Group are in the process of reinstating normal funding arrangements for people discharged before September. We cannot accurately know how many people will remain with NCC funded contracts, as it depends on factors such as continuing healthcare assessments. However, we are estimating we will have a volume of service users slightly above the number at the start of the year. This mainly impacts on purchase of care for older people, with current forecasts showing a £6.964m overspend on expenditure for this budget and £4.122m of additional income. Our forecast is based on being able to continue to reclaim on a reducing basis for these care costs, introduction of charging for NCC service users and the reinstatement of self-funders to private contracts. There are risks related to these assumptions, which have been taken into account within the forecast. In particular the forecast has been updated to reflect the ongoing reinstatement process and this will continue to evolve for the remainder of the year. The Council is reliant on the reclaim of funding from the NHS, any change to this or variation to the assumptions around

reinstatement of normal funding will either reduce or increase the overspend position. However, due to the current escalation in the pandemic, reinstatement progress and assessment following discharge is adversely affected, which is likely to create a financial risk for the Council when Scheme 1 and Scheme 2 NHS funding ceases, as planned, at the end of March 2021.

2.24   On the 18th March 2021, the Health Secretary announced a national £594m package of support for 2021/22 to "continue the hospital discharge programme so staff will have the resources needed to enable patients to leave hospital as quickly and as safely as possible, with the right community or at-home support". At the same time, the Health Secretary announced an additional £341m of national funding for "adult social care to enable the continuation of rigorous infection prevention control measures and to support rapid testing to keep staff and residents safe in day care, respite care, care homes and other community care settings". At the time of writing Local Authorities had not received allocations or grant conditions for either funding pots.

2.25   Price of care – although prices have remained relatively stable for service users that were in receipt of care prior to the pandemic, we have seen increasing prices for new care packages, particularly where there is discharge from hospital. Although some of the pressure has arisen through increased acuity of people leaving hospital, it is also due to provider concerns within the market and changes to the business models for self-funded care. The price has no doubt been affected by both health and social care needs being part of the discharge model, but the price of care is not financially sustainable for social care alone. Although the risks of this are absorbed within the forecast for this financial year, due to one-off funding, this presents a significant financial risk for 2021-22. Commissioning and operational teams are taking action to help reduce the longer-term financial impact, however this is further hindered by the current escalation of Covid-19 cases and increased demand for social care placements.

2.26   Delivery of savings - The service started the year having achieved good progress in 2019-20 towards demand management through the promoting independence strategy. However, the outlook for 2020-21 was challenging with a £23m savings target – mostly related to demand management – and therefore strong delivery of the savings programme, in this financial year, was critical for the service. We have forecast that £13.560m of our savings will not be achieved in this financial year and the allocation of the NCC covid grant funding has helped support this. Due to the additional grant funding this will be managed within this financial year, however, there remains a significant risk for next year. As described above, we are expecting that our volume of service users will be slightly higher than at the start of the year, however, due to the level of demand management savings our budget is based on 896 fewer service users across all specialisms. It is increasingly clear that the environment that teams and providers are working within will not be back to normal for the foreseeable future. This will mean that the higher volumes and prices compared to our base budget will not be rectified before the end of this financial year and will therefore increase budget pressures next year.

2.27   Covid-19 has meant that our staff have had to work differently in continuing to meet our duties. Financially this has meant that embracing a socially distanced approach to social care has meant that recruitment and staff travel have naturally slowed leading to a reduction in the associated expenditure in this area.   Across our 3 core front line areas of the department we have seen the identification of vacancies, combined with a reduction in expenditure for travel and subsistence, for Care &

Assessment teams within Community Social Work (£0.624m) and Community Health and Social Care (£0.893m), as well as within Early Help & Prevention (£1.122m). In addition, the reinstatement work and new hospital discharge arrangements mean that social work teams are requiring some additional capacity to manage the temporary but increased workloads. There is some funding from NHSEI to support these costs.

2.28   The department recognises the financial pressure the future risks, and in particular, the under-delivery of 2020/21 savings is having on the Council. The Covid-19 recovery governance includes a specific financial recovery workstream. This is predominately looking at the transition arrangements for the hospital discharge service requirements, to mitigate financial risks and to look at the price of care in the market and opportunities to manage this. The service is working to reinstate approaches that will enable some savings programme work to recommence. However, it is clear that there will be remaining financial pressures from the pandemic that will extend beyond the current one-off funding. As agreed previously funding has been transferred to the Business Risk Reserve to help support these costs next financial year and provide some additional time for both stabilisation of prices and work to be able to recommence to reduce demand. These transfers have increased the business risk reserve to £12.461m.

2.29   With the Purchase of Care (POC) budget making up 77% of our ASC budget, and being heavily dependent on the individual needs of the 14,000+ people at any one time being supported by this budget, it is perhaps not surprising that this is the area feeling the financial pressure. One-off funding is helping to reduce the overspend on the purchase of care budget, reducing the in-year overspend to £1.163m. The department had been aiming to achieve savings of £23m in this financial year, and as described in the budget savings section of this paper, it has been extremely difficult in the current climate to deliver against this challenge.

2.30   The largest area of forecast overspend is with Purchase of Care for Older People. As highlighted above for this financial year, we expect additional Covid funding to meet the majority of these additional costs. Our Living Well ethos requires a different climate to be wholly effective in preventing, reducing and delaying need for formal services. In the first four months of the year many of our care providers were paid fixed (minimum amounts whereby additional services provided are paid for in addition) payment amounts to enable them to have secure cash flow during Covid-19. Whilst this is a vital investment in sustaining a crucial market, it has meant that the spend per month was fixed at a level above which we had initially budgeted. We have also ensured that where providers have been in a position to undertake home support above this level that additional payment have been made. These costs have been offset by adjustments to spend on respite care, which has been significantly lower due to the pandemic.   The transition from payment based on averages to actuals was completed earlier in the autumn. The only exception is day services where providers are delivering service below normal capacity to enable social distancing guidelines. This has meant that people continue to not be charged for these services and this has formed part of the claim to MHCLG for lost sales and fee income.

2.31   During the pandemic we have seen a combination of additional packages put in place to meet differing or escalating care needs and with our NHS partners have also had to manage a different hospital discharge arrangement, that has also temporarily altered our financial assessment procedures. Whilst we have been recovering the Covid-19 related costs incurred on behalf of the NHS, it has clearly meant a different approach that has required the focus of the service.

2.32   Whilst our income related to the NHS has increased due to the Covid-19 reclaims, our general customer contribution levels has decreased. For those that are part of the NHS discharge arrangement, we will not lose out financially in the short term, but as described above there are increasing risks as this income is due to cease at the end of March 2021 Where services are not being fully supplied to the customer, but still being paid for by NCC, such as Day Care, we will not be recovering any financially assessed customer contributions. Our forecast includes £0.331m for income compensation from MHCLG. In addition, we have reviewed our planned phase 2 charging policy around the Minimum Income Guarantee which will reduce our income against the associated saving target.

2.33   The forecast takes into account the agreed remedial action following the outcome of the recent Judicial Review regarding the Council's non residential charging policy for working age adults. Planned implementation of phase 2 of the charging policy had already been reviewed in April 2020 and the forecast has included the reduction in income throughout this financial year.

2.34   Outside of purchase of care, our budgets for NorseCare and Independence Matters within Commissioning are both forecast to overspend, due to the expected non-delivery of savings. However, actions are being taken to reduce this variance in-year.

2.35   **CES:** Historically CES budgets have been fairly stable throughout the year and we continue to review the financial impacts of Covid-19. We are currently forecasting a balanced position, after taking into account Covid-19 grant income including £6.112m, forecast recovery of income losses from the MHCLG income compensation scheme, the Local Outbreak Control Public Health grant of £3.718m and the Contain Outbreak Management Fund of £21.267m. The forecast also includes the previously agreed transfer of £1.681m to the CES Business Risk Reserve, to mitigate some of the continuing financial risks arising from the pandemic.

2.36   The department is currently picking up the costs of additional winter gritting routes for Covid vaccination and testing sites, the likely cost of this is £0.250m.

2.37   Following on from the decision at Cabinet on 12 January 2021 the Highways service is picking up the additional cost of clearing up the flood damage of the December Floods - currently forecast to be £0.250m.

2.38   The most significant pressure for CES is the ability to achieve planned income which accounted for the majority of the current forecast pressures within Community Information and learning and Culture and Heritage. Pressures on Income also account for part of the services pressure within Highways and Waste.

2.39   There is a significant uncertainty in relation to the impacts on income and we will therefore be reviewing and revising these forecasts as the year progresses. Overall, we have assumed that this position is likely to be mitigated when income under the Local government income compensation scheme for lost sales, fees and charges is received, and this is subject to on-going calculations.

2.40   The forecast pressures within Highways and Waste also relates to waste volumes and Impacts of Dutch Incineration tax on the cost of waste disposal.

2.41   As a consequence of Covid-19 the County Council's waste services have experienced a surge in the volumes of waste, recycling and garden waste. This increase in materials being generated by households is being experienced nationwide

and is mainly due to changes in householder behaviours in response to Covid-19 regulations, combined with the effect of many shifting to working from home.

2.42   Waste levels managed by the County Council for the full 2020/21 financial year are currently projected to be around 6% or 14,000 tonnes more than expected. Similarly, the amount of recycling and garden waste collected by District Councils, which the County Council contributes to the cost of dealing with, is expected to be around 7% or 11,000 tonnes more than expected.

2.43   During 2021/22 these levels of increases in waste, recycling and garden waste are expected to be sustained, due to an expected prolonged effect of Covid-19 on householder behaviours. However, although in the longer term these effects are expected to reduce it is also expected that many will retain some work from home habits, such that levels of both waste and recycling in the longer term will remain at levels several thousand tonnes a year higher than the pre-Covid-19 levels.

2.44   The service has also incurred additional costs in relation to the re-opening of Household Waste Recycling Centres for traffic management and site security.

2.45   The Department is also reviewing any potential areas for savings that will help off-set this pressure which will include reduced spend on travel, printing and other administration areas. There are also likely to be a number of posts that are currently vacant and therefore we have not been able to recruit to, which will deliver a one-off saving.

2.46   **Corporate services:** the Governance Strategy and Transformation and Finance and Commercial Services directorates are forecasting minor net overspends. The overspend primarily relates to property management: both additional costs and reduced income, and other central Covid-19 related costs, largely offset by government grant income.

2.47   **Finance General:** The forecast underspend in Finance General is £0.571m. The additional Covid-related spend is largely off-set by forecast underspends on the costs of borrowing and additional government Emergency Assistance and Winter Grant funding for Food and Essential Supplies, together with MHCLG funding received to defray covid related costs.

2.48   Following approval at 7 December 2020 Cabinet, a Corporate Covid Risk Reserve has been created. £9.108m has been set aside in this reserve to address financial pressures resulting from the pandemic, either in 2020-21 or in future financial years.

2.49   Further details are given in Revenue Annex 1.

3 Approved budget, changes and variations

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

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

Service	Approved net base budget	Revised budget P10	Revised budget P11
	£m	£m	£m
Adult Social Services	255.740	255.793	255.793
Children's Services	196.211	196.311	196.311
Community and Environmental Services	163.471	161.799	161.718
Strategy and Governance	9.365	9.365	9.365
Finance and Commercial Services	30.811	32.668	32.668
Finance General	-225.177	-225.515	-225.434
Total	**430.421**	**430.421**	**430.421**

Note: this table may contain rounding differences.

3.2 During period 11, there was one technical accounting budget adjustment relating to the provision for closed landfill sites which affected the CES and Finance General budgets. This has not affected service budgets and the Council's net budget for 2020-21 has remained unchanged.

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4   General balances and reserves

General balances

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

Reserves and provisions 2020-21

4.2   The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2020. Actual balances at the end of March 2020 were higher than planned, mainly as a result of grants being carried forward, including Covid-19 support grants, and reserves use being deferred.

4.3   The 2020-21 budget was approved on the basis of a forecast reduction in earmarked revenue reserves and provisions (including schools reserves but excluding LMS and DSG reserves) from £73m to £65m, a net use of £8m.

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

Reserves and provisions by service	Actual balances 1 April 2020 (1)	Increase in opening balances after budget setting	2020-21 Budget book forecast March 2021	Latest forecast balances 31 March 2021
	£m	£m	£m	£m
Adult Social Services	20.291	3.395	10.371	27.123
Children's Services (inc schools, excl LMS/DSG)	6.107	4.146	3.321	8.000
Community and Environmental Services	40.416	4.569	32.612	64.000
Strategy and Governance	3.425	0.383	3.265	3.776
Finance & Commercial Services	4.301	1.832	2.472	4.459
Finance General	49.429	36.514	12.915	32.984
Reserves and provisions excluding LMS and DSG balances (see below)	**123.969**	**50.839**	**64.956**	**140.342**
Schools LMS balances	12.361	0.360	4.212	13.336
DSG Reserve (negative)	-19.703	-1.316	-18.830	- 31.108
Total	**116.627**	**49.883**	**50.338**	**122.570**

Note (1): the actual balances have been adjusted for previous rounding of school reserves, and to reflect movements of activities between services.

4.4   Actual overall provisions and reserves (excluding capital, DSG and LMS reserves) at 31 March 2020 were approximately £50m in excess of 2020-21 budget book assumptions. This is due primarily to £26.8m Covid-19 government grants received in late March, which have been fully used in 2020-21, plus general increases in reserves including unspent grants and contributions.

4.5   As a result of these factors, the latest forecast net total for reserves and provisions at 31 March 2021 (excluding schools LMS and DSG reserves) is approximately £75m higher than was assumed at the time of budget setting due to the increase in grants brought forward, government grants and other funding being set aside to address continuing covid-19 pressures across the Council, in particular Adult Social Care and Public Health, and a Business Rates reserve of approximately £10m added after budget setting. Since the last report the largest movement relates to £16m of Contain

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Outbreak Management Funding and other Covid-related grant funding to be carried forward in Public Health reserves within CES.

4.6   **Provisions included in the table above**

The table above includes forecast provisions of £26.7m comprising £9.9m insurance provision, £12.6m landfill provision (this provision is not cash backed), £4.1m provisions for bad debts, and a small number of payroll related provisions.

5   Covid-19 financial implications

5.1   Details of central government funding announcements, and forecast Covid-19 pressures are set out below.

5.2   Covid-19 funding secured to date is as follows:

Table 4a: Covid-19 funding

Funding	Actual/forecast 2020-21 £m
MHCLG tranche 1 (received March 2020)	26.932
MHCLG tranche 2	16.742
MHCLG tranche 3	6.001
MHCLG tranche 4	5.608
Contain Outbreak Management Fund to November	7.262
Contain Outbreak Management Fund: December	2.075
Infection Control Fund – first round	12.386
Infection Control Fund – second round	10.443
Home to School and College Transport Funding – Tranche 1	0.747
Home to School and College Transport Funding – Tranche 2	0.503
Home to School and College Transport Funding – Tranche 3	0.419
Wellbeing for Education Return Grant	0.146
Local Outbreak Control: test and trace service support grant	3.718
MHCLG - income compensation scheme April - July	2.657
MHCLG - income compensation scheme August - November	1.523
Emergency Assistance Grant for Food and Essential Supplies	1.016
COVID Winter Grant Scheme	2.740
Adult Social Care Rapid Testing Fund	3.068
Workforce Capacity Fund for adult social care	2.089
Clinically Extremely Vulnerable – first tranche December	0.602
Clinically Extremely Vulnerable – second tranche January	0.570
Total previously reported P10	**107.247**
Clinically Extremely Vulnerable – third tranche February	0.694
Contain Outbreak Management Fund: January	3.631
Contain Outbreak Management Fund: February	3.631
Contain Outbreak Management Fund: March	4.668
Unaccompanied Asylum Seeking Children COVID-19 Fund	0.340
Community Testing funding grant	0.805
Suicide Prevention grant	0.145
Total to date	**121.161**

New / confirmed funding

5.3   CEV: In addition to amounts previously received, the Council has secured a further £0.694m of funding for February 2021 to provide support to Clinically Extremely Vulnerable (CEV) individuals.

5.4   **Unaccompanied Asylum Seeking Children (UASC) COVID-19 Fund:** Between 20 November and 18 December 2020, local authorities were invited to submit applications for funding to support them with costs incurred as a result of caring for unaccompanied asylum seeking children and former unaccompanied asylum seeking children who are now care leavers during the COVID-19 pandemic. The amount awarded to Norfolk is £0.340m, to be received March 2021.

5.5   **Community Testing funding grant:** This ringfenced grant from DHSC is to provide support to the Local Authority towards expenditure lawfully incurred or to be incurred in relation to Community Testing in response to the COIVD-19 outbreak. The first payment of £0.268m has been received at commencement with a second instalment of £537m payable half-way through the programme of testing.

5.6   **Suicide Prevention grant** – grant received from Norfolk and Waveney CCG in 2020-21.

5.7   **COVID Winter Grant (CWG) Scheme (2021-22)**: On Monday 22 February 2021, the government announced that as part of its COVID roadmap, the COVID Winter Grant (CWG) Scheme to support vulnerable households will be extended from 31 March to the 16 April 2021, and a significant proportion will be used to provide free school meals during the Easter school holidays. Norfolk's additional allocation is £0.952m. Authorities will receive 75% of their additional allocation in April 2021 and the remaining 25% will be paid on the completion of a final management information (MI) report. As a result, this allocation is not included in the table above as it will be incorporated into 2021-22 financial monitoring reports.

5.8   **Grants to fund local coordination of free holiday activities and healthy food for disadvantaged children during 2021** were announced by the DfE in February 2021 and are subject to the approval of business plans. The purpose of the grant is for local authorities to make free places at holiday clubs available in the Easter, summer and Christmas school holidays in 2021. This will be made available to children in the local authority area who are eligible for and receive benefits-related free school meals. The maximum amount available to Norfolk County Council is £0.267m for the remainder of 2020-21 with a further £2.389m available in 2021-22, a total of £2.656m. This funding will be reported when business plans have been approved and timing of spend established.

Previously reported funding

5.9   **Adult Social Care Rapid Testing Fund**: Of £149m grant funding announced nationally to help increase and support testing, the allocation for Norfolk is £3.068m of which 80% must be allocated to care home providers.

5.10   **CEV**: The Council has received £0.602m (December) and £0.570 (January) funding to provide support to Clinically Extremely Vulnerable (CEV) individuals.

5.11   The CEV funding is being provided as an unringfenced grant in recognition of additional pressures placed on councils by shielding guidance. The Government expects funding to be used to deliver the activities and outcomes outlined in the Shielding Framework. This includes the overheads of setting up and managing the

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local system, contacting CEV individuals within the area of intervention, assessing the food and basic support needs of CEV individuals and facilitating the delivery of that support where necessary, and reporting on the level of support provided. There is also an expectation that upper tier authorities will provide sufficient resources to lower tier authorities to carry out any responsibilities that they are asked to undertake to support CEV individuals. The Council has so far committed to provide £0.017m to each District. Allocation requirements are discussed as part of the Community Resilience partnership to ensure a consistency of support to CEV residents across the county as delivered by the agreed operating model.

5.12   Further government allocations are due to be received for the remainder of the 2020-21 lockdown period.

5.13   **MHCLG funding**: The tranches of MHCLG funding listed above are unringfenced, and expected to address additional expenditure, lost income and delayed or irrecoverable savings while assisting those who are in most need of additional support and social care, and those at higher risk of severe illness. The latest tranche of £5.608m has been transferred to the Corporate Covid Risk reserve, to mitigate against future cost pressures resulting from the pandemic.

5.14   **Contain Outbreak Management Fund (COMF)**: From 12 October 2020, Local Authorities have been eligible for funding from the Contain Outbreak Management Fund which is ring-fenced for public health purposes to tackle COVID-19. The COMF is to be used by local authorities for test, trace and contain activity to:

- reduce the spread of coronavirus in their area
- support local economies and public health.

5.15   Funding to Norfolk County Council through the COMF has been provided in several stages since national restrictions came into force on 5 November and will continue until the end of the financial year. Government has also announced that funding can be carried forward for use in 2021-22 and a further payment will be made in 2021-22 (a total of £400m nationally, although final local allocations have yet to be confirmed). Norfolk's COMF allocations for 2020-21 are forecast to be £21.267m, reflecting the breakdown shown in table 4a above.

5.16   Norfolk allocations are supporting the following principles:

- Norfolk's Outbreak Control Plan Aims underpin allocations – Protect Ourselves. Protect Others. Protect Norfolk.
- Enable direct inter-agency support and capabilities.
- Immediate response funding support to contain Covid-19 transmission.
- Promote and enable support to hard-to-reach where there is a gap in funding.
- Provide funding where otherwise not available to address current needs and support.

5.17   The plans for the deployment of COMF funding have been developed by Public Health and the Norfolk Local Outbreak Control Service in partnership with district councils, the NHS CCG, New Anglia LEP and other NCC departments, and have been considered by Health Protection Board and the Norfolk COVID-19 Engagement Board. To date, COMF monies have been allocated in phases, with £8.965m of the £9.3m received to December 2020 approved by Cabinet in February 2021. Following endorsement by Engagement Board on 25 February 2021, a Member delegated decision to approve Phase 2 allocations has been made by the Leader which has

allowed for rapid progress in expanding the work already underway, funds reaching partners at this critical juncture in our work to drive-down new infections, expanding testing, and delivering work to monitor and contain variants of the virus. Monies available through COMF Phase 2 are also enabling districts to support people to self-isolate, including through financial recourse. The agreed allocation of Phase 2 COMF funding is summarised in the table below.

Table 4b: Covid-19 funding allocation

	£m
Total COMF Phase 1 (Approved February Cabinet)	**8.965**
Phase 2:	
Local Outbreak Control Service (including £1m community testing district model)	2.325
Clinical Commissioning Group	0.550
Norfolk County Council (including additional support to education, care providers and communications)	0.750
District Councils (direct allocations)	3.150
Other - voluntary sector, and LEP	0.301
Community Cell, discretionary fund, surge, NAS (includes £1.75m District discretionary funds)	3.750
Contingency	0.975
Subtotal COMF Phase 2	**11.801**
Total COMF spending plans Phase 1 and Phase 2	**20.766**

5.18   The total COMF allocated in Phase 1 and Phase 2 includes a contingency amount and is less than the total funding currently forecast to be received in 2020-21, due to the uncertainty over the exact level of funding, still to be confirmed. Government has indicated that funding can be carried forward for use in 2021-22, and the allocation of any residual 2020-21 funds will be considered in the round once the final allocations for 2021-22 are known.

5.19   **Infection Control Fund**: "to ensure care homes can cover the costs of implementing measures to reduce transmission", with a proportion passed straight to care homes in Norfolk (regardless of whether they contract with the Council), with the remaining element spent on broader infection control measures. In addition to the first-round grant of £12.386m, a second round of Infection Control Grants has been announced, with an additional £10.443m received by Norfolk in by December 2020. This round required 80% to be passed to care homes and community care providers. Funding for both payments has been paid to care providers in line with the grant conditions. The allocation of the discretional funds has focused on wider measures for care homes and community care providers, as well as day services.

5.20   **Workforce Capacity Fund:** In January 2021 the Government announced a £120m Workforce Capacity Fund for adult social care funding. The purpose of the funding is to enable councils to supplement and strengthen adult social care staff capacity to ensure the delivery of safe and continuous care. Norfolk's share of the funding is £2.089m.

5.21   **Dedicated Home to School and College Transport Funding:** for transport authorities to help address the impact of social distancing rules on public transport,

covering the period September 2020 to Spring 2021 half term. Total allocated to Norfolk £1.669m.

5.22 **Wellbeing for Education Return Grant**: this grant supported pupils' and students' wellbeing and psychosocial recovery as they return to full-time education in autumn 2020.

5.23 **Local Outbreak Control: Test and Trace Service Support Grant:** to fund expenditure relating to the mitigation against and management of local outbreaks of COVID-19 as part of the Council's public health responsibilities.

5.24 **Local government income compensation scheme for lost sales, fees and charges.** This scheme compensates local authorities for irrecoverable income losses due to the impact of COVID-19, as much as 75% of lost income where losses exceed 5% of planned income. The first claim of £2.657m, covered the period April to July 2020, and a second claim for the period from 1 August to 30 November 2020 totalling £1.523m was certified in December 2020 and is due to be paid 31 March 2021. The claims are split between services as follows:

Table 4c: income compensation claims to date

	Apr-Jul	Aug-Nov
	£m	£m
Adult Social Services	0.253	0.078
Children's Services	0.647	0.277
Community and Environmental Services	1.260	1.027
Strategy and Governance	0.342	0.039
Finance and Commercial Services	0.155	0.102
	2.657	**1.523**

The scheme has been extended until June 2021, and further claims will be summarised in future reports.

5.25 **Emergency Assistance Grant / COVID Winter Grant Scheme**: to help those who are struggling to afford food, energy and water bills and other associated costs due to Covid-19.

Covid-19 related cost pressures

5.26 A summary of the forecast Covid-19 related cost pressures are as follows:

Table 4d: Covid-19 cost pressures

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services and Finance General	Total
	£m	£m	£m	£m	£m	£m
Previously reported	**61.589**	**8.763**	**25.217**	**1.891**	**16.680**	**114.140**
Net changes this month	0.409	0.475	12.439	0.179	-1.060	12.442
In year cost pressures	**61.998**	**9.238**	**37.656**	**2.070**	**15.620**	**126.582**
Corporate risk reserve					9.108	9.108
Total cost pressures	**61.998**	**9.238**	**37.656**	**2.070**	**24.728**	**135.690**
Government support						121.161
Net Covid-19 pressure						**14.529**

5.27 The net cost pressure has decreased by £1.5m, from £16.0m in P10, with additional grant funding greater than the additional cost pressures identified in the same period. The latest forecast cost pressure includes transfers to general reserves of £9.1m to cover costs which are likely to be incurred in the early part of the next financial year. This will allow the Council to meet its response to the coronavirus pandemic.

5.28 Details of cost pressures by services are set out in Revenue Annex 2. The cost pressures shown in Finance and Commercial Services and Finance General include additional staff and property costs relating to the Covid-19 response and lost income from County Hall car park. Also within Finance General is the impact of the Council continuing to incur costs sourcing PPE, medical requisites, and cleaning materials for use across our services.

Other pressures

5.29 An additional element of cost mitigation included in forecast over and underspends is the Government's **Coronavirus Job Retention Scheme**. While the scheme has not been used to duplicate other sources of public funding, such as the Covid-19 support grants, the government has recognised that there are exceptional cases where, for example, Local Authorities have needed to close venues such as museums and registry offices. Claims for the period from March 2020 to the end of February 2021 totalled £1.179m, including £0.259m in respect of schools.

5.30 A particular risk relates to Business Rates and Council Tax income. No pressures have been included for 2020-21 with any impact not expected to have an impact on the general fund until 2021-22 and this is being taken into account during 2021-22 budget setting. To assist future budgeting, the government will allow Council's to spread their tax deficits over 3 years rather than the usual one year

5.31 The costs and income pressure relating to Covid-19 vary from the overall Council forecast net overspend shown in this report. This is due to non-Covid-19 related under and over-spends, and actions already put in place by Chief Officers to mitigate the financial impacts of the pandemic.

6 Budget savings 2020-21 summary

6.1 In setting its 2020-21 Budget, the County Council agreed net savings of £40.244m. Details of all budgeted savings can be found in the 2020-21 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.

6.2 The latest monitoring reflects total forecast savings delivery of £22.553m and a **total shortfall of £17.691m** (44%) forecast at year end.

6.3 The forecast savings delivery is anticipated as shown in the table below:

Table 5: Analysis of 2020-21 savings forecast

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
Budget savings	22.897	9.250	5.013	-0.613	1.389	2.308	**40.244**
Period 11 forecast savings	9.343	6.792	4.278	-0.838	0.670	2.308	**22.553**
Savings shortfall (net)	13.554	2.458	0.735	0.225	0.719	0.000	**17.691**

Commentary on shortfall savings

6.4 The impact of the COVID-19 pandemic is having a profound effect on the Council's ability to achieve planned budget savings. Further details on the emerging financial implications of COVID-19 including the impact of non-delivery of savings are reflected elsewhere in this report.

6.5 Thirty-five savings are forecasting a shortfall, representing a budgeted total savings value of £28.319m and a forecast gross savings shortfall of £18.984m. This total is before adjustment for forecast savings over-delivery of £0.913m detailed in the paragraphs below. Commentary on each saving is provided in Revenue Appendix Appendix 3.

Commentary on overdelivering savings

6.6 Two saving are currently forecast to over-deliver in 2020-21.

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

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

2021-22 to 2023-24 savings

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

deliverability of these savings, including any 2020-21 savings that are permanently undeliverable, has been considered as part of the budget setting process for 2021-25.

7   Treasury management summary

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

Chart 2: Treasury Cash Balances
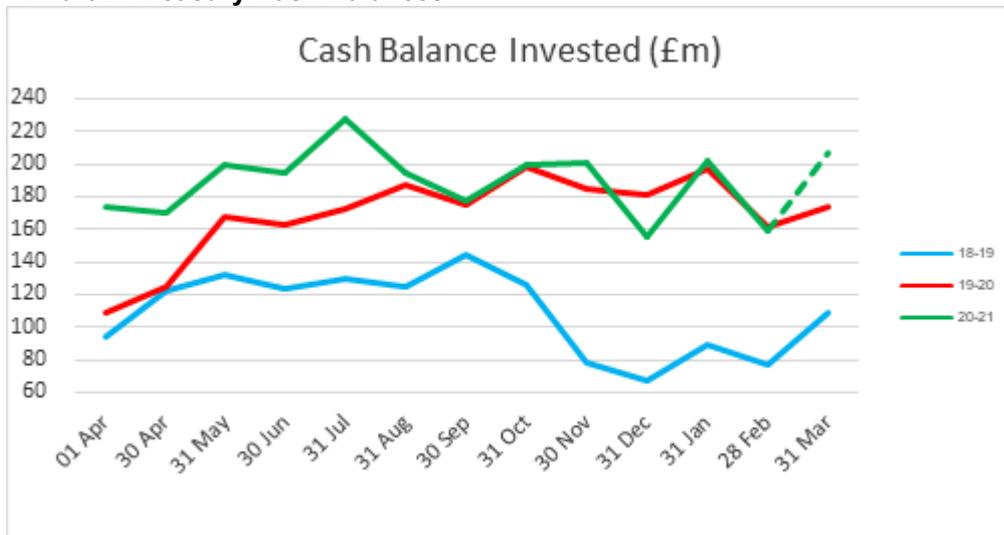
7.2   The Council borrowed £30m on 1 March 2021 on a maturity basis to fund previous capital expenditure. The borrowing was in two tranches, both at interest rates of below 2% which remains historically low.

Amount borrowed	Maturity date	Interest rate
£20m	1 March 2071	1.99%
£10m	1 September 2035	1.91%

7.3   In addition, on 29 March 2021, the Council borrowed £20m to on an annuity basis at 1.47%, with repayments to 1 Sep 2036.

7.4   Although the Council has healthy cash balances for the immediate future, this borrowing has reduced the Council's exposure to potential future interest rate rises.

7.5   The Council's Treasury Strategy assumes as much as £80m may be borrowed in 2020-21, and the forecast above assumes that this amount is borrowed in March resulting in a closing cash balance of approximately £207m. If, in order to minimise the cost of carrying unnecessary borrowing, no additional borrowing takes place between the time of writing and 31 March 2021, then the projected year-end cash balances will be approximately £177m.

7.6   PWLB and commercial borrowing for capital purposes was £699.8m at the end of February 2021, with an additional £50m borrowed in March 2021 giving a total of £749.8m. Associated annual interest payable on existing borrowing is £29.3m.

8 Payment performance

8.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 470,000 invoices are paid annually. 98.3% were paid on time in February against a target of 98%. The percentage has not dropped below the target of 98% in the last 12 months.

Chart 3: Payment performance, rolling 12 months

Month	Value
Mar-20	99.1
Apr-20	99.3
May-20	99.3
Jun-20	99.0
Jul-20	99.3
Aug-20	99.1
Sep-20	99.2
Oct-20	98.3
Nov-20	98.7
Dec-20	98.7
Jan-21	99.0
Feb-21	98.3
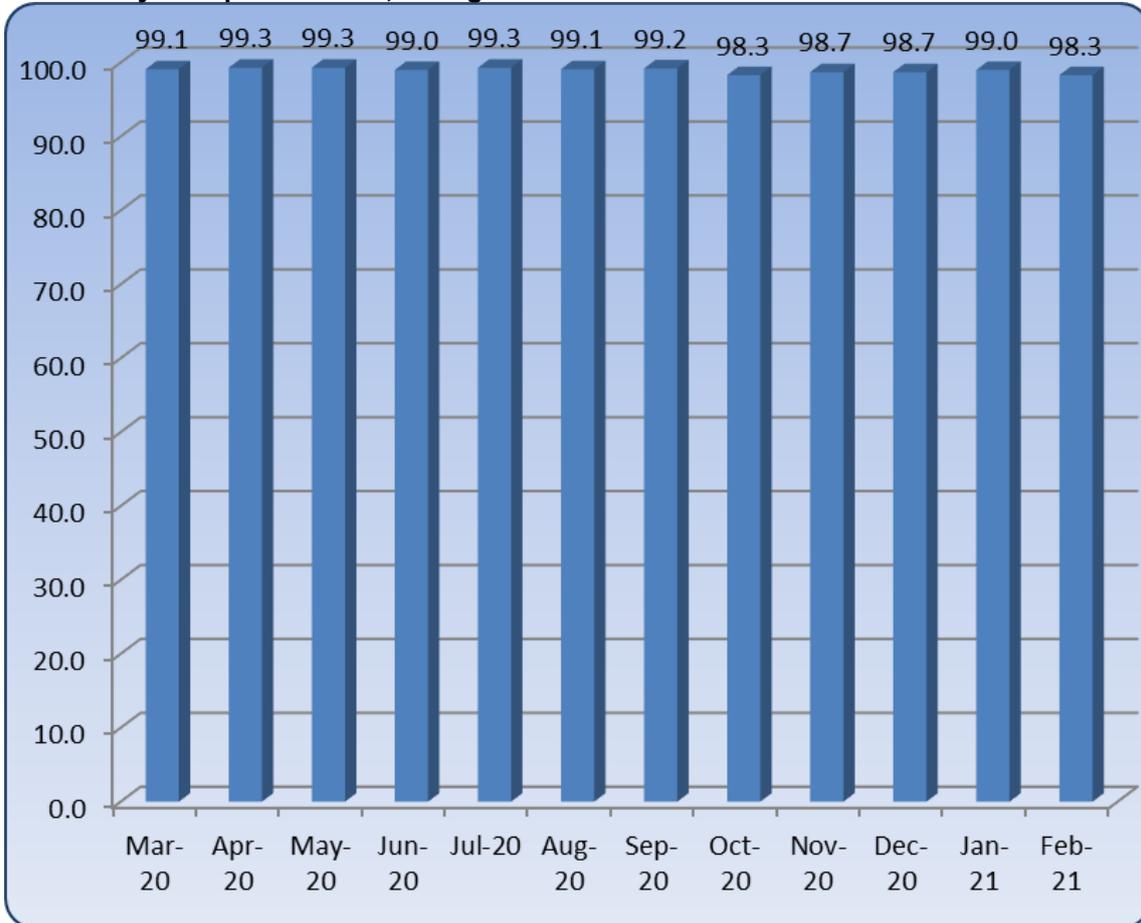
Note: The figures include an allowance for disputes/exclusions.

9 Debt recovery

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

Debt collection performance measures – latest available data

9.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 91% in February 2021.

Latest Collection Performance

Collection Performance - Income collected within 30 days of Invoice %

	Jan-21	Feb-21	Total Yr End 19/20
Value	85	91	92
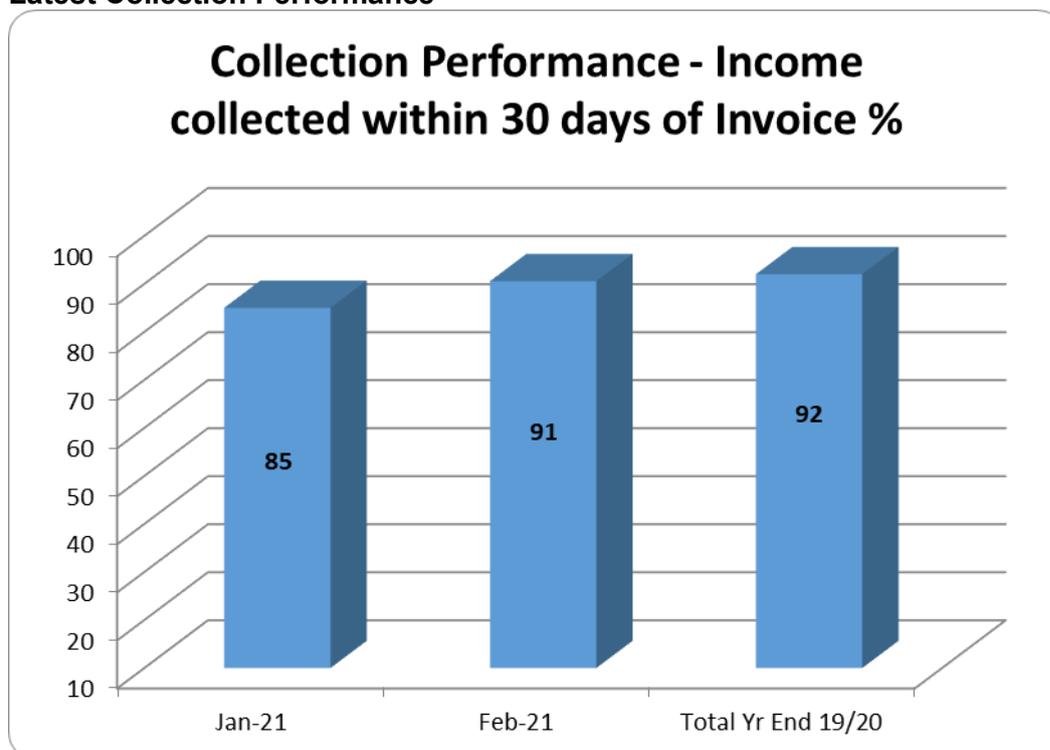
9.3 The value of outstanding debt is continuously monitored, and recovery procedures are in place to ensure that action is taken to recover all money due to Norfolk County Council. The level of debt is shown in the following graph:

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Debt Profile (Total)

Debt Profile - February 2021 (£m)
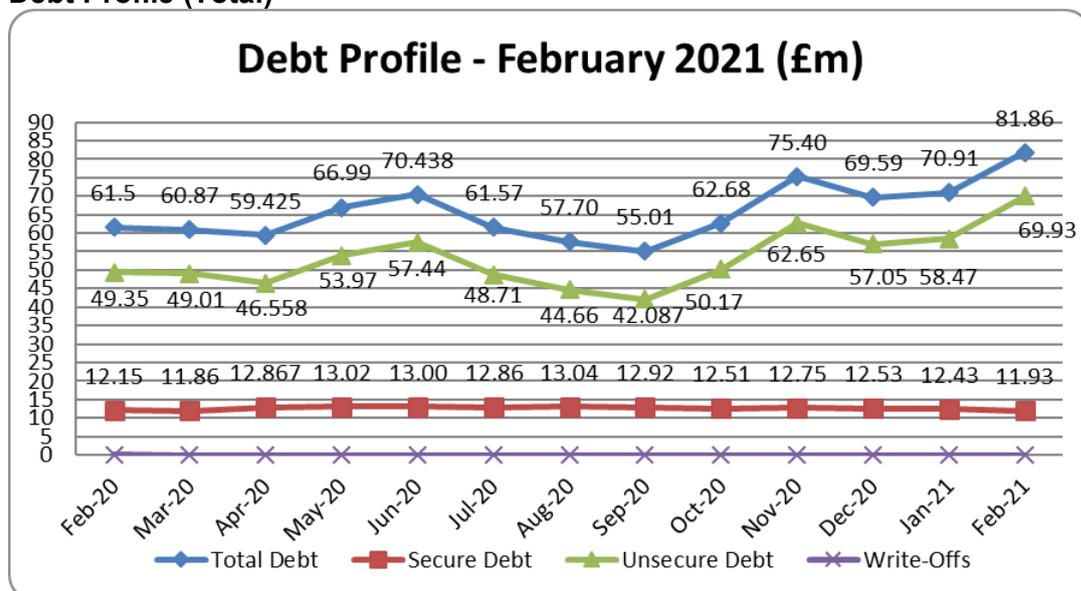
9.4 Of the £69.9m unsecure debt at the end of February, £18.9m is under 30 days. The largest area of unsecure debt relates to charges for social care, £59.3m, of which £38.9m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.

9.5 Secured debts amount to £11.9m. Within this total £5.2m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.

9.6 **Debt write-offs**: In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write-off of all debts up to £10,000.

9.7 Service departments are responsible for funding their debt write-offs. Before writing off any debt all appropriate credit control procedures are followed.

9.8 March 2021 Cabinet approved the removal of library charges for late returns for Children and young people in an effort to encourage more reading and to help support literacy post Covid. These charges had not been reflected as income in the financial ledger, and therefore did not require formal write-off.

9.9 For the period 1 April 2020 to the end of February 2021, 249 debts less than £10,000 were approved to be written off following approval from the Executive Director of Finance and Commercial Services. These debts totalled £15,197.95.

9.10 No debts over £10,000 have been approved for write-off since 1 April 2020.

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Revenue Annex 1

Forecast revenue outturn

Revenue outturn by service

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

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	255.793	0.324	0.1%	256.117
Children's Services	196.311	0	0.0%	196.311
Community and Environmental Services	161.718	0	0.0%	161.718
Strategy and Governance	9.365	0.029	0.3%	9.394
Finance and Commercial Services	32.668	0.035	0.1%	32.703
Finance General	-225.434	-0.571	0.3%	-226.005
Forecast outturn this period	**430.421**	**-0.183**	**-0.0%**	**430.238**
Prior period forecast	430.421	-0.021	0.0%	430.400

Reconciliation between current and previously reported underspend

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

	£m
Forecast overspend brought forward	**-0.021**
Movements February 2021	
Adult Social Services	-0.176
Children's Services	-
Community and Environmental Services	-
Strategy and Governance	-
Finance and Commercial Services	-
Finance General	0.014
Outturn over/(under) spend	**-0.183**

Covid-19 grant allocation by service

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

	P10	P11 new	P11 reallocations	P11 total
	£m	£m	£m	£m
Adult Social Services	54.369		0.347	54.716
Children's Services	7.451	0.340	0.268	8.059
Community and Environmental Services	22.626	13.574	0.317	36.517
Strategy and Governance	0.713		0.077	0.790
Finance and Commercial Services	1.617		0.189	1.806
Finance General	20.469		-1.199	19.270
Rounding	0.002		0.001	0.003
Covid-19 grants received	**107.247**	**13.914**	**-**	**121.161**

Revenue Annex 1 continued

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

Revenue budget outturn by service – detail

Adult Social Services	Over spend	Under spend	Changes
	£m	£m	£m
Purchase of Care	27.549		0.488
Commissioned Services	0.897		-0.548
Community Social Work		-0.624	0.183
Business Development		-0.089	-0.054
Early Help & Prevention		-1.122	-0.165
Community Health & Social Care		-0.893	0.065
Management, Finance & HR	0.990		-0.145
Use of Infection control grant	22.829		
Covid-19 grant allocation		-49.213	
Adult Social Care Rapid Testing Fund		-3.068	
Full use of Adult Social Care Rapid Testing Fund	3.068		
Adult social care workforce grant		-2.089	
Full use of workforce grant	2.089		
WFH equipment – Covid grant allocation		-0.347	-0.347
Use of WFH equipment Covid grant allocation	0.347		0.347
Forecast over / (under) spends	**57.769**	**-57.445**	**-0.176**
Net total	**0.324**		
Children's Services	**Over spend**	**Under spend**	
	£m	£m	
Learning & Inclusion	1.379		-0.500
Social Care	1.457		0.500
Commissioning, Partnerships and Resources		-0.200	
Leadership, Finance and Human Resources	0.268		0.268
Use of Home to School and College Transport Funding	1.669		
Use of Wellbeing for Education Return Grant	0.146		
Covid-19 grant allocation		-8.059	-0.608
Contribution to Children's Services Business Risk Reserve	3.000		
Full use of unaccompanied Asylum Seeking Children COVID-19 Fund	0.340		0.340
Forecast over / (under) spends	**8.259**	**-8.259**	**0**
Net total	**0**		
Dedicated schools grant			
High Needs Block	11.822		
Schools block		-0.259	
Increase in net deficit to be carried forward	-	-11.563	
Forecast over / (under) spend	**11.822**	**-11.822**	
Net total	**-**		

Community and Environmental Services	Over spend	Under spend	Changes
	£m	£m	£m
Community Information and Learning	0.743		
Culture and Heritage	1.058		
Fire	0.298		
Growth and Development	0.906		
Highways and Waste	3.226		
Performance and Governance		-0.487	
Director of Public Health		-0.053	
Covid-19 grant allocations		-8.399	
Use of August-November income compensation grant to support services	1.027		
Local Outbreak Control: test and trace service support grant		-3.718	
Use of Local Outbreak Control: test and trace service support grant	3.718		
Contain Outbreak Management Fund		-21.267	-11.930
Use of Contain Outbreak Management Fund	21.267		11.930
Clinically Extremely Vulnerable grant		-1.172	
Use of Clinically Extremely Vulnerable grant	1.172		
Clinically Extremely Vulnerable – third tranche February		-0.694	-0.694
Use of CEV third tranche	0.694		0.694
WFH equipment – Covid grant allocation		-0.317	-0.317
Use of WFH equipment Covid grant allocation	0.317		0.317
Community Testing funding grant		-0.805	-0.805
Full use of Community Testing funding grant	0.805		0.805
Suicide Prevention grant		-0.145	-0.145
Full use of Suicide Prevention grant	0.145		0.145
Contribution to CES Business Risk Reserve	1.681		
Forecast over / (under) spend	**35.057**	**-35.057**	**-**
Net total	**0**		

Strategy, Finance and Finance General	Over spend	Under spend	Changes
	£m	£m	£m
Strategy and Governance			
Registrars and other net loss of income	0.742		
Covid-19 grant		-0.713	
WFH equipment – Covid grant allocation		-0.077	-0.077
Use of WFH equipment Covid grant allocation	0.077		0.077
Forecast over / (under) spend	**0.819**	**-0.790**	
	0.029		
Finance and Commercial Services			
Client Property Management	0.652		
Covid-19 related costs - loss of income/recharges	1.620		
Covid-19 related costs - savings delays	-		
Finance directorate reduced overheads and costs		-0.620	
Covid-19 grant allocation		-1.360	
Covid-19 income compensation scheme		-0.257	
WFH equipment – Covid grant allocation		-0.189	-0.189
Use of WFH equipment Covid grant allocation	0.189		0.189
Forecast over / (under) spend	**2.461**	**-2.426**	
	0.035		
Finance General (see below for narrative)			
Covid-19 additional costs – including a large proportion of PPE and shielding costs.	8.923		-0.845
IT equipment for digitally disadvantaged children	0.668		
Income: transfers of PPE to partner organisations		-0.209	-0.013
DEFRA Local Authority Emergency Assistance Grant		-1.016	
Local assistance scheme	1.516		
COVID Winter Grant Scheme		-2.740	
Use of COVID Winter Grant Scheme funding	2.740		
Extended rights to free travel grant		-0.463	
Members travel		-0.089	-0.003
ESPO dividend		-0.121	
Pension AVC Salary Sacrifice scheme		-0.074	-0.074
Interest on balances		-3.300	-0.250
MHCLG Covid-19 grant allocation		-5.104	
MHCLG Covid-19 grant tranche 3		-6.001	
MHCLG Covid-19 grant tranche 4		-5.608	
Transfer of Covid grant to services - working from home (WFH) equipment	1.199		1.199
Transfer to new Corporate Covid Risk reserve (incorporating reserve to meet increase staffing capacity and related costs)	9.108		
Forecast over / (under) spend	**24.154**	**-24.725**	**0.014**
Net total		**-0.571**	

Finance General forecast over and underspends

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

Covid-19 additional costs and associated income:
- Covid-19 additional costs: forecast overspend £8.923m
- IT equipment for digitally disadvantaged children £0.668m
- Income: transfers of PPE to partner organisations: forecast underspend £0.209m
- Covid-19 grant allocation: forecast underspend £5.104m
- DEFRA Local Authority Emergency Assistance Grant for Food and Essential Supplies £1.016m (see paragraph below)
- Covid-19 grant tranche 3 – forecast underspend £6.001m
- Covid-19 grant tranche 4 – forecast underspend £5.608m transferred to corporate covid risk reserve.

Costs related to Covid-19 pandemic which have not been allocated to service departments have resulted in a forecast overspend, partly off-set by government grants. Expenditure includes the purchase of medical supplies and protective (PPE) clothing to ensure continuity of supply for council staff, care homes, early years providers and others. Some of this PPE is forecast to be transferred to partner organisations at cost. To address costs of meeting pressures from a Covid-19 "second wave", a corporate covid risk reserve has been created to meet increase staffing capacity and related costs.

Local assistance scheme / Emergency Assistance Grant
The Norfolk Assistance Scheme helps by providing emergency food, cash and household expenses. Due to the coronavirus situation, a coordinated emergency relief response has been developed for Norfolk people in crisis. In period 3, government funding was made available which is being used to provide food and essential supplies for those in the greatest need. An additional 0.500m from Core Covid grant funding was allocated to the scheme, and in period 7 an additional £2.740m COVID Winter Grant Scheme government funding was received and is forecast to be fully spent in 2020-21.

Extended rights to free travel grant (forecast underspend £0.463m)
Additional grant forecast in respect of extended rights to free travel.

Members travel (forecast underspend £0.089m)
Since the start of the financial year, meetings have not been held at County Hall. Members have instead held meetings electronically significantly reducing the costs of travel.

ESPO dividend (underspend £0.120m)

NCC's share of Eastern Shires Purchasing Organisation surplus.

Pension AVC Salary Sacrifice scheme (underspend £0.074m)

Employer national insurance savings resulting from the introduction of a salary sacrifice arrangement for employee pension additional voluntary contributions.

Interest on balances (forecast underspend £3.300m)
The interest payable/receivable budget was prepared on the basis of a number of assumptions including cash flows, interest rates and the amount of borrowing. The cost and timing of borrowing has resulted in a significant forecast underspend.

Covid-19 grant tranche 3 – (forecast underspend £6.001m)
As noted in section 5 of this report, Covid-19 grant tranche 3 government funding of £6.001m was allocated to the Council to defray Covid related costs. This funding is now being used to off-set central PPE costs within Finance General.

Corporate Covid risk reserve (£9.107m)

As noted in section 5 of this report, Covid-19 grant tranche 4 government funding of £5.607m has been allocated to a new Corporate Covid risk reserve. An additional £3.5m allocation has been approved.

Revenue Annex 2

Impact of Covid-19 – forecast cost pressures

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

	2020-21 Forecast £m
Identified / forecast costs	
Adult Social Care	
Enhancements to packages of care where not related to hospital discharge (mainly LD and MH and includes care need escalation)	1.450
Additional Block capacity purchased from market	0.140
Provider support payments to cover liquidity/sustainability issues and any additional costs where not specifically related to a person's changing care needs	10.780
Other care market pressures	3.928
Paying for additional day time support to Supported Living/Residential providers whilst the day centres are closed	0.843
Loss of income: Adults: No charges for services not received	0.613
Equipment and Support for our teams (e.g. PPE for in-house teams)	0.055
Support for people experiencing domestic abuse	0.200
Loss of savings: Adults: Savings delivery risk	10.567
Temporary postponed implementation of the second phase of the charging policy implementation (2020-21 cost pressure)	3.000
Equipment - spike in usage and increase in costs	0.200
Weekend or Overtime staff costs	1.749
Vulnerable People Resettlement	0.040
Redeployed interims	0.100
Use of WFH equipment Covid grant allocation	0.347
Full use of infection control funding	22.829
Full use of Adult Social Care Rapid Testing Fund	3.068
Workforce Capacity Fund for adult social care	2.089
Adult Social Care Total	**61.998**
Children's Services	
Loss of income - Children's Services - Estimate primarily relating to trading with schools	1.764
Loss of income - Transport	0.307
Safeguarding campaign - *Project Stay Safe*	0.010
Loss of savings: Children's: Savings delivery risk	2.458
Maintaining Early Year's Provision	0.360
Education Cell Outbreak Management Centre	0.100
Additional placement costs for over-18s	0.497
Additional placement costs for under-18s	0.292

	2020-21 Forecast £m
Additional costs of contracted delivery	0.206
Sustainability grants and support to the market	0.250
Enhanced Zoom licenses	0.015
Additional frontline agency costs	0.554
Book fund for Social Work apprentices	0.002
Use of WFH equipment Covid grant allocation	0.268
Full use of Home to School and College Transport Funding	1.669
Full use of unaccompanied Asylum Seeking Children COVID-19 Fund	0.340
Full use of Wellbeing for Education Return Grant	0.146
Children's Services Total	**9.238**
Community and Environmental Services	
Food boxes for older people (NCC provision)	0.700
Customer Services additional expenditure	0.062
Waste – Contract costs reflecting 15% increase in residual waste volumes	1.168
Waste – Recycling credits reflecting 15% increase in recyclables / garden waste	0.677
Reopening Recycling Centres – (traffic management, security, volume increase)	0.630
Loss of income: CES including Museums / Libraries	2.596
Loss of income: CES including Adult Education / Records Office	0.785
Loss of income: CES including Highways and Public Transport	1.320
Loss of income: CES including Planning and Development	0.097
Loss of income: CES including Recreation and Sport	0.024
Loss of income: Parking Services	0.500
Loss of income: CES including Centres and Blue Badges	0.325
Loss of income: CES including On-street Parking	0.269
Loss of savings: CES	0.290
Growth and Development	0.012
Joint comms systems for the Norfolk Resilience Forum	0.075
Loss of income: Resilience Training	0.008
Use of WFH equipment Covid grant allocation	0.317
Full use of Local Outbreak Control: test and trace service support grant	3.718
Full use of Contain Outbreak Management Fund	21.267
Full use of Community Testing funding grant	0.805
Full use of Suicide Prevention grant	0.145
Full use of Clinically Extremely Vulnerable grants	1.866
Community and Environmental Services Total	**37.656**
Strategy and Governance	
Norfolk Community Foundation - grant donation	0.100
Increased Coroner's costs	0.556
Loss of income: Registrars	1.035
Additional HR staff costs	0.224
Additional I&A staff costs	0.078
Use of WFH equipment Covid grant allocation	0.077
Strategy and Governance Total	**2.070**
Finance and Commercial Services and Finance General	

	2020-21 Forecast £m
Emergency Planning Director / Strategic Command Group / MAFG Director costs	0.020
Covid response costs - redeployed staff, property costs	1.000
Mortuary facility vans provided by NORSE	0.036
Corporate procurement of PPE - ASC	4.623
Corporate procurement of PPE	0.500
Food distribution hub - Site costs	0.146
Re-assignment of FES staff (HR and Finance System replacement) to COVID-19 response	0.335
Homeworking equipment	0.189
Extension of SWIFTS Pool Cars / Enterprise	0.040
Extension of Norfolk Assistance Scheme (NAS)	1.516
Software solution from Agilisys and Microsoft to handle the contacts to vulnerable adults in receipt of Letters and all related activities	0.060
Lost income not eligible on lost SFC scheme	0.561
Loss of income across Finance and Commercial Services including IMT Services to Schools, Property and Car Park income	0.573
Loss of income from Schools audits	0.016
Loss of income in Corporate Property Team	0.183
IMT - Infrastructure - Extra Data Bundles on mobile phone contract/Extra Ccaas Telephony re staff WFH/Staff Overtime	0.149
IT equipment for digitally disadvantaged children	0.680
Additional staff costs in Finance net of travel savings	0.030
Loss of savings: Finance and Commercial Services / Finance General	0.463
Additional costs associated with the NCC schools contracts, between NCC and Norse Eastern Ltd	0.750
Vulnerability Tracker App	0.010
Use of COVID Winter Grant Scheme funding	2.740
Provision for match funding Business Rates Pool to establish Norfolk Strategic Fund	1.000
Finance and Commercial Services and Finance General Total	**15.620**
Covid-19 financial pressures Norfolk County Council total	**126.582**

Revenue Annex 3

Commentary on forecast savings shortfalls

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

Adult Social Services:

ASC006 Promoting Independence for Younger Adults, budget £5.000m, shortfall £2.550m: Relies on our ability to offer alternatives (including accommodation) which are not currently available. Staff teams set up for dedicated reviewing have been repurposed to directly support COVID response. There is less ability to focus on prevention when in crisis and needs may escalate due to current pandemic. The service has reviewed the schedule of LD PFAL cases expected to transition in 2020-21 and the forecast saving has been reduced in relation to forecast Autism costs.

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

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

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

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

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

ASS001 Expanding home based reablement, which saves money in the long term by preventing unnecessary hospital admissions and supporting more people to swiftly return home from hospital, budget £3.000m, shortfall £0.750m: Service is focused on safe discharge and therefore long-term outcomes may suffer leading to higher ongoing costs.

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

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

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

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

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

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

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

Children's Services:

CHS001 Prevention, early intervention and effective social care – Investing in an enhanced operating model which supports families to stay together and ensures fewer children need to come into care, budget £1.000m shortfall £0.607m: At the start of the financial year, we were unable to work as closely with some families to support resilience during isolation, family support networks reduced, and pressure of people being at home together potentially leading to an increase in domestic abuse. Additionally, resources have been diverted away from transformation activity due to the covid-19 response, resulting in delays to planning and implementation of the programme.

CHS003 Transforming the care market and creating the capacity that we need – Creating and commissioning new care models for children in care – achieving better outcomes and lower costs, budget £3.500m, shortfall £1.851m: It is been harder to move forward new foster carers, people wanting to adopt, and permanency arrangements as social workers have been restricted to essential visiting only where necessary to ensure the safety and welfare of a child. Resources have also been diverted away from transformation activity due to the covid-19 response and, additionally, construction work delays have impacted upon the opening of new semi-independent accommodation for care leavers and solo / dual placements for children looked after.

Community and Environmental Services:

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

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

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

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

EDT068 Re-model back office support structure, budget £0.090m shortfall £0.080m: The support services have restructured following the transfer of works to Norse, however we have not been able to deliver the saving in the way that we had originally anticipated.

CES005 Adjusting our budget for recycling centres in line with predicted waste volumes, budget £0.200m shortfall £0.180m: In previous years we had seen reduced waste volumes at HWRC's, however due to the Covid-19 pandemic, based on recent activities we are expecting an increase in volumes.

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

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

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

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

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

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

Strategy and Governance Department:

CMM047 Registrars Service – external income, budget £0.150m shortfall £0.150m: Additional income could not be achieved due to Covid-19 restrictions on ceremonies.

P&R086 Coroners relocation to County Hall, budget £0.050m shortfall £0.050m: The relocation has not yet occurred.

SGD003 Reducing our spending on ICT, budget £0.025m shortfall £0.025m: Issues with implementation of a system have prevented a reduction in ICT costs.

Finance and Commercial Services:

B&P002 Property centralisation of budgets, budget £0.400m shortfall £0.314m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

P&R027 Property savings, budget £0.650m shortfall £0.380m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

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

Finance General:

BTP001-5 Business Transformation savings: Currently forecasting no variance on the delivery of planned Business Transformation savings. An updated plan and new business transformation baseline are being prepared. Any updates to the forecast delivery of savings will be included in future monitoring to Cabinet.

Appendix 2: 2020-21 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

1   Capital Programme 2020-21

1.1   On 17 February 2020, the County Council agreed a 2020-21 capital programme of £282.688m with a further £253.909m allocated to future years', giving a total of £536.577m.

1.2   Additional re-profiling from 2019-20 resulted in an overall capital programme at 1 April 2020 of £645m. Further in-year adjustments have resulted in the capital programme shown below:

Table 1: Capital Programme budget

|	2020-21 budget	Future years
	£m	£m
New schemes approved February 2020	21.497	24.414
Previously approved schemes brought forward	261.650	235.779
Totals in 2020-23+ Budget Book (total £543.340m)	**283.147**	**260.193**
Schemes re-profiled after budget setting	94.503	0.598
Other adjustments after budget setting including new grants	7.531	
Revised opening capital programme (total £645.972m)	**385.181**	**260.791**
Re-profiling since start of year	-152.389	152.389
Other movements including new grants and approved schemes	80.667	165.276
Total capital programme budgets (total £891.917m)	**313.459**	**578.456**

Note: this table and the tables below contain rounding differences

1.3   The "future years" column above includes existing and new schemes approved as part of the 2021-22 capital strategy and programme.

Changes to the Capital Programme

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

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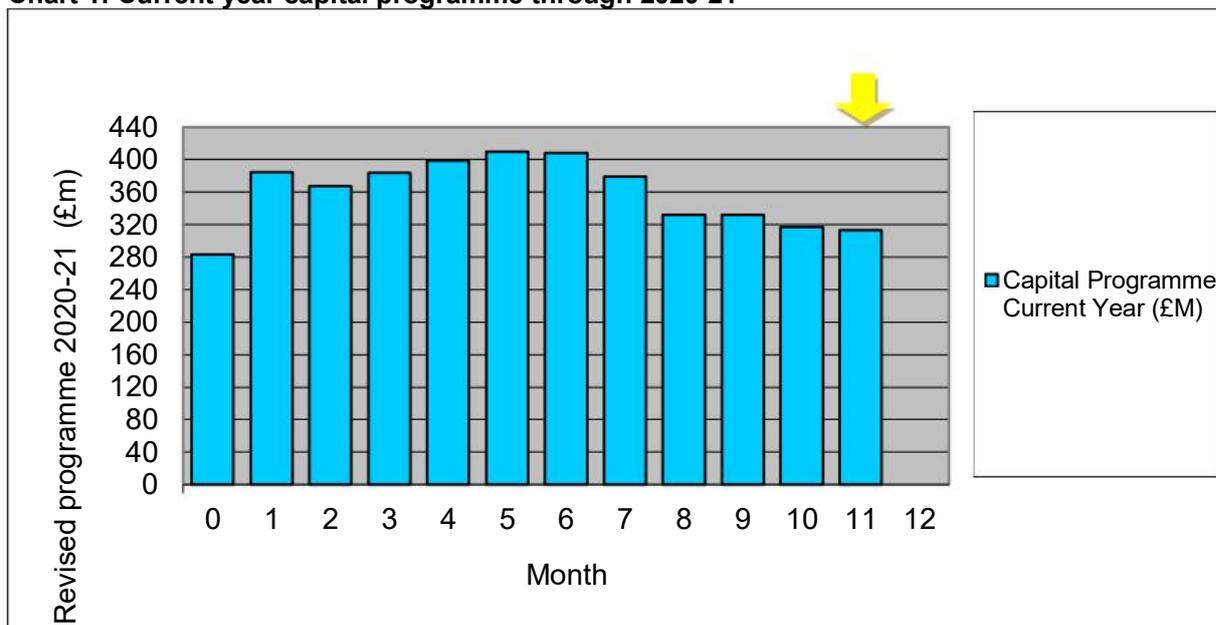
1.5   Month "0" shows the 2020-21 capital programme at the time of budget approval, with schemes reprofiled after budget setting shown in month 1 followed by the most up to date programme.   The current year programme will change as additional funding is secured, and when schemes are re-profiled to future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

1.6   The current year's capital budget is as follows:

Table 2: Service capital budgets and movements 2020-21

Service	Opening programme	Previous report	Reprofiling since previous report	Other Changes since previous report	2020-21 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	122.963	61.039	-0.273	0.047	60.813
Adult Social Care	15.604	11.521	0.000	1.087	12.608
Community & Environmental Services	165.262	188.858	-2.706	0.295	186.447
Finance & Comm Servs	81.252	56.025	-2.531	0.000	53.494
Strategy and Governance	0.100	0.100			0.100
Total	**385.181**	**317.543**	**-5.509**	**1.428**	**313.461**
				-4.081	

*Note: this table may contain rounding differences.*

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1.7   The revised programme for future years (2021-22 to 2024-25 and beyond) is as follows:

Table 3: Capital programme future years 2021+

Service	Previously reported future programme	Reprofiling since previous report	Other Changes since previous report	2021+ Future Capital Budget
	£m	£m	£m	£m
Children's Services	226.206	0.273	6.976	233.455
Adult Social Care	57.248	0.000	0.000	57.248
Community & Environmental Services	173.194	2.706	-0.035	175.865
Finance & Comm Servs	108.922	2.531	0.035	111.488
Strategy and Governance	0.400	0.000	0.000	0.400
Total	**565.971**	**5.509**	**6.976**	**578.456**
			12.485	

Note: this table contains rounding differences

1.8   The graph below shows the movement on the current year capital budget and year to date capital expenditure:
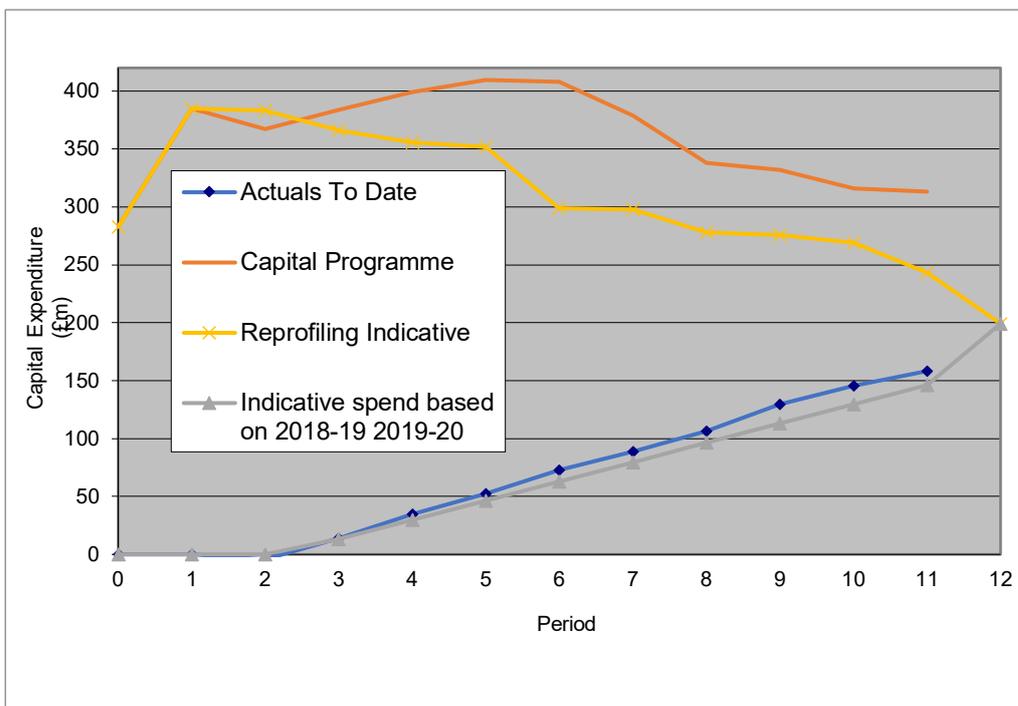
The graph shows that actual year to date capital spend is ahead of the opening forecast, which was based on the opening capital programme and an indicative calculation based on previous years' expenditure. It also shows that budgets are being re-profiled to future years as the progress on projects becomes clearer. As a result, capital expenditure of approximately £220m is expected to take place in 2020-21.

2   Financing the capital programme

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

Table 4: Financing of the capital programme

Funding stream	2020-21 Programme	Future Years Forecast
	£m	£m
Prudential Borrowing	140.282	427.211
Use of Capital Receipts	-	-
Revenue & Reserves	0.584	-
Grants and Contributions:	-	-
DfE	31.988	50.759
DfT	100.512	58.117
DoH	9.633	0.291
MHCLG	0.129	0.130
DCMS	5.532	0.183
DEFRA	0.133	1.940
Developer Contributions	10.672	27.678
Other Local Authorities	0.806	-
Local Enterprise Partnership	3.853	-
Community Infrastructure Levy	0.763	5.282
National Lottery	2.463	6.771
Commercial Contributions	3.224	-
Business rates pool fund	1.658	-
Other	1.230	0.094
Total capital programme	**313.462**	**578.456**

Note: this table may contain rounding differences

2.2   Additional prudential borrowing approved at 22 February 2021 County Council has been included in the table above.

2.3   For the purposes of the table above, it is assumed that all capital receipts will be applied directly to the re-payment of debt and transformation projects, rather than being applied to fund capital expenditure.

2.4   Developer contributions are funding held in relation to planning applications.   Section 106 (Town and Country Planning Act 1990) contributions are held in relation to specific projects: primarily schools, with smaller amounts for libraries and highways. The majority of highways developer contributions are a result of section 278 agreements (Highways Act 1980). The Commercial Contribution referred to above is in respect of next generation broadband access (Better Broadband for Norfolk).

3 Capital Receipts

3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.

3.2 The capital programme, approved in February 2020, gave the best estimate at that time of the value of properties available for disposal in the three years to 2022-23, totalling £14.0m.

Table 5a: Disposals capital programme forecast

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

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

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

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

Capital receipts 2020-21	£m
Capital receipts reserve brought forward	1.347
Loan repayments – subsidiaries forecast for year	0.504
Loan repayments – LIF loan repayments to date	2.638
Actual property sales to P10 net of estimated costs	2.657
Secured capital receipts to date	**7.146**
Potential current year farms sales	0.850
Potential current year non-farms sales	0.015
Potential development property sales	2.900
Potential capital receipts	**10.911**
Forecast use of capital receipts	
Budget 2020-21 to repay debt	2.000
Flexible use of capital receipts to support transformation costs	2.000
Total forecast use of capital receipts	**4.000**
Forecast capital receipts carried forward	**6.911**

As can be seen from this table, sufficient capital receipts have been secured to support the 2020-21 revenue budget. Further sales have contributed to the capital receipts reserve which can be used to support future debt repayments, flexible use of capital receipts or to fund capital investment.

Capital Annex 1 - changes to capital programme since last Cabinet

Service	Project	Funding Type	2020-21 Change (£m)	2020-21 REPROFILE	21-22+ Change (£m)	21-22+ REPROFILE	Reason
Adult Social Care	Disabled Facilities Grant	DoH Funding	1.087				
Total Adult Social Care			**1.087**	**0.000**	**0.000**	**0.000**	
Children's							
	School based projects	Internal	0.058				Revenue contriutions from schools
	School based projects	External	0.067				Revenue contriutions from schools
	Academy refunds	Dfe grant	-0.105				Refunds to Academies
	EC4357 Neatherd Academy	Ncc Borrowing		-0.078		0.078	Reprofiling based on expected expediture in year
	EC4357 Neatherd Academy	Dfe Grant		-0.061		0.061	Reprofiling based on expected expediture in year
	Basic need pot	Dfe Grant		-0.484		0.484	Reprofiling based on expected expediture in year
	EC3826 Loddon Dev cont	S106		0.250	-	0.250	Moved back to cover in year allocations
	SEND	NCC Borrowing		0.100	-	0.100	Moved back to cover in year allocations
	EC4901 - Wymondham Academy	External	0.023				Contribution from Enrich Learning Trust
	EC4854 - Swaffham Junior Academy	External	0.003				Contribution from Academy Trust
	Bradwell Developer contributions	S106			0.460		Additional S106 funding received
	Hethersett Developer contributions	S106			1.160		Additional S106 funding received
	Wymondham Developer contributions	S106			4.356		Additional S106 funding received
	Brundall CIL	CIL			1.000		CIL funding
Total Children's Services			**0.047**	**-0.273**	**6.976**	**0.273**	
Museums	Norwich Castle critical M&E	NCC Borrowing		-0.594		0.594	Reprofiling based on expected expediture in year
	Other minor museums movements	NCC Borrowing		-0.013		0.013	Reprofiling based on expected expediture in year
Libraries	Library Book Stock	NCC Borrowing		-0.475		0.475	Reprofiling based on expected expediture in year
	Other minor adj	NCC Borrowing		0.003		-0.003	Reprofiling based on expected expediture in year
	London Road, Attleborough	S106	0.064				S106 Income
	Various other income	S106	0.032				S106 Income
Highways	Long stratton Bypass	DfT block	0.281				Budget adjusted to current programme
	Various other minor adj	External Funding	-0.082				Budget adjusted to current programme
Fire							
	Compact Fire Appliances	NCC Borrowing		-0.789		0.789	Reprofiling according to expected spend in year
	Compact Fire Appliances	DCLG funding		-0.111		0.111	Reprofiling according to expected spend in year
	Fire Station maintenance	NCC Borrowing		-0.158		0.158	Reprofiling according to expected spend in year
	Real fire training unit	NCC Borrowing			-0.035		Virement between Fire/Finance ICT
ETD Other	Experience Targetted Tourism	NCC Borrowing		-0.300		0.300	Reprofiling according to expected spend in year
	Norfolk Windmills	NCC Borrowing		-0.031		0.031	Reprofiling according to expected spend in year
	Data migration project	NCC Borrowing		-0.074		0.074	Reprofiling according to expected spend in year
	Records Office	NCC Borrowing		-0.164		0.164	Reprofiling according to expected spend in year
Total CES			**0.295**	**-2.706**	**-0.035**	**2.706**	

County Farms	Burlingham	NCC Borrowing		-1.077		1.077	Reprofiling according to expected spend in year
	Terrington	NCC Borrowing		-0.671		0.671	Reprofiling according to expected spend in year
	Stow	NCC Borrowing		-0.276		0.276	Reprofiling according to expected spend in year
	Nordelph	NCC Borrowing		-0.258		0.258	Reprofiling according to expected spend in year
	Thurne	NCC Borrowing		-0.249		0.249	Reprofiling according to expected spend in year
	Fire Service Fireground Radios	NCC Borrowing			0.035		Virement between Fire/Finance ICT
Total Finance			**0.000**	**-2.531**	**0.035**	**2.531**	
Total			**1.428**	**-5.509**	**6.976**	**5.509**	