



Corporate Resources Overview and Scrutiny Panel

Date: **Monday 13 January 2014**

Time: **2pm**

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

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

Membership

Mr C Jordan (Chairman)

Mr S Clancy
Ms E Corlett
Mr A Dearnley
Mr P Hacon
Mr S Hebborn
Miss A Kemp
Mr I Mackie
Mr J Mooney

Mr R Parkinson-Hare
Mr A Proctor
Mr D Ramsbotham
Mr W Richmond
Mr B Spratt
Mrs A Thomas
Mr B Watkins
Mr T White

Cabinet Members (Non-voting)

Mr S Morpew Finance, Corporate and Personnel
Mr D Roper Public Protection (Public Health)

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

01603 222966 or email committees@norfolk.gov.uk

For Public Questions and Local Member Questions please contact:
Committees Team on committees@norfolk.gov.uk or telephone 01603 222966

A g e n d a

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

2. **Minutes**

(Page 5)

To receive the minutes of the meeting held on 12 November 2013.

3. **Members to Declare Disclosable Pecuniary Interests (DPI) and Other Interests**

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

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

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

If you do not have a Disclosable Pecuniary Interest you may nevertheless have an **Other Interest** in a matter to be discussed if it affects:

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

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

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

5. **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 or 01603 223230) by **5pm on Thursday 9 January 2014**. For guidance on submitting public questions, please view the Council Constitution, Appendix 10.

6. **Local Member Issues/Member Questions**

Fifteen minutes for local members to raise issues of concern of which due notice has been given.

Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk or 01603 223230) by **5pm on Thursday 9 January 2014**.

7. **Cabinet Member Feedback**
 8. **Scrutiny Forward Work Programme** (Page 19)
Report by the Head of Democratic Services
 9. **Putting People First: Service and Budget Planning 2014/17** (Page 21)
Report by the Heads of Shared Services
- Cabinet members will present the findings from the Norfolk: Putting People First budget consultation and the outcome of the Equality Impact Assessments. The responses will be included here and published on Putting People First webpage (www.norfolk.gov.uk/budgetconsultationfindings).
10. **2013/14 Resources Finance Monitoring Report** (Page 67)
Report by the Interim Head of Finance
 11. **Property Performance Report 2013** (Page 76)
Report by the Managing Director, NPS Property Consultants Ltd.
 12. **Compliments and Complaints Service: April to September 2013** (Page 94)
Report by the Head of Customer Service and Communications
 13. **Employee Health, Safety and Wellbeing Mid Year Report 2013/14** (Page 105)
Report by the Health, Safety and Well-being Manager
 14. **Personal Development for Members** (Page 111)
Report by the Organisations Development Manager
 15. **Filming and Recording at Meetings** (Page 116)
Report by the Head of Democratic Services

Group Meetings

Conservative	1:00 pm	Colman Room
UK Independence Party	1:00 pm	Room 504
Labour	1:00 pm	Room 513

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

Date Agenda Published: 3rd January 2014



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Corporate Resources Overview and Scrutiny Panel

**Minutes of the Meeting Held on Tuesday 12 November 2013
10:00am Edwards Room, County Hall, Norwich**

Present:

Mr C Jordan (Chairman)

Ms E Corlett	Mr D Ramsbotham
Mr A Dearnley	Mr W Richmond
Mr T Garrod	Mr B Spratt
Mr s Hebborn	Mrs A Thomas
Mr I Mackie	Mrs C Walker
Mr J Mooney	Mr B Watkins
Mr R Parkinson-Hare	Mr T White
Mr A Proctor	

Non-Voting Cabinet Members:

Mr S Morpew	Finance, Corporate and Personnel
Mr D Roper	Public Protection

Other Members in Attendance:

Mr R Bearman	Mr R Coke
Mr B Borrett	Dr M Strong

1 Apologies and Substitutes

1.1 Apologies were received from Mr S Clancy (Mr T Garrod substituting), Mr P Hacon (Mrs C Walker substituting) and Miss A Kemp.

2 Minutes

2.1 The minutes of the meeting held on 15 October 2013 were approved and signed by the Chairman.

3 Declarations of Disclosable Pecuniary Interests (DPI) and Other Interests

3.1 There were no declarations of interest.

4 Items of Urgent Business

4.1 There were no items of urgent business.

5 Public Question Time

5.1 There were no public questions.

6 Local Member Issues/Member Questions

6.1 There were no Local Member Issues/Member Questions.

7 Cabinet Member Feedback

7.1 The Cabinet Member for Public Protection reported that the two recent periods of strike action by the Fire Brigade Union had passed quietly. The Fire and Rescue Service had received considerably less calls than during a comparable period. Further strike action was planned for Wednesday 13th November 2013, and plans were in place to ensure adequate cover.

8 Scrutiny Forward Work Programme

8.1 The Panel received the annexed report (8) by the Head of Democratic Services. The report asked Members to review and develop the programme for scrutiny.

8.2 During the discussion the following points were raised:

- It was suggested that the proposed County Farms scrutiny could consider sources of revenue around renewable energy and opportunities for the County Farms Estate arising from this. It was agreed that the scrutiny should focus on maximising the revenue of the estate while remaining a good landlord to the tenants.
- It was suggested that the application and allocation process could be scrutinised. It was confirmed that the scrutiny undertaken in 2008 had covered the application and allocation process, and that information could be sought from that report. It was confirmed that applications for holdings were based on professional business plans, and that an overview of this process could form the basis of a future update report. It was suggested that the administrative processes of the two land agents involved in running the estate could be scrutinised to ensure that they were working to the same criteria.
- It was agreed that a working group of six members would be set up to scrutinise County Farms.
- It was suggested that a scrutiny of the authority's exposure to risk could be considered, with particular reference to procurement and insurance. It was confirmed that risk was scrutinised by each overview and scrutiny panel, and that the Audit Committee received detailed risk registers as part of their remit. It was agreed that a briefing on the authority's approach to risk management would be circulated to members (Appendix 2).

8.3 The Panel **RESOLVED** :

- to note the report and agree the scrutiny topics and reporting dates.
- to set up a working group to scrutinise County Farms, comprising Councillors

White, Mackie, Spratt, Ramsbotham, and Dearnley (Labour representative to be appointed).

- to receive a written briefing on the authority's approach to risk management.

9 Report of the Constitution Advisory Group

Part 1 – Annual Review of the Constitution - 2013

9.1 The annexed report (9) by the Chairman of the Constitution Advisory Group was received. The report set out the recommendations of the Constitution Advisory Group, which had carried out its annual review of the Council Constitution.

9.2 During the discussion the following points were noted:

- It was confirmed that public questions to full council meetings had been considered, with the recommendation not to extend the current arrangements. A well established petition scheme was in place with appropriate thresholds (for example 10,000 signatures triggering a full council debate). E-petitioning was available.

9.3 The Panel **RESOLVED**:

- to recommend the amendments to the Constitution contained within the report to Full Council.

Part 2 – Committee Form of Governance

9.4 The annexed report (9) by the Chairman of the Constitution Advisory Group was received. The report set out the work undertaken by CAG and asked the Panel to consider CAG's conclusions and recommendations

9.5 During the discussion the following points were noted:

- The indicative costs presented within the report had been drawn from the cost of servicing Cabinet meetings, and translated to Committees. These costs could be scaled according to the complexity of any committee governance system, however the figures presented were designed to indicate potential costs associated with a new style of governance.
- The number of committees and changes to the Constitution would be determined by Members, with support provided by officers.
- There was an element of the cost of committees which would relate to mileage, and would be scaled according to the distance travelled by members.
- It was noted that matters such as travel payments for members attending to make representations to Cabinet would be considered along with other more detailed work on the Constitution.
- The overall leadership of the Council would be a matter for decision by Full Council.

- It was suggested that a strong Council model would offer increased democratic involvement, therefore no Policy and Resources Committee was recommended.
- It was noted that in the Cabinet system decisions were transparent and that Cabinet Members were accountable for those decisions. It was agreed that an additional recommendation would be added stating that all decisions would be made by recorded vote to allow for transparency and accountability.
- It was confirmed that although the committee structure could be changed, the decision to move from Cabinet governance to Committee governance could not be changed for five years.
- The final committee structure would be determined by Members, and the suggested high level structure contained within the report could be adjusted as required.
- The Panel made one additional recommendation to those set out in part 10 of the report in that it was agreed unanimously to add an additional bullet point in 10(i), that any decisions taken by committee should be through a recorded vote to ensure public accountability.

9.6 With the above addition, the Panel **RESOLVED** (with 14 members in favour, 0 against and 2 abstentions) that there was sufficient information set out in the report to allow members to make an informed decision and therefore to refer the report (as amended) to the Council for its consideration.

10 Norfolk Energy Futures Ltd Annual Report

10.1 The annexed report (10) by the Investment Panel was received. The report described the annual report for Norfolk Energy Futures Ltd, submitted to Companies House. It described forthcoming projects and investment opportunities being developed by the company.

10.2 During the discussion the following points were noted:

- Any plans for photovoltaic cells at County Hall would be separate to the maintenance and refurbishment programme.
- Wind turbines were shown as fixed assets as they remained the property of Norfolk Energy Futures Ltd. This approach to presenting the information would continue as more projects were completed.
- The £531,000 shown in creditors related to the loan provided by Norfolk County Council who provided the initial funding.
- The relatively small income of £2,500 was due to installations being completed late in the financial year. A significantly increased figure was expected in future years.
- Investment plans would be presented to the Investment Panel and were waiting for partner and customer agreement.
- Assessment would be made of the impact of reduced government grants in relation

to green schemes. Adjustments on the projected savings and benefits would be made.

- It was noted that the contractors who supplied the wind turbines had gone into administration, however a long term maintenance package was being negotiated with the importer.

10.3 The Panel **RESOLVED** to note the report and to continue to support the Council investing in renewable energy projects through Norfolk Energy Futures Ltd.

11 County Hall Maintenance Programme

11.1 The annexed report (11) by the Head of Finance was received. The report provided an overview of the County Hall Maintenance Programme, highlighting additional refurbishment costs associated with providing modern, fit for purpose office accommodation that met current health and safety requirements. It was noted that a report presented to a previous Panel meeting had focussed on maintenance requirements to the structure and outside of the meeting, and that the latest report presented additional costs associated with refurbishment of the internal accommodation and fire safety installations. Savings were being made when satellite offices closed.

11.2 During the discussion the following points were noted:

- It was confirmed that the building did not comply with modern fire safety standards, and that the extent of the additional works had not become apparent until the structural survey had been completed.
- County Hall had never had a maintenance programme in place and had become neglected, resulting in serious structural and safety issues. The current maintenance programme would provide savings over the long term, and would provide a grounding for further ongoing maintenance.
- It was confirmed that carrying out internal refurbishment works at the same time as the necessary structural works provided the most cost effective solution. Budget proposals included the closure of satellite offices, bringing staff into County Hall.
- It was anticipated that between 700 and 800 additional staff would be accommodated in County Hall by providing smaller desks. Car parking policies would be reviewed as staff relocated. This would also encourage closer working between departments.
- It was acknowledged that improved facilities would be required with increased staff numbers. The whole County Hall campus would be reviewed with a view to better public access and small scale retail opportunities.

11.3 The Panel **RESOLVED**:

- To recommend to Cabinet that additional financial provision of £2.48< was included within the Capital Programme for essential fire safety and security works;

- To agree that further updates on budget and costs would be reported within the six monthly progress reports.

12 Service and Financial Planning 2014/17

12.1 The annexed report (12) by the Head of Planning, Performance and Partnerships and the Head of Finance was received. The report set out the financial and planning context for the authority and gave an early indication of what this meant for corporate resources.

12.2 During the discussion the following points were raised:

- It was confirmed that the Public Works Loan Board was usually the cheapest method of borrowing for a local authority.
- The money allocated for the health and social care Integration Transformation Fund was a mixture of new and existing funding. Allocation of the additional funding would be announced in mid-December, and opportunities for dialogue with government ministers were being utilised. The additional funding could not be included within budget calculations until the figures and criteria for using the funding were known. It was not yet clear whether it could be used against increasing cost pressures, or whether it would have to be used for new projects. Expenditure would need to be jointly agreed with the Clinical Commissioning Groups. The Public Health budget would be considered through the Corporate Resources Overview and Scrutiny Panel, and any new money would be considered through the Health and Wellbeing Board.
- The Public Health budget would be considered through the Corporate Resources Overview and Scrutiny Panel, and any new money would be considered through the Health and Wellbeing Board.
- A budget assumption had been made at 2% for inflation, however it was acknowledged that some services inflation would be higher than this.
- Changes to the model of governance in Norfolk would be included within the figures once the outcome of the Full Council debate on 25th November was known.
- In relation to the Northern Distributor Road, £86M of the £140M scheme would be provided by government grant, with an in principle agreement of further funding being provided by some of the district councils via the Community Infrastructure Levy. Short term borrowing may be required until this money became available. Borrowing was generally used for longer term assets, and the future servicing of any debt was assessed at the time of making a decision regarding whether to borrow.

12.3 The Panel **RESOLVED** to note the report.

13 2013/14 Resources Integrated Performance, Finance and Risk Monitoring Report

13.1 The annexed report (13) by the Head of Planning, Performance and Partnerships and the Head of Finance was received. The report provided an update on performance, finance and risk monitoring for services within Corporate Resources, and presented

information on managing change, service performance, managing resources and improved outcomes for Norfolk people. It was noted that the overspend shown within the Corporate Programme Office was an error and would be corrected for the next report. The latest dividend from the administration of Kaupthing, Singer and Friedlander had been delayed until December.

13.2 During the discussion the following points were raised:

- The £20.81M general balances reserve was for unforeseen expenditure. The authority had agreed to keep a minimum of £16M within the general balances reserve, as part of its financial risk management. Although this reserve could be used, it would only be available to fund expenditure on a one-off basis. In determining whether to use funding above the minimum agreed balance the level of financial challenge for the Council over the next few years would need to be considered in the context of good financial planning to ensure that the authority remained financially stable.
- The carbon and energy reduction project was expected to make savings which would increase over time, with a five year payback on investments.
- The Council was required to hold cash balances in order to manage cash flow. The financial benefits of repaying debt early would always be explored. Following the Icelandic Bank crisis in 2008, all councils had taken a more risk adverse strategy to managing cash balances.
- The Council was required to ensure that expenditure did not exceed available resources, being mindful of the level of reserves and cash balances which would fluctuate constantly.

13.3 The Panel **RESOLVED** to note the report.

14 Customer Service Strategy – 6 month progress report

14.1 The annexed report (14) by the Head of Customer Services and Communications was received. The report updated members on performance against the strategy and its objectives. The Head of Customer Services and Communications noted that the current strategy was coming to an end and that a new strategy was being developed in line with the pace of change in technology, and the Digital Norfolk Ambition programme.

14.2 During the discussion the following points were noted:

- It was confirmed that the total current funding for Norfolk's Citizens Advice Bureaux would be transferred to the Integrated Commissioning Team in Community Services at the end of the current funding period (April 2014). This change would bring together Norfolk County Council's funding of this service alongside that for specialist contracts related to information, advice and guidance services. The Integrated Commissioning Team had already started discussions with the Citizens Advice Bureaux about the potential future funding arrangements.

14.3 The Panel **RESOLVED** to note the report.

15 Recruitment of Senior Managers at NCC

15.1 The annexed report (15) by the Acting Head of HR was received. The report outlined the context of recent turnover of staff, the approach to senior recruitment, the role of elected members in senior recruitment and how senior pay was determined.

15.2 During the discussion the following points were noted:

- It was confirmed that the Personnel Committee would consider issues around recruitment to senior officer roles.
- The Acting Head of HR agreed to provide the budget figure for interim senior managers including agency costs, together with a comparison to costs for a substantive post holder (Appendix 3). It was noted that this was not a like-for-like situation and that permanent appointments would incur costs around learning and development, whereas interims could provide immediate experience.
- Each situation was assessed as to whether an interim with immediate experience was required, whether there could be a delay in appointing to a post, or whether a permanent position should be offered. It was acknowledged that in some cases it was appropriate to recruit senior managers with experience rather than those on a career development pathway.
- It was acknowledged that interims were appropriate at the present time, as they were needed to bring immediate expertise to a number of important council priorities, for example in Children's Services improvement programme, and the current financial situation. Experienced interims could guide the authority through the period of change.

15.3 The Panel **RESOLVED** to note the report.

The meeting concluded at 12noon.

CHAIRMAN



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Corporate Resources Overview and Scrutiny Panel
Tuesday 12th November 2013

Agenda Item Number/ Minute Number	Report Title	Action	Response
8	Scrutiny Forward Work Programme	Provide details of approach to risk management.	See Appendix 2
15	Recruitment of Senior Managers at NCC	Provide the budget figure for interim senior managers including agency costs, together with a comparison to costs for a substantive post holder.	See Appendix 3

An overview of Risk Management at Norfolk County Council

The documents “Well Managed Risk - Norfolk County Council Management of Risk Policy” and “Well Managed Risk - Norfolk County Council Management of Risk Framework” are the basis for risk management activity throughout Norfolk County Council and they identify the principles that we, as a County Council, aspire to and list the main benefits to be realised by appropriate and effective risk management. These 2 documents can be found on the risk management website, details of which are set out at the bottom of this report. The risk management principles reflect the guidance found in both the ISO 31000 International Standard Risk management – Principles and guidelines and HM Government M_o_R Management of Risk: Guidance for Practitioners.

By adhering to the principles set out in the framework the County Council is able to realise the benefits that an appropriate risk management process provides. The framework delivers a standardised, innovative approach to the management of enterprising and certain operational risks as well as adopting a more consistent approach to the reporting of risk to Full Council, Cabinet, Committees, Overview and Scrutiny Panels, Chief Officers, boards and management teams at all levels.

The risk management framework describes a five stage process that, when followed will guide all those engaged in risk management to identify risks, develop, monitor and review risk registers and enable risks to be escalated to the appropriate level. It also provides guidance on who has specific responsibilities within the risk management arena.

The five stages set out within the framework and known as the “Core Phase” and are described as follows:

- Establish the context – this defines the basic parameters for risk management.
- Identifying the risk – this stage identifies anything that may affect the achievement of the County Council’s objectives or bring opportunities
- Analyse the risk – this develops a greater understanding of the likelihood of the event occurring within defined timeframes
- Evaluate the risk – this stage determines the risk score from the likelihood and impact criteria. The framework contains the relevant guidance matrices to determine the appropriate likelihood and impact scores
- Treat the risk – this stage identifies how the risk will be managed. There are four options, to avoid the risk (stop doing the activity), reduce the risk (improved training, better or alternative systems), transfer the risk (share the exposure through insurance cover) or tolerate the risk (continue with the activity knowing the risks)

Risks are identified through a variety of methods, include Service planning workshops, brainstorming workshops, one-to-one interviews, reviewing historical

information and lessons learnt logs. Risks are also categorised into areas such as political, economic, social, technological, legislative and environmental.

It is at this stage, once all the relevant information is collated, that a risk register can be compiled. The register will reflect those threats and opportunities that could hinder or enhance our objectives.

The register contains significant information such as:

- The risk description – a clear and precise description of the event
- The inherent risk score – this is the exposure arising from a risk before any action is taken
- The current risk score - the exposure at the time of review
- Tasks to mitigate the risk – those activities that will bring the risk score to the target risk score within the timeframe
- Progress update – the progress against the mitigation tasks the risk owners considers to have been made since the last review
- Target risk score - the exposure we are prepared to tolerate following additional treatments
- Target date – this timeframes the risk within the set time parameters
- Prospects of meeting the target score by the target date – the date at which the risk tolerance level is to be achieved
- The risk owner and the risk reviewer

Risk scores are calculated by multiplying the likelihood and the impact scores together using matrices contained within the framework and are colour coded for ease of reference as follows:

- Low 1-5 (Green) - Risks analysed at this level can be regarded as negligible, or so small that no risk treatment is needed.
- Medium 6-15 (Amber) - Risks analysed at this level require consideration of costs and benefits in order to determine what if any treatment is appropriate.
- High 16-25 (Red) - Risks analysed at this level are so significant that risk treatment is mandatory.

The risk registers are reviewed by the appropriate risk owners on a regular basis where they consider the current risk score and the prospects of the risk meeting the target score by the target date. The risk owner will take into consideration the mitigation tasks and the progress of those tasks to determine the prospects of achieving the target score by the target date. This is a reflection of how well the mitigation tasks are controlling the risk and is key to managing the risk. The position is visually displayed for ease in the “Prospects of meeting the target score by the target date” column as follows:

- Green – the mitigation tasks are on schedule and the risk owner considers that the target score is achievable by the target date.
- Amber – one or more of the mitigation tasks are falling behind and there are some concerns that the target score may not be achievable by the target date unless the shortcomings are addressed.

- Red – significant mitigation tasks are falling behind and there are serious concerns that the target score will not be achieved by the target date and the shortcomings must be addressed and/or new tasks are introduced.

This methodology provides an early warning indicator that there may be concerns when the prospect is shown as amber or red. In these cases further investigation or challenge may be required to determine the factors that have caused the risk owner to consider the target may not be met. It is also an early indication that additional resources may be required to ensure that the risk can meet the target score by the target date.

Risk registers are reported at various levels throughout the County Council:

- Corporate risk register – reviewed quarterly by Chief Officers Group and Audit Committee and by Full Council annually
- Departmental risk registers – reviewed at least quarterly by departmental and service management teams and at least twice yearly by other panels and committees

In addition to the member and chief officer scrutiny of the corporate risk register, the Strategic Risk Managers bring challenge and levelling to departmental risk registers by bringing reports to management team meetings and through discussions with risk owners. This process provides the vehicle to escalate risks from service and departmental risk registers to the corporate risk register if they are beyond the scope of individual departments to manage because they may have a significant impact on the objectives of more than one department.

To provide support and further embed the policy and framework the Strategic Risk Management intranet site has been developed. The site contains useful information including links to the current policy and framework, up-to-date tools, templates and a presentation as well as the most current Corporate Risk Register approved by Chief Officers Group.

To be used in conjunction with the intranet site a new e-learning course, 'How to Manage Risk' has been developed. The course is aimed at Members and officers at all levels and provides an opportunity to gain a better understanding of the County Council's management of risk policy, framework, principles and processes. The course may be accessed via our Learning Hub. Anyone with responsibilities for the risk management process should complete the course. Evidence shows that to date, since the introduction of the course in September 2013, more people have enrolled on this course than for the last three years of the previous course.

Below is a screenshot from the Strategic Risk Management intranet site showing the 'documents and tools' page. The site, which is reviewed and updated regularly, incorporates specific, easily accessible guidance with a variety of tips and hints as well as links to various appropriate tools, documents, templates and a presentation, suitable for elected members and staff at all levels.

Officer Contact: Steve Rayner 01603 224372
steve.rayner@norfolk.gov.uk



[NCC Home](#)

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[Strategic Risk Management](#)

[Well Managed Risk Documents and Tools](#)

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Strategic Risk Management Well Managed Risk

You are in:> [Home](#)> [Finance](#)> [Strategic Risk Management](#)> Well Managed Risk Documents and Tools

Norfolk County Council Well Managed Risk Documents and Tools

To ensure the intellectual property rights of Norfolk County Council are protected please note that the entire contents of the [Strategic Risk Management site](#), including the 'Norfolk County Council Well Managed Risk documents and tools', are for the exclusive use by the employees of Norfolk County Council.

[Well Managed Risk - Management of Risk Policy](#)

[Well Managed Risk - Management of Risk Framework](#)

[Well Managed Risk at Norfolk County Council - PowerPoint Presentation](#)

[Well Managed Risk - Management of Risk Quick Process Guide](#)

[Risk Management Process - Core Phase Template \(Blank\)](#)

Risk Management Process - Core Phase evaluation tools:

- [Generic Risk Impact Criteria Model](#)
- [Likelihood Criteria Model](#)
- [Risk Matrix and Tolerance Levels](#)

[Risk Management Process - Risk Register - Template \(Blank\)](#)

[Risk Management Process - Risk Register - Review and Update Guide](#)

[Risk Management Process - Corporate Standard Column Widths for Risk Registers](#)

Provide the budget figure for interim senior managers including agency costs, together with a comparison to costs for a substantive post holder.

Currently there are 3 senior officer posts which have become vacant in the last six months, each for different reasons. These are the Director of Children's Services, the Director of Environment, Transport and Development and the Head of Finance. All three vacancies are currently being filled on a fixed term basis, for 6 months in the first instance. No employment contract exists between the interims and Norfolk County Council.

The remuneration (including employer on costs) of the Chief Officer core (defined as employees on Chief Officer terms and conditions of employment, plus the Head of Finance post) is:

For the financial year 2012/13 (extracted from the Annual Statement of Accounts)
£1,109,799

As at November 2013 £1,101,380 (projected for 2013/14).

Both of these figures include any on costs (e.g. pension).

Within Children's Services it has been essential to bring the right people in quickly, at a time when senior officers are being sought in several Children's Services departments across the country. This has meant in some instances using an agency to secure experienced and talented interim staff with a strong track record of delivering improvement.

The current Children's Services structure comprises:

- Interim Director of Children's Services
- Interim Assistant Director Improvement
- Interim Assistant Director Early Help and Prevention
- Interim Assistant Director Safeguarding and Looked After Children
- Assistant Director Education Strategy and Commissioning
- Interim Head of Safeguarding

The cost of the above structure (for an indicative 6 month period) is: £380,417.

Scrutiny Forward Work Programme

Report by the Head of Democratic Services

Summary

This report asks Members to review and develop the programme for scrutiny.

Action required

Members are asked to:

- i) consider the Outline Programme for Scrutiny and agree the scrutiny topics and reporting dates
- ii) consider new topics for inclusion in line with the criteria at para 1.2

1. Developing the programme for scrutiny

- 1.1 The Outline Programme for Scrutiny has been updated to show changes from that previously submitted to the Panel on 12 November 2013.

Added – The potential financial contribution of the County Farms estate

Deleted - None

- 1.2 Members of the Overview and Scrutiny Panel can add new topics to the scrutiny programme in line with the criteria below:

(i) High profile – as identified by:

- Members themselves (through meetings with constituents etc)
- Public (through surveys etc)
- Media
- External inspection

(ii) Impact – this might be significant because of:

- The scale of the issue
- The budget that it has
- The impact that it has on members of the public (this could be either a small issue that affects a large number of people or a big issue that affects a small number of people)

(iii) Quality – for instance, is it:

- Significantly under performing
- An example of good practice
- Overspending

(iv) It is a Corporate Priority

2. Section 17 – Crime and Disorder Act

2.1 The crime and disorder implications of the various scrutiny topics will be considered when the scrutiny takes place.

3. Equality Impact Assessment

3.1 This report is not making proposals that will have a direct impact on equality of access or outcomes for diverse groups.

4. Other Implications

4.1 Officers have considered all the implications which Members should be aware of. Apart from those listed above, there are no other implications to take into account.

5. Action required

Members are asked to:

- i) consider the Outline Programme for Scrutiny and agree the scrutiny topics and reporting dates
- ii) consider new topics for inclusion in line with the criteria at para 1.2

Outline Programme for Scrutiny

Meeting date	Topic	Administrative business
10/3/14	County Hall Maintenance Programme: Six Monthly Progress Report The potential financial contribution of the County Farms estate	Last reports in September & November 2013. Progress report of the Member working group.

Scrutiny items completed by the Panel during past year:

- Business Process Re-engineering (March 2013)
- Public Sector Pensions (March 2013)
- The County Council's Usage of Water (September 2013)
- Carbon & Energy Reduction Programme Report for 2012/13 (October 2013)
- Energy & Carbon Management Programme 2014-2020 (October 2013)
- Norfolk Energy Futures Ltd. Annual Report (November 2013)
- The process for recruiting senior managers at NCC (November 2013)

Officer Contact: If you have any questions about matters contained in this paper please get in touch with Keith Cogdell 01603 222785 keith.cogdell@norfolk.gov.uk

Putting People First – Service and Budget Planning 2014/17

Report by the Heads of Shared Services

Summary

At its November meeting, the Panel considered a report on proposals for service and financial planning for 2014-17. This report sets out the latest information on the Government's Local Government Finance Settlement and specific information on the financial and planning context for Shared Services Resources for the next 3 years. It also sets out any changes to the budget planning proposals for Shared Services Resources and the proposed cash limit revenue budget for the service based on all current proposals and identified pressures and the proposed capital programme.

Action Required

Members are asked to consider and comment on the following:

- The provisional finance settlement for 2014-15 and the latest planning position for Norfolk County Council
- The updated information on spending pressures and savings for Shared Services Resources and the cash limited budget for 2014-15 in context with the feedback from the consultation reported elsewhere on this agenda.
- The proposed list of new and amended capital scheme and the proposed capital programme for Shared Services Resources

1. Background

- 1.1. A report to Cabinet on 2 September confirmed that the projected funding gap for planning purposes should be increased from £182m to £189m over the three year period 2014/17 based upon information from the Department of Communities and Local Government (CLG).
- 1.2. On 19 September the County Council launched Putting People First, a consultation about the future role of the County Council, and about specific budget proposals for 2014/17. The context for this consultation is the Council's need to bridge a predicted budget gap over the next three years, due to increasing costs, increased demand for services, inflation and a reduction in Government funding.
- 1.3. This paper brings together for Panel Members the following:
 - Financial and planning assumptions agreed by Cabinet in September to inform the Council's budget proposals
 - An updated budget position for Shared Services Resources based on the local government settlement published in December

- A detailed list of costs and pressures facing Shared Services Resources
- A detailed list of proposals for savings

2. Latest Planning Position

- 2.1 Since release of the consultation proposals, changes to pressures and financial risks have emerged. Changes to budget planning assumptions for Shared Services Resources that have arisen since those previously reported at the meeting in November are reflected in Section 7.
- 2.2 In addition, we await a decision from the Secretary of State regarding the called-in planning application for the Willows (Energy from Waste).

3. Provisional Local Government Settlement 2014-15 and the Autumn Statement 2013

- 3.1. The Chancellor of the Exchequer announced his Autumn Statement on 5th December. Following the statement, our planning assumptions remained broadly the same. The Chancellor confirmed that key announcements of an additional £3bn cuts to public sector funding, would not affect local government, but there may be some reductions due to cuts in the Department of Education funding (£167m 2014-15 and £156m 2015-16). We await further details.
- 3.2 Following earlier consultation on the use of **New Homes Bonus Grant** to fund the **Single Local Growth Fund** from 2015-16, it was announced that the funding will not be transferred to the local growth fund except £70m for the London Local Enterprise Partnership. This equates to a reduction in pressures of £1.3m in 2015/16 for NCC as the assumed reduction based on the earlier proposed transfer will not now take place.
- 3.3. There were a number of announcements affecting **Business Rates**. As part of the changes to local government funding and the introduction of the Business Rates Retention Scheme in 2013/14, Council's funding is now linked to collection and growth in business rates. The 2013/14 business rate multiplier was due to increase by 3.2% reflecting the September 2013 RPI figure, which has been confirmed by ONS. However, the RPI increase in business rates will be capped at 2% for 1 year from 1 April 2014. Fully funded business rate policy changes such as:
- Small Business Rates Relief will be extended to April 2015; it was due to end April 2013
 - A 50% business rates relief for 18 months up to the state aid limits will be available for businesses that move into retail premises that have been empty for a year or more.

The provisional settlement provided details of a new Section 31 grant of £1.466m to fund these changes. At present, it is unclear as to whether this will cover the full cost and we are seeking further information as to the breakdown and the timing of this grant.

- 3.4 Earlier in the year, the Government consulted on plans to give local authorities some flexibility to use capital receipts for service reform. This was confirmed within the Autumn Statement and nationally, total spending of £200m will be permitted across

2015-16 and 2016-17. Local authorities will have to bid for a share of this flexibility.

3.5 Department of Communities and Local Government (DCLG) announced the detailed finance settlement for local government on 18th December 2013. This provided provisional details for 2014-15 and the indicative position for 2015-16. Detailed information is included in the Provisional Local Government Finance Settlement 2014-15 paper taken to Cabinet 06 January 14. Headline information is included below.

3.6 The **Settlement Funding Assessment** is the amount of funding a council will receive through the Business Rates Retention Scheme and Revenue Support Grant. For Norfolk County Council, our total Settlement Funding Assessment is:

2013-14 £338.980m

2014-15 £314.154m

2015-16 £274.730m

3.7 In relation to our plans, the settlement funding assessment is £0.295m higher than expected in 2014-15 and £0.464m less in 2015-16. This does not take into account the settlement adjustment grant to compensate for loss of business rates of £1.466m, which is additional to our planned funding forecast in 2014-15.

3.8 The Government has announced that council tax freeze funding will continue and that council tax freeze funding, equivalent to a 1% increase, for 2014-15 and 2015-16 will be built into the spending review baselines for subsequent years. In addition, the Government plans to calculate the 1% increase on the higher taxbase (i.e. the taxbase is not reduced for the element of the taxbase receiving council tax support), this increases funding above our forecast by £0.526m. The government has not yet made any announcement on Council Tax referenda limits, this is expected in January.

3.8 Norfolk County Council currently is part of a business rates pool with Broadland District Council. Cabinet, jointly with other Norfolk councils, agreed to seek Secretary of State approval for the creation of a wider business rates pool from April 2014. This was designated for the following councils:

- Breckland District Council
- Broadland District Council
- Borough Council of Kings Lynn and West Norfolk
- North Norfolk District Council
- Norfolk County Council
- South Norfolk District Council

3.9 The settlement includes information for both individual councils and pools. Individual Councils within the pool have until 14 January 14 to notify DCLG if they no longer want to be part of the pool. If any Council requests to leave the pool prior to this date, the rest of the pool cannot continue.

4. **Implications of the settlement for Shared Services Resources**

4.1. Following earlier consultation on the use of **New Homes Bonus Grant** to fund the Single Local Growth Fund from 2015-16, it was announced that the funding will not

be transferred to the local growth fund except £70m for the London Local Enterprise Partnership. This equates to a reduction in pressures of £1.3m in 2015/16 for NCC as the assumed reduction based on the earlier proposed transfer will not now take place.

An amount of £0.477m has been announced for the **New Homes Bonus Adjustment Grant** for 2014-15, and an indicative figure of £1.213m given for 2015-16.

5. Type of savings

5.1 To provide some context as to the type of savings to be made by Shared Services Resources, the savings have been categorised as follows:

Savings Category	2014-15	2015-16	2016-17	Total 2014-17
	£m	£m	£m	£m
Organisational Change - Staffing	2.769	1.823	0.418	5.010
Organisational Change - Systems	3.174	0.637	1.544	5.355
Procurement	0.094	-0.010	0.000	0.084
Shared Services with External Organisations	0.000	0.000	0.000	0.000
Capital	0.000	0.000	0.000	0.000
Terms & Conditions of Employment	0.019	0.457	0.876	1.352
Income and Rates of Return	0.411	0.452	0.852	1.715
Assumptions Under Risk Review	0.201	-0.122	0.000	0.079
Front Line - Reducing Standards	0.073	0.000	0.083	0.156
Front Line - Cease Service	0.000	0.000	0.000	0.000
Total Savings	6.741	3.237	3.773	13.751

6. Overview and Scrutiny Panel comments

6.1 On the basis of the planning context and budget planning assumptions, Panels in November considered planning proposals and issues of particular significance. At the Corporate Resources Overview and Scrutiny Panel meeting on 12th November, no issues were identified as having particular impact on service delivery and achievement of the Council's priorities.

6. Timetable

6.1 Earlier comments and any arising from this meeting will be reflected in the budget Report, along with other Overview and Scrutiny Panel comments, to Cabinet on 27 January 2014.

6.2 Cabinet will then make their recommendations to County Council meeting 17th February 2014

7. Budget Proposals for Shared Services Resources

7.1 Revenue Budget

7.2 The attached proposals set out the proposed cash limited budget. This is based on the cost pressures and budget savings reported to this Panel in November plus any

subsequent adjustments.

Appendix A shows:

- Base budget
- Total cost pressures
- Total budget savings
- Cost neutral changes – ie budget changes which across the Council do not impact upon the overall Council Tax but which need to be reflected as part of each Service's cash limited budget. Examples are depreciation charges, budget transfers between Services, and changes to Office Accommodation charges.

8 **Capital Budget**

8.1 The context for the NCC capital programme, proposed capital funding and projects within the overall programme is shown in Appendix B.

8.2 The key strategies relating to this committee are those arising from the council's Property Asset Management Plan, and from the Digital Norfolk Ambition programme. The only central government capital grant associated with this committee is a DCMS grant supporting "Better Broadband". As a rule, central government does not allocate capital grants for council's corporate capital or property investment programmes.

Proposals for new funding are for County Hall security and fire safety measures, hardware to support the Digital Norfolk Ambition programme, and an allocation to support Corporate Minor Works and Equality Act requirements.

9 **Putting People First - consultation**

9.1 On 19 September 2013 we launched the Putting People First budget consultation about the future role of the County Council and specific budget proposals for 2014/17. The consultation closed on 12th December. A paper setting out the equality impact assessment of the budget proposals and a summary of the responses relevant to this Overview and Scrutiny Panel is reported to the Panel elsewhere on this Agenda.

10 **Resource Implications**

10.1 **Finance** : Financial implications are covered throughout this report

10.2 **Staff** : Staffing implications are being identified as part of the organisational review programme.

10.3 **Property** : Property implications have been reviewed as part of the overall assessment for individual proposals

10.4 **IT** : IT implications have been reviewed as part of the overall assessment for individual proposals

11 Other Implications

- 11.1 **Legal Implications** : Legal implications have been reviewed as part of the overall assessment for individual proposals
- 11.2 **Human Rights** : Human Rights implications are being assessed on an individual budget proposal basis as part of the Equality Impact Assessment process.
- 11.3 **Equality Impact Assessment (EqIA)** : The assessment of equality impact of the budget proposals is included in a separate report to this Panel.
- 11.4 **Communications** : The Authority has taken a number of steps to inform people about its ambition and priorities, the financial context it faces, the approach it is taking to manage within it, and the specific savings proposals. A public consultation started on the 19th September and closed on the 12th December.
- 11.5 **Health and Safety Implications** : Health and Safety implications will be reviewed as part of the overall assessment for individual proposals
- 11.6 **Environmental Implications** : Environmental implications will be reviewed as part of the overall assessment for individual proposals
- 11.7 **Any other implications** : Officers have considered all the implications which members should be aware of. Apart from those listed in the report (above), there are no other implications to take into account.

12 Section 17 – Crime and Disorder Act

- 12.1 Issues in relation to the Crime and Disorder Act will be reviewed as part of the overall assessment for individual proposals.

13 Risk Implications/Assessment

- 13.1 The main risks associated with these proposals were highlighted in the November Report to Panel however, there are a series of risks which are generic to all Services, these are –
- Service performance:** the risk that the scale of change will impact on performance and on user satisfaction with the Services
- Staffing:** the risk that skills and knowledge may be lost as people leave or are made redundant, and that staff morale is adversely affected
- Capacity for change:** the proposals require significant transformation and change to Services, and there is a risk that there will be insufficient capacity to re-design services and implement new ways of working
- Increasing demand:** there is a risk that where preventative services are being scaled back, that there may – in future – be an increased risk in demand, as people's needs become more pressing.

14 Alternative Options

- 14.1 Alternative options have been considered in individual budget savings proposals

15 Reason for Decision

- 15.1 N/A.

Action Required

Members are asked to consider and comment on the following:

- (i) The provisional finance settlement for 2014-15 and the latest planning position for Norfolk County Council
- (ii) The updated information on spending pressures and savings for Shared Services Resources and the cash limited budget for 2014-15 in context with the feedback from the consultation reported elsewhere on this agenda.
- (iii) Where savings proposals are identified for removal, Members are asked for further suggestions or alternative ideas to equal the amounts identified.
- (iv) The proposed list of new and amended capital scheme and the proposed capital programme for Shared Services Resources

Background Papers

Provisional Local Government Finance Settlement 2014-15 – Cabinet - 06 January 2014

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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 and ask for Louise Cornell or textphone 0344 800 8011 and we will do our best to help.

**Proposed Budget Changes for 2014-17
RESOURCES**

		2014-15	2015-16	2016-17
		£m	£m	£m
	BASE BUDGET	48.933		
	ADDITIONAL COSTS			
	Economy			
	Basic Inflation - Pay (1% for 14-17)	0.424	0.437	0.441
	Basic Inflation - Prices	0.564	0.580	0.597
	Additional cost pressure identified since £189M funding gap			
	Ringfencing of public health grant	0.396		
	Additional Political assistant	0.038		
	Coroners funding capital	0.107	-0.107	
	Total Additional Costs	1.529	0.910	1.038
Ref	BUDGET SAVINGS			
1	Restructure staff management in Procurement			-0.050
1	Reduce staff in Procurement by introducing e-tendering	-0.036		
1	Reduce staff in Procurement by introducing automated document assembly		-0.050	
1	Continued efficiencies in tendering and contract management in Procurement			-0.083
1	Mobile Data Management (Member Tablets)	-0.030		
2	Savings in ICT (one off)	-0.010	0.010	
2	Replace current ICT systems, introducing cheaper solutions	-0.017		
4	Reducing the costs of business travel	-0.019	-0.017	-0.016
4	Reducing the costs of employment	0.000	-0.440	-0.860
7	Take out areas of underspend from the Procurement budget	-0.079		
7	One off use of the customer services development reserve	-0.122	0.122	
8	Stop using temporary staff in Procurement	-0.012		
8	Restructure and reduce the number of corporate and business support staff in Democratic Services	-0.065		
8	Introduce a new staffing structure for the Registration Service	-0.050		
8	Restructure and reduce staff supporting democratic processes	-0.070		
8	End the intern scheme in Customer Services and Communications	-0.026		
8	Do not fill vacant posts in the Customer Services and Communications team	-0.100		

		2014-15	2015-16	2016-17
		£m	£m	£m
8	Review and reduce staffing in Customer Services and Communications to reflect changes in communication practices and the business requirements of the organisation	-0.173	-0.009	-0.042
8	Reduce staff in the Corporate Programme Office	-0.100	-0.100	
8	Reduce staff in the HR Reward team	-0.061	-0.018	-0.018
8	Reduce staff in the HR Strategy team	-0.062		
8	Reduce staff in the Health, Safety and Wellbeing team in HR	-0.066		
8	Restructure and reduce staff across HR	-0.176	-0.296	-0.308
8	Restructure and reduce staff in ICT Services	-1.800		
8	Review and reshape the responsibilities of the Chief Executive's role	-0.031		
8	Reduce the cost of providing a Coroners Service	-0.055		
8	Reduce spend on properties with 3rd parties	-0.300	-0.200	-0.100
8	Office moves for some HR teams	-0.015	-0.015	
8	Consolidate support services into a reduced number of service groups		-1.000	
8	Commercial and industrial waste produced by NCC premises	-0.037		
9	Reduce controllable spend (eg training & subscriptions) in Customer Services and Communications	-0.056		
9	Reduce staff supporting organisational development and learning and development	-0.094	-0.039	
9	Reduce controllable spend (eg training & subscriptions) in HR	-0.116		
9	Reduce spend on attendance at the Royal Norfolk Show	-0.028		
9	Spend less on organisational development and learning and development	-0.065		
10	Restructure the Corporate Resources department to reflect a smaller council	-0.042	-0.400	
10	Reduce staff in Finance by increasing use of technology and changing business processes	-0.800	-0.160	
10	Reduce spend on postage	-0.048		
10	Reduce printed marketing materials	-0.054		-0.054
11	Percentage staff saving from integration of customer insight into new corporate business intelligence function	-0.005		
11	Restructure the Planning, Performance & Partnerships service, creating a new Business Intelligence function	-0.275	-0.188	-0.115
15	Efficiency savings arising from public health skills and resources to remove duplication	-1.205		-1.275
20	Increase charges for Registration Services	-0.080	-0.050	-0.050
20	Increase income from services we sell to	-0.018		

	schools			
20	Increased income from Nplaw	-0.298	-0.058	-0.051
57	Reduce funding to organisations that support and represent the local voluntary sector	-0.045		
58	Move the historical registration records to the Norfolk Record Office		-0.050	
	Putting People First proposals sub total	-6.741	-2.958	-3.022
	Other savings proposals [if any emerging savings]			
	County Hall refurbishment savings		-0.279	-0.751
	Other savings sub total	0.000	-0.279	-0.751
	Total Savings	-6.741	-3.237	-3.773
	COST NEUTRAL ADJUSTMENTS i.e. which do not have an impact on overall Council Tax			
	*Depreciation	-1.384		
	*REFCUS	11.975		
	Debt Management Expenses	-0.002		
	From Community Services: Payments and Billing Team	0.248		
	To Community Services: Local Reform & Community Voices Grant: Independent Complaints Advocacy Service	-0.247		
	Local Reform & Community Voices Grant: Independent Complaints Advocacy Service Grant Income	0.247		
	From Community Services: Social Care Centre of expertise	2.265		
	To Community Services – Transfer relating to Citizen Advice Bureau	-0.364		
	Revision of recharges Interest on Balances to Resources from Finance General	0.010		
	Information Management - Resources	0.004		
	Information Management – to Departments budget reduction in 2 nd year of operation	-0.047		
	Office Accommodation Depreciation - Resources	0.010		
	Office Accommodation Depreciation – allocation to Departments	-0.032		
	Transfer of Carrow reception staff	0.027		
	To Communities: Shared Service budgets relating to the creation of Independence Matters	-0.139		
	Sub total Cost Neutral Adjustments	12.571		
	BASE ADJUSTMENTS			
	Increased public health grant	-0.835		
	Sub total Base Adjustments	-0.835		
	TOTAL	55.457		

FINANCE GENERAL

		2014-15	2015-16	2016-17
	BASE BUDGET	-343.582		
	ADDITIONAL COSTS	£m	£m	£m
	Economy			
	Basic Inflation - Pay (1% for 14-17)	0.006	0.007	0.008
	Basic Inflation - Prices	0.063	0.063	0.063
	Additional annual 0.5% contribution to Pensions	1.171	1.211	1.538
	Additional 3.6% employer contributions for Norwich Airport pension (60%)	0.030		
	Deficit recovery payment for Norwich Airport pension (60%)	0.013		
	Forecast industry insurance increase	0.500		
	Government Policy			
	National single tier pension			3.300
	Funding reductions	25.121	38.960	24.500
	Carbon Reduction Commitment			
	District Councils - council tax support	-0.360		
	Local Assistance Scheme	2.275		
	One-off Transitional grant	1.235		
	One-off grant - Efficiency/New Homes	1.559		
	2 nd Homes pressure	0.040		
	NCC Policy			
	Icelandic Banks Reserve	3.500		
	Car Leasing Reserve	0.750		
	12-13 Underspend	0.272		
	One-off expenditure	-1.398	-0.145	
	One-off - Community Construction Fund	-1.000		
	One-off - Strong and Well (capital element)	-0.500		
	2013/14 CT Freeze Grant	3.478		
	One-off Highways Maintenance	-2.000		
	Committed element of 2 nd year 13/14 CT Freeze Grant	1.168	-1.168	
	Total Additional Costs	35.923	38.928	29.409
Ref	BUDGET SAVINGS			
	New Homes Bonus	-0.904	-0.905	-1.529
	Putting People First proposals sub total	-0.904	-0.905	-1.529
	Other savings proposals			
	Use of second homes money	-1.200	-1.200	-1.200
	Reduction in redundancy		-1.500	
	Reduced cost of borrowing	-1.921	-0.479	-0.853
	Local Government Information Unit Affiliation - notice given not to renew in 14/15	-0.021		
	Cross cutting savings to be allocated	-0.768	0.094	0.000
	Norse dividend	-0.600		
	Other savings sub total	-4.510	-3.085	-2.053
	Total Savings	-5.414	-3.990	-3.582
	COST NEUTRAL ADJUSTMENTS i.e. which do not have an impact on overall Council Tax			
	*Depreciation	6.762		
	*REFCUS	2.008		
	Debt Management Expenses	0.016		
	Public Rights of Way	-0.010		

	2014-15	2015-16	2016-17
	£m	£m	£m
Revision of recharges Interest on Balances to Resources from Finance General	-0.010		
From ETD: Interest payable	0.442		
To Fire: Fire Lease funding	-0.018		
To Libraries: Termination of 3 mobile library leases	-0.024		
Sub total Cost Neutral Adjustments	9.166		
BASE ADJUSTMENTS			
Business Rates capping compensation	-1.466		
New Homes Bonus adjustment grant	-0.477	0.477	
New Homes Bonus adjustment grant		-1.214	1.214
Social Fund (Local Assistance Scheme) Grant Income	-2.275	2.275	
Changes on Settlement assessment	-0.295	0.464	
Community Right to Challenge grant		0.009	
Lead Local Flood grant		0.104	
Sub total Base Adjustments	-4.513	2.115	1.214
TOTAL	-308.420		

Appendix B

A. Capital overview and context: Shared Services Resources

The capital schemes sponsored by Shared Services Resources (referred to as “Resources” in the tables below) are those which do not, or have not fallen under the remit of other services or directorates. The majority of schemes relate to corporate offices, including the structural maintenance of County Hall, or which directly support shared services such as investment in ICT infrastructure.

B. Summary of existing capital programme

The following table shows the position at the end of period 8 in relation to the existing capital programme.

Table B1: Resources total capital programme before new schemes

Service	Original Programme 2013-14	Cumulative Changes To Date	Revised 2013-14 Capital Programme	Revised Future Years Capital Programme 2014-16
	£m	£m	£m	£m
Resources	19.294	1.207	20.501	44.653

Expenditure to the end of period 8 (November 2013) is £3.801m. This has been lower than expected due primarily to the following:

- expenditure on County Hall maintenance programme did not accelerate as rapidly as anticipated with only £2.382m of expenditure incurred to the end of November against a budget of £11.762m for 2013-14. However, the project is now fully underway and it is anticipated that overall costs will be in line with the November CROSP report.
- There has been no expenditure to date against the £5.854m Better Broadband budget due to the staged nature of the grant payments.

The table below shows the elements of the existing Resources capital programme which are planned to take place in 2014-16, including items re-profiled from 2013-14 into 2014-15 and 2015-16.

Table B2: Resources existing capital programme 2014-16 including items re-profiled into 2014-15 and 2015-16.

	Unsupported Borrowing & Capital Receipts	Revenue and Reserves	Government grants	Other Grants and Contributions	TOTAL
	£m	£m	£m	£m	£m
2014-15					
Asbestos Survey & Removal Programme	0.620				0.620
Fire Safety Requirements	0.110				0.110
Great Yarmouth Property Rationalisation	0.420	0.162			0.582
County Hall Refurbishment 2014-15	10.213				10.213
Better Broadband 2014-15	3.011		10.378		13.389
Carbon Energy Reduction Fund	1.100				1.100
Corporate Minor Works (CMW) & Equality Act	0.244			0.008	0.252
Coroners Tables Queen Elizabeth Hospital		0.160			0.160
2015-16					-
County Hall Refurbishment 2015-16	6.787				6.787
Corporate Minor Works (CMW) & Equality Act	0.243				0.243
Better Broadband 2015-16	11.197				11.197
TOTAL	33.945	0.322	10.378	0.008	44.653

Note: no items have been re-profiled to 2016-17. The amounts shown under the County Hall Refurbishment heading are after transfers made from the Corporate Minor Works and Equalities Acts budget in accordance with the County Hall Maintenance Programme updated presented to CROSP 12 November 2013.

C. Capital strategies, prioritisation and evaluation

The Council's Property Asset Management Plan provides a shared corporate approach to property which both informs and is informed by the key plans, policies and strategies at all levels across Norfolk County Council . It sets the broad direction for asset management over the short and medium term and provides the rationale for property decision making.

Another major strategy informing more efficient ways of working throughout the Council is Digital Norfolk Ambition, and the capital investment requirement for 2014-15 arising from this programme is included in table B3 below.

D. Schemes proposed to be added to the capital programme

The following table shows new schemes proposed for 2014-17.

Table B3: Resources capital programme proposed new schemes

Scheme/programme	New schemes 2014-15 £m	New schemes 2015-16 £m	New schemes 2014-15 £m	Funding source
County Hall security and fire safety measures (ref report to CROSP, 13 November 2013: County Hall Maintenance Programme)	1.490	1.000		The overall County Hall strategic maintenance programme is classed as a spend to save project which will result in cash savings from reduced on-going accommodation costs.
Equality Act and Corporate Minor Works (see below for 2014/15)			0.250	Capital receipts: these works are performed for statutory reasons, and do not release cash savings. The scheme has been amended and funding significantly reduced to cover only minor works which are absolutely necessary to address urgent health and safety or Equality Acts issues.
Digital Norfolk Ambition hardware (following reports to Cabinet 8 April and 7 October 2013)	2.857			Funded from Borrowing and/or Capital receipts. On-going borrowing costs to be funded from ICT revenue budget.
Total	4.347	1.000	0.250	

E. Funding of the future capital programme – new items

New funding associated with the service assumed for 2014-17 is shown in the table below. Although the majority of large government capital grants are not ring-fenced, there have been no grants for corporate projects apart from a £15m DCMS capital grant to support the Better Broadband programme. All other corporate projects are funded from borrowing and capital receipts where no other revenue or reserves funding can be identified. Where additional borrowing will clearly result in financial benefits to the authority, the funding is listed as “spend to save”.

Table B4: Resources additional capital funding required for new items

Funding source	Funding 2014-15 £m	Funding 2015-16 £m	Funding 2016-17 £m
Spend to save	1.490	1.000	
Borrowing – financed from existing ICT budget	2.857		
Capital receipts			0.250
Total	4.347	1.000	0.250

F. Schemes to be funded from borrowing – all services

In accordance with the Capital Strategy, departments have the opportunity to submit bids to the corporate capital funding or prudential borrowing to the Corporate Capital and Asset Management Group (CCAMG). These bids relate in the main to schemes or services for which direct Government support is not available but which are nevertheless considered to be a priority. The table below includes these bids, where supported by CCAMG, plus other items which have been subject to Cabinet reports during 2013-14.

Table B5: Proposed and existing schemes to be funded from borrowing

Service	Scheme	2014-15	2015-16	2016-17
		£m	£m	£m
New proposals				
Resources	County Hall security and fire safety measures (ref report to CROSP, 13 December 2013: County Hall Maintenance Programme)	1.490	1.000	
Resources	Equality Act and Corporate Minor Works (see below for 2014/15)	See below for item in Feb 2013 programme	See below for item in Feb 2013 programme	0.250
Resources	Digital Norfolk Ambition hardware (following reports to Cabinet 8 April and 7 October 2013)	2.857		
ETD	Dual Carriageway NDR including Postwick Hub. Future year's estimates as per NATS strategy reported to Cabinet 4 November 2013. Funding to be supported by GNDP funding up to £40m.	See below for item previously introduced in Feb 2013 programme	9.500	20.000
Sub-total new items		4.347	10.500	20.250
Existing items funded from borrowing included in on-going 2013-16 capital programme				

ETD	Dual Carriageway NDR including Postwick Hub (future years shown above).	7.550		
ETD	Norfolk Energy Futures Limited investment fund	7.750		
Resources	Asbestos Survey & Removal Prog (Chief Exec)	0.620		
Resources	Fire Safety Requirements	0.110		
Resources	Great Yarmouth Property Rationalisation	0.420		
Resources	County Hall Strategic Maintenance	10.213	6.787	
Resources	Better Broadband (excluding grant funded element)	3.011	11.197	
Resources	Carbon Energy Reduction Fund	1.100		
Resources	Corporate Minor Works (CMW) & Equality Act (after re-allocations to County Hall programme)	0.244	0.243	
Items re-profiled from earlier capital programmes				
Children's services	Various projects, including items to be funded from borrowing for which funding from revenue and reserves, but where this funding was substituted for borrowing on other projects to minimise the revenue impact of borrowing.	7.571	0.200	
Community Services	Libraries Refurbishment and adaptations	0.314		
ETD	Drainage improvements at Household Waste Recycling Centres – a rolling programme of works to meet Environment Agency requirements	1.756		
Fire and Rescue	Kings Lynn Satellite Station	1.862		
Fire and Rescue	Fire Training Building and other station improvements	0.184	0.153	
Sub-total existing		42.705	18.580	0
Total		47.052	29.080	20.250

Norfolk - Putting People First

Findings from the public consultation and the outcome of the equality impact assessments for proposals affecting Corporate Resources

Proposals for cutting our costs and getting more efficient (savings in brackets):

- P1 Changing the systems & arrangements we use for buying things (£0.249m)
- P2 Make use of newer and cheaper ICT systems and practices (£7.861m)
- P4 Improve the way we manage, buy, lease & fuel vehicles & equipment (£4.356m)
- P7 Improving our internal financial planning arrangements (£0.351m)
- P8 Reviewing management, staffing & accommodation arrangements (£8.687m)
- P9 Reducing training, subscriptions, events & other areas of spending that don't directly support services (£1.927m)
- P10 Make our systems & processes smarter & more efficient (£5.058m)
- P11 Make better use of information we have about Norfolk & its citizens to ensure the Council services better reflect local needs (£0.583m)
- P15 Use Public Health skills & resources to improve the way the Council promotes people's health, wellbeing & independence (£2.48m)
- P20 Make more income from chargeable services (£5.999m)

Proposals that involve service changes, reductions or cuts that have been consulted on:

- P57 Reduce funding to organisations that support and represent the local voluntary sector (£0.045 million)
- P58 Move the historical records to the Norfolk Record Office (£0.05 million)

1. Introduction

- 1.1 On 19 September the County Council launched Putting People First, a consultation about the future role of the County Council, and about specific budget proposals for 2014/17.
- 1.2 The proposals set out the Council's initial plans for bridging a £189 million budget gap in the next three years. This gap is made up of things like increasing costs, rising demand for services, inflation and reduced government funding. More details about the financial context for the proposals can be found in the financial planning report to Cabinet on 2 September, and in the Financial & Service Planning reports on the agenda at each Overview & Scrutiny Panel meeting in January.
- 1.3 This paper outlines the approach taken to the consultation and impact assessment of proposals. It summarises the main impacts as well as points and contentions raised about the overall approach proposed in Corporate Resources. It then summarises for each proposal two main things:
 - The findings from the consultation; and
 - The outcome of the Equality Impact Assessments (EQIAs)
- 1.4 Finally, Appendices A to C present for each proposal more detailed summaries of the consultation findings and equality impact assessments.
- 1.5 This report sets the context to, and should be read in conjunction with, the finance and service planning report being presented to Overview & Scrutiny Panel.

What is the difference between the consultation findings and the equality impact assessments?

- 1.6 It is important that we present the findings from both the consultation and from the equality impact assessment process.

- 1.7 In analysing and reporting the consultation findings we have sought to present what people think of the proposals. In most cases this will mean their personal opinions and views.
- 1.8 Equality impact assessments are evidence based, incorporating analysis of user and service data as well as the views of people who could be affected, to determine the likely impact of proposals. They are the way we pay due regard, as required by the Equality Act 2010, to the impact that service changes might have on different groups of people. In addition, where the equality impact assessment process shows that changes may have a disproportionate negative impact on specific groups, it then also identifies mitigating actions that might be taken to reduce the impact. These mitigating actions are not formal recommendations at this stage, though Members may want to take them into account.
- 1.9 Responses to the consultation and the outcomes of the EQIAs are two of several factors that Members will consider as they set the budget. As outlined in the Putting People First proposals document, the other factors are:
 - The evidence of need and what is proven to work effectively and well
 - The financial position and constraints at the time
 - Any potential alternative models or ideas for making the savings

2. How was the consultation conducted?

- 2.1 Full details of the Council's future role, and of its proposals for saving money, were published at the start of the consultation period here: http://www.norfolk.gov.uk/Council_and_democracy/Interact_with_us/Norfolk_putting_people_first/index.htm.
- 2.2 The web site includes copies of all of the proposals and links to videos of each Cabinet Member explaining the approach in their area.
- 2.3 People were encouraged to respond in any of a number of ways including via the Council's web site, letter, email, telephone (via the Customer Service Centre) and through social media such as Twitter and Facebook.
- 2.4 A range of measures were put in place to publicise the proposals, and significant coverage in the local press has helped generate responses. Response forms were made available in libraries for service users who preferred to reply in writing instead of completing the on-line survey.
- 2.5 In addition we organised or took part in a series of consultation events that people could attend to have

Equality Impact Assessments

An equality assessment of each proposal has been undertaken to determine any disproportionate impacts on people with protected characteristics.

When making decisions the Council must give due regard to the need to promote equality of opportunity and eliminate unlawful discrimination of people with the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

Equality assessments are evidence based, taking into account analysis of user data and the views of residents and service users.

Where disproportionate impacts are identified consideration has been given to how these can be avoided or mitigated. It is recognised that it is not always possible to adopt the course of action that will best promote equality; however the equality impact assessment process enables informed and transparent decisions to be made.

Rural 'proofing'

An assessment of the rural issues arising from proposals has also been undertaken to determine the impact on rural communities. The rural proofing exercise has been integrated within equality impact assessments.

their say. In many instances these events were organised to engage with specific groups of people – for example older people, people with disabilities and carers. This has enabled us to understand, through our equality impact assessments, whether our proposals are likely to have a disproportionate impact on particular groups.

3. How the Council has analysed people's views

3.1 Every response the Council has received has been read in detail and analysed. This analysis identified:

- The range of people's views on the proposal/s
- Any repeated or consistently expressed views, and whether or not the responses represented a consensus of views
- The reasons people support or object to the proposal/s
- The anticipated impact of proposals on people
- Any alternative suggestions

4. Who responded to the Corporate Resources proposals we consulted on?

4.1 A number of submissions were received that stated that they were being made on behalf of a group or organisation. In some instances (for example signed letters) we are able to verify that these are official responses from that organisation. Where responses have been made in other formats it has not been possible to verify all submissions. The responses that stated that they were from a group or organisation included (proposal in brackets):

- Broadland District Council (P57)
- County Community Safety Partnership (P57)
- Fakenham Town Council (P57)
- Great Ellingham Parish Council (P57)
- Healthwatch Norfolk (P57)
- INDIGO Foundation (Norfolk) the Charity (P57)
- Joint health and social care and voluntary sector strategic group (P57)
- Norfolk Area Ramblers Association (P58)
- Norfolk Community Law Service and Norfolk Community Advice Network (P57)
- Norfolk Neurology Network & MS Society (P57)
- Norfolk Rural Community Council (P57)
- Retired members' section of the Norfolk County branch of Unison (P57)
- Stop Norwich Urbanisation (P57 & P58)
- Taverham Parish Council (P57 & P58)
- The Guild Social Economy Services CIC (P57)
- Voluntary Norfolk (P57)
- West Norfolk VCA (P57)
- Wymondham Music Festival, Wymondham Arts Forum and Wymondham Words (P57)
- YMCA & Rethink Mental Health & Riversdale (P57 & P58)

4.2 The majority of these organisations responded to '**P57 Reduce funding to organisations that support and represent the local voluntary sector.**' A range of other organisations commented more generally on issues within the budget consultation that impact on the voluntary and community sector. Where appropriate these comments are reflected in the analysis.

4.3 In total 373 responses were received on proposals relevant to Corporate Resources.

4.4 When submitting their responses we asked people to tell us the basis upon which they were responding – for example whether they were responding as a member of the public, a service user or a carer. We also asked them about their age, gender and other background information.

Of those that were happy to tell us this information:

- 54% of respondents were male, 46% female
- 60% were aged 45-64
- 21% were over the age of 65
- 14% of respondents told us that they had a disability

5. What did people think about the Council’s priorities and overall approach?

5.1 As part of the consultation people were asked to comment on the Council’s priorities, approach, overall package of proposals, and the specific proposal to freeze Council Tax. They were also asked to consider what else the Council might do deliver savings. To summarise the findings from these questions:

5.2 **The Council’s three priorities (Excellence in Education, Real Jobs, and Good Infrastructure).** A significant number of respondents – around 30% of people who commented on the priorities – said that they agreed with them. A smaller proportion – around 5% – clearly stated that they didn’t support them (with the remainder not stating support or otherwise). Respondents, including some educational organisations, felt particularly strongly about “Excellence in Education” with many highlighting its importance as a building block for improving Norfolk’s long term prospects. There were more mixed views about the importance of “Good Infrastructure” and “Real Jobs”. Many people supported the idea of improving infrastructure particularly given Norfolk’s rural nature, but others suggested that it wasn’t as important as some other areas of council business. Those agreeing with ‘Real Jobs’ felt strongly about supporting the economy, whereas others questioned whether this was the role of the County Council. In addition to the three priorities outlined, a high proportion of respondents felt that the Council should also be prioritising vulnerable people, particularly given the County’s high and growing number of older people. A smaller number of people felt that public safety or the environment should be priorities. Several respondents also felt, irrespective of their support for the priorities, that they are “aspirational”, “fine in principle” or “easy to say”. Others said they found it difficult to comment due to a lack of detail on how the priorities will be achieved.

5.3 **The Council’s approach and strategy for bridging the funding gap.** Again, a higher proportion of respondents that answered this question clearly stated that they accepted the approach and strategy (around 25%) than rejected it (around 4%). Those in support felt it was a “sound”, “pragmatic” or “common sense” approach, with some reflecting that the Council has limited options. Of those who didn’t agree with the approach, several suggested that it was not radical enough. Others said that the Council was “salami slicing” services bit-by-bit when a bolder approach was required. Some people also said that they were worried that changes in one part of the organisation might create demand in another part, or result in cost shifting to other public sector organisations. There was also some concern about the longer term impacts of the changes. A number of ‘hot topics’ emerged in the responses. For some of these there were differing views – for example, several people argued for and against the increased use of technology, the sale of assets and the outsourcing of services. Other ‘hot topics’ generated a more consistent response. There was a broad consensus that the Council should collaborate more with other organisations, improve its processes, get better at procurement and do more to lobby central government. Finally, a large number of responses suggested that the Council should address what many regarded as problems with public sector organisational culture.

Suggestions included reducing officer and member pay, reducing bureaucracy and 'red tape', having fewer meetings and stopping 'silo working'.

- 5.4 **The overall package of proposals.** Some proposals clearly generated more responses than others. The most responded-to proposal was 'P27 Reduce the transport subsidy provided to students aged 16-19'. All of the proposals relating to libraries received a high number of responses (partly because library users were able to respond as part of their visit during the consultation period). Other proposals or issues prompting a high number of responses include those to stop subsidising the Schools Music Service, to reduce funding for wellbeing services for people receiving social care through a personal budget, and to introduce charging at household recycling centres. People were asked to consider the balance and overall impact of all of the proposals together. Responses generally reflected those about the Council's priorities and approach, and in particular people felt that overall the proposals would disproportionately affect vulnerable people. Several organisations described their anxiety about the impact of proposals on vulnerable people – for example a response from Clinical Commissioning Groups and NHS providers in Norfolk outlined their concerns about the impact of cuts in Childrens and Community services on their own services (for example GP surgeries and hospitals). People were also worried about the cumulative impact of proposals – where individuals are simultaneously affected by cuts to different services they receive. Some organisations were concerned about cost-shifting and requested that the County Council engage with them more in the future design of service delivery.
- 5.5 **The Council's proposal to freeze its share of Council Tax.** Around 515 people responded to the question about freezing Council Tax, with about 26% of people stating that they agree with the proposal. A small proportion felt that Council Tax should be cut. Those agreeing with the freeze either felt that an increase in Council Tax would be unaffordable and unfair, or disagreed with an increase because they principally or ideologically felt that tax should be kept to a minimum. Around 55% of people stated that they disagree with the freeze (with the remainder neither agreeing nor disagreeing). Those rejecting the Council Tax freeze had quite consistent views, with most suggesting that a small increase of 1 or 2%, or in line with inflation, would be better. They felt that the increase would be justified on logical or commercial grounds. Many people qualified their support for an increase stating that it should be directly spent on vulnerable people or on specific service areas. Some also suggested that the council would need to be very clear about what an increase would be spent on. Of those people who neither agree nor disagree with the proposal, several acknowledged the practical and political difficulties of 'unfreezing' Council Tax given central government pressure and incentives. Others felt that a Council Tax freeze is appropriate now, but that an increase should be applied in future years. A number of people felt that increasing Council Tax should have been an option in the consultation.
- 5.6 **Any other things they think we should consider.** A huge range of alternative suggestions for saving money were received. Many of these related to very specific areas of service and are covered in the detail of this and other Cabinet Portfolio reports. In terms of more general ideas several people suggested:
- Transferring services to the voluntary or community sector
 - 'Decentralising' services by moving away from single buildings (County Hall) and into communities
 - Moving to a strictly 'statutory minimum' level of service – so not providing non-statutory services
 - Making all non-statutory services self-funding
 - Being more energy efficient

- Stopping printed council publications and translation services
- Changes to staffing arrangements – so pay freezes, redundancies, moving to a 35 hour week and staff parking charges
- Reducing opening times for council buildings and services.

5.7 **What did people think of the council's approach to the consultation?** Alongside comments about the proposals over 240 respondents commented on how the Council went about the consultation.

5.8 Some people felt that consultation documents were inaccessible, finding both the web sites and the document difficult or too large to navigate. Some feedback was received about the format and delay in making easy read consultation documents available, which could have disadvantaged some disabled residents. Others challenged the language used in the proposals, suggesting that they should use more plain English. A relatively large number of respondents, whilst expressing their concerns about proposals, suggested that the Council would not listen to the views expressed in the consultation, and that decisions had already been made.

5.9 A number of positive comments were also received. Some respondents were pleased to be able to respond via social media sites, and others suggested that the consultation document was comprehensive and considered. In addition, positive feedback was received from many of those involved in consultation events, with participants stating that they welcomed the opportunity to explore the proposals with council elected Members.

6. What did people think about the proposals to cut our own costs and become more efficient?

6.1 As part of the consultation people were asked to comment on the Council's approach to cutting our own costs and becoming a more efficient organisation. This category of savings, which represents over half of the savings identified, relate to our working practices, streamlining processes, using staff and resources efficiently and procuring goods and services effectively.

6.2 Almost 300 responses were received about these proposals, 14% of which were received from Norfolk County Council staff members. On the whole, people were supportive of these changes, with many questioning why they hadn't already been made. Below is a summary of responses relevant to Corporate Resources.

6.3 **How we buy things (P1, P2 & P4).** Those who commented on these proposals were generally in support of more open, less complex and transparent procurement processes. It was felt that this could benefit the voluntary sector and smaller suppliers. Some felt that this was an area where greater savings could be made (**P1**). There was some scepticism about the savings to be gained from making use of newer and cheaper ICT systems (**P2**), with a number of people concerned about value for money and this costing more than has been budgeted. There was general support for changes to Norfolk County Council vehicles and reducing mileage with some respondents commenting that lease cars are expensive and underused (**P4**).

6.4 **How we organise our staff and resources (P7-14).** Several of these proposals received many comments (**P8-10**). There was general support for rationalising managers and staff numbers (**P8**), although some respondents felt it would be better to reduce salaries, rather than cut jobs. Concern was expressed about the impact on employees and their families, as some would face difficulties finding work in the current job market. Some made the point that this seemed at odds with the Council's priority of achieving Real Jobs. Some respondents suggested that more could be done to tackle sickness absence, whilst others were concerned about the wellbeing of staff during significant changes (**P8**). A number of

respondents emphasised the importance of having the right staff, with the right skills – there was concern about cutting the training budget from this perspective (P9). Comments were also made about the importance of providing opportunities for continued professional development in making the Council an attractive employer. There was a desire to protect and not put additional pressure on frontline workers. A few comments were made about working practices at the Council, including the need to reduce silo working and encourage more flexible working. There was general support for making better use of Norfolk County Council property and taking steps to reduce energy use and utility bills (P8). People supported the need to make our systems and processes smarter and more efficient – with some respondents requesting that we reduce marketing and stop producing Your Norfolk, though conversely some people were concerned about the use of greater digital media with older and vulnerable people less likely to engage (P10).

- 6.5 **How we work with others (P15&16).** Very few responses were received to these proposals. There was general support for working more effectively with district councils (P16), though people felt the proposal to make better use of public health skills across the Council was unclear (P15).
- 6.6 **How we generate income (P20).** There was a mixed response to this proposal. Respondents were reluctant to see an increase in charges for services, for example charging at museums and for registering births and deaths; people made the point that this could impact on low income families. A number of people reflected that whilst it made sense for the Council to cover its costs, there should be emphasis on reducing the cost of services too. A number of people stressed that having high quality services was critical. Some respondents cautioned against putting local Small and Medium Enterprises under greater pressure. There was support for securing more EU funding, but also concern about becoming reliant on this.

7. What did people think about the Council's proposals for unavoidable service changes, reductions or cuts in Corporate Resources

- 7.1 Three hundred and seventy three individuals and groups responded to the two Corporate Resources proposals. Both proposals received a similar number of responses – almost 200 for each, but more groups and organisations responded to **P57 Reduce funding to organisations that support and represent the local voluntary sector.**
- 7.2 We received mixed feedback about **P57 Reduce funding to organisations that support and represent the local voluntary sector.** Just over a third of respondents supported the proposal, though some people did so reluctantly, with the main reason for support being that they felt the voluntary sector could access other funding streams. Many of those disagreeing with the proposal (around 40% of respondents) did so because they felt the cuts would be a false economy – as in some areas the Council is looking for the sector to take more of a role in supporting vulnerable people or delivering services, and this could undermine that:

“Cutting back on the work of voluntary sector infrastructure is likely to result in more money being wasted than saved, as individual organisations, cut off from their valued sources of support, become increasingly inefficient as their focus is drawn away from delivering their 'front line' services to more basic matters of survival.”

A number of respondents felt that the voluntary sector should collectively review how it works together to reduce costs and provide value for money.

- 7.3 There were no **consultation events** that specifically sought feedback on the proposals for Corporate Resources. However, comments on P57 were received from people attending a range of consultation events – including the three held specifically for the voluntary and community sector. Analysis of feedback from events identifies that people would like to

see a sustainable, longer term view of how the voluntary and community sector can support the Council in delivering its priorities for communities. Overall, there was support for the Council reviewing its approach to commissioning from the voluntary and community sector – to ensure that they are appropriately engaged in determining and delivering value for money services.

- 7.4 None of the **groups and organisations** that responded to P57 supported the proposal. Some highlighted the benefits of infrastructure groups to the wider voluntary sector – such as compiling funding bids, and felt that a reduction in funding may limit the range of support that could be provided. There was concern that smaller voluntary groups in particular would be affected by this, which could have longer term implications for their existence and ability to support the Council’s priorities.
- 7.5 A number of **alternatives** were suggested by respondents to P57. These included:
- Work more collaboratively with the voluntary sector to design and deliver future services
 - Fundamentally review funding provided to the voluntary sector
 - Better and more efficient commissioning of the voluntary sector
- 7.6 It should be noted that a significant number of respondents to P57 misinterpreted the proposal, and understood it to mean that the Council would reduce funding to frontline voluntary and community groups rather than infrastructure organisations.
- 7.7 There was general support for **P58 Move the historical records to the Norfolk Record Office (NRO)**. The majority of respondents favoured having a centralised point of access for records, with some referring to the ease of online access to records. A small number of people disagreed with the proposal on the basis that the NRO is located in Norwich, which for them makes it difficult to access. A quarter of respondents identified themselves as users of the registration service. This proposal was not specifically discussed at any consultation events and no alternative suggestions emerged.

8. Outcome of the equality impact assessments of proposals

- 8.1 Detailed Equality Impact Assessments (EqIAs) have been carried out on each of the proposals relevant to service changes in Corporate Resources; these are presented in the appendices.
- 8.2 Neither of the proposals were assessed as having adverse disproportionate impacts on protected groups.
- 8.3 In addition, we have considered the likely impact that proposals to cut our own costs and become more efficient will have. The approach we have taken to assess these proposals is proportionate given that they are internal process or function changes and will have little or no impact on the service customers receive. An EqIA is presented in appendix C, which identifies a number of actions to ensure that as we deliver these internal savings proposals there will not be adverse impacts on particular groups.

9. Supporting papers

- 9.1 The appendices accompanying this report present more detailed summary information for both the consultation responses and the equality impact assessments. There is a separate appendix for each report, as follows:

Appendix Ai: Consultation responses summary for P57 Reduce funding to organisations that support and represent the local voluntary sector 10

Appendix Aii: Equality Impact Assessment for P57 Reduce funding to organisations that support and represent the local voluntary sector 13

Appendix Bi: Consultation responses summary for P58 Move the historical records to the Norfolk Record Office 17

Appendix Bii: Equality Impact Assessment for P58 Move the historical records to the Norfolk Record Office 18

Appendix C: Equality Impact Assessment of proposals 1-20 for cutting our own costs and becoming more efficient 21

Appendix Ai: Consultation responses summary for P57 Reduce funding to organisations that support and represent the local voluntary sector

Feedback from consultation events

This proposal was raised at five consultation events including:

1. Norfolk Rural Community Council 19.30 – 21.00, 13th November 2013, RCC Offices, Dereham: 30 representatives from rural and voluntary sector.
2. Norwich / North voluntary sector consultation event
3. Staff event, 9 October 2013, Carrow Abbey, Norwich: 40 attendees
4. West Norfolk VCA , 10am – 12 noon, 18th November 2013, PDC, Kings Lynn: 11 representatives from rural and voluntary sector; Mencap, Community Transport, Older People Forum, Learning Difficulties, child contact centres.
5. 3 December 2013, Open. Attendees: LGBT Representatives

At these events there was recognition that:

- There are opportunities for the voluntary sector to work better together
- A sustainable, longer term view of how the voluntary and community sector can support the County Council in delivering its priorities for communities is needed
- The County Council should review its approach to commissioning from the voluntary and community sector to ensure that they are appropriately engaged in determining and delivering services and that commissioned services are monitored to confirm that they provide value for money.

Organisation, group or petition responses

Eighteen organisations or groups responded to this proposal:

- INDIGO Foundation (Norfolk) the Charity
- Taverham Parish Council
- Voluntary Norfolk
- Healthwatch Norfolk
- Wymondham Music Festival, Wymondham Arts Forum and Wymondham Words
- YMCA & Rethink Mental Health & Riversdale
- Fakenham Town Council
- Norfolk Neurology Network & MS Society
- County Community Safety Partnership (CCSP)
- Retired members' section of the Norfolk County branch of Unison
- Norfolk Community Law Service and Norfolk Community Advice Network
- Broadland District Council
- Great Ellingham Parish Council
- Stop Norwich Urbanisation
- The Guild Social Economy Services CIC
- West Norfolk VCA
- Joint Health and Social Care and Voluntary Sector Strategic Forum
- Norfolk Rural Community Council

A range of other organisations commented more generally on issues within the budget consultation that impact on the voluntary and community sector. Where appropriate these comments are reflected in this analysis.

No petitions were received.

No organisations stated that they agreed with this proposal.

Some respondents highlighted the benefits of the support that is offered to the voluntary sector, such as in compiling funding bids, and felt that a reduction in funding may limit the range of services that could be provided. There was concern that this would then impact on smaller voluntary sector groups who rely on the support offered to compile funding bids and that this could prove more costly in the longer term as these organisations would not be able to successfully bid for projects that help to deliver the County Council's strategy.

One respondent said they rely on public sector funding rather than subsidies by direct service delivery. There was concern that costs could be shifted to front line voluntary organisations.

Alternatives suggestions included:

- Voluntary sector organisations would like the County Council to engage and work collaboratively with them more in the design and delivery of services in the future.
- Carrying out a fundamental review of funding to the voluntary sector to develop a sustainable approach to funding
- Seeking to improve/ making more efficient the way the Council commissions from the voluntary sector

One respondent asked that the County Council does not cut the budget of the Norfolk Association of Local Councils.

Looking at all of the responses, are there any consistent, repeated or notable reasons given for people's views in supporting the proposal?

Some of those agreeing with this proposal did so with regret while others felt more strongly and stated that all funding should be withdrawn.

Those in agreement with this proposal felt that voluntary sector organisations had other funding streams available or that they should seek sponsorship.

Looking at all of the responses, are there any consistent, repeated or notable reasons given for people's views in rejecting the proposal?

Many of those disagreeing with this proposal did so because they felt it was a 'false economy'. A common theme was that the County Council is looking for the community and voluntary sector to be more involved in the delivery of services and that a reduction in funding could undermine their ability to do that. Some respondents suggested that the County Council should be looking to increase its level of funding, not reduce it.

Respondents were concerned that smaller voluntary sector groups would cease without the support of these organisations which are able to offer support in developing funding bids:

"Cutting back on the work of voluntary sector infrastructure is likely to result in more money being wasted than saved, as individual organisations, cut off from their valued sources of support, become increasingly inefficient as their focus is drawn away from delivering their 'front line' services to more basic matters of survival."

There was concern that it was getting more difficult for voluntary groups to obtain funding at a time where they are being expected to do more.

Other*: what was it about the proposals marked ‘other*’ that meant it wasn’t possible to say if they were for or against?

Other comments suggested that the County Council carry out a review of funding provided to the voluntary and community sector before reductions are made to be sure that funding is targeted to where it will be most useful.

Respondents suggested that the voluntary sector needs to collectively review how it can better work together to reduce costs and provide value for money.

It was suggested that the Council reviews commissioning arrangements for the voluntary and community sector.

Alternative suggestions

Voluntary sector organisations would like the County Council to engage and work collaboratively with them more in the identification, design and delivery of services in the future. It was suggested that the voluntary sector has a role in supporting the integration of health and social care services.

The County Council should “*fundamentally review the way in which the voluntary sector in Norfolk is supported*” to ensure funding is targeted where most value for money can be obtained.

The voluntary sector should look to work together to reduce running costs.

One respondent recommended their website www.useyourcommunity.com which contains a directory of local community organisations in Norfolk offering a referral service.

Responses relevant to the Equality Impact Assessment

No responses were received that were relevant to the Equality Impact Assessment

Other information

A large proportion of respondents, particularly those disagreeing with it, interpreted this proposal as reducing funding to front line voluntary and community sector organisations rather than the intention which is to reduce funding to the organisations that **support** the voluntary and community sector.

* ‘Other’ responses include those which are not specifically in support of or against proposals, or make more general views about the proposals.

Appendix Aii: Equality Impact Assessment for P57 Reduce funding to organisations that support and represent the local voluntary sector

Key findings:

Norfolk County Council is facing a budget gap of £189 million over the next three years, due to a reduction in Government funding, increasing council costs, inflation and demand for services. To address this, the Council has proposed and is consulting on a number of service changes and cuts, which includes this specific savings proposal.

This impact assessment looks in more detail at a proposal to reduce funding to organisations that support and represent the local voluntary sector. The funding we currently provide to these organisations helps with their core running costs. It is not intended to stop funding entirely and we will work with them to establish a more transparent and sustainable approach to funding these groups in the future. This includes the negotiation of a longer term funding agreement setting out clear expectations on both parties. The reduction in funding may lead to some organisations becoming unviable in their current form.

If implemented, this proposal may have an indirect impact on smaller voluntary sector organisations and community groups that represent and support people from rural communities or people with protected characteristics. However, there is no current clear evidence that this will be the case and further work would be required to determine the impact once the detail about which organisations will be affected is known.

Directorate:	Resources
Lead officer:	Caroline Money
Other officers:	Bev Herron, Louise Cornell
Date completed	28 December 2013

1. Overview of Proposal

We have a thriving voluntary and community sector in Norfolk. Historically, we have helped to fund the core running costs of some organisations which support and provide a voice for smaller voluntary sector groups and other groups/organisations. These are often referred to as infrastructure support bodies. This proposal seeks to work with local voluntary sector groups to establish a way of reducing the amount of funding they receive to assist with running costs. The proposal will save £45,000 during 2014/15.

This proposal would not affect contracts for commissioned services and the funding does not directly deliver services to users. The County Council provides the funding to support capacity in the sector.

2. Who will be affected

This Equality Impact Assessment considers the likely impacts of the proposal on all protected groups under the Equality Act 2010.

It also reviews the impact on people in rural communities. Norfolk is predominantly a rural county with just over half of the population (52.5%) living smaller towns and their fringes, villages and

hamlets. Older people aged 65+ are more likely to be living in rural as opposed to urban areas - almost a quarter of people living in a rural areas over the age of 65. There are around 21,950 households in rural areas in Norfolk that have no access to a car or van. People living in these rural areas may face challenges accessing key services and amenities¹.

The proposal will affect the funding received by voluntary sector infrastructure support bodies. There could be a rural impact where such a body's primary focus is to support organisations and communities that are rurally based.

It is not likely that protected groups will be disproportionately affected by the proposal.

Age (people of different age groups; older & younger etc)	NO
Disability (people who are wheelchair or cane users; blind, deaf, visually or hearing impaired; can't stand for a long time; have a long-term illness i.e. HIV or a neurological condition such as dyslexia; learning difficulties; mental health etc)	NO
Gender reassignment (people who identify as transgender)	NO
Marriage/civil partnerships	NO
Pregnancy & Maternity	NO
Race (different ethnic groups, including Gypsies & Travellers)	NO
Religion/belief (different faiths, including people with no religion or belief)	NO
Sex (i.e. men/women)	NO
Sexual orientation (all, including lesbian, gay & bisexual people)	NO

3. Context to the proposal

We have a strong relationship with the voluntary sector in Norfolk and recognise the valuable contribution they bring to public services. Their specialist knowledge, experience and skills are largely in areas where the public or private sector tends not to operate. They will often help to support a variety of protected groups and in some cases the voluntary sector has stronger connections with local communities and individuals than the public sector.

Historically, we have helped to fund the core running costs of some organisations which support and provide a voice for smaller voluntary sector groups and other groups/organisations. These organisations are often collectively referred to as infrastructure support bodies. It includes organisations such as Momentum, the Norfolk Association of Local Councils, Norfolk Rural Community Council, Voluntary Norfolk and West Norfolk Voluntary and Community Action.

Our research shows that these organisations see themselves as being, providing or fulfilling the following:

- Advocacy role
- Expertise
- Capacity-building
- Support (as opposed to direct delivery...)
- Voice of the sector
- Back office function
- Broker
- Critical friend

- Conduit/interpreter
- A route into other voluntary organisations
- Information
- Advice
- Hand-holding

In 2011/12 we contributed an estimated £400,000 to these infrastructure bodies to help support their running costs. This does not include any other funding that goes to the voluntary sector in Norfolk, including additional funding to these organisations for projects or commissioned services – which in itself may include an element of funding to cover core running costs.

There is no statutory requirement to fund infrastructure organisations in order to support capacity in the voluntary sector.

This proposal will involve reducing the contribution we make to help with the running costs of voluntary sector infrastructure support bodies by £45,000. It will involve a negotiation over the funding agreement to provide consistency and will focus on ensuring:

- Organisations are clear about what we expect from the money provided
- There is greater transparency, honesty, openness, clarity and consistency
- There is a greater focus on what is good for Norfolk

4. Potential impact

A reduction in funding to infrastructure support bodies in the voluntary sector will potentially impact on their ability to fully support some smaller voluntary sector organisations and community groups. It is likely that some of these smaller organisations or groups will represent and support people from rural communities or with protected characteristics, so there could be indirect impacts. However, there is no clear evidence that this will be the case at the current time, and further work would be required to determine the impact once the detail about which infrastructure organisations will be affected is available.

We know that voluntary sector organisations can find it difficult to plan given the short term nature of the funding that they receive. The proposal seeks to negotiate a longer term funding agreement that sets out clear expectations for both parties. Providing greater clarity around the level of funding, what the funding will deliver and the length of the funding period will allow organisations to better plan their activity.

As part of determining the impacts of proposals for the 2014-17 budget a 12 week public consultation was undertaken between Thursday 19 September and Thursday 12 December. This included a workshop with representatives from third sector infrastructure bodies to discuss the proposal in detail. No responses were received that identified impacts on protected groups, however there were a number of responses that supported the impacts identified in this assessment, particularly those relating to the impact on the wider voluntary sector.

5. Mitigating actions

The following action will be delivered if this proposal goes ahead:

Action/s	Lead	Date
1. Further work to Equality Impact Assess the proposal as it develops will be undertaken to determine the full impact	Caroline Money	Ongoing
2. Fully engage third sector representatives in how best	Caroline	Ongoing

Action/s	Lead	Date
to develop new funding arrangements for infrastructure support	Money	

6. Further information

For further information about this Equality Impact Assessment please contact the Planning, Performance and Partnerships service on

Tel: 01603 228891

Email: PPPService@norfolk.gov.uk

Appendix Bi: Consultation responses summary for P58 Move the historical records to the Norfolk Record Office

Feedback from consultation events

There were no specific events organised to discuss this proposal, and it was not raised at any events.

Organisation, group or petition responses

Four responses to this proposal were received from organisations or groups including Taverham Parish Council; Norfolk Area Ramblers Association; YMCA and Rethink Mental Health and Riversdale; and Stop Norwich Urbanisation. Each group felt that the proposal was sound.

No petitions were received.

Looking at all of the responses, are there any consistent, repeated or notable reasons given for people's views in supporting the proposal?

Of the 171 people who agreed with the proposal, 42 defined themselves as users. There were few additional comments: five people suggested that the Norfolk Record Office (NRO) may need to stay open on Saturdays if P58 is taken up and 11 made reference to ease of on-line access.

Looking at all of the responses, are there any consistent, repeated or notable reasons given for people's views in rejecting the proposal?

Five people did not agree with the proposal: of these, four disagreed on the basis that the NRO is located in Norwich.

Alternative suggestions

No consistent or notable alternative suggestions emerged.

Responses relevant to the Equality Impact Assessment

No responses related to the Equality Impact Assessment (EQIA) for this proposal. The EQIA for this proposal has not identified any adverse disproportionate impacts for any group.

Other information

The majority of respondents favoured having a centralised point of access for records but some people muddled the records being discussed with wider historical records of the sort held by NRO.

Appendix Bii: Equality Impact Assessment for P58 Move the historical records to the Norfolk Record Office

Key findings:

Norfolk County Council is facing a budget gap of £189 million over the next three years, due to a reduction in Government funding, increasing council costs, inflation and demand for services. To address this, the Council has proposed and is consulting on a number of service changes and cuts, which includes this specific savings proposal.

This impact assessment looks in more detail at a proposal to move all historical registers for births, deaths, marriages and civil partnerships to one central point in the county - the Norfolk Record Office, which is situated in Norwich.

If implemented, this proposal will not specifically disproportionately impact on people with a protected characteristic, however, the move will mean that people can no longer walk into their local registry office to order a copy certificate. This will impact some rural residents for whom transport is limited as they may no longer have the option of requesting copy certificates in person.

Directorate:	Corporate Resources
Lead officer:	Caroline Clarke
Other officers:	Bev Herron, Louise Cornell
Date completed	28 December 2013

1. Overview of Proposal

We are proposing to move all historical registers for births, deaths, marriages and civil partnerships to one central point in the County - the Norfolk Record Office, which is situated in Norwich. At the moment the registers are held at, and certificates are available to purchase from, the local office where they were originally registered. The move would mean that you will no longer be able to walk into your local office to order a copy certificate. If the proposal goes ahead copy certificates can be requested by post, phone or in person at the Norfolk Record Office.

There is a regular ongoing review of the locations that registration services are provided from, and their opening times, to ensure we meet our legal obligations. There are no plans to remove birth, death and ceremony services from those local communities that currently have them, though the buildings they are provided from may change. Additionally, new locations for some registration services may be added in the future to improve local access.

This proposal would save £50,000 in 2015/16.

2. Who will be affected

This Equality Impact Assessment considers the likely impacts of the proposal on all protected groups under the Equality Act 2010.

It also reviews the impact on people in rural communities. Norfolk is predominantly a rural county with just over half of the population (52.5%) living smaller towns and their fringes, villages and hamlets. Older people aged 65+ are more likely to be living in rural as opposed to urban areas -

almost a quarter of people living in a rural areas over the age of 65. There are around 21,950 households in rural areas in Norfolk that have no access to a car or van. People living in these rural areas may face challenges accessing key services and amenitiesⁱⁱ.

Registration services are provided for all Norfolk residents and visitors, and will be used by people from all protected groups. This includes the historical registers that will be moved to Norwich should this proposal go ahead. There is potential for this to disadvantage rural residents that wish to request a copy of certificates in person, particularly if they do not have access to personal transport. However, there is likely to be a positive impact upon people with access needs as the proposed changes will provide a more accessible service.

No disproportionate impacts on protected groups are anticipated.

Age (people of different age groups; older & younger etc)	NO
Disability (people who are wheelchair or cane users; blind, deaf, visually or hearing impaired; can't stand for a long time; have a long-term illness i.e. HIV or a neurological condition such as dyslexia; learning difficulties; mental health etc)	NO
Gender reassignment (people who identify as transgender)	NO
Marriage/civil partnerships	NO
Pregnancy & Maternity	NO
Race (different ethnic groups, including Gypsies & Travellers)	NO
Religion/belief (different faiths, including people with no religion or belief)	NO
Sex (i.e. men/women)	NO
Sexual orientation (all, including lesbian, gay & bisexual people)	NO

3. Context to the proposal

By law, Norfolk County Council has to record births, still-births, deaths, marriages and civil partnerships. There are national standards, set by government, for how this registration service should be delivered. We need to provide free birth, still birth and death registrations from suitable locations within set time periods.

There are 11 locations across Norfolk where birth and death registration services are available to the public. These are: Norwich, Great Yarmouth, King's Lynn, Thetford, Swaffham, Watton, Diss, Dereham, North Walsham, Fakenham and Downham Market. At all of these locations, except Watton and Swaffham you can also be married or form a civil partnership, and purchase a copy of any registration dating from 1837 that has been made at that office.

It will still be possible to register births, still-births, deaths, marriages and civil partnerships in these locations, but we are proposing to move the historical records to one central point in the County – to the Norfolk Record Office in Norwich. Customers will be able to request copies of certificates from the historical records via post, phone or in person by going to the Norfolk Record Office. Other organisations, such as those who provide help to people tracing their family history, also provide this service online, but they do charge.

The Norfolk Record Office is currently open Monday, Wednesday, Thursday and Friday between 9am and 5pm, on Tuesdays between 9:30am and 5pm, and Saturday between 9am and 12pm. We are currently also considering a proposal to close the Norfolk Record Office on Saturday mornings.

This proposal is part of an ongoing review of registration services that includes consideration of the buildings from which registration services are delivered. All communities that currently have registration services will continue to do so, but in some cases they might be in a different place. Some of the buildings that provide registration services at the moment are not fully accessible, and these changes will ensure a service that is more accessible particularly to those people with buggies and wheelchair users. This review will bring about relocations of registry offices in Norwich, Thetford, Downham Market and Watton.

4. Potential impact

We are proposing to move all historical registers for births, deaths, marriages and civil partnerships to one central point in the County - the Norfolk Record Office, which is situated in Norwich. At the moment the registers are held at and certificates are available to purchase from the local office where they were originally registered. The move will mean that people can no longer walk into their local registry office to order a copy certificate. Certificates can be requested by post, phone or in person at the Norfolk Record Office.

This could affect some rural residents for whom transport is limited as they may no longer have the option of requesting copy certificates in person. However, there are a number of other ways certificates can be requested.

If the proposal goes ahead, it is expected that delays in certificate production will be reduced. It could also mean people have fewer problems locating an entry, if there is uncertainty about where in Norfolk it was registered.

This proposal is part of a wider and ongoing review of the provision of registry services in Norfolk. This may result in some registration services relocating within communities, but will not affect the towns or city in which they are delivered. These changes will ensure that registration services are fully accessible to everyone, helping overcome existing problems of poor accessibility. This will have a positive impact, particularly on people with buggies or wheelchair users.

As part of determining the impacts of proposals for the 2014-17 budget a 12 week public consultation was undertaken between Thursday 19 September and Thursday 12 December. No responses were received that identified impacts on protected groups or rural communities.

5. Mitigating Actions

No adverse disproportionate impacts have been identified on protected groups for this proposal, so no mitigating actions are required.

In addition, although there could be a disproportionate impact on rural residents, the impact is not likely to be significant given that alternative opportunities will remain for people to access historical records.

6. Further information

For further information about this Equality Impact Assessment please contact the Planning, Performance and Partnerships service on

Tel: 01603 228891

Email: PPPService@norfolk.gov.uk

Appendix C: Equality Impact Assessment of proposals 1-20 for cutting our own costs and becoming more efficient

Key findings:

Norfolk County Council is facing a budget gap of £189 million over the next three years, due to a reduction in Government funding, increasing council costs, inflation and demand for services. To address this, the Council has proposed and is consulting on a number of service changes and cuts, which includes this specific savings proposal.

This impact assessment looks in more detail at proposals 1-20 which are internal processes and functions that will have either no or minimal direct effects on the general public and people who use our services. Where there will be impacts that may affect people with protective characteristics, say through service redesign, a separate EqIA will be undertaken to ensure equality issues and accessibility are taken into account.

For internal changes where the impact will be to Norfolk County Council staff and internal processes and functions, separate EqIA's will be undertaken to ensure equality and accessibility are considered as part of any change. Where the changes are not of a substantial enough nature to warrant an EqIA being undertaken, equality and accessibility should be considered as part of our normal practice.

A separate EqIA has been undertaken to determine the impact on Norfolk County Council's workforce.

Directorate:	Corporate Resources
Lead officer:	Louise Cornell
Other officers:	Neil Howard
Date completed	20 December 2013

1. Overview of Proposal

Norfolk County Council is facing a budget gap of £189 million over the next three years, due to a reduction in Government funding, increasing council costs, inflation and demand for services. To address this, the Council has proposed and is consulting on a number of service changes and cuts. We are proposing that over half of the savings (£74.7m) will come from cutting our own costs and becoming more efficient.

These efficiency proposals are changes to internal processes and functions that will have either no or minimal direct effects on the general public and people who use our services. As a matter of course however, we have considered the likely impact each of the proposals will have on protected groups and identified actions to ensure there are no adverse disproportionate impacts as proposals are delivered.

A separate workforce EqIA has been completed to consider the full impacts on staff who work at Norfolk County Council.

2. Who will be affected

This Equality Impact Assessment considers the likely impacts of the proposals on all protected groups under the Equality Act 2010. The following protected groups are likely to be disproportionately affected:

Age (people of different age groups; older & younger etc)	YES
Disability (people who are wheelchair or cane users; blind, deaf, visually or hearing impaired; can't stand for a long time; have a long-term illness i.e. HIV or a neurological condition such as dyslexia; learning difficulties; mental health etc)	YES
Gender reassignment (people who identify as transgender)	NO
Marriage/civil partnerships	NO
Pregnancy & Maternity	NO
Race (different ethnic groups, including Gypsies & Travellers)	NO
Religion/belief (different faiths, including people with no religion or belief)	NO
Sex (i.e. men/women)	NO
Sexual orientation (all, including lesbian, gay & bisexual people)	NO

3. Context to the proposal

As part of the Putting People First budget proposals we are proposing that over half of the savings (£74.7m) will come from cutting our own costs and becoming more efficient. These relate to our working practices, streamlining processes, using staff and resources efficiently and procuring goods and services effectively. They will result in changes to our internal processes and functions, and will have either no impact or limited direct impact on the general public or people who use our services. There will however be implications for Norfolk County Council staff members, commissioned services and partners that provide services on our behalf.

The proposals are as follows:

How we buy things

Ref	Title	Description	Total (£million)
1	Changing the systems and arrangements we use for buying things	Some key changes to arrangements within our procurement service, including better use of e-tendering, automated document preparation and improved data management, and reductions in management and staff.	£0.249

Ref	Title	Description	Total (£million)
2	Make use of newer and cheaper ICT systems and practices	This includes implementing Digital Norfolk Ambition and the replacement and redesign of the Council's overall ICT infrastructure. It includes the renegotiation of contracts for telephone use and internet, electrical testing and stationery. It also includes improvements to Children's Services' systems, the introduction of SMART ticketing in public transport, and using technology to improve transport monitoring.	£7.861
3	The outcome of the re-tendering of the contract for Highways Maintenance	Achieve lower prices through the procurement process to reduce our overall expenditure without reducing our activity.	£4.400
4	Improve the way we manage, buy, lease and fuel vehicles and equipment	We will hire fewer vehicles and use 'operational lease financing' for new vehicles, review how we purchase yellow buses and renegotiate our contracts for buying and leasing minibuses. We will bring together staff and expertise in fleet management. We will seek to reduce private car use for business travel and review the contracts for fuel cards. These proposals also include measures to reduce the funding for transporting people in residential care.	£4.356
5	Change key waste management contracts and approaches to reduce costs	Changing and renegotiating the contract for waste disposal, new agreements for services running County Council recycling centres and new approaches to recycling street sweepings to reduce landfill.	£1.730
6	Change the way we set up and monitor key social care contracts to reduce costs	Reducing the costs of the Council's residential care contract with NorseCare and the mental health services contract with Norfolk and Suffolk Foundation Trust. Improve our use of 'block' contracts with home care providers and providers of respite care. Better use electronic monitoring technology to monitor service use.	£6.200

How we organise our staff and resources

Ref.	Title	Description	Total (£million)
7	Improving our internal financial planning arrangements	Improve the way we move money around the Council, and how we use under-spent budgets or money set aside for contingencies.	£0.351

Ref.	Title	Description	Total (£million)
8	Reviewing management, staffing and accommodation arrangements in services	Review services with a view to rationalising the number of managers, staff and resources required to support, provide or commission services. Undertake a senior management restructuring in Children's Services, the joining up of some management functions in back office services, and a staffing review in the Fire & Rescue service.	£8.687
9	Reducing training, subscriptions, events that don't directly support services	Only provide training and organisational development support for staff where it is critical to the running of the Council. Minimise other spend not linked to the delivery of services – such as subscriptions, event attendance and some kinds of business travel.	£1.927
10	Make our systems and processes smarter and more efficient	We will make our processes for managing information and staff as efficient and straightforward as possible. This includes a reduction in our postage spend, and the increased use of digital media for marketing instead of printed material. It also includes more efficient financial processes through the better use of technology.	£5.058
11	Make better use of the information we have about Norfolk and its citizens to ensure that Council services better reflect local needs	Development of a new Business Intelligence service that will help services and commissioners provide the right services to the right people at the right time.	£0.583
12	Reduced retirement costs for teachers because of an increase in academy schools	The Council has fewer responsibilities towards the growing numbers of academy schools. One impact of this is a reduction in the need to pay retirement costs.	£0.400
13	'invest-to-save' projects on equipment or improve systems that will enable us to save money over time	Improving the equipment at Household Waste & Recycling Centres and investment in improvements to the way health and social care services work together.	£3.300

Ref.	Title	Description	Total (£million)
14	Continue to explore and develop alternative ways of managing and organising adult social care services	Continued support for the Independence Matters social enterprise for personal and community care services, and evaluating the options for moving the Council's Adult Social Care Arranging Service to an external organisation.	£0.640

How we work with others

Ref.	Title	Description	Total (£million)
15	Use Public Health skills and resources to improve the way the Council promotes people's health, wellbeing and independence	Merging and reshaping resources and services in children's and adult care services to reflect new opportunities and ways of working with Public Health.	£2.480
16	Work alongside district councils and other organisations to reduce duplication and costs, and improve services	Delivery of specialised joint minerals & waste services, the better coordination of emergency planning provisions, and improving how we manage statutory recycling credit payments. It also includes the renegotiating the joint funding arrangements we have with district, city and borough councils for the Museums Service.	£0.268
17	Renegotiate how much we reimburse bus operators for concessionary travel schemes	Norfolk County Council is directly responsible for reimbursing bus operators for the English National Concessionary Travel Scheme. This proposal seeks to reduce the level of reimbursement from 01-04-2014	£1.050
18	Improve the way we work with the NHS and health services by sharing staff, funding and priorities	This includes work that will target people most at risk of health problems and reduce the number of people being admitted to hospital. It will also include establishing joint senior management posts across health and social care.	£18.350
19	Improve the way we support, challenge and intervene in schools	Review our services and service level agreements to make sure they are effective and sustainable.	£0.850

How we generate income

Ref.	Title	Description	Total (£million)
20	Make more income from chargeable services by improving our services, offering new services where there is a demand for them, and increasing charges where appropriate	<ul style="list-style-type: none"> – Selling our communications services to others. – Increasing NPLaw’s external income from trading. – Making more money from museums by establishing a fundraising foundation to enable giftaid to be reclaimed on admissions, and developing new ways of creating income. – Developing commercial opportunities in the Records Office. – Generating new income in key environmental services so that they pay for themselves in the long term. – Ensuring that we are paid enough money for the chargeable services we provide to ensure that we fully cover our costs. – Deliver a wider range of specialist highway services, such as laboratory services and Rider & Driver development, to increase income. – Develop a more joined up set of public safety services for schools and other key customers. – Secure more money from European Union and other funding schemes to use in delivering services. – Provide social care management services to people who fund their own care support. – Increase fees for registration services 	£5.999

4. Potential impact

Analysis of each of the proposals to cut our own costs and become more efficient has identified the following impacts:

Proposal	Likely disproportionate impact
1. Changing the systems and arrangements we use for buying things	Potential impact on disabled staff members if accessibility if not considered as part of process
2. Make use of newer and cheaper ICT systems and practices	Potential impact on disabled staff members if accessibility if not considered as part of process
3. The outcome of the re-tendering of the contract for Highways Maintenance	No disproportionate impact on protected groups
4. Improve the way we manage, buy, lease and fuel vehicles and equipment	Potential disproportionate impact on disabled staff regarding changes to business travel arrangements
5. Change key waste management contracts approaches to reduce	No disproportionate impact on protected groups

costs	
6. Change the way we set up and monitor key social care contracts to reduce costs	Potential Impact on disabled customers if new Independence Matters service does not take account of accessibility within its service delivery
7. Improving our internal financial planning arrangements	No disproportionate impact on protected groups
8. Reviewing management staffing and accommodation arrangements in services	Potential impact on disabled staff and customers if accessibility is not fully incorporated into projects
9. Reducing training, subscriptions, events and other areas of spending that don't directly support services	No disproportionate impact on protected groups anticipated
10. Make our systems and processes smarter and more efficient	No disproportionate impact on protected groups
11. Make better use of the information we have about Norfolk and its citizens to ensure that council services better reflect local needs	No disproportionate impact on protected groups
12. Reduced retirement costs for teachers because of an increase in academy schools	No disproportionate impact on protected groups
13. Spend some money on invest to save projects so we can buy equipment or improve systems that will enable us to save money over time	Potential impact on disabled staff members and customers who either use ICT as part of their work or access Norfolk County Council services through NCC website or public information portals
14. Continue to explore and develop alternative ways of managing and organising adult social care services	Potential impact for disabled customers if accessibility to services is not considered as part of the contractual arrangements with Independence Matters
15. Use public health skills and resources to improve the way the Council promotes people's health, wellbeing and independence	No disproportionate impact on protected groups, however there is an opportunity to further enable better accessibility for people with protected characteristics through some of the changes proposed
16. Work alongside district councils and other organisations to reduce duplication and costs, and improve services	No disproportionate impact on protected groups
17. Renegotiate how much we reimburse bus operators for concessionary travel schemes	No disproportionate impact on protected groups
18. Improve the way we work with the NHS and health services by sharing staff, funding and priorities	No immediate disproportionate Impact identified, but further detail and a separate EqIA will be required as part of delivery to properly assess this.
19. Improve the way we support, challenge and intervene in schools	Potential impact on service delivery if equality is not fully included during commissioning process
20. Make more income from chargeable services by improving our services, offering new	No disproportionate impact on protected groups, however there is an opportunity to further enable better accessibility for people

services where there is a demand for them, and increasing charges where appropriate	with protected characteristics through some of the changes proposed
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5. Actions required

Proposal	Actions	Lead	Date
2 & 8	Develop Norfolk Accessibility Standards and ensure these are adhered to by WorkStyle lead and head of ICT	Andrew Pettitt & Tom Baker	February 2014
4	Ensure the car leasing service takes account of accessibility as standard	Cheryl Hewitt	Ongoing
6	Ensure commissioning process and monitoring of new services takes account of accessibility and equality issues Ensure EqIA's are completed if undertaking changes in services; in particular <ul style="list-style-type: none"> • Mental Health service change • Home Care service change • NorseCare 	Clive Rennie Sera Hall	Ongoing
8	Ensure that the Work Styles, County Hall Maintenance and Digital Norfolk Ambition EqIAs are up to date to ensure potential impacts have been considered and where appropriate mitigating actions are put in place	Andrew Pettitt & Neil Howard	January 2014
8	Ensure HR policies take account of accessibility	Lesley MacDonald	Ongoing
13	Ensure accessibility is considered and appropriately implemented within the Digital Norfolk Ambition project	Neil Howard	Ongoing
14	Ensure Independence Matters takes account of equality and accessibility issues as part of its service delivery	Sarah Stock	Ongoing
18	Undertake a full EqIA on specific proposals for service changes to determine all potential equality impacts are considered and where appropriate, measures are put in place	Catherine Underwood Debbie Olley	As required
19	Ensure equality issues are considered as part of any changes to service level agreements and where appropriate ensure an EqIA is undertaken.	Gordan Boyd	As required

6. Further information

For further information about this Equality Impact Assessment please contact the Planning, Performance and Partnerships Service on:

Tel: 01603 228891

Email: PPPService@norfolk.gov.uk

ⁱ Census 2011, www.norfolkinsight.org.uk
ⁱⁱ Census 2011, www.norfolkinsight.org.uk

2013/14 Resources Finance Monitoring Report

Report by Interim Head of Finance

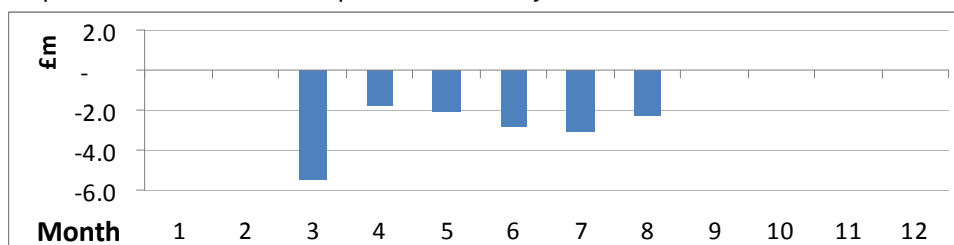
Executive Summary

- This report provides an update on finance monitoring for services in Corporate Resources.

Revenue Budget

- The overall revenue budget for this panel was -£595.374m at the end of November 2013, against which there was a forecast net underspend of -£2.337m. The graph below shows the month by month trend.

Graph 1: forecast net underspend 2013-14, by month



- Against the overall County Council revenue budget, there was a forecast net overspend of £0.132m at the end of November.

Reserves and Provisions

- At its meeting on the 4 November 2013, Cabinet agreed to gather an earmarked reserve as contingency planning in relation to the residual waste treatment contract. It was agreed that £4m would be transferred from General Balances to the new reserve, this being the excess above the agreed £16m minimum. As a result, General Balances, which are not earmarked, have now reduced to £16.811m.
- The new residual waste treatment contract reserve now holds £11m. This includes the £4m from General Balances, a transferred projected underspend of £2m from interest on balances and, a further £5m of savings as a consequence of action to delay, cancel or defer projects (as reported to Cabinet on 2nd December 2013). The combined earmarked balances for this panel are now forecast to increase from £55.614m to £56.118m at the end of March 2014. This includes the £11m in the new earmarked reserve. The Council's reserves and provisions (excluding schools) are forecast to total £74.916m at the 31st March 2014. All of these reserves are earmarked for specific purposes.

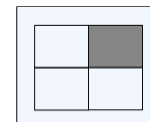
Capital Budget

- The overall capital budget for this panel was £20.172m at the end of November 2013. At present, an underspend of -£0.001m is forecast. The Council's total capital programme was £130.779m at the end of November.

Action Required

Members are asked to note progress and to consider whether any aspects contained within this report should be identified for further scrutiny.

1. Managing our resources



Managing the budget

1.1 This Panel is responsible for monitoring the capital budgets, revenue budgets and provisions and reserves for Shared Services, Public Health and the corporate budgets in Finance General.

Revenue Budget

1.2 Chief Officers monitor their cash limited budgets throughout the year and report the position to the Head of Finance. Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. They have been charged with reviewing all of their cost centres to ensure that, where an overspend is identified, action is taken to ensure that a balanced budget is achieved for the year. The overall approved revenue budget for this panel was £-595.374m at the end of November 2013. There is a forecast net underspending of £-2.337m against this.

1.3 Details of the overall budget and the forecast outturn are shown in the table below.

Division of service	Approved budget £m	Forecast Outturn £m	Forecast +Over/- Underspend £m	Forecast +Over/ Underspend as % of budget	Variance in outturn since last report £m
Resources:					
Coroners, Elections & Registrars	1.532	1.859	0.327	0.69%	0.327
Democratic & Legal services	1.101	1.089	-0.012	-0.03%	-0.011
Human Resources shared service	5.784	5.784	0.000	0.00%	0.000
Chief Executive	0.406	0.406	0.000	0.00%	0.000
Programme Management Office	0.985	0.985	0.000	0.00%	-0.108
Planning, Performance & Partnerships	2.215	2.215	0.000	0.00%	0.000
Customer Service & Communications	5.134	5.134	0.000	0.00%	0.000
ICT Services	17.703	17.703	0.000	0.00%	0.000
Finance	7.891	7.891	0.000	0.00%	0.000
Procurement	1.580	1.580	0.000	0.00%	0.000
Property Services	3.003	3.003	0.000	0.00%	0.000
County Farms	0.027	0.027	0.000	0.00%	0.000
Public Health	-0.094	-0.094	0.000	0.00%	0.000
Sub-total:	47.267	47.582	0.315	0.66%	0.208

Finance General:					
Norse	-0.625	-0.625	0.000	0.00%	0.000
Net interest receivable & payable	28.153	25.369	-2.784	-0.43%	0.576
Members Allowances	1.314	1.114	-0.200	-0.03%	0.000
Land Drainage & EIFCA precept	1.260	1.260	0.000	0.00%	0.000
Capital Accounting adjustments	-45.719	-46.959	-1.240	-0.19%	0.000
Pension Fund Deficit Payment	6.346	6.346	0.000	0.00%	0.000
Organisational Review	5.197	5.197	0.000	0.00%	0.000
Specific Government Grant Income	-4.859	-7.146	-2.287	-0.36%	0.000
Other miscellaneous	7.929	11.788	3.859	0.60%	-0.341
General Government Funding, RSG, Precept & NDR income	-641.637	-641.637	0.000	0.00%	0.000
Sub-total	-642.641	-645.293	-2.652	-0.41%	0.235
Overall Total:	-595.374	-597.711	-2.337	-0.39%	0.443

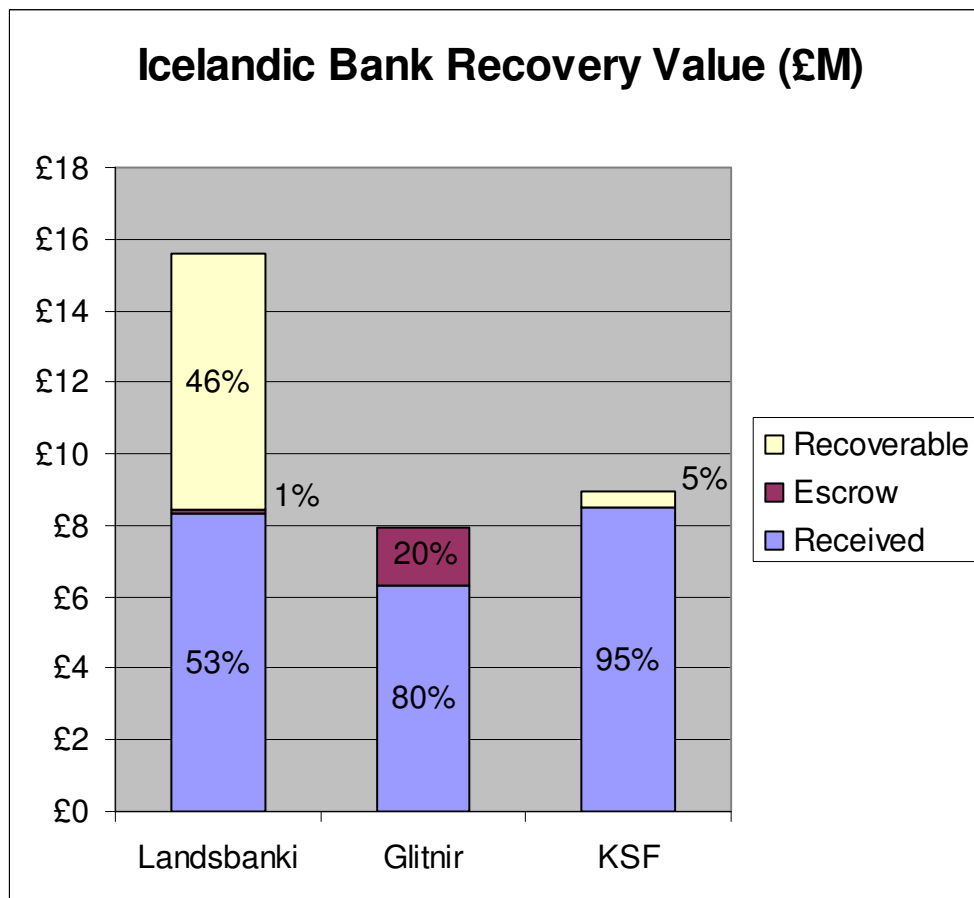
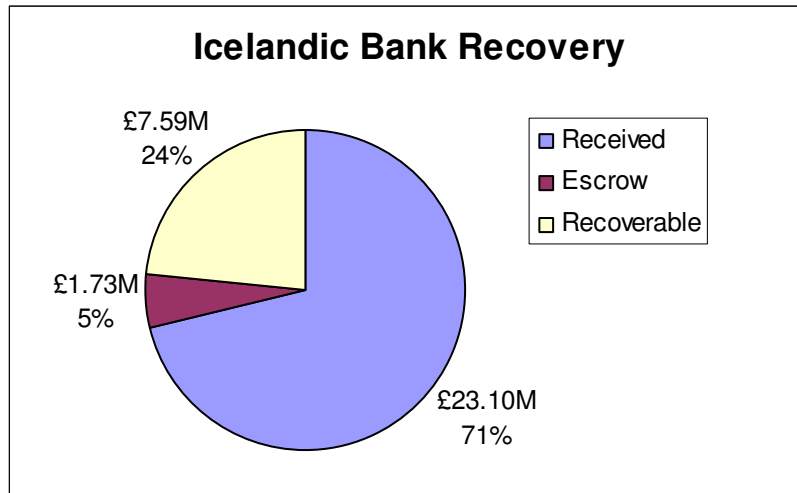
1.4 Details of the variances relating to the overall net underspending of -£2.337m are shown in the tables below.

Resources £0.208m overspend (budget £47.267m)				
Area of budget	Forecast		Variance as % of approved budget	Reasons for variance
	Variance			
	Total £m	Movement £m		
Coroners, Elections & Registrars	0.327	0.327	0.69%	Overspend on Elections.
Democratic & Legal services	-0.012	-0.011	-0.03%	Saving on Complaints Advocacy.
Programme Management Office	0.000	-0.108	0.00%	
Total	0.315	0.208	0.66%	
Finance General -£2.652m underspend (budget -£642.641m)				
Area of budget	Forecast		Variance as % of approved budget	Reasons for variance
	Variance			
	Total £m	Movement £m		

Interest receivable/ payable	-2.784	0.576	-0.43%	The deferral of borrowing has reduced borrowing costs resulting in a net interest saving, offsetting the lower interest earned on investments.
Members Allowances	-0.200	0.000	-0.03%	Savings on basic and special responsibility allowances and on travel allowances.
Capital accounting adjustments	-1.240	0.000	-0.19%	Saving on a revised debt repayment calculation due to slippage in the 2012-13 capital programme after the 2013-14 budget was approved.
Specific Government Grant Income	-2.287	0.000	-0.36%	Government refund of 2012-13 amount deducted from formula grant for schools converting to academies.
Other miscellaneous	4.200	0.000	0.65%	Investment in frontline Children's Services approved by Cabinet on 5 th August 2013.
Other miscellaneous	-0.341	-0.341	-0.05%	Dividend received from Eastern Shires Purchasing Organisation.
Total	-2.652	0.235	-0.41%	

Icelandic Banks

- 1.5 The Administrators of Kaupthing Singer & Friedlander (Ernst & Young) have updated their forecast recovery level to 85.75% (an increase from 85.25%) this equates to an additional £0.052m. They paid an 11th dividend of 2.5p in the £ (£0.260m) on 18th December 2013.
- 1.6 Landsbanki and Glitnir banks are subject to Icelandic administration. Distributions made have been received in various foreign currencies and converted to Sterling on the day of receipt.
- 1.7 The Icelandic Krona (ISK) element of these distributions is subject to currency restrictions imposed by the Icelandic Government. The Local Government Association and Bevan Brittan (the appointed lawyers) are currently working on making these funds available to us at the earliest possible date. These funds now total £1.729m (£1.607m from Glitnir and £0.122m from Landsbanki) and are held in third party escrow accounts in Iceland earning interest.
- 1.8 Realised foreign exchange losses currently total £0.431m.
- 1.9 The recovery process continues to be monitored by the Treasury Management Panel. The cost of litigation has been shared on a pro-rata basis between local authority creditors. The Council's total contribution up to the 31st March 2014 is estimated to be £0.212m (£0.011m in 2013-14). The latest projected cash recovery from all 3 banks is £32.428m against our claim of £34.251m.



Capital programme

1.10 The capital programme, unlike the revenue budget, is monitored over the life of the schemes rather than a single year. This reflects the life of the projects and their funding and, the financial consequences of the programme and, is consistent with the approach required for medium term planning and the prudential code. The overall capital budget for the services reported to this panel was £20.172m at the end of November 2013. At present, an underspend of -£0.001m is forecast. A breakdown is shown in the table below.

Scheme or programme of work	Approved 2013/14 capital budget £m	Forecast 2013/14 capital outturn £m	Variance since the previous Report £m	Total (Under)/Over Spend £m	Reasons
Offices – County Hall	11.762	11.762	0.000	0.000	
Offices – other	0.315	0.314	-0.001	-0.001	Underspend re wheelchair stair climber.
Norfolk Work Style	0.095	0.095	0.000	0.000	
Carbon Management Programme Pot (CERF)	3.595	3.595	0.000	0.000	.
Property Management	0.111	0.111	0.000	0.000	
County Farms	0.729	0.729	0.000	0.000	
Corporate Minor Works	2.460	2.460	0.000	0.000	
Community Construction Fund	0.966	0.966	0.000	0.000	
Members ICT Refresh	0.139	0.139	0.000	0.000	
Total	20.172	20.171	-0.001	-0.001	

Reserves and Provisions

1.11 The level of the Council's reserves and provisions is monitored continually during the year. The current forecast position for this Panel is set out in the table below.

Reserve/ provision	Balance at 31-03-13 £m	Forecast Balance at 31-03-14 £m	Variance since last report £m	Total Variance £m	Reason for variance
Insurance Provision	12.394	12.394	0.000	0.000	
Potential Pension Liability Provision	1.270	1.270	0.000	0.000	
Redundancy Provision	5.138	5.065	-0.004	-0.073	Use of provision to meet redundancy & pension strain costs payable in 2013/14.
Building Maintenance	1.051	1.186	0.410	0.135	Anticipated transfer from revenue.
Insurance Reserve	0.017	0.017	0.000	0.000	
IT Earmarked Reserve	5.873	3.906	-1.829	-1.967	Investment in Digital Norfolk Ambition.
Repairs and Renewals Fund	0.514	0.595	0.081	0.081	PPP reserve increased to meet future years' savings targets.
Usable Capital Receipts	1.587	0.836	-0.619	-0.751	Level held is dependent on the level of receipts used in funding the Capital Programme.
Industrial Estate Dilapidations	0.010	0.010	0.000	0.000	
Strategic Partnership	0.486	0.017	0.000	-0.469	Monies spent in accordance with the agreement reached through the Norfolk LGA.
Modern Reward Strategy Reserve	6.210	4.359	-1.851	-1.851	Purchase of equipment & vehicles at 19 Mian Household Waste Recycling Centres approved by Cabinet 4th November 2013.
Strategic Ambitions	1.169	1.027	-0.231	-0.142	CERF revenue costs &

Reserve					use of PMO reserve.
Organisational Change & Redundancy Reserve	7.277	6.318	0.043	-0.959	Includes transfer of funds to support ECMS delivery programme.
Icelandic Banks Reserve	5.735	2.235	0.000	-3.500	Use approved by County Council on the 18 th February 2013.
Norfolk Infrastructure Reserve	2.378	2.131	0.000	-0.247	Drawdown to support borrowing on a number of projects.
Unspent Grants & Contributions	0.317	0.145	-0.024	-0.172	Use of Public Health & Healthwatch grants.
Car Lease Scheme	1.155	0.598	0.165	-0.557	Use of £0.750m approved by County Council on the 18 th February 2013.
NDR Reserve	2.500	2.500	0.000	0.000	
NPLAW Operational Reserve	0.245	0.245	0.000	0.000	
Community Construction Fund	0.072	0.000	0.000	-0.072	Use on management fees payable in 2013/14
Archive Centre Sinking Fund	0.216	0.264	0.011	0.048	Expected contribution in 2013/14.
Residual Waste Treatment Contract Reserve	0.000	11.000	11.000	11.000	Creation as approved by Cabinet on the 2 nd December 2013.
Total	55.614	56.118	7.152	0.504	

2. Equality Impact Assessment (EqIA)

- 2.1 This report provides a summary of financial information on a wide range of activities monitored by the Corporate Resources Overview and Scrutiny Panel. Many of these activities have a potential impact on residents or staff from one or more protected groups. Where this is the case, an equality assessment has been undertaken as part of the project planning process to identify any issues relevant to service planning or commissioning. This enables the Council to pay due regard to the need to eliminate unlawful discrimination, promote equality of opportunity and foster good relations.
- 2.2 Details of equality assessments are available from the project lead for the relevant area of work, or alternatively, please contact the Planning, Performance and Partnerships team.

3. Section 17 – Crime and Disorder Act

- 3.1 There are no direct implications of this report for the S17 Crime and Disorder Act.

4. Conclusion

- 4.1 There is a projected overall net revenue underspend of -£2.337m against the budget of -£595.374m. The balances on reserves and provisions are projected to increase from £55.614m to £56.118m during the year. An underspend of -£0.001m is currently forecast against the overall capital budget of £20.172m.

5. Action Required

- 5.1 Members are asked to note progress and consider whether any aspects should be identified for further scrutiny.

Background papers

Officer Contacts:

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Property Performance Report 2013

Report by the Managing Director, NPS Property Consultants Ltd

Summary

Contained here is a position statement on the size and performance of the accommodation owned and occupied by Norfolk County Council. The main focus is on those sites that support the delivery of services, either directly or indirectly, using the measures of size, spend, maintenance, sustainability and sufficiency.

There is a continuing downward trend in the number of sites, their area and required maintenance with an apparent levelling off in property spend, energy consumption, carbon emissions and water use. The changes reflect the transfer of schools to academies and sites becoming surplus with leases being terminated or freehold interests being sold.

Recommendation:

Members are asked to endorse this report and to consider the merits of undertaking further work projecting the data three years forward to align with the emerging capital programme to illustrate the policy implications of activity.

1. **Background**

- 1.1 The report provides an overview of the performance of Norfolk County Council's fixed property assets focussing on those that are used directly or indirectly in the delivery of services with figures for 2012/2013 and the preceding years. It does not include assets held for future use (for example those held but not part of the adopted highway), disposal or as investment (for example the land and buildings of the farm estate).
- 1.2 The continual drive for greater efficiencies, cuts in funding, and the restructuring, reshaping and closure of services across all departments are resulting in changes to the property portfolio and its performance. The office strategy and implementation of Work Style principles, together with the centralisation of business support functions and the shared use of accommodation with collaborative working and the co-location of staff, is having an impact on the rationalisation of assets.
- 1.3 There are risks to how property can respond including existing lease liabilities, a poor property market and The Community Right to Bid (part of the Localism Act).

2. **Contents of Report**

- 2.1 The measures adopted are those agreed nationally and locally and based on:
 - Number and size
 - Spend
 - Required maintenance
 - Energy consumption
 - CO2 emissions
 - Water consumption

2.2 The size of the portfolio can be represented by the number of sites and their area both of which have been reducing and includes:

- Closure and disposal of Youth Centre buildings and Connexions offices.
- School reorganisation between 2006-2010 has resulted in multiple sites merged into one where primary schools have been created to replace two tier schools
- 36 school sites becoming academies.
- Extending existing schools to increase capacity and enable the closure of other sites.
- 75 Care Homes transferred from the Council to Norse Care.
- Disposals and terminations of leases from third parties by Service Departments to achieve savings targets

2.3 A site is physically defined and recorded on the property database and it is possible that a number of sites can make up a single establishment i.e. a single use.

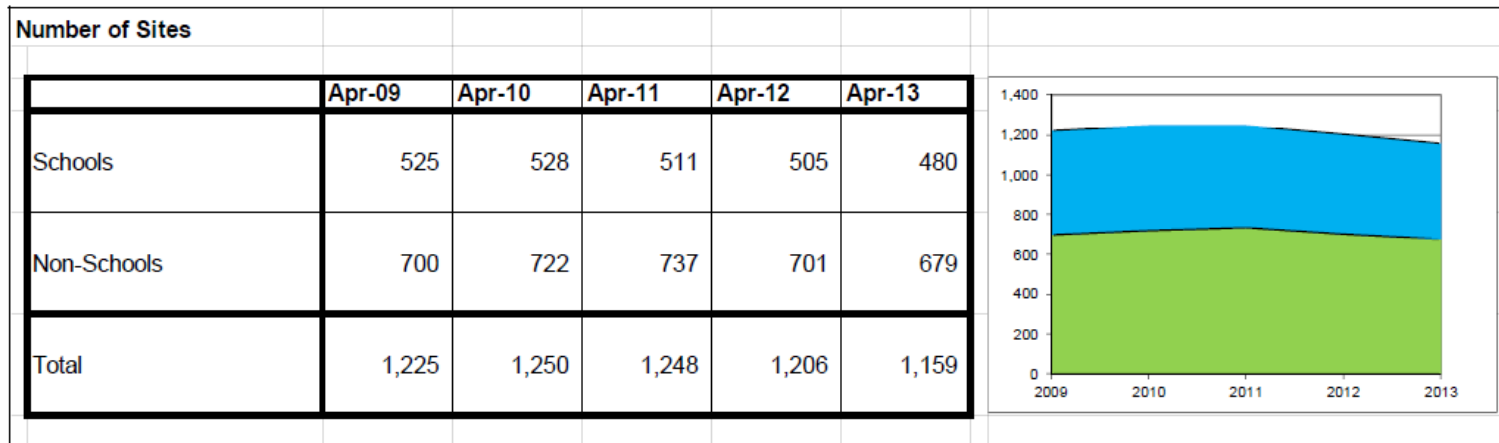


Chart 1

2.4 The size of the portfolio measured by the internal area of the buildings shows a greater reduction in size than that for site numbers and highlights a fundamental difference between the education and non-education sites. An increase in the area for education is a result of new schools and extensions to existing ones whilst the recent reductions are a result of schools becoming academies which account for 213,331m². Decreases in the non-education sites include the transfer of Care Homes and the disposal or lease surrender of surplus assets.

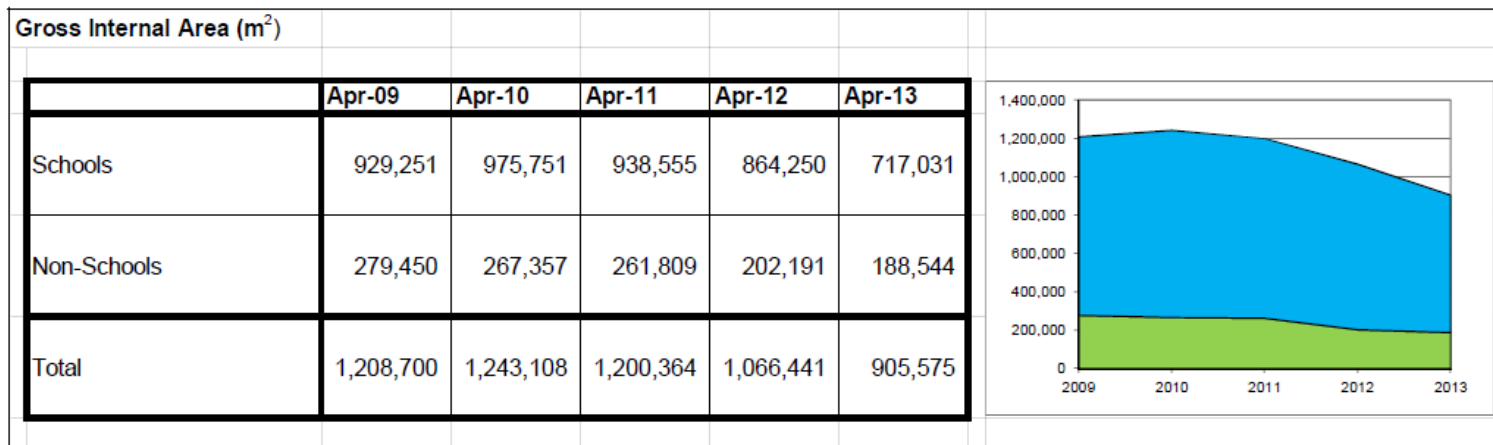


Chart 2

2.5 Freehold sites that are surplus to the service needs of Norfolk County Council may be sold to reduce liabilities and realise a capital receipt. The number of sales and capital receipts has been increasing with a small number of capital receipts being spread over a few years being known as staged payments.

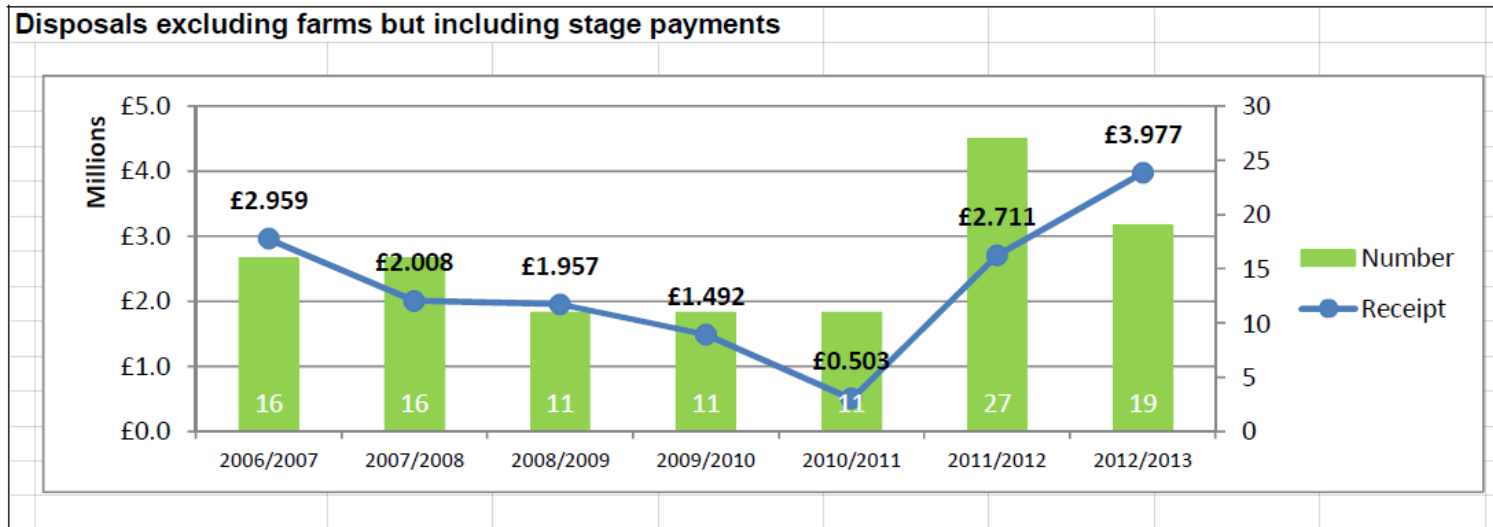


Chart 3

2.6 Sites no longer required operationally are constantly under review with decisions taken about their retention or inclusion in the disposals programme. Many of these sites are small parcels of land declared surplus to a completed highway scheme with no beneficial use.

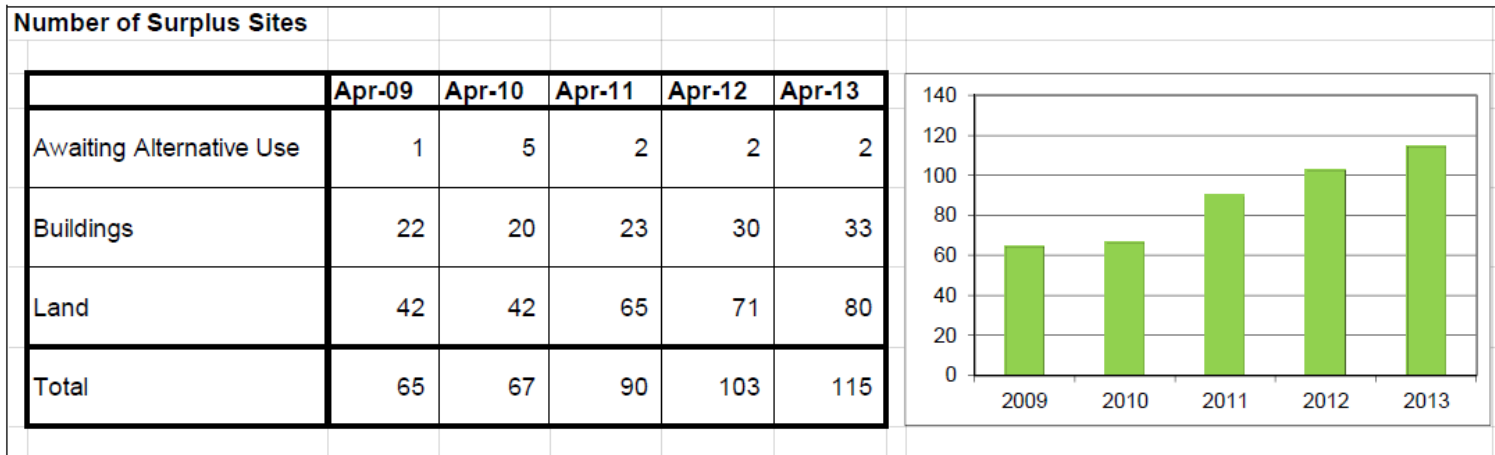


Chart 4

2.7 The four main categories of property spend are repairs and maintenance (R&M), energy, local tax and water with expenditure on these elements remaining relatively constant ignoring inflation. The improvements in energy spend can be attributed to capital investment, regular monitoring of use and better procurement. An increase in rates, or local tax, is a result of the annual inflation rises in the rates multiplier and new and extended buildings.

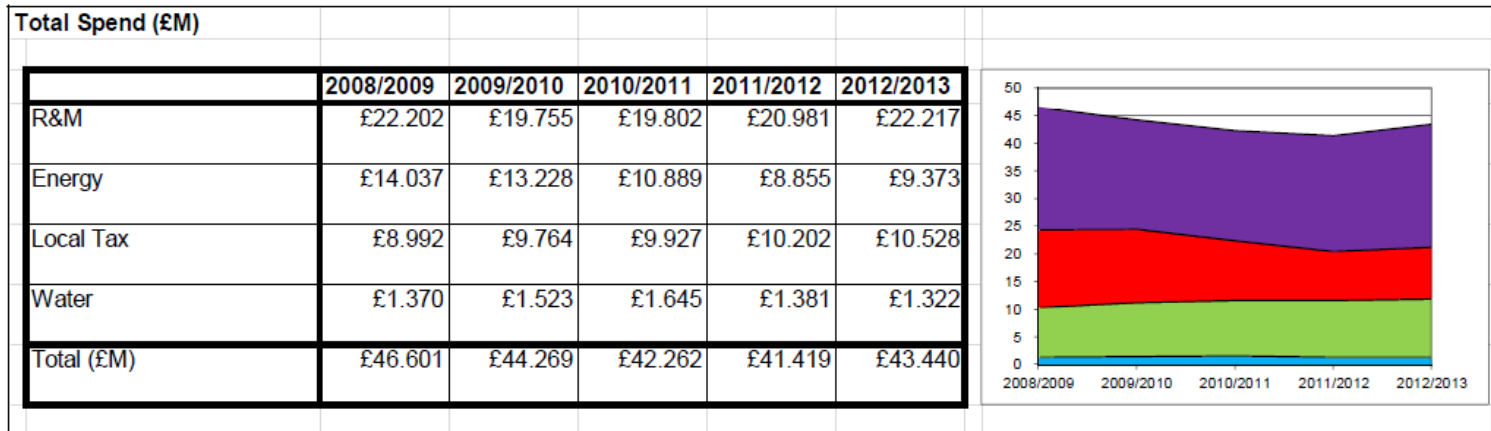


Chart 5

2.8 For schools becoming academies during 2012/2013 their premises costs for the preceding year was approximately £2.750M.

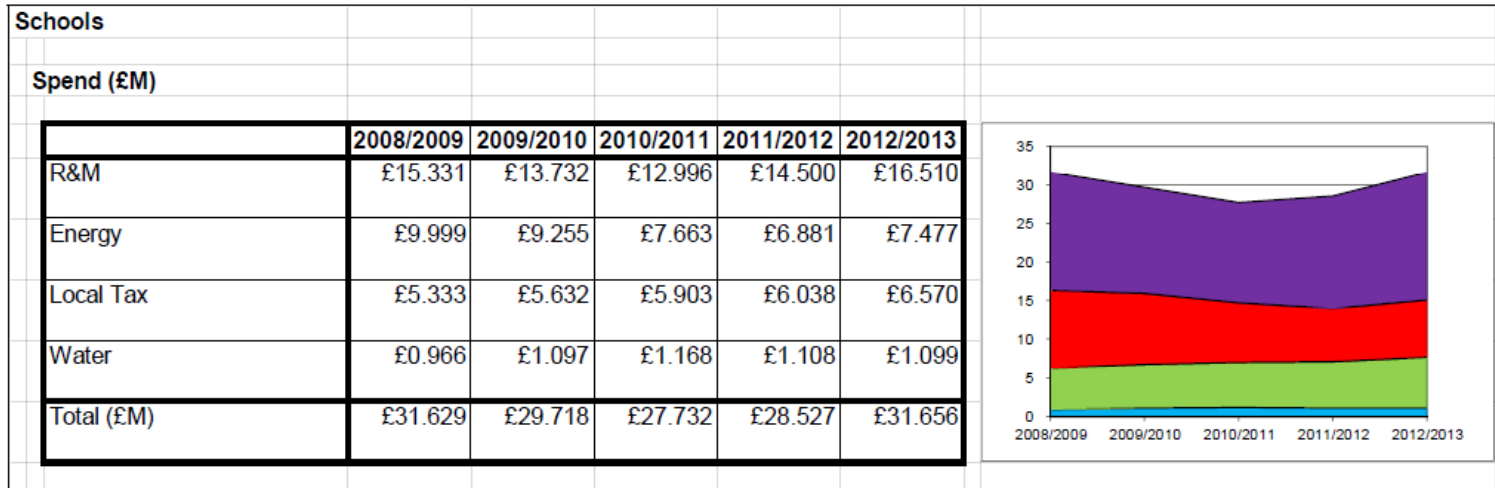


Chart 6

2.9 A reduction in premises expenditure of £1.139M based on 2010/2011 expenditure is a result of the transfer of Care Homes to NORSE Care and the rationalisation of the office portfolio. The closure of offices in 2012/2013 will save nearly £300k, with an additional saving of £375k in rent, based on expenditure in the preceding year

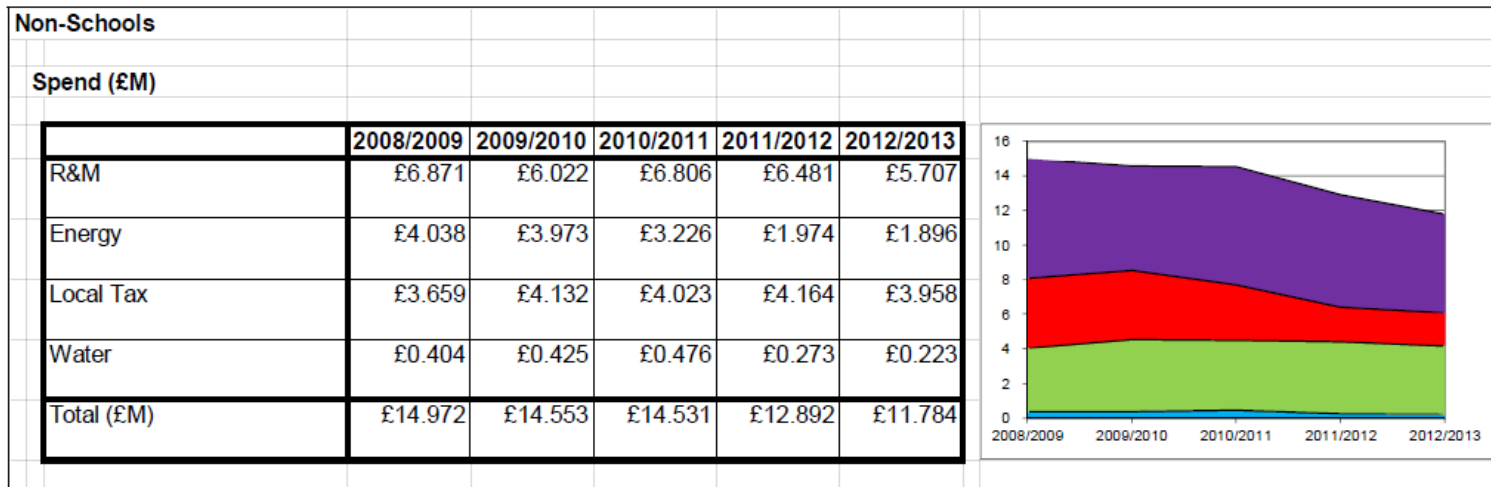


Chart 7

2.10 Sustainability of the property portfolio is measured by energy consumption, carbon emissions and water use and the figures available include all accommodation for which Norfolk County Council is responsible. Whilst there has been a downward trend in all of these this has not been reflected in the spending figures due to the inflation in prices from suppliers. The figures reported here exclude those for Academy Schools which accounted for 46,754MWh in 2012/2013 and Care Homes transferred to NORSE which accounted for 17,210MWh in 2010/2011. For offices vacated in the last year there energy use in 2011/2012 was 1,001MWh and this reduction will be reflected in future years.

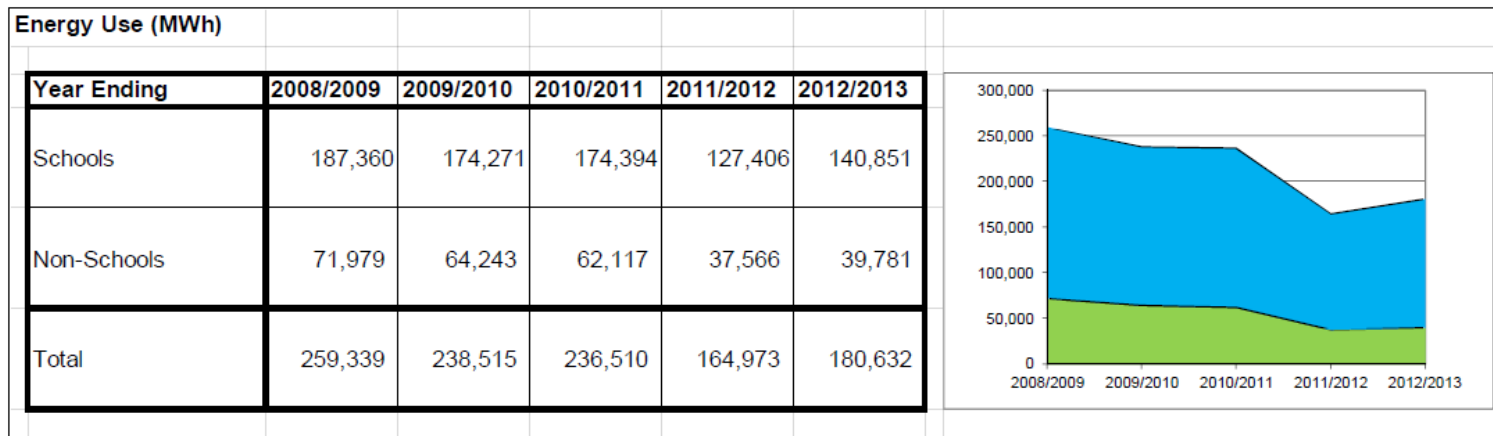


Chart 8

2.11 Norfolk County Council has set itself the target of reducing its carbon footprint from the base in 2008/2009 by 25% by April 2014 and by 50% by April 2020 for corporate properties. Apart from the reduction in sites progress has also been made by capital investments through the Carbon and Energy Reduction Fund and Norfolk Energy Futures Ltd, details of these and the reductions in CO₂ emissions were reported separately to the Corporate Resources Overview and Scrutiny Panel on 15 October 2013. The figures reported here exclude those for Academy Schools which would have accounted for 13,645tCO₂ and Care Homes transferred to NORSE which accounted for 4,679tCO₂ in 2010/2011. For offices vacated during 2012/2013 their total emissions in 2011/2012 was 3,818tCO₂.

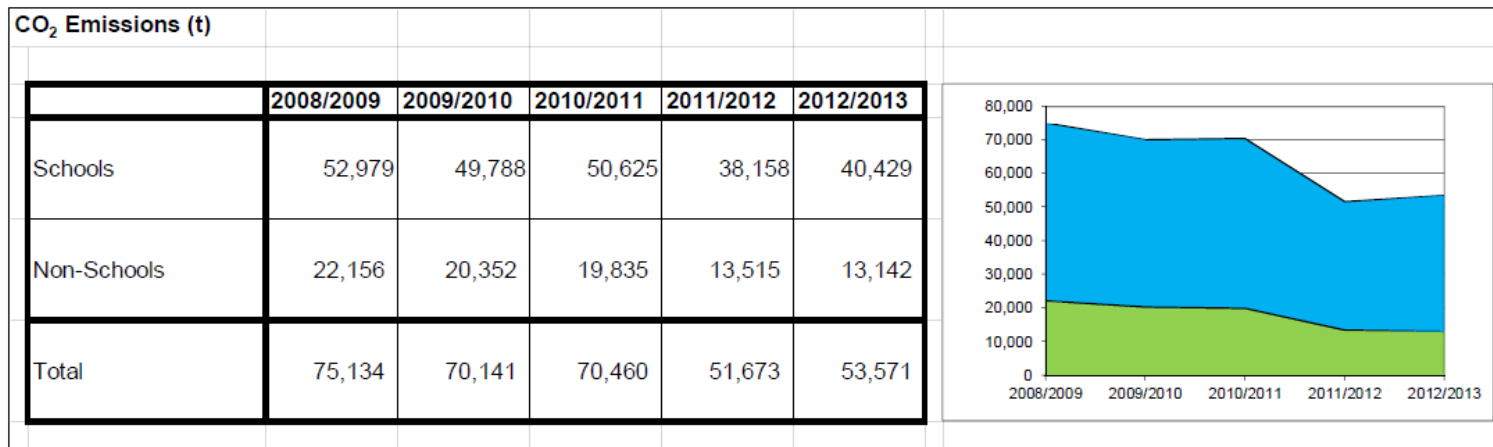


Chart 9

2.12 Water use is dropping for schools primarily due to the exclusion of the Academies which in 2012/2013 was 122,358m³ and the prime reason for the drop in water consumption for the rest of the sites has been due to the transfer of the Care Homes to NORSE Care which accounted for 67,420m³ of water used in 2010/2011. Office vacated during 2012/2013 had a water use of 1,065m³ in 2011/2012. Norfolk County Council has made a pledge to reduce its water consumption by 15% over four years from March 2013.

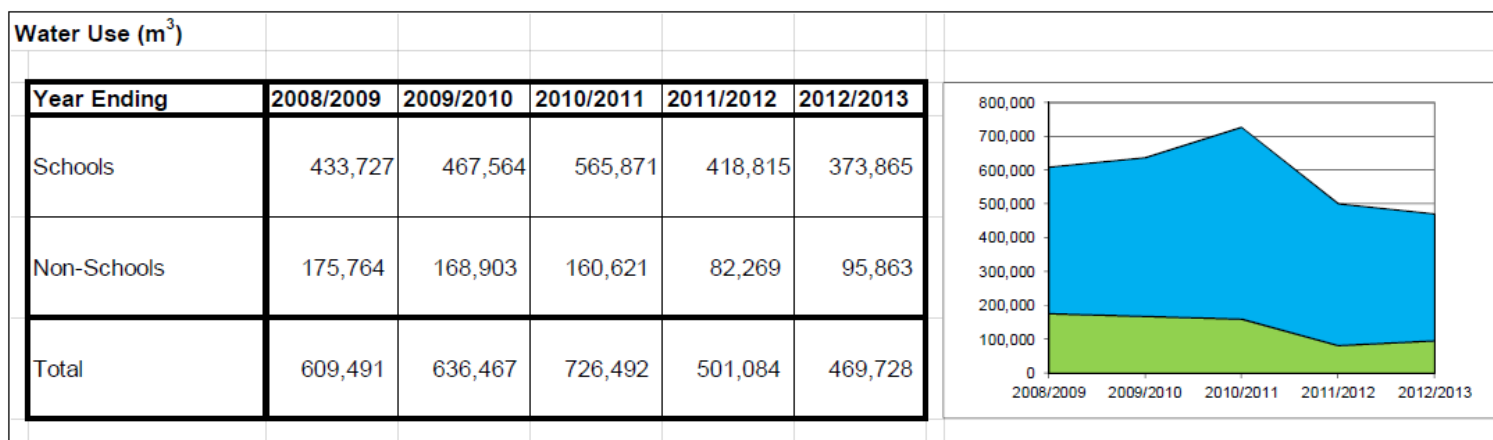


Chart 10

2.13 There will always be a need for required maintenance which has to be managed within given budgets to ensure continued use and delivery of services from sites. The maintenance requirement is identified from periodic inspections and condition surveys and is prioritised into:

- **Priority 1: Urgent Work** that will prevent the immediate closure of the premises, address an immediate high risk to the health and safety of the occupants, or remedy a serious breach of legislation.
- **Priority 2: Essential Work** that is required within two years to prevent serious deterioration of the fabric or services, address a medium risk to the health and safety of the occupants, or remedy a minor breach of legislation.
- **Priority 3: Desirable Work** that is required within three to five years to prevent deterioration of the fabric or services, address a low risk to the health and safety of occupants, or a minor breach of legislation.

Reductions have been a result not just of revenue spending but also capital spends the sale and transfer of sites and the ending of leases from third parties.

- 2.14 For schools by April 2013 the backlog total had been reduced by £30.935M due to schools becoming academies. Further reductions are primarily due to the closure and amalgamation of schools and or rebuilding.

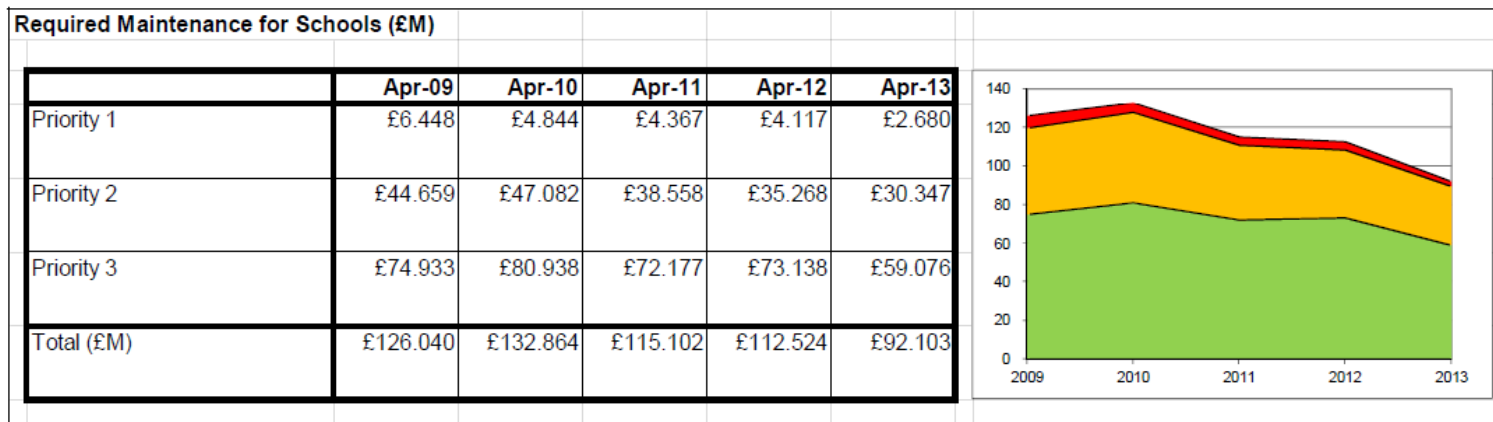


Chart 11

2.15 For non-schools by April 2012 the backlog had been reduced by £3.724M with the transfer of care home provision to NORSE Care.

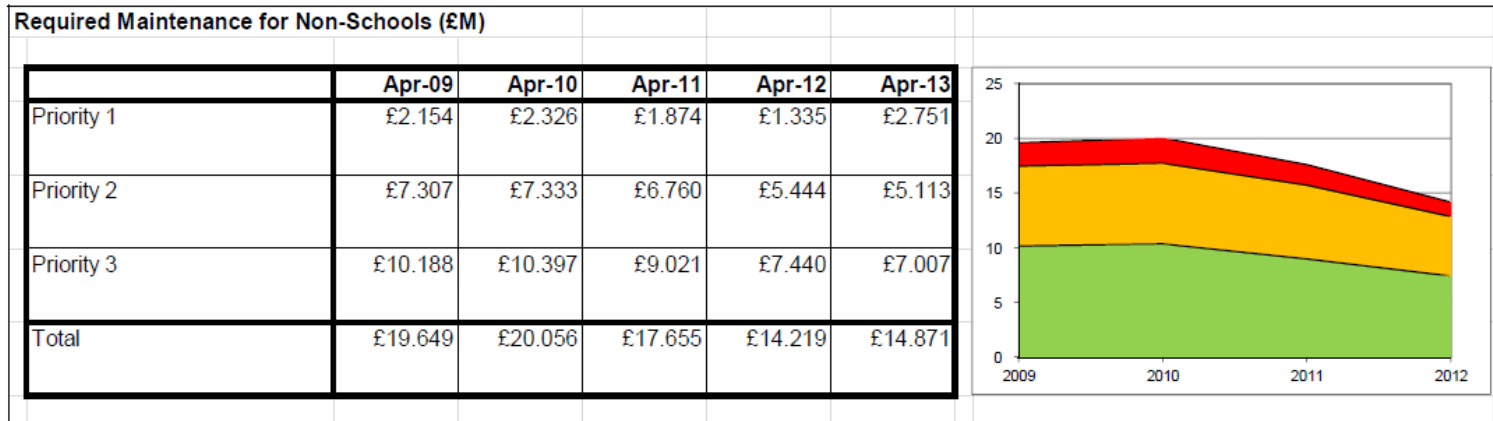


Chart 12

2.16 There is a drive through the Corporate Office Strategy and Work Style principles to use space effectively and rationalise the size and number of assets whilst improving productivity through investment in the core assets including changes to layouts

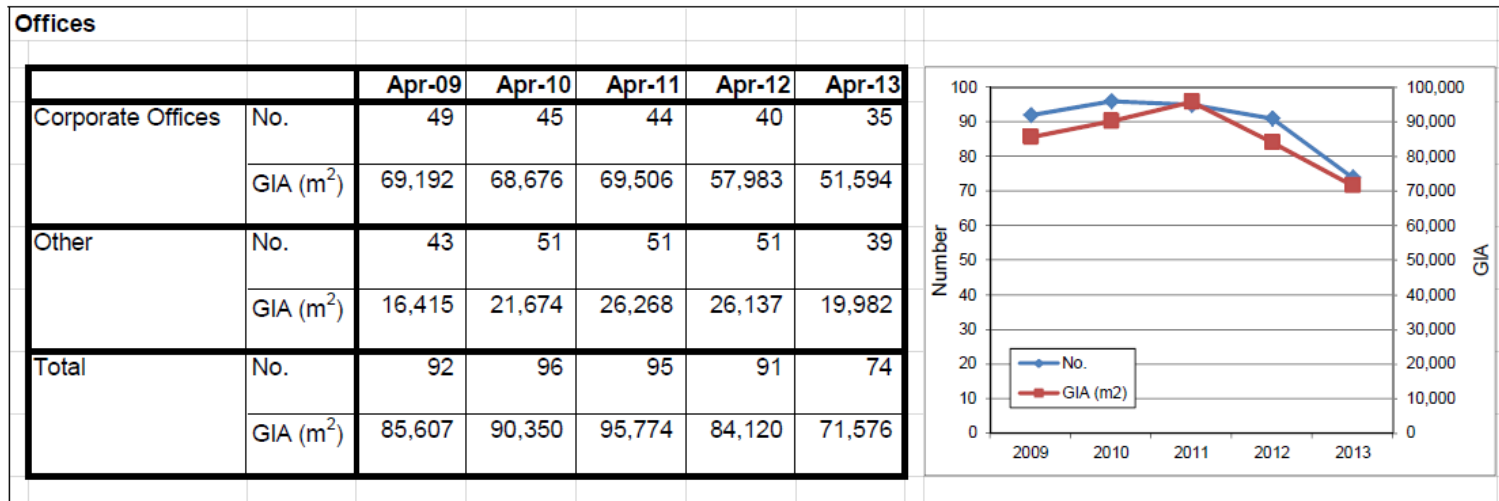


Chart 13

2.17 Sufficiency measures relate to offices and uses data on floor area, staff numbers and workstations but there is limited reliable evidence for all three that would enable any accurate reporting on these. It is of paramount importance to collect this data in order to not only monitor and review the progress being made to achieve the corporate standards for office accommodation but also to inform future decisions.

3. **Resource Implications**

3.1 This report is a statement on the performance of Norfolk County Council's property assets and has no direct financial or service implications.

4. **Other Implications** (where appropriate)

4.1 **Environmental Implications:** Reporting on the use of energy and water and carbon emissions contributes to raising awareness.

4.2 **Any Other implications**

Officers have considered all the implications which members should be aware of. Apart from those listed in the report (above), there are no other implications to take into account.

5. **Section 17 – Crime and Disorder Act**

5.1 There are no direct implications in this report for the Crime and Disorder Act.

6. **Action Required**

6.1 Members are asked to endorse the Asset Performance Report 2013 and to consider the merits of undertaking further work projecting the data three years forward to align with the emerging capital programme to illustrate the policy implications of activity.

- **Background Papers**

None

Officer Contact

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COMPLIMENTS AND COMPLAINTS SERVICE APRIL – SEPTEMBER 2013
PERFORMANCE REVIEW
Report by the Head of Customer Services and Communications

SUMMARY

This is the six monthly report on compliments and complaints from Customer Service and Communications. It covers the period April to September 2013 and includes:

- The number and spread of complaints dealt with by the County Council in the first half of the 2013/14 financial year.
- The development of Norfolk County Council's compliments and complaints shared service.

This report demonstrates:

- The volume of total contacts received for this period compared to the first six months of the last financial year has risen by 17%, (a 16% increase in complaints and 20% increase in compliments). The ratio of compliments to complaints across Norfolk County Council (NCC) is approximately 1:3.5
- 90% of customers have had their complaint resolved satisfactorily at the earliest opportunity without it progressing to a formal stage against a target of 75%.
- 11% of complaints in this period have been fully upheld.
- The average cost of each complaint resolved in this period compared to that of last year has dropped by £22 as more cases have been resolved for the same cost.
- The latest customer satisfaction survey saw a 9% rise in customers who were very satisfied in the way their complaint was handled.

Action Required

CROSP members are asked to consider the compliments and complaints data and information for the first six months of the 2013/14 financial year and the proposal that this service moves to an annual reporting basis in line with the rest of Customer Services.

1.0 INTRODUCTION

- 1.1 The shared service Compliments and Complaints Team is a single point of contact for customers to feedback their perceptions of the services provided by the County Council. The team ensure that all formal complaints are appropriately responded to in line with either the NCC Corporate Complaints or applicable statutory complaints procedures.
- 1.2 Compliments and complaints provide Norfolk County Council (NCC) with an insight into customer experiences regarding our services and how they are perceived. Detailed compliment and complaint information has been reported monthly to individual service departments.
- 1.3 As a result of changes within their organisation, the Local Government Ombudsman (LGO) did not produce an annual letter for individual councils about complaints received

against them during the 2012 – 2013 financial year. They did advise that they received 48 referrals about NCC which was lower than the UK county council average of 54. The LGO has not reported any NCC cases as maladministered in this reporting period.

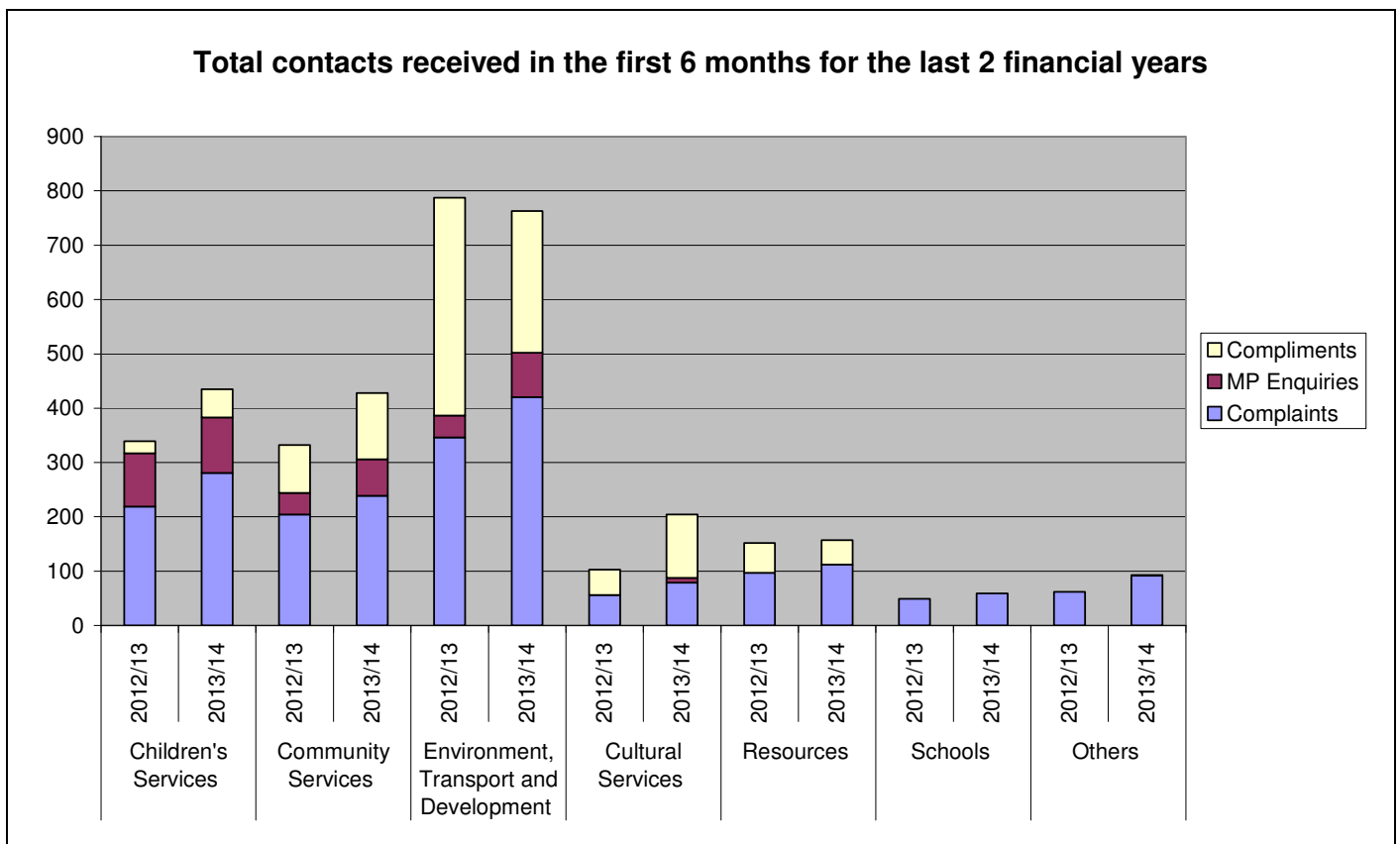
2.0 SERVICE DEVELOPMENTS APRIL TO SEPTEMBER 2013

2.1 The Compliments and Complaints shared service has been operating for three years now and has reported year on year improvements in efficiencies leading to an annual reduction in the costs of complaint handling. The team is established and the processes used in managing all complaints have proved to be robust and fit for purpose. With this in mind, it is proposed to the Corporate Resources Overview and Scrutiny Panel that reporting of this service moves to an annual basis at the same time as the rest of Customer Services.

2.2 By improving processes, we have made savings which have been invested back to the team in an additional case manager until April 2014. This extra resource means we rely less on the use of external investigators which results in a projected saving of £30k this year. This approach has enhanced the service to internal and external customers by ensuring consistency in all cases and resilience in dealing with increased volumes.

3.0 COMPLAINTS - SUMMARY INFORMATION

Figure 1 – SERVICE DEPARTMENT SPLIT



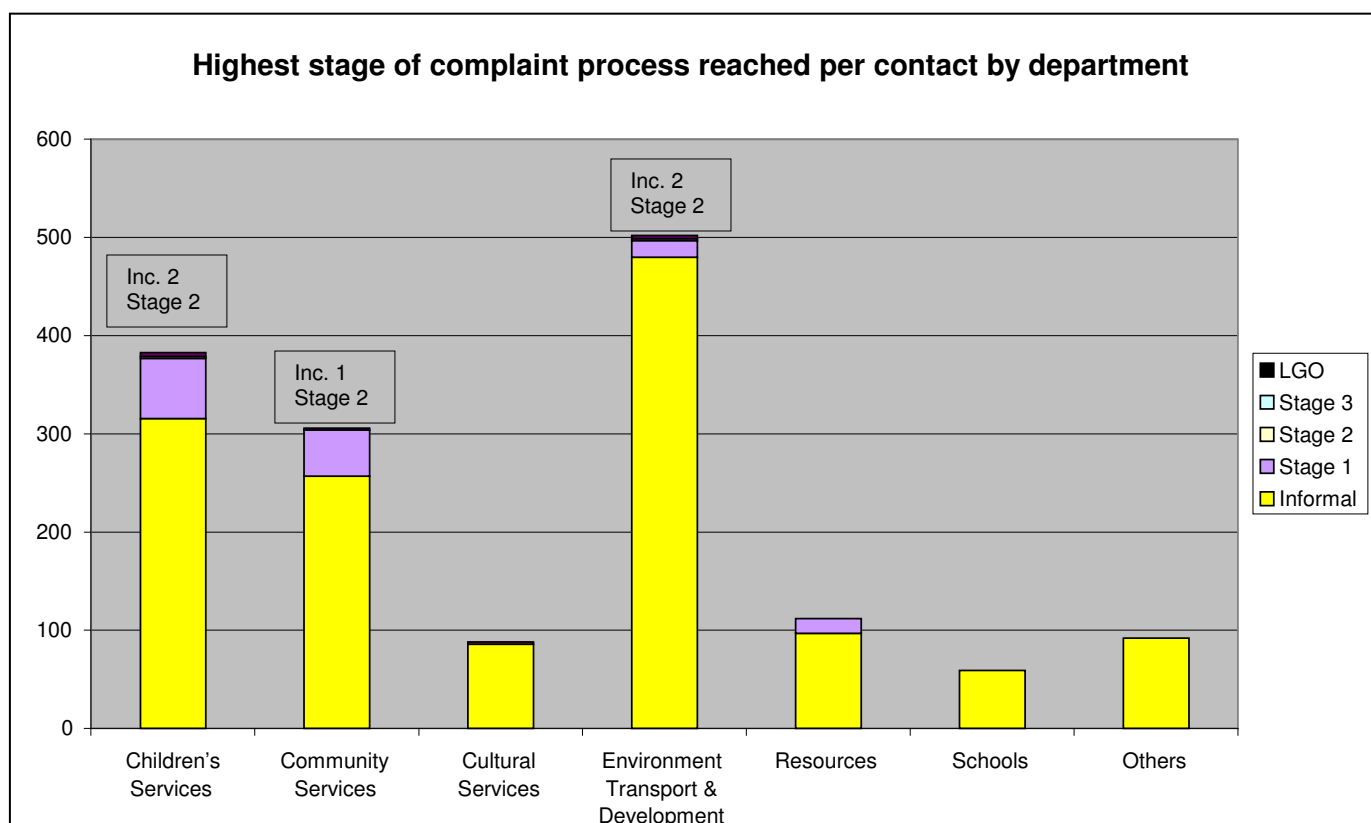
3.1 The breakdown of the total number of contacts received by service department is shown in Figure 1. For the first half of this year, we dealt with a total of 2139 contacts from people who said they wanted to compliment us or make a complaint. This compares with 1824 for the first half of 2012-13 year and represents a 17% increase.

- 3.2 Annual reports are provided to service departments detailing complaints data, trends and breakdowns for use at their Overview and Scrutiny panels. In addition, monthly reports have been provided to Children's Services, Community Services and Environment, Travel and Transport (ETD). It was agreed with Cultural Services to move to a quarterly reporting basis this year as volumes are routinely low. We have recently agreed to move to a quarterly basis, from October 2013, for ETD as this will allow us to produce better analysis taking into account seasonal variations.
- 3.3 **Children's Services:** The total volume of complaints has gone up by 21%. However, year on year, the volume of complaints resolved at a formal stage has fallen from 101 to 57 as more complaints are being resolved at the informal stage due to full thorough analysis taking place at the earliest opportunity. Two cases have been handled at Stage 2 and none have progressed to Stage 3. Four cases were referred to the LGO and none were upheld.
- 3.4 Following the implementation of new procedures a year ago in the Customer Service Centre signposting parents and carers to individual schools regarding school complaints, this year's volume of 59 is comparable to last year's number of 53. The Compliments and Complaints team is now only called upon to offer advice on the most complex cases.
- 3.5 **Cultural Services:** The number of complaints has remained relatively low, 88. The Compliments and Complaints team now log Library contacts centrally rather than in the localities (since 1 November 2012) and this is a reason for the rise seen this year. The biggest increase is in the number of compliments received, 116. This central logging, coupled with moving to a quarterly reporting basis, provides an enhanced understanding of complaints and contacts within the Library Service and will assist in identifying future trends.
- 3.6 **Environment, Transport and Development:** The number of contacts is consistent with the previous year. Complaints have risen from 401 to 502. However, when analysing this increase further, it is apparent that there has only been a slight monthly average increase roughly split across the service areas with no significant trends. As an example, Highways have received 244 contacts compared to 183 in the previous year which represents an average increase of 10 per month. As was expected, volumes rose in the summer due to the number of road repairs that were carried out. Travel and Transport and Environmental Waste have both seen an average monthly increase of four complaints. In each of the business areas, the increase represents a small number and we are continuing to monitor this.
- 3.7 **Community Services:** Adult Care has seen a 20% rise in the number of people contacting the service. Complaints have risen by 28% and 52 compliments were received for this year, compared to 22 last year. There have been 77 complaints to date this year relating to the service given by third party providers which equates to 30% of all complaints received. The complaints team has provided monthly data on these volumes to support Community Services in addressing this situation. During the summer there was an increase in the number of complaints relating to delays in processing Blue Badge applications but new processes introduced in the last two months resulted in a drop in complaints and a rise in compliments (August = 17 complaints and 4 compliments; September = 6 complaints and 12 compliments).
- 3.8 **Corporate Resources:** The volumes of contacts for Corporate Resources are the same as last year. This suggests that the transfer of the processes relating to the handling of transactional adult social care financial elements, that had previously been the

responsibility of Community Services, has been fully embedded in Finance Shared Service. Last year saw an increase in numbers in this department solely because of this change and Figure 1 shows the number of contacts between compliments and complaints has evened out.

3.9 **“Others”** includes third party, mainly NORSE, related contacts where the individual volumes are very low. The increase in numbers observed here is a result of the Compliments and Complaints team capturing contacts where customers are referred to third parties, for example complaints requiring consumer advice (referred to Citizen Advice Bureau), or refuse collection (referred to district council), which was not done during the previous year.

Figure 2 – COMPLAINT COMPLEXITY



3.10 Figure 2 shows the highest stage contacts reached, broken down by service department. The text boxes added show the small number of Stage 2 cases the team has worked on as it is not possible to picture these in the bars. There have not been any Stage 3 cases in this reporting period. There have been 8 LGO cases for Children's Services, 4 for Community Services and 4 for ETD. Whilst people contacting us to complain about any element of our service are always made aware of their ability to raise a formal complaint – triggering the NCC formal complaint process - we aim to handle these first, informal, contacts in such a way that people are satisfied with the response they get and so do not want, or feel the need to press on with a formal complaint. You will see from the graph that the vast majority of contacts are successfully handled in this way.

3.11 During the reporting period covered by this report 90%, compared to 80% for the 2012-13 financial year, of first contacts were resolved at the informal stage to the satisfaction of those concerned. Due to the complexity of cases, a lower percentage, 82%, of first contacts about Children's and 84% of Adult Social Care were resolved informally.

However this represents a 9% and 8% increase respectively for these areas which is very encouraging.

3.12 93% of informal cases were responded to within the 15 day timescale. 65% of Stage 1 complaints were also responded to within 15 days and the Stage 2 case that has been completed was handled within the 25 day timescale. All 5 of the completed LGO cases were responded to within deadlines. Fewer cases are progressing to Stage 1 because we are better at resolving issues through the informal processes. The increased time taken to deal with Stage 1 complaints is as a result of the more complex nature of the complaints that now reach that level. Our experience is some of these complaints require longer than the current 15 day timescale. Unfortunately, it is not possible to say up front how long they will take until they are investigated so we are considering changing the timescale of Stage 1 cases to 20 days to better manage customer expectations.

Figure 3 – COMPLAINT OUTCOMES

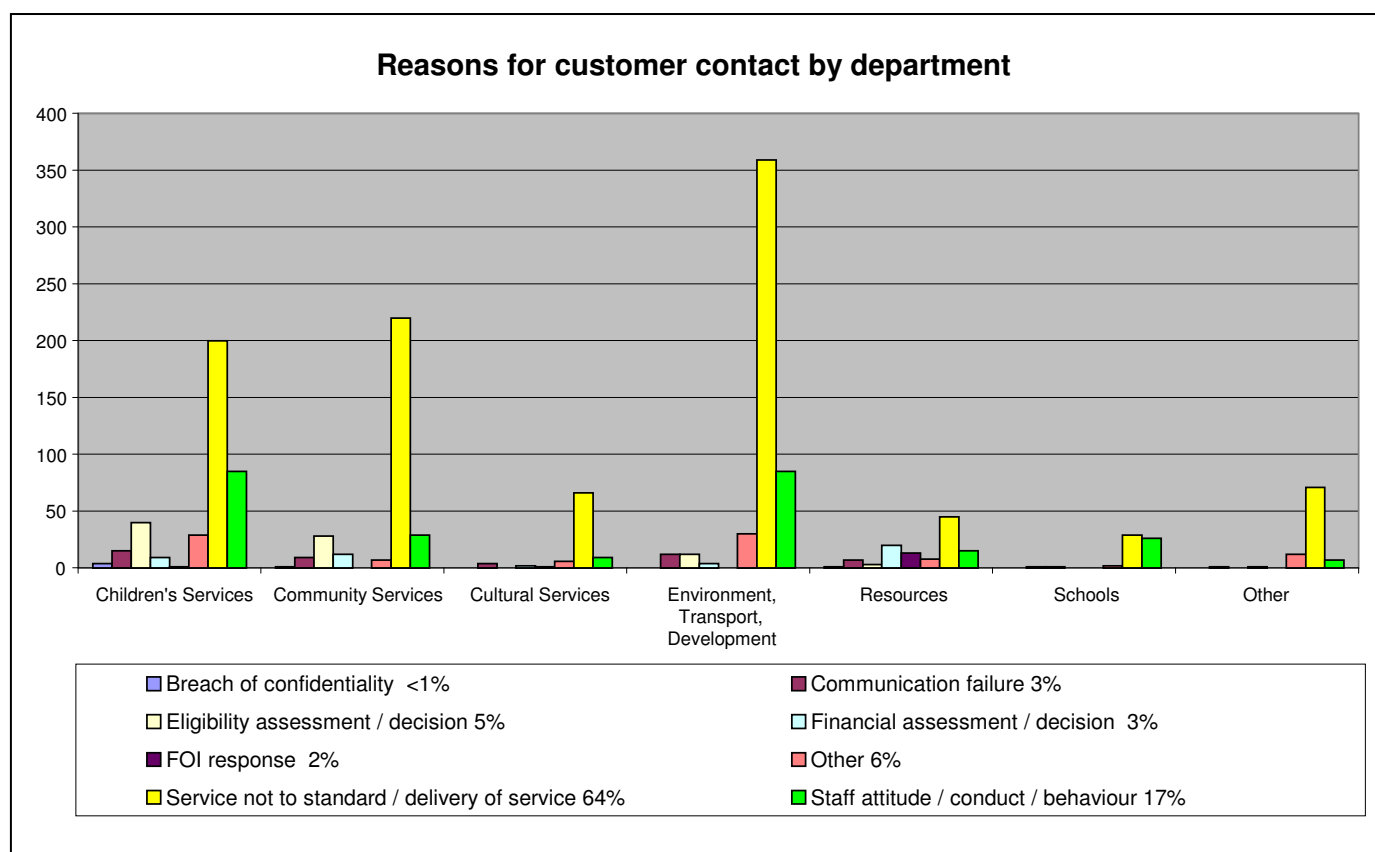
Stage at which complaint was resolved	Decision on resolved cases					Total
	Not Upheld	No Judgement	Not Applicable	Partially Upheld	Upheld	
Informal	365 (27%)	192 (14%)	597 (45%)	48 (4%)	139 (10%)	1341
Stage 1	55 (45%)	13 (11%)		31 (26%)	22 (18%)	121
Stage 2				1 (100%)		1
Stage 3						0
LGO	5 (100%)					5
Total	425 (29%)	205 (14%)	597 (41%)	80 (5%)	161 (11%)	1468

3.13 The information in Figure 3 shows the decision for contacts resolved at each stage. “No judgement” is given where a decision cannot be made because there is insufficient evidence to come to a conclusion. “Not applicable” is used where a decision is not required particularly for example when dealing with a Member of Parliament enquiry.

3.14 If the “Not Applicable” cases are taken out of the equation, then 64% of cases were not upheld this year, compared with 62% for last year, 12% (18%) were partially upheld and 24%% (20%) were upheld.

3.15 Where it is clear that there has been an error or omission on the part of the Council, we will endeavour to put the situation right as quickly as possible, and learn from any mistakes, meaning that complaints can be resolved quickly and efficiently, without the need for escalation to formal investigation.

Figure 4 – REASONS FOR COMPLAINT



3.16 Figure 4 illustrates the reasons for the contact with the Compliments and Complaints team, shown by service department. The most common reason for contact, is a 'service provision or service delivery not being to the standard' of customers expectations. The second largest cause for concern relates to 'staff attitude and behaviour'. This is consistent with previous reports.

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

- **Children's Services**
 - 5% (19 contacts) were responded to under the Children Act process
 - 68% (262) were under NCC's corporate procedures
 - 27% (102) were MP enquiries. Interestingly, and with recent media attention in mind, this figure is only 4 higher than that reported for the same period last year.
- **Environmental, Transport and Development:**
 - 84% (420 contacts) were responded to under NCC's corporate procedures
 - 16% (82) were MP enquiries
- **Community Services (Adult social care):**
 - 54% (166 contacts) were responded to under NCC's corporate procedures
 - 24% (73) under health and social care procedures
 - 22% (67) were MP enquiries
- **Cultural Services:**
 - 90% (79 contacts) were responded to under NCC's corporate procedures
 - 10% (9) were MP enquiries
- **Resources**
 - 86% (155 contacts) were responded to under NCC's corporate procedures.
 - 14% (26) were MP enquiries

4.0 USE OF CUSTOMER FEEDBACK TO IMPROVE PERFORMANCE

- 4.1 Objective five of the Compliments and Complaints policy states “learn from feedback and prevent recurrence of problems”. Complaints are assessed to determine whether the customer has highlighted a need for service improvement. The Compliments and Complaints team maintains service improvement logs for departments within NCC which are shared with the relevant contact in each department in a monthly meeting. We log complaints where potentially something needs to be, or could be put in place to avoid such issues in the future. This is a cumulative log so progress in addressing these concerns can be discussed.
- 4.2 In September, Norfolk Auditing Services (NAS) carried out an audit to ensure there is an effective process in place across NCC to use the information gained from complaints received to inform service innovation and improve performance. The overall audit opinion is based on one of two grades:
- Acceptable – assessment of internal controls show a few or no weaknesses, mostly insignificant.
 - Key issues that need to be addressed – a number of weaknesses, mostly significant or more than one major weakness.
- Based on the evidence seen as part of the audit, NAS’s opinion in their draft report is that internal controls around learning from complaints are “acceptable”.
- 4.3 The final audit report is due in January 2014. However, we have reviewed the draft report and produced a high level plan to incorporate the recommendations included in it to enhance our “learning from complaints” procedures further. In particular, we are implementing root cause analysis when assessing customer feedback to discover what at the heart of that triggered the complaint. Our logs will also change to show how the servicing processes used in each of our departments perform against the needs of our customers. We will calculate for specific services the percentage of customers impacted by the way we do things. This will allow us to produce a scientific priority order to ensuring resources are correctly applied to improve those procedures that have the biggest impact on our customers.

5.0 COST OF COMPLAINTS FOR FIRST SIX MONTHS OF FINANCIAL YEAR 2012/13

Figure 5 – COSTS OF COMPLAINTS FOR FIRST SIX MONTHS OF FINANCIAL YEAR 2012/13 (figures in brackets relate to 2012/13 financial year)

Department	Adult Social Care	Children's Services	Corporate Resources	Cultural Services	ETD
Variable costs (A)*	£1039	£16942	£113	£132	£0
Resource costs (B)**	£52850	£72389	£14960	£6174	£37484
Total cost	£53889	£89331	£15072	£6306	£37484
Average per complaint	£176 (£232)	£232 (£234)	£135 (£201)	£72 (£99)	£75 (£93)
Average cost per complaint responded to April – Sept 2013				£145 (£178)	

*Variable costs (A) reflect the cost of hiring external/independent professionals, legal expenses and any settlement paid to a complainant incurred by the Compliments and Complaints team.

**The resource cost (B) reflects the forecasted cost of the complaints team for 2013 – 2014 in handling and resolving the respective services complaints. This cost is assigned by department based on the volume and complexity of the complaints received.

- 5.1 The costs for responding to contacts are shown in Figure 5. The average cost per complaint across all departments has continued to reduce over the last two years. The figures above show a comparison of costs for the first 6 months of the last two financial years. The reduction is due to the team resolving an additional 244 cases for the same overall cost. In addition, the figures show that the thorough investigation done at the first opportunity i.e. the informal stage is proving to be a more efficient way of working and beneficial in terms of time and cost reduction.
- 5.2 The variable costs figure under Children’s Services includes a one off compensation payment amounting to £16812. This figure represents a reimbursement of Special Educational Needs costs originally paid by parents that was recommended as part of a Stage 2 investigation.

6.0 COMPLIMENTS

Figure 6 – BREAKDOWN OF COMPLIMENTS RECEIVED BY DEPARTMENT

Department	Compliments received April – September	
	2012/2013	2013/2014
Children’s Services	22	52
Community Services	51	122
Cultural Services	9	116*
Environment Transport & Development	401	261
Resources	12	45

*Corporate recording for Cultural Services started in this period.

- 6.1 The breakdown of the total number of compliments received by service department during this period is shown in Figure 6.
- 6.2 A compliment has to be evidenced by an email, a letter or by a note from a recorded telephone conversation. The ratio of compliments to complaints is 1:3.5. Overall, this is a positive result given the challenges NCC have addressed over the last year, particularly in Children’s and Community Services. For Children’s Services the biggest increases have been in the City and South and Breckland and West localities and for Community Services, the biggest increases have been in North, South and West localities. The fall in compliments in ETD are seen mostly in Environment and Waste. However, it appears on checking with this area, all compliments received have not come through to the team for recording centrally as their figure received to date is consistent with those of previous years. This is being investigated.
- 6.3 Some examples of compliments received, from the general public and from other organisations, follow:

Adult Social Care

1. I was very impressed by the professional way this meeting was conducted. The participants were given details of the five principals of the Mental Health Capacity Act and these were taken into account when making a decision to be in Mrs S’s best interests. If this is the way all future best interest meetings will be carried out I sincerely believe it will benefit the clients as well as everyone involved – A Member Of Solicitors for the Elderly.
2. During the last few weeks my partner and I have received support from Norfolk First Support Carers. I write to say how incredible their assistance has been. Nothing was too

much trouble for them and they showed both of us such kindness. It was a pleasure to meet them all and to discover that such professionalism is to be found in Social Services.

Children's Services

1. Judge's comments follow, "So in all the circumstances I am happy to agree the order of today which is by agreement. I am grateful to the Guardian for her careful report and I would particularly like to pay tribute to the social worker who the Guardian very properly praises in paragraph 23 of the report. I think it is worth reading out. She says as follows:

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

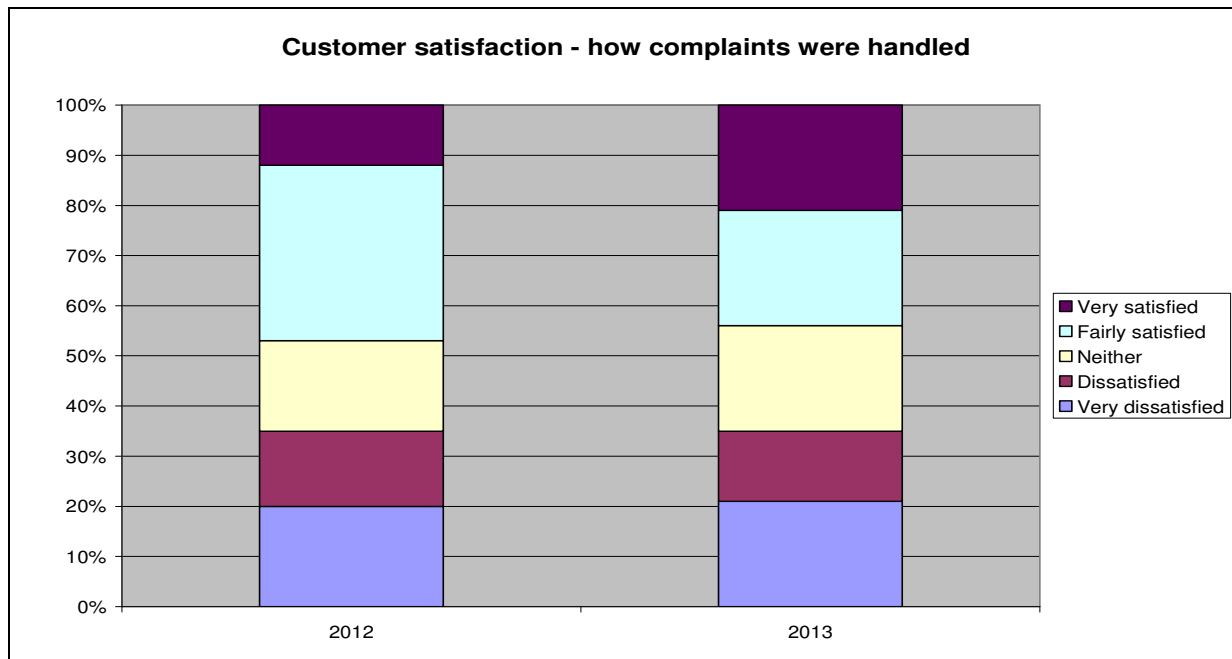
2. The outcome for the family is far better than I could have hoped for and I am so grateful for the support your team has offered to the family and to me as a busy Head teacher under pressure to make sure every child is in school every day and doing their very best. With the family you have been supporting, Mum is now in work and the pupil has been at school every single day this term so far.

As a Head teacher my "power" is limited. I can support the child in school but beyond is harder and to have my offers backed up and extended to Mum gave us all the drive to make it work. The follow up support has been strong, reliable and regular for both school and the family. To see Mum in tears at the first meeting, desperate and feeling isolated, contrasted so strongly with Mum smiling, confident and needing a short meeting so she could get to work on time - an amazing experience.

ETD

1. We realise our email may come as a complete surprise to you considering that these days the general public are far quicker to complain than offer thanks & positive feedback but I hope mine will prove helpful in some small way! On the afternoon of Friday 20 September my husband and I visited the recycling centre at Strumpshaw with a boot full of rubbish including two old doors and an old window frame. We spoke to the team there and were advised that due to the council's rules they could only take one of the doors or a window frame in any 7 day cycle. We would like to give some feedback that the very full, useful and non officious way it was explained to us by a very pleasant and helpful young man called L was just how we'd like to be dealt with by council employees/contractors. He also gave us a leaflet about things we should know before we throw which again is very useful. He then helped us to unload all our other rubbish. Whilst the rules did mean we had to take a rather large detour to another refuse centre to deposit the remaining door and window frame, we did at least understand and felt we had been provided with a courteous, helpful service.

7.0 CUSTOMER SATISFACTION



7.1 “Satisfaction with how your complaint was handled” is a question that we track through the annual postal customer satisfaction survey that Ipsos MORI conducted on our behalf in early 2013. The figures from the latest survey show:

- An increase since last year of 9% of customers who said they were very satisfied.
- A 3% increase in the customers who were neither satisfied nor dissatisfied in the way their complaint was handled, from 18% to 21%
- No movement in the number of customers, 35%, who were dissatisfied with the way their complaint was handled compared to the previous year

7.2 Overall satisfaction of 1700 customers surveyed reduced from 47% last year to 44% this year and this is due to customers who were previously fairly satisfied moving either to very satisfied (up 9%) or moving to neither satisfied nor dissatisfied (up 3%).

8.0 CONCLUSIONS

8.1 Improvements to processes have resulted in 20% more cases being resolved this year compared to the same period last year at an 18% reduction in cost per case.

8.2 The team continues to build robust working relationships externally and internally and look for opportunities to:

- Further support all service departments.
- Identify enhancements to our own processes to maintain the results achieved regarding efficiencies.

8.3 The Local Government Ombudsman has not reported any cases of maladministration this year.

SECTION 17 CRIME & DISORDER ACT 1998

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

EQUALITY IMPACT ASSESSMENT

There is no additional impact on equality.

ENVIRONMENTAL IMPLICATIONS

There are no additional impacts on the environment.

RISK IMPLICATIONS / ASSESSMENT

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

ALTERNATIVE OPTIONS

None

ACTION REQUIRED

The Corporate Resources Overview and Scrutiny Panel are asked to consider the compliments and complaints data and information for the first six months of the 2013/14 financial year and the proposal that this service moves to an annual reporting basis in line with the rest of Customer Services.

Officer Contact

Kim Arnall, Customer Services Complaints Manager, Customer Service and Communications
01603 222523



If you need this report in large print, audio, Braille, alternative format or in a different language please contact Kim Arnall on telephone number 01603 222523 and we will do our best to help

Employee Health, Safety & Well-being Mid-Year Report 2013/14

Report by the Health, Safety and Well-being Manager

Summary

This report provides updated information on the health and safety performance data for 2012/13 as well as an update on progress with the Health, Safety and Well-being Plan for 2013/14.

There has been a slight adjustment to the total number of incidents due to 'reporting lag' however the figures remain broadly comparable to last year. Changes to the reporting requirements have meant that in order to make comparisons we now separate the figures into over 3 day incident (previously reportable) and over 7 day incidents (now reportable).

Comparisons to nationally reported incidents remain favourable with reports per 1000 employees for Norfolk County Council remaining below the national figure.

Good progress has been made on the improvement plan for 2013/14, with work having been initiated for many of the strands. All strands are on track for delivery within the stated timescales.

1. Background

- 1.1 As part of the NCC health and safety management system the Health, Safety and Well-being Manager is required to report to the Chief Officers Group (COG) and the Corporate Resources Overview and Scrutiny Panel (CROSP) annually on progress on meeting the stated health, safety and well-being objectives and to provide an overall summary of health and safety management within the organisation. The report outlining NCC performance in 2012/13 was presented to COG and CROSP in July 2013.
- 1.2 This report provides an update on the performance data for 2012/13 as well as progress on the planned improvement activities for 2013/14.

2. Progress against identified improvement strands

- 2.1 **Improvement Strand 1: Ensure Health, Safety and Well-being Policies and associated documents remain fit for purpose and support the overarching objectives and core roles**
 - 2.1.1 Policies and procedures are identified for review and update for a number of reasons including: changes in statutory requirements, national guidance and

case law; organisational direction of travel or service changes; as a result of learning from incidents; or as a result of trend and gap analysis.

2.1.2 A number of policies and procedures have been reviewed and updated so far this year including:

- Fire safety policy and procedure
- Risk assessment policy and procedure
- Work Experience guidance
- Some of the school Curriculum Codes of Practice including Art, Science and PE
- Volunteer policy and guidance
- Portable Appliance testing
- Work Equipment
- First Aid Policy

Policies scheduled in for review before the end of the year or currently in the process of being reviewed include:

- Remaining School Curriculum Codes of Practice
- Driving for Work policy
- Asbestos Policy
- Equalities related policies including Personal Emergency Evacuation Plan Guidance and guidance on undertaking risk assessments for people with a disability
- Well-being Strategy and Stress Management Procedures
- Guidance on management of and working in shared occupancy premises

2.2 Improvement Strand 2: Ensure Health, Safety and Well-being Services are applied effectively across the County Council to successfully equip managers and employees to become self sufficient

2.2.1 The Occupational Health re-tender process has now completed and a new provider identified. We will be working with them over the remainder of the year to ensure a smooth transition by April.

2.2.2 A pilot of the Display Screen Equipment Module has been very positive. Prior to rolling out across the whole organisation an extended pilot will be run incorporating a wider variety of teams. It is anticipated that full role out will be in place by March 2014.

2.2.3 The DNA project being led by ICT gives an opportunity for exploring technological solutions to deliver a universal violent warning marker system. Work has started in this area but it will not be clear until later this year whether it is a viable option.

2.2.4 The Health and Safety Learning and Development Consultant has successfully developed and delivered a managers course in partnership with Norfolk Fire and Rescue Services (NFRS). The Consultant is also reviewing the possibility of working with the training division at NFRS to deliver some training to NCC Services such as first aid and explosive atmospheres.

- 2.2.5 Management Information has been utilised to target the provision of personal safety training resulting in an additional 5 courses being delivered direct to teams already this year.
- 2.2.6 All employees have been enrolled on 2 core e-learning packages to ensure everyone has a basic level of understanding regarding their own responsibilities for health and safety.
- 2.2.7 A number of courses have been refreshed and adapted to ensure the training offer remains fit for purpose. An example of this is the general risk assessment training that now incorporates a blended learning approach utilising the existing e-learning module combined with a shorter tutor led session. A new line managers refresher course has also been launched to reduce the time commitment to attend this course whilst still providing all the relevant updates and refreshing information needed for managers to be competent in their responsibilities.

2.3 Improvement Strand 3: To provide dedicated professional expertise and support in areas of high or complex risk

- 2.3.1 A number of commissioned and partnership activities have been or are in the process of being reviewed to ensure health and safety elements are appropriately managed and monitored.
- 2.3.2 Well-being support has been organised for a number of teams where significant changes are occurring. As the putting people first proposals are finalised support will be offered to teams as appropriate.
- 2.3.3 Lone working workshops continue to be delivered at team level providing the opportunity for the development of team based action plans for improvement. In addition, a review of technological advances in lone worker devices has identified some potential improvements which are being piloted by one team to identify if investment in this technology adds value.
- 2.3.4 Support is being provided to large scale projects such as the development of Coltishall and DNA to ensure all relevant health and safety risks are considered and managed appropriately.
- 2.3.5 Areas where work is planned to be completed by the end of the year includes:
- Community Services (Prevention) Team review of management of work related risks
 - Review arrangements regarding foreign student placements
 - Review arrangements regarding children's centres educational visits
 - Review arrangements regarding volunteers in a number of services
 - Review violent incidents being reported and support managers to implement actions to reduce the number of incidents occurring
 - Review Personal Assistance working procedures

2.4 Improvement Strand 4: To continue to improve and develop the Health Safety and Well-being Service

- 2.4.1 Regular liaison between the Well-being Team and other teams with similar objectives such as Public Health and the Schools Well-being Services have been initiated. This has led to involvement in a Public Health England initiative

to address and promote well-being in the workplace as well as a new traded service with schools to provide individual support.

2.4.2 Reviews planned for later in the year include:

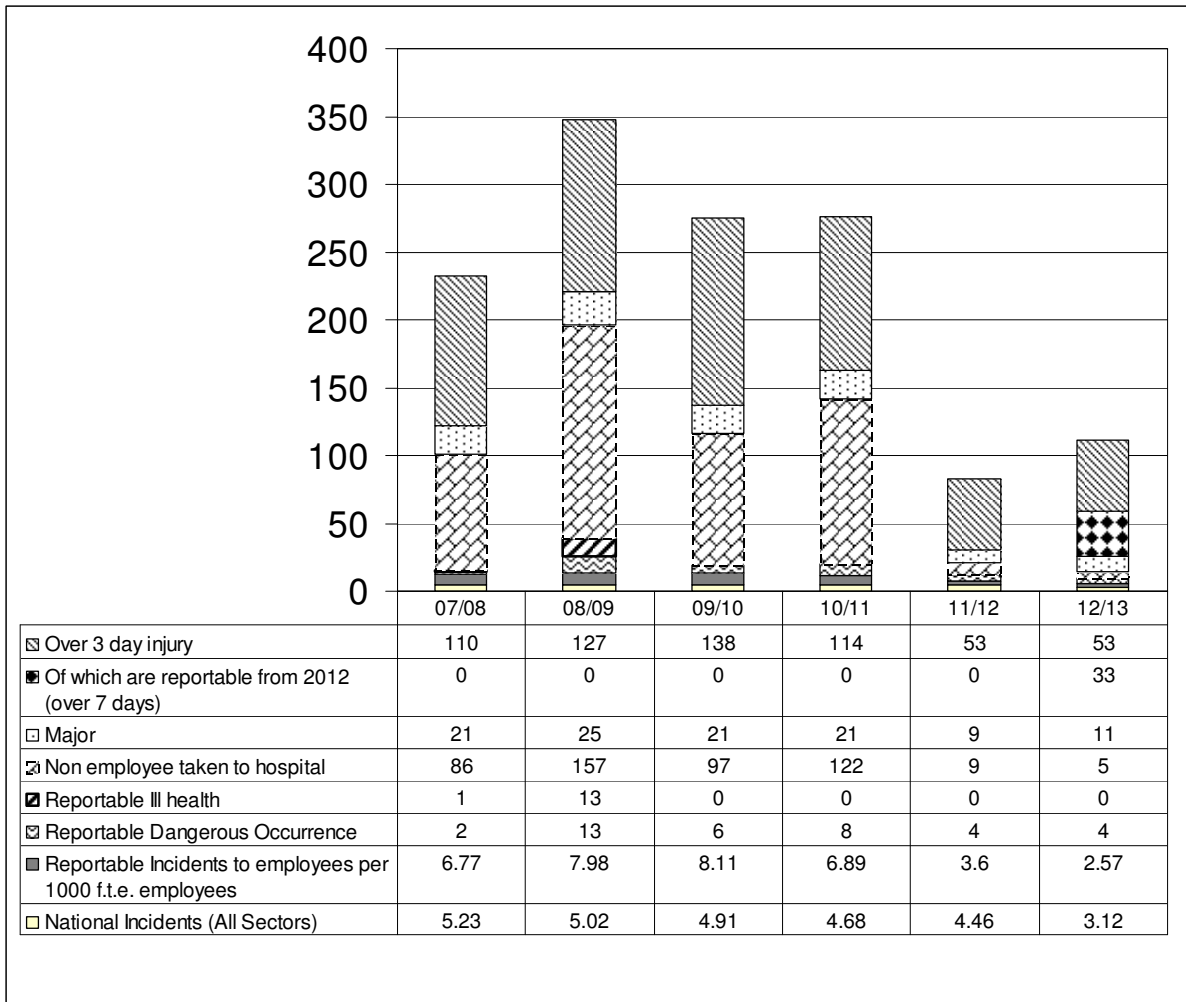
- Policy management process to streamline the number of documents published and improve efficiencies in the process
- Cost analysis of traded service to ensure it continues to be set at an appropriate rate

3.0 Health & Safety Performance for 2012/13

3.1 A summary of NCC's performance in managing health and safety based on information from statistical data was provided in the annual report. The following is an update on those figures to allow for late reports for the period to be included along with national figures for comparison. More detailed tables and graphs were also provided in the annual report and are not replicated here. Please note that NFRS data has now been fully integrated into NCC data, but due to the retained fire fighters within the service the full time equivalent (f.t.e.) numbers are estimated which may impact on the figures provided.

3.2 The number of reportable incidents has risen slightly since the original report but remain broadly comparable to last year.

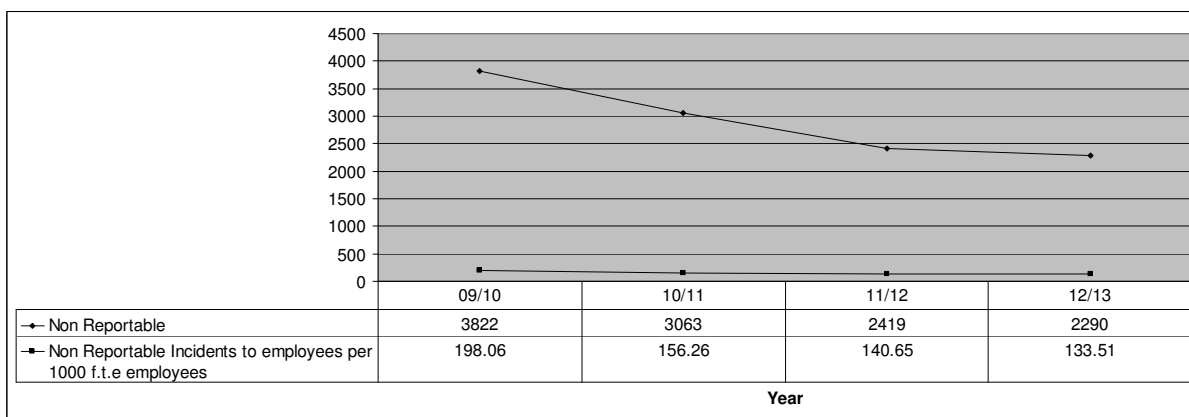
3.3 This years figures show both over 3 day injuries and over 7 day injuries. In 2012 the law on reportable injuries changes meaning injuries causing absence from work for between 3 and 7 days are no longer reportable, where they were previously. Therefore to ensure trend analysis can be obtained the data shows both over 3 day injuries (previously reportable) and over 7 day injuries (now reportable). However this does mean that the figure for reportable incidents per 1000 f.t.e cannot be compared to previous years as to enable comparison to the national benchmark only the over 7 day and major injuries are included in the calculation.



NUMBER OF REPORTABLE INCIDENTS (RIDDOR) PER YEAR FOR NCC

RIDDOR refers to the Reportable Incidents, Diseases and Dangerous Occurrence Regulations that stipulate which incidents are formally reportable to the HSE

N.B. Certain incidents involving members of the public, users of our service, clients and pupils must be reported to the HSE in the same way as employee incidents and are therefore also included in this table.



NUMBER OF NON REPORTABLE (RIDDOR) INCIDENTS PER YEAR FOR NCC

- 3.4 Again there has been a slight increase in the total number of incidents since the annual report was published, but the trend continues to be positive with overall numbers lower than previous years.
- 3.5 The incident rate per 1000 employees is also favourable in comparison to national incidents with the figure for NCC remaining lower than those nationally reported.

4. Recommendations

4.1 Members are asked to:

- Consider and comment on the Employee Health, Safety and Well-being Mid-Year report.

5. Equality Impact Assessment (EqIA)

- 5.1 An EqIA is undertaken when developing all new and updated health and safety strategies and policies. The HSW team work closely with Equalities colleagues to ensure a joined up approach to cross cutting issues.

6. Section 17 – Crime and Disorder Act

- 6.1 Some violent incidents reported to NCC are also classified as crime and disorder incidents and as such anonymised statistical information is provided to Norfolk Police in relation to these incidents.

7. Risk Implications/Assessment

- 7.1 If the Authority does not have a robust and proactive health and safety management system there are legal, reputational and financial risk implications for example there is a risk that the Authority will be exposed to enforcement action and ultimately prosecution. There is also a risk of an increase in successful civil claims made against the authority. The current health of the health and safety management system is good as indicated by the performance information outlined in 3.0 and in the full annual report. The improvement plan actions agreed in July aim to strengthen the system and keep the risks to NCC at an acceptable level.
8. Officers have considered all the implications which members should be aware of. Apart from those listed in the report, there are no other implications to take into account.

Officer Contact

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

Derryth Wright, Health, Safety and Well-being Manager

Tel No: 01603 222912 email address; Derryth.Wright@norfolk.gov.uk



If you need this report in large print, audio, Braille, alternative format or in a different language please contact Derryth Wright, Tel No: 01603 222912 or minicom 01603 223833 and we will do our best to help.

Report to Corporate Overview & Scrutiny Panel

13 January 2014
Item No...14

Norfolk County Council Personal Development for Members Report by the Organisational Development Manager

Summary

The purpose of this report is to provide Members with information about the benefits and importance of personal development planning and the options available for Members in Norfolk County Council. These include:

- a. Personal Development Planning (PDP) meetings
- b. A choice of tools to gather 360° feedback (feedback to support your development planning, from people who you work with and in the community). The feedback is gathered prior to the PDP meeting and used to inform the discussion.

Next steps

We will email all Members and ask them to book a personal development planning meeting and consider if they are interested in taking up the option to receive 360° feedback.

1. Background

This is an update report to Members on the support available for personal development planning and the options available. We would strongly encourage all Members to take up the opportunity of a personal development planning session in early 2014.

2. Contents of Report

The report is contained on pages 4-6 of this document.

3. Resource Implications

3.1. Finance/Staff/Property/IT

Officers have considered the above: There are no implications.

4. Other Implications

4.1. Legal Implications/Human Rights

Officers have considered the above: There are no implications.

4.2. Equality Impact Assessment (EqIA):

In scheduling personal development plan meetings we:

- have included evening slots to enable members with daytime work/caring commitments to attend.

- have located meetings in accessible venues
- will ask members if they have any specific accessibility requirements

4.3. Communications/Health and Safety/Environmental implications

Officers have considered the above: There are no implications.

5. Section 17 – Crime and Disorder Act

No implications

6. Risk Implications/Assessments

No implications

7. Recommendation

Members are noted to consider the briefing information.

8. Background Papers

None



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1. Overview - Personal Development Planning in Norfolk County Council

Norfolk County Council has a high commitment to effective Member Development – and delivers a wide range of learning activities for Members. The Member Support and Development Advisory Group co-ordinates these activities and identifies generic development needs for Members. These include needs arising from specific priority areas eg new Member induction and working within a committee system. In addition, it is important that individual learning needs are identified and addressed. To achieve this we provide all Members with the opportunity to undertake personal development planning through a one to one session.

To support Members the Local Government Association has developed a Political Skills Framework that provides a foundation for the development we offer. This is regularly updated to reflect the changing landscape and is now on its third iteration.

Within Norfolk County Council the Political Skills Framework underpins personal development activities for Members and provides the focus for personal development planning. The core skill areas in the framework are:

- Local Leadership
- Partnership Working
- Communication Skills
- Political Understanding
- Scrutiny and Challenge
- Regulating and Monitoring

We have been providing all Members the option to take part in personal development planning for over 8 years. Those Members that have taken up the opportunity to have a confidential discussion, focussed on their development have fed back that they found it extremely valuable.

2 Personal Development Planning – overview of the benefits for Members

Personal Development Planning is a valued and important part of the development journey for Members. It helps you identify your personal objectives as a County Councillor, your development needs and activities that can help you achieve your objectives. It gives you dedicated time to self-reflect, to look at where you are now in terms of skills, knowledge, experience and personal attributes and to consider:

- What you do well
- What areas you may want to strengthen
- What would make you even more effective

This self-reflection is not only powerful in terms of planning your personal development but also in raising your self-awareness.

Personal development planning has two key aspects to it. The first is deciding what development areas and activities you want to focus on in the short term, say the next 12 months. The second is about getting clarity on what you want to achieve in the longer term. Personal development planning helps you to get that clarity.

It will help you be clear on your priorities as a Member, the type of experience that you need to acquire and the skills and attributes that you need to develop.

Personal development planning will help you:

- identify any gaps in knowledge and skills and assess your skills/development needs
- make conscious decisions about how to close those skills gaps
- outline the potential learning and development opportunities that will enhance your effectiveness as a Member

3 Personal Development Planning sessions

We offer support to develop your Personal Development Plan (PDP) through a three stage process.

1. You will receive a short written introduction to personal development planning. This will ask you to review and reflect on your achievements as a Member. It will also ask you to look forward to what you plan to achieve over the following 12 months, both in terms of your division, and any positions of responsibility you hold.

2. Personal Development Planning session

This is a voluntary, confidential meeting, with an expert facilitator.

It provides you with an opportunity to:

- Focus on your role and on the council's priorities as the drivers for development
- Use the Political Skills Framework to identify your learning and development priorities
- Consider support needed for your role

3. The discussion will be written up as a Personal Development Plan and returned to you to support your development.

The session and the content of your plan will be held confidentially. The information will be collated into an overall report to inform learning and development delivery.

4 360° Feedback Questionnaire – to support your PDP meeting

To further support your development planning we offer Members the opportunity to gather 360° feedback before your meeting. This process uses a computer based questionnaire to gather feedback on your strengths, effectiveness and style as a Member. You decide who to ask for feedback, this needs to be people who have been involved with your work as a Member and whose opinion you value eg other Members, local representatives, officers and members of the public.

The confidential questionnaire will provide you with feedback on how the respondents see you in the role. It will give invaluable feedback about their thoughts on your personal style, effectiveness and impact as a Member. You can use this to identify strengths and development needs objectively, focusing on the factors and situations relevant to the role.

You can also complete the questionnaire, so you can compare your self-perception with the observations of others. The implications of these comparisons can then be explored and areas for development identified.

As 360° feedback is based on real situations, rather than on theory, the data is completely relevant. Because the feedback is fair, balanced and based on the actual role the data has high validity and is therefore very useful.

We will be offering two styles of feedback questionnaire:

- The first is for those who were first elected in May 2013, this will ask a few general questions, as at this stage respondents may find it difficult to provide more detailed comments.
- The second is for Members in their second term and asks for specific feedback linked to the Political Skills Framework.

If you opt to take part we will send you a link to forward to respondents in the weeks leading up to your personal development planning session. The feedback will be collated and used to support your personal development discussion.

5 Next steps

Book a personal development plan session via the online Member Learning and Development webpage.

The PDP dates are:

8th and 9th January 2014

6th and 7th February 2014

4th and 5th March 2014

Officer Contact

If you have any questions about personal development planning or 360° feedback please get in touch with:-

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Filming and Recording at Meetings Report of the Head of Democratic Services

This report brings to the attention of the Panel guidance from the Department of Communities and Local Government (DCLG) concerning the filming and recording of meetings. The report asks CROSP to refer the issue to the Constitution Advisory Group for them to consider the development of a protocol which can be included in the Constitution on filming, audio recording, taking photographs, blogging, tweeting and using other social media websites by members of the public or representatives of the media at meetings of Council, committees and sub-committees.

1.1 Background

1.1 In June 2013, the Department of Communities and Local Government published a guidance document “Your Council’s Cabinet – going to its meetings, seeing how it works.” This guide provides the public with practical information about attending meetings of a council’s executive and obtaining council documents.

1.2 The stated aim of this guidance is to help the public know when they can attend such meetings and what documents and information are available to them and to make councils generally more transparent and accountable to their local communities. It also sought to help councillors and officers comply with these rules which are based on a presumption in favour of openness. For example, it requires Councils to publish in advance the intention to make a Cabinet decision in private.

1.3 The guidance also has a section about filming meetings of Council, Cabinet or Committee meetings.

2. The DCLG Guidance

2.1 An extract from the guidance on filming meeting as set out below:

Can I film the meeting?

Council meetings are public meetings. Elected representatives and council officers acting in the public sphere should expect to be held to account for their comments and votes in such meetings. The rules require councils to provide reasonable facilities for any member of the public to report on meetings. Councils should thus allow the filming of councillors and officers at meetings that are open to the public. The Data Protection Act does not prohibit such overt filming of public meetings. Councils may reasonably ask for the filming to be undertaken in such a way that it is not disruptive or distracting to the good order and conduct of the meeting. As a courtesy, attendees should be informed at the start of the meeting that it is being filmed; we recommend that those wanting to film liaise with council staff before the start of the meeting.

The council should consider adopting a policy on the filming of members of the public speaking at a meeting, such as allowing those who actively object to being

filmed not to be filmed, without undermining the broader transparency of the meeting.

Will I be able to tweet or blog council meetings?

Similarly under the new rules there can be social media reporting of meetings. Thus bloggers, tweeters, facebook and YouTube users, and individuals with their own website, should be able to report meetings. You should ask your council for details of the facilities they are providing for citizen journalists.

3. The Legal Position

3.1 Despite the DCLG guidance, the regulations have not been amended, which means that they still mirror the Local Government Act 1972 section 100A(7) provision which state:

(7) Nothing in this section shall require a principal council to permit the taking of photographs of any proceedings, or the use of any means to enable persons not present to see or hear any proceedings (whether at the time or later), or the making of any oral report on any proceedings as they take place.

3.2 In addition, the 2012 Cabinet rules state:

(4) Nothing in these Regulations requires a decision-making body to permit the taking of any photographs of any proceedings or the use of any means to enable persons not present to see or hear any proceedings (whether at the time or later), or the making of any oral report on any proceedings as they take place.

3.3 Therefore, it still remains the law that members are not required to allow filming - it is at their general discretion. The Secretary of State is in effect saying that there is no good reason to refuse it.

3.4 The Council does not have a policy on this. Custom and practice is that requests to film before a meeting formally commences are routinely acceded to, but filming and recording during the meeting are not generally permitted.

4. Conclusion

4.1 The Council is committed to being open and transparent in its business, and therefore we should consider positively any suggestion to make our meetings as accessible as possible to our residents. It is likely that we will receive more and more requests to film or record our meetings. Members will recall that a recent Council meeting was broadcast live on BBC Radio Norfolk. It therefore seems timely to consider the Council's position on the use of media tools by members of the public or representatives of the media at meetings of Council, committees and sub-committees. The Terms of reference of the Constitution Advisory Group is to make recommendations to this Panel on changes that may be required to the Constitution, so it would be appropriate for members to refer this issue to the CAG for its consideration. The Council resolved on 26th November 2013 to move from an Executive model of governance to a Committee system with effect from the AGM in May 2014, so it would be prudent for any protocol devised by CAG to be capable of being applied to any future system. CROSP may also wish to suggest to CAG that If

it does agree to a protocol, to also request the Head of Law to draft any further rules and safeguards to keep the council compliant with the law (for example data protection, human rights compliance etc.)

5. Implications

5.1 **Section 17 - Crime and Disorder:** None arising directly from this report

5.2 **Financial Implications:** None arising directly from this report

5.3 **Any other implications:** Officers have considered all the implications which members should be aware of. There are no other direct implications to take into account as this report simply sets out a suggested process to develop a protocol for members to consider

6. Equality Impact Assessment

6.1 This report is not making proposals which will have an impact on equality of access or outcomes for diverse groups.

7. Recommendation

7.1 That the Panel notes the guidance from DCLG and ask the Constitution Advisory Group to prepare and recommend to this Panel and the Council a protocol for insertion in the Constitution concerning the Council's position on the use of media tools by members of the public or representatives of the media at our meetings. This is to include filming, audio recording, taking photographs, blogging, tweeting and using other social media websites by members of the public or representatives of the media at meetings of Council, committees and sub-committees.

Officer Contact:

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

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