

# Cabinet

Date: **Monday 2 December 2019**  
Time: **10am**  
Venue: **Edwards Room, County Hall, Norwich**

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

## Membership:

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

## WEBCASTING

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## A g e n d a

**1 To receive any apologies.**

**2 Minutes**

Page **5**

To confirm the minutes from the Cabinet Meeting held on Monday 4 November 2019.

**3 Members to Declare any Interests**

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

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

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

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

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

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

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

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

- **Recommendations from Scrutiny Committee: Broadland Northway – Lessons Learnt and One Year Monitoring.**  
Report from scrutiny committee held on 19 November 2019.

Page **24**

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

## 6 Public Question Time

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by 5pm on **Wednesday 27 November 2019**. For guidance on submitting a public question, view the Constitution at <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee>

## 7 Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by **5pm on Wednesday 27 November 2019**.

- |                                                                                                                                                                        |                 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| <b>8 Progress on the Council's Equality, Diversity &amp; Inclusion Objectives 2017-2020</b><br>Report by the Executive Director of Community & Environmental Services. | Page <b>27</b>  |
| <b>9 Norfolk Strategic Infrastructure Delivery Plan (NSIDP) refreshed for 2019</b><br>Report by the Executive Director of Community & Environmental Services.          | Page <b>47</b>  |
| <b>10 Adult Education Strategy</b><br>Report by the Executive Director of Community & Environmental Services                                                           | Page <b>129</b> |
| <b>11 CES Enforcement Policy – Annual Review.</b><br>Report by the Executive Director of Community & Environmental Services                                            | Page <b>148</b> |
| <b>12 Finance Monitoring Report 2019-20 P7 : October 2019</b><br>Report by the Executive Director of Finance & Commercial Services                                     | Page <b>219</b> |
| <b>13 Mid-Year Treasury Management Monitoring Report 2019-20</b><br>Report by the Executive Director of Finance & Commercial Services                                  | Page <b>249</b> |
| <b>14 A Social Impact Bond for Carers.</b><br>Report by the Executive Director of Adult Social Services                                                                | Page <b>272</b> |
| <b>15 Renewal of the NCC Group Catering Contract for maintained schools.</b><br>Report by the Executive Director of Children's Services                                | Page <b>279</b> |
| <b>16 Plan to develop Peer Challenge Recommendations into Action Plan</b><br>Report by the Executive Director of Strategy & Governance                                 | Page <b>284</b> |

## 17 Delegated Decisions Reports

### Decision by the Cabinet Member for Children's Services

- Adoption of Childcare Sufficiency Assessment 2019

Page **361**

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

- Implementation of speed management measures, Quebec Road, Dereham.

Page **401**

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**Head of Democratic Services**  
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Date Agenda Published: 22 November 2019



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## **Cabinet**

### **Minutes of the Meeting held on Monday 4 November 2019 at 10am in the Council Chamber, County Hall, Norwich**

#### **Present:**

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

#### **Other Members Present:**

Cllr Steve Morphew  
Cllr Alexandra Kemp  
Cllr Bev Spratt

#### **Executive Directors Present:**

Tom McCabe	Executive Director of Community & Environmental Services and Head of Paid Service.
James Bullion	Executive Director of Adult Social Services
Abdus Choudhury	Deputy Monitoring Officer (for Chief Legal Officer & Monitoring Officer)
Simon George	Executive Director of Finance & Commercial Services
Fiona McDiarmid	Executive Director of Strategy & Governance
Sara Tough	Executive Director of Children's Services

#### **1 Apologies for Absence**

There were no apologies for absence.

#### **2 Minutes**

The minutes from the Cabinet meeting held on Monday 7 October 2019 were agreed as an accurate record and signed by the Chairman.

### **3 Declaration of Interests**

There were no declarations made.

### **4 Items of Urgent Business**

There were no items of urgent business.

### **5 Public Question Time**

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

### **6 Local Member Questions/Issues**

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

- 6.2 As a supplementary question, Cllr Kemp referred to the need for care farms in West Norfolk and the commitment to the Joint Health and Wellbeing Strategy to improve mental health. Cllr Kemp said that the Mental Health Trust had received £5m to bring in 24/7 care in hospitals and in the community and asked if Cabinet would commit to speaking with the Mental Health Trust to see whether a care farm in west Norfolk could be progressed more quickly.

The Chairman reiterated the last paragraph of the response to the substantive question, adding that a care farm to serve the west of the county was being actively progressed by the Cabinet Member and the appropriate team.

The Cabinet Member for Commercial Services and Asset Management added that Norfolk County Council was trying to promote more care farms but this could only happen when the right farms became available. He added that a robust procedure was in place to interview potential tenants, including ensuring that candidates presented a robust business plan.

### **7 Norfolk Adoption Service (NAS) – Statement of Purpose**

- 7.1 Cabinet received the report by the Executive Director of Children's Services setting out that the Statement of Purpose was a public document, approved by Cabinet, available to adoptive families, adopted children, their birth parents and guardians and staff working in the field of adoption. The document was inspected by Ofsted (Office of Standards in Education).

- 7.2 In introducing the report, the Cabinet Member for Children's Services highlighted that the service had been judged "very good" at the latest Ofsted inspection. The Cabinet Member also highlighted that a total of 67 children had been matched with adoptive parents; a good track record had been maintained of placing sibling groups with adoptive parents, keeping siblings together where possible; the comprehensive support service offered to adopted children and families, including birth families and that Norfolk had exceeded the national minimum adoption standards.

The Cabinet Member also added that work was being undertaken to develop a marketing and recruitment approach to further target BME groups, children with disabilities and those with an offer to large sibling groups and that work would continue to develop the service and the Adoption Support Fund. The Cabinet Member moved the recommendations in the report.

7.3 The Chairman advised that Cabinet was being asked to endorse and approve the Statement of Purpose for the Adoption Service as it was not necessary for full Council to approve the Statement.

7.4 The Cabinet Member for Innovation, Transformation & Performance commended the excellent report, noting that he was particularly impressed with the average time for a child entering care and moving to a family in Norfolk of 337 days, which was much better than the national average. He added that this gave children certainty and the short timescales needed to be commended, thanking staff for making it happen.

7.5 The Vice-Chairman and Cabinet Member for Growing the Economy commended the report, highlighting the Foreword by the Executive Director of Children's Services which stated that Ofsted had judged NCC's adoption service as outstanding in January 2018 and that the service delivered positive and timely outcomes for children.

7.6 The Cabinet Member for Adult Social Care, Public Health and Prevention also endorsed the report which highlighted the good work carried out within Children's Services and the Adoption Service. He added that the report reaffirmed Councillors' responsibilities as corporate parents and the good health in which the adoption service was in.

7.7 The Chairman noted that this was a good news report which emphasised the service and also the Ofsted judgement of the service which was a good omen for the future.

#### 7.8 **Decision**

Cabinet **RESOLVED** to:

- **Endorse** and approve the Statement of Purpose for the Adoption Service.

#### 7.9 **Alternative Options**

Refer to Cabinet report.

#### 7.10 **Reasons for Decision**

There is evidence of sustained and strong service performance in relation to adopter recruitment, children being adopted and post adoption support. Norfolk Adoption Service continues to be a high performing service within the region.

The decision to endorse the Statement of Purpose is required in order for the Local Authority to remain compliant with the Adoption Regulatory Standards.

## **8 Norfolk Fostering Services (NFS) – Statement of Purpose 2019-20**

- 8.1 Cabinet received the report by the Executive Director of Children’s Services focusing on a performance review of Norfolk Fostering Service.
- 8.2 The Executive Director of Children’s Services stated that producing an annual report on the service was a statutory requirement under the Guidelines to give Cabinet an opportunity see the work carried out in the previous year; the achievements; the progress and the plans for the coming year. The Executive Director added that this was another good news story where real progress had been made by the Norfolk Fostering Service.
- 8.3 The Cabinet Member for Children’s Services introduced the report and moved the recommendations, drawing Cabinet’s attention to the fact that the Fostering Service had exceeded the recruitment target of 40 by approving a total of 42 fostering households, with the approval stretch target for 2020/21 being raised to 65. The Cabinet Member added that the Fostering Service continued to grow, particularly the development of the Foster Care Ambassadors, Buddies and Trainers, with the buddies being a particularly important factor enabling foster carers to have a buddy to contact if they needed advice or guidance. The training offered to foster carers was also noted as exceptional.

Cabinet noted that a new website was due to be launched in the next six months which would include a short video about becoming a foster carer which it was hoped would encourage additional interest from anyone considering becoming a foster carer.

The Cabinet Member also highlighted how Norfolk County Council supported the 321 approved foster carers in Norfolk, 24 of which were friends and family carers and 281 were mainstream foster carers.

- 8.4 The Cabinet Member for Adult Social Care, Public Health and Prevention fully supported the report and the work of the fostering service, as well as the adoption service, noting that looked after children were much better off in a family environment which the fostering service provided. He added he was particularly keen to support the introduction of the Fostering Panel Service which would continue to support improved practice through quality assurance, training and challenge.
- 8.5 The Vice-Chairman and Cabinet Member for Growing the Economy referred to the Ofsted judgement that had advised that Norfolk’s children were with foster carers who were well trained, well supported and well supervised. He added that as part of the Children’s Services transformation journey to good and outstanding, new foster carers were being invited to join the service and it was hoped that 47 new foster families could be recruited this year. Norfolk County Council was ambitious in ensuring children lived in loving foster families within their communities where they were safe and felt a sense of belonging as all children should enjoy a happy, healthy childhood which promoted their self confidence and resilience. The Cabinet Member complemented the service on its achievements.



- 8.6 The Cabinet Member for Innovation, Transformation & Performance endorsed the report, noting that the number of foster carers increasing each year was good to see, as well as how foster carers were taking a lead in developing the foster service.
- 8.7 The Chairman noted that the Statement of Purpose included a plan for the future and that it was also noted that the service was showing no complacency in that it had set itself stretch targets for the future. He added his congratulations to everyone concerned on achieving the Ofsted judgement of “Good”.

## 8.8 **Decision**

Cabinet **RESOLVED** to

- **Endorse** and **approve** the Statement of Purpose for the Fostering Service 2019-20.

## 8.9 **Alternative Options**

Refer to Cabinet Report.

## 8.10 **Reason for Decision**

There is evidence of improved service delivery in relation to foster carer recruitment and retention through a more targeted and informed approach, as well as high quality support to each foster placement made. The service is on track to deliver the sufficiency targets.

The decision to endorse the Statement of Purpose is required for the Local Authority to remain compliant with the Care Standards Act 2000.

## **9 Annual Review of NCC Residential Children’s Homes.**

- 9.1 Cabinet received the report by the Executive Director of Children’s Services reporting on the performance of, and outcomes achieved by Norfolk’s Residential Children’s Homes Service.
- 9.2 The Executive Director of Children’s Services introduced the annual report, highlighting that the NCC Residential Children’s Homes service was probably one of the jewels in Norfolk County Council’s crown as not all local authorities had a residential care estate and that NCC had nine children’s homes. The Executive Director highlighted that the service was highly regarded in terms of the judgements afforded by Ofsted which was also a key part for the reason the service had been successful in a bid to the Department for Education to partner with Yorkshire in the “No Wrong Door” programme.
- 9.3 The Cabinet Member for Children’s Services highlighted this good news story which ensured that children requiring accommodation and care were provided for within NCC’s own estate. He also highlighted that every child coming into a home had a risk assessment to ensure that the placement was suitable for them.

The Cabinet Member quoted statements from young people who had been in care, which had shown how they recognised and appreciated the service afforded to them.

Cabinet noted that Ofsted inspected the children's homes annually, with any requiring improvement inspected twice yearly.

The Cabinet Member drew attention to the table in the report about the number of times children/young people went missing and advised that this referred to the number of incidents, not the number of children. The incidents were strictly monitored and recorded and related to a small number of children that tended to push boundaries by returning to the home 10-15 minutes late.

The Cabinet Member advised that the capital investment programme, to introduce semi-independent living accommodation for 16-18 year olds that wanted to leave residential care, was progressing well and proving to be successful and that additional accommodation would be coming on stream in the future.

- 9.4 The Cabinet Member for Finance fully supported the service and noted it was a great accolade with the number of homes rated good or outstanding by Ofsted, leading to the confidence of Cabinet and Council in providing capital funding for the service.
- 9.5 The Vice-Chairman and Cabinet Member for Growing the Economy commended the report and added that this was another good report from Children's Services showing how the service had developed and improved over the past year.
- 9.6 The Cabinet Member for Commercial Services & Asset Management added his endorsement to the report, particularly the semi-independent living service, in which he had been supporting Children's Services by purchasing homes to use as semi-independent accommodation for 16-18 year olds.
- 9.7 The Cabinet Member of Innovation, Transformation & Performance also commended the report and noted the importance in providing the semi-independent living service which made the transition from care into living on their own easier for care leavers.
- 9.8 The Cabinet Member for Communities & Partnerships highlighted the work being done in offering placements for student social workers across the homes to give them a learning opportunity and also to give the young people an opportunity to speak to someone nearer their own age.
- 9.9 The Chairman highlighted the excellent Ofsted judgement that Norfolk County Council's children's homes were good or outstanding at 8 of the 9 homes in the estate. The Chairman reiterated the comment of the Executive Director of Children's Services that the service was a "jewel in the crown" of Norfolk County Council services.

9.10 **Decision**

Cabinet **RESOLVED** to:

- **Recommend the approval** of the Statements of Purpose and Functions for all the Local Authority children’s homes to full Council to comply with the Care Standards Act 2000.

9.11 **Alternative Options**

Refer to Cabinet report.

9.12 **Reason for Decision**

Refer to paragraph 4 of the Cabinet report.

**10 Transforming Cities Funding Submission**

10.1 Cabinet received the report by the Executive Director of Community & Environmental Services outlining the application for the remaining Transforming Cities Funding allocation following the successfully secured £6.1m of funding from an earlier tranche of funding.

10.2 The Executive Director of Community and Environmental Services stated that Norfolk County Council Members and Officers had been working with colleagues at Norwich, Broadland and South Norfolk Councils, together with a range of other stakeholders, for the last six months to develop a Business Case for the Transforming Cities Fund. The Fund was widely recognised as a huge opportunity for transport and connectivity improvements in the Greater Norwich area and would give an opportunity to underpin Norwich’s position as the regional capital. The report sets out the issues and progress made in working towards the submission of the final proposal by 28 November 2019.

10.3 The Cabinet Member for Highways, Infrastructure & Transport introduced the report which set out the Strategic Outline Business Case (SOBC) to be submitted by 28 November, including details of the three funding scenarios and the details of all the proposed projects. The Cabinet Member advised that the Transforming Cities Joint Committee had carefully considered the report at its last meeting and have given its unanimous support for the business case and the Transforming Cities Fund.

10.4 The Cabinet Member for Highways Infrastructure & Transport read out the following statement, following the promised six-month review of the Transforming Cities Joint Committee:

“Cabinet approved the formation of a new Transforming Cities Joint Committee in May 2019, but agreed that this would be reviewed after six months. To date, the Joint Committee has considered details of projects already being delivered and has provided views on the funding application recommended for approval by Cabinet today. The Joint Committee is working well in terms of providing scrutiny and challenge and therefore it will continue to meet. I will review again in April 2020, following the Transforming Cities funding announcement by Government”.

10.5 The Cabinet Member for Adult Social Care, Public Health and Prevention backed the proposals, particularly the cross-party support. He added that this

would also raise the profile of the green agenda at Norfolk County Council as the project would improve air quality in the city and help ensure buses were operating more efficiently, which in turn may encourage people to move from using their car to using public transport.

- 10.6 The Chairman noted that this was a good example of Norfolk County Council's 'Working Better Together' ambition.
- 10.7 The Cabinet Member for Children's Services added his support to the SOBC and thanked officers for the work they had carried out. He was particularly pleased to see the Thorpe Road contraflow and the Rackheath to city centre schemes included, especially the Plumstead Road/Woodside Road scheme, Heartsease five-ways roundabout and Ketts Hill roundabout which he had received a lot of complaints about from his constituents.
- 10.8 The Cabinet Member for Finance congratulated the Transforming Cities Joint Committee for its work and added that, as cycling champion, he had been pushing for Beryl's Bikes to come to Norwich which would see 600 bikes in place from March 2020, including a large number of electric-assist bikes.
- 10.9 The Cabinet Member for Innovation, Transformation and Performance commended the report, particularly the LED lighting and smart city technology initiatives which were examples of how technology could be harnessed to make travelling on public transport easier.

#### 10.10 **Decision**

Cabinet **RESOLVED** to:

1. **Approve** the submission of the Strategic Outline Business Case (SOBC) based on the proposals outlined in the report.
2. **Delegate** sign-off of the detailed submission to the Cabinet Member for Highways, Infrastructure & Transport.

#### 10.11 **Alternative Options**

Refer to Cabinet Report.

#### 10.12 **Reason for Decision**

The programme outlined in this report has been developed in conjunction with both private and public sector partners, as well as with input from the DfT. The programme maximises the potential for the bid to be successful and is therefore recommended to the Joint Committee.

### 11 **Abbey Estate Thetford – Memorandum of Understanding**

- 11.1 Cabinet received the report by the Executive Director of Community & Environmental Services setting out the intention to work with other bodies and the local community.
- 11.2 The Vice-Chairman and Cabinet Member for Growing the Economy introduced the report and moved the recommendation to approve the Memorandum of

Understanding between Flagship Housing, Breckland Council and Norfolk County Council.

11.3 The Cabinet Member for Adult Social Care, Public Health and Prevention noted his support for the report, stating that the Abbey Estate at Thetford had been built in the 1960's and at that time had been considered ahead of its time. Recently, it had been proved that there were elements of challenge in the layout of the estate and this important urban regeneration project would have a positive impact on the residents of the estate and in Thetford. The Cabinet Member added that Norfolk County Council allocating £100,000 to start the process, without receiving anything in return, would hopefully encourage the Partners to invest in future. The Cabinet Member added his thanks to everyone concerned in bringing the proposals forward.

11.5 The Vice-Chairman and Cabinet Member for Growing the Economy advised Cabinet of the following amendments to the Memorandum of Understanding:

Under "Principles of Collaboration" on page 1 of the Agreement, remove the words "when seeking to achieve"

On page 3, paragraph 6.3 of the Memorandum of Understanding, add the word "is" after the County Council to read. "The County Council **is** a key strategic partner ....."

11.6 The Cabinet Member for Innovation, Transformation & Performance added his support to the proposal, noting that "Together for Norfolk" had been launched, setting out a vision that communities could be proud of. He added that the Abbey Estate had a strong sense of community with a passion for the area among its residents and that schemes such as this should be carried out to make life better for residents.

11.7 The Cabinet Member for Communities & Partnerships offered her support to the proposal to regenerate the area and felt that this was a scheme that could be replicated in other parts of the county in the future.

11.8 The Cabinet Member for Environment & Waste stated that he looked forward to seeing the work carried out, which was similar to a scheme in Great Yarmouth on the Middlegate Estate. He added that learning from different schemes would mean that schemes could be replicated across the county.

11.9 The Chairman highlighted that the scheme was about community leadership, with Norfolk County Council, Breckland Council and Flagship Housing showing that leadership on this major, long-term regeneration project, which should be fully supported.

11.10 **Decision**

Cabinet **RESOLVED** to:

- **Approve** the Memorandum of Understanding.

11.11 **Alternative Options**

Refer to the Cabinet Report.

#### 11.12 **Reason for Decision**

The Cabinet decision is considered to align closely with the County Council's stated outcomes in our agreed six-year plan 'Together for Norfolk'. The rationale behind the proposal is to improve the physical, environmental and community elements of the estate in a manner agreed with the local community.

### **12 Norfolk Safeguarding Adults Board Report 2018-19**

12.1 Cabinet received the annual report by the Executive Director of Adult Social Services summarising the work of the Norfolk Safeguarding Adults Board (NSAB) during 2018-19. The Chairman advised that Joan Maughan, Independent Chair of the Adult Safeguarding Board had intended to present the report, but was unable to attend due to illness.

12.2 The Cabinet Member for Adult Social Care, Public Health and Prevention highlighted that the report produced by the Independent Chair of the Safeguarding Board demonstrated Norfolk County Council's commitment to safeguarding.

12.3 The Executive Director of Adult Social Services introduced the annual report of the Norfolk Adult Safeguarding Board, which was a report for the previous year and which was used as a background report for future planning. The Executive Director highlighted that there had been a significant increase in the number of safeguarding adult enquiries year on year which was considered positive in that people felt confident about reporting adult abuse. The aim of the service was for people to be free from abuse and neglect, although the difficulties in achieving this was recognised in the complex world we lived in.

The significant proportion of financial abuse of older and vulnerable people was highlighted, which was a growing area of concern for the Safeguarding teams.

The number of referrals each year for independent formal reviews into complaints of serious case reviews was small in number compared with the number of enquiries but the cases enabled the team to learn from inter-agency colleagues about what went wrong between the health service, NCC and the police service.

The Executive Director commended the report to Cabinet as a positive message that the work undertaken was protecting the vulnerable and older people in Norfolk.

12.4 The Cabinet Member for Commercial Services and Asset Management endorsed the report and commended the work of the Norfolk Adult Safeguarding Board, by bringing all the different partners together to resolve safeguarding problems within the county.

12.5 The Chairman endorsed the comments made by the Executive Director of Adult Social Services and highlighted the message from the Independent Chairman of the Adult Safeguarding Board which gave an honest view of the

challenges being faced as well as an honest view of the capacity for dealing with cases, although the Service had achieved some positive results.

## 12.6 **Decision**

Cabinet **RESOLVED** to

- a) **Agree** the content of the report, which is ready for publication.
- b) **Proactively share** this report with partner organisations with whom they have contact and actively encourage their involvement with NSAB's work.

## 12.7 **Alternative Options**

Refer to Cabinet Report.

## 12.8 **Reason for Decision**

The publication of an annual report is a statutory requirement upon safeguarding adults boards (14.136 Care Act Guidance 2016).

## 13 **Adult Social Care Market Position Statement Update 2019-20**

13.1 Cabinet received the report by the Executive Director of Adult Social Services summarising the Norfolk Adult Social Care (ASC) market as it currently stood and how Norfolk County Council and its partners intended to, and were, shaping the care market to meet people's needs, a care market where most of the provision was not owned by the Council. The report updated the 2018 document at [www.norfolk.gov.uk/mps](http://www.norfolk.gov.uk/mps).

13.2 The Executive Director for Adult Social Services introduced the report by saying this was Norfolk County Council's annual opportunity to update and publish its view of how the care market fared in terms of its state, capacity and quality and to advise care providers about the kind of changes and opportunities presented in a growing market together with raising quality.

13.3 The Cabinet Member for Adult Social Care, Public Health & Prevention highlighted that the document had become an important document in recent years to encourage and shape the market. One of the key things the Council could do was to support the market by putting in an additional £11.3m at the budget in February 2019, which was effectively a 9% increase over the previous financial year to help mitigate some of the pressures faced, one aspect of which was the introduction of the living wage which had seen the wages paid to care workers in the sector increase. It was hoped that the introduction of the living wage would help to reduce staff turnover and lead to investment in careers as being a carer could be a very rewarding career.

The Cabinet Member said that the document was key and he hoped the care sector would pay it due regard when they were making future plans and decisions about their businesses.

13.4 The Chairman noted that there were issues around workforce in caring professions, although this was a nationwide issue relevant to the care sector as

well as the nursing sector and highlighted the concluding points in the report about the work required moving forward

### 13.5 **Decision**

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

1. **Approve** the Adult Social Care Market Position Statement Update – 2019-20 for publication. (Appendix A).

### 13.6 **Alternative Options**

No alternative options were identified.

### 13.7 **Reason for Decision**

The appendix “Adult Social Care Market Position Statement Update – 2019-20”.

The Care Act (2014) introduced new duties for local authorities to facilitate and shape a diverse, sustainable and quality market known as market shaping. The Market Position Statement Update is a document that analyses the care market from these perspectives and presents the steps the Council is taking to meet its responsibilities under the Care Act. The document is a key piece of analysis to support the council and its partners who undertake market shaping in the care market.

## 14 **Finance Monitoring Report 2019-20 P6: September 2019**

14.1 Cabinet received the report by the Executive Director of Finance & Commercial Services providing a summary of the forecast financial position for the 2019-20 Revenue and Capital Budgets, General Balances and the Council’s Reserves at 31 March 2020, together with related financial information.

14.2 The Cabinet Member for Finance introduced the report and moved the recommendations, highlighting that the overspend had been slightly reduced, with the forecast overspend slightly less in Adult Social Services. He added that Children’s Services was currently maintaining a forecast of £7m and referred to the commentary in the report which highlighted significant pressures with placements and support for looked after children together with renewed pressures on the transport budget. Further implications of those pressures were awaited. The Cabinet Member noted that the Transformation Programme in Children’s Services was starting to come to fruition.

The Cabinet Member noted the slight decrease forecast in the budget savings within Children’s Services due to a continued reliance on agency work, as well as challenges with recruitment and staff retention.

Regarding the Capital Programme, the Cabinet Member highlighted that the current year’s fixed rate long-term funding had been largely secured at lower levels, before the recent rise in the PWLB lending rates. Access to the PWLB



funds for infrastructure projects at a lower rate remained and he reported that the Great Yarmouth 3<sup>rd</sup> River Crossing had been approved as one scheme.

Some reprofiling of the capital programme had taken place which was mainly due to changes in the timing of school improvements together with some reshaping of the capital programme at County Hall itself.

The Capital Programme would be agreed by Council at its meeting in February 2020 and individual departments were proposing spending plans. These plans were prioritised using the filters set out in the report, allowing comparisons to be made on different programmes to develop a capital programme that could be delivered to minimise unaffordable revenue costs. The plan would need to demonstrate that the capital expenditure and investment decisions were taken in line with the service departments objectives and would take account of the project's affordability, its deliverability and its value for money in the future.

Cabinet also noted the council's repayment profile, with a reduction in the MRP for the next two years.

The Cabinet Member highlighted the Medium Term Financial Strategy and noted that a one-year spending review had been received in September 2019. The announcement of the review was due on 5 December 2019, and although there had been speculation that the date may be challenging and concerns raised about the implications if the programme was delayed, Cabinet was assured that the Finance Team budgeted for any contingency.

14.3 The Chairman agreed it was right to highlight the issues and concerns around the spending review settlement.

14.4 The Cabinet Member for Highways, Infrastructure & Transport expressed his pleasure at the funding news for the Great Yarmouth 3<sup>rd</sup> River Crossing and highlighted the other schemes being worked up in the Strategy – the Norwich Western Link; A47 improvements including the Acle Straight, Tilney to East Winch and the Hardwick Flyover; the Long Stratton Bypass; the A10 West Winch housing access road and the rail enhancements, as well as the Transforming Cities Fund. He added that the Improvement Strategy would lead to a vast improvement in Norfolk's infrastructure.

14.5 The Cabinet Member for Innovation, Transformation & Performance also considered it was important to keep a tight rein on expenditure, but spending money where it was needed was necessary in areas such as the Trading Standards database which was of direct benefit to Norfolk people, although it was a hidden cost.

14.6 The Cabinet Member for Children's Services endorsed the comments made and highlighted that the Transformation Programme in Children's Services was moving in the right direction, with the number of children in care reducing. He added that now the first half-term had completed more focus would be given to considering how to reduce the pressures on school transport.

14.7 The Cabinet Member for Adult Social Care, Public Health and Prevention congratulated everyone concerned in securing the £90m from the DfT for the Great Yarmouth 3<sup>rd</sup> River Crossing.

The Cabinet Member for Adult Social Care, Public Health and Prevention highlighted that out of 430,000 invoices received, 98% had been paid within 30 days which was excellent news, showing that Norfolk County Council paid its suppliers promptly and took its responsibilities seriously.

14.8 The Chairman thanked the Executive Director for the comprehensive report and noted that the Cabinet Member for Finance and the Executive Director of Finance & Commercial Services maintained strong control of the council's finances.

#### 14.9 **Decision**

Cabinet **RESOLVED** to:

1. **Recommend** to County Council the addition of £0.038m to the capital programme for the purpose of replacing the Trading Standards database as set out in appendix 2, paragraph 4.1;
2. **Approve** the draft capital strategy and prioritisation method as the basis for developing the 2020-23 capital programme, as set out in Capital Annex 2;
3. **Note** the period 6 forecast general fund revenue overspend of £4.368m noting also that Executive Directors will take measures throughout the year to reduce or eliminate potential overspends.
4. **Note** the period 6 forecast shortfall in savings of £4.916m, noting also that Executive Directors will take measures throughout the year to mitigate savings shortfalls through alternative savings or underspends.
5. **Note** the forecast General Balances at 31 March 2020 of £19.623m, before taking into account any over/underspends.
6. **Note** the expenditure and funding of the revised current and future 2019-22 capital programmes.

#### 14.10 **Alternative Options**

Refer to Cabinet Report.

#### 14.11 **Reasons for Decision**

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

**Appendix 1** summarises the revenue outturn position, including:

- Forecast over and under spends
- Changes to the approved budget
- Reserves
- Savings
- Treasury management and
- Payments and debt performance

**Appendix 2** summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding

- Income from property sales.

Capital Annex 2 to Appendix 2 sets out the context within which the capital programme will continue to be developed, including a draft capital strategy and prioritisation model.

## **15 Delegated Decisions Reports**

Cabinet **noted** the following Delegated Decisions:

### **15.1 Cabinet Member for Highways, Infrastructure & Transport:**

- Costessey, Richmond Road Junction with East Hills Road – Waiting restrictions.
- Queens Hills - Waiting Restriction

The meeting ended at 11.05 am.

### **Chairman**



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**Cabinet  
4 November 2019  
Public & Local Member Questions**

**Agenda    Public Question Time  
item 5**

**Question from Andrew Boswell**

The minutes of the June Cabinet meeting highlighted plans to secure Tranche 2 funding 'which could be upwards of £100m' (minutes 9.2). The leader of the Council was reported too in the EDP saying 'Let's hope we do stay north of £100m'. Today's TCF report notes 'DfT has identified a likely constraint on funding' and that the bid will be restricted to the range £55m (low) - £70m (medium). The loss to the Council of £30m - £55m of funding for sustainable transport is very regrettable. Will the leader take this up with the DfT, including Norfolk MP and transport minister George Freeman, to ensure further money comes to Norfolk?

**Response from the Chairman:**

Following the submission of our draft business case to the Department for Transport (DfT) in June 2019, all 12 cities shortlisted for funding were advised to reduce the scope of their low and medium cost scenarios on the basis that the £1.2bn fund was heavily over-subscribed. The extent to which each city should reduce their proposed funding programmes has not been specified, so we are working closely with the DfT to redefine our programmes to deliver the strongest possible business case.

Table 5 of the report shows we have submitted programmes of some £75m, £90m and £162m. If we are successful, even with the low funding scenario, this will represent an additional investment of £75m in Greater Norwich.

I also remain hopeful that we will receive additional funding via the recently submitted Future Mobility Zone bid.

And I can assure Dr Boswell that I will continue to work with Norfolk MPs to continue to secure funding for the benefit of all of Norfolk's communities.

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**Question from Jamie Osborn**

How is it proved, as claimed, that addressing carbon emissions and improving local air quality has been maximised in the Transforming Cities bid. Specifically please give details of the different options that have been appraised, and how carbon dioxide and air pollutants have been numerically estimated, so that a maximally efficient choice of schemes may be selected.

**Response from the Chairman:**

The assessment of impacts on carbon emissions and air quality have been an integral part of programme development and is an essential part of the Department for Transport evaluation.

Carbon benefits are being quantified as annual greenhouse gas emission reductions (tonnes of carbon dioxide-equivalent – CO<sub>2</sub>e) over the whole city from a 2019 basis. The air quality improvements are quantified as reductions in nitrogen dioxide (NO<sub>2</sub>) and particulate matter (PM<sub>10</sub> and PM<sub>2.5</sub>) at selected hotspots across the city.

Benefits from the programme to carbon emissions and air quality come from the shift to less polluting forms of transport (from private cars to walking, cycling and buses), and from upgrading the existing bus fleet to cleaner and more efficient vehicles (electric or Euro VI).

Benefits are being quantified according to research and guidance by the Department for Transport (DfT), the Department for Environment, Food and Rural Affairs (DEFRA) and the Department for Business, Energy and Industrial Strategy (BEIS). Potential impacts due to the reallocation of general traffic are also taken into account using a city-wide traffic model.

Our application, to be submitted on 28 November, will be uploaded to the website immediately after submission and will provide specific details on how impacts on carbon and air quality have been assessed and how our programme aims to maximise benefit.

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**Agenda Local Member Issues/Questions  
item 6**

**Question from Cllr Alexandra Kemp**

There are three Care Farms in the East of the County, run by County Farm Tenants. They provide inspirational and intergenerational Mental Health Social Care, help clients recover, build confidence and workplace skills, but there are no Care Farms owned by County Farms in the West of the County. The West has no step-down beds from mental health crisis either. So, would Cabinet prioritise a new County Farms Care Farm, in West Norfolk, easily accessible from the major urban centre King's Lynn, to help meet the need?

**Response from the Cabinet Member for Commercial Services & Asset Management:**

As the responsible Cabinet Member for County Farms, I am pleased that Cllr Kemp enjoyed the recent site visit to the three Care Farms on County Farms properties, as she notes they are an important part of Norfolk County Council's support for our residents and providing a wide range of care.

As advised on the visit, Officers are actively looking to develop care farm provision in the west of the County, however any opportunities will be led by the availability of a suitable County Farms property and the ending of the appropriate tenancy. It is important that any proposed site is suitable for a care farm – both in terms of size, location and facilities. Norfolk County Council will also need to make sure that any operators meet the highest standards not just of agricultural practice, but also in care and all of the associated safety standards.

I would like to thank the Councillor for her question and would note that a Care Farm to serve the West of the County is being actively worked on

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**Question from Cllr Brenda Jones**

Many large care providing companies are owned by financial institutions and are in debt. Extra money paid by councils to these companies will go towards financing that debt and to investors rather than to the local economy. Would the cabinet member agree that locally owned care providers are better for Norfolk?

**Response from the Chairman.**

We have seen some care companies struggle with the amount of debt that they have and I would advise anyone in the care industry to focus on business models that do not involve high levels of debt. The key thing in my opinion is the quality of the care they provide In Norfolk, not where the owners of the provider are based.

Norfolk County Council has worked with the care market to look closely at the cost of care, which has helped identify a usual price for care. This helps ensure that additional fees are paid due to complexity of care, such as additional 1:1 support, rather than extra costs being driven by the business model of the care provider. The cost of care work identified that some companies had high levels of finance costs, but the model used industry norms in setting the usual price. However, we also recognise the importance of the whole care market in the delivery of good quality care for Norfolk residents and the need to work

collaboratively with all providers to develop our care provisions for the future. To this end we have ensured that national living wage increases have been achieved through annual price uplifts to support the wider workforce.

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**Supplementary Question from Cllr Brenda Jones.**

The Care market in Norfolk is worth more to the local economy than Agriculture, Fisheries or Tourism, but it is not mentioned anywhere in the Council's Economic Development Strategy. What is the Leader doing to promote this sector, which is vital not only to the wellbeing of our communities, but also to our economic prosperity?

**Response by the Chairman.**

Both I, and the cabinet member for Adult Social Care, promote the sector as a vital part of our local economy, as well as the value it gives to individuals for the care they receive. The Norfolk and Suffolk Economic Strategy (NSES) in the section 'Driving Inclusion and Skills' (page.20), states: "We will design our actions and investment so that they enable growth that directly supports wider community benefits, including wellbeing, health and care". As part of the development of sector skills plans in the Local Industrial Strategy explicitly references the growth sectors having potential to assist in the Health and Social Care sector (pp. 29, 44)

Recent work undertaken to support the sector includes the development of a sector skills plan which has led to the approval of a joint ESF bid with Suffolk County Council for a skills development programme to support the social care workforce. The LEP Growth Hub have advised a number of health and social care provider companies.

The second Department of Health and Social Care national social care recruitment campaign 'Every Day is Different' is now live and we are enabling Norfolk providers to engage with the campaign to address their recruitment challenges.

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# Cabinet

Item 4

<b>Decision making report title:</b>	<b>Recommendations from Scrutiny Committee: Broadland Northway – Lessons Learnt and One Year Monitoring</b>
<b>Date of meeting:</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Martin Wilby (Cabinet Member for Highways and Infrastructure)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director of Community and Environmental Services)</b>
<b>Is this a key decision?</b>	<b>No</b>
<b>Executive Summary</b> At their meeting on 19 November 2019 Scrutiny Committee received a report on the Broadland Northway outlining the lessons learnt and providing details of the first year of monitoring. The purpose of the scrutiny was to consider how lessons learnt could be applied to future projects in terms of process, planning and funding.	
<b>Recommendations</b> Scrutiny Committee has resolved to recommend to Cabinet: <ol style="list-style-type: none"><li>1. That the Council write to the Government to suggest that they find a new mechanism for dealing with utility issues in advance of major infrastructure projects.</li><li>2. That the Committee is supportive of the building of the Western Link Road.</li><li>3. That the reports presented to the Committee are referred to the External Auditors for investigation of a possible overspend.</li></ol>	

## 1. Background and Purpose

- 1.1. At their meeting on 19 November 2019 Scrutiny Committee received a report on the Broadland Northway outlining the lessons learnt and providing details of the first year of monitoring. The purpose of the scrutiny was to consider how this learning could be applied to future projects in terms of process, planning and funding. A copy of the report is available [here](#).



- 1.2. Following consideration of the report the Committee agreed to make recommendations to Cabinet.

## **2. Proposals**

- 2.1. Cabinet is asked to consider and agree the recommendations from the Scrutiny Committee.

## **3. Impact of the Proposal**

- 3.1. The Scrutiny Committee consider that the proposals will ensure that effective learning can be applied to future County Council major infrastructure projects, and prompt Government to improve the response from the utility services.

## **4. Evidence and Reasons for Decision**

- 4.1. In accordance with the Constitution Scrutiny Committee may make reports or recommendations to either the Cabinet or the County Council with respect to:
- a) the discharge of any functions which are the responsibility of the Executive;
  - b) the discharge of any functions which are not the responsibility of the Executive; or
  - c) matters which affect Norfolk or its inhabitants.
- 4.2. The Scrutiny Committee has made recommendations to ensure that lessons are learnt from the Broadland Northway that can be applied to other major infrastructure projects, particularly around resourcing, risk and engagement with third parties.

## **5. Alternative Options**

- 5.1. Cabinet could decide not to agree the recommendations from Scrutiny Committee.

## **6. Financial Implications**

- 6.1. There are no direct financial implications from the Scrutiny Committee's recommendations although they are proposed to ensure that the County Council is better positioned financially to meet the needs and demands for future infrastructure projects.

## **7. Resource Implications**

- 7.1. All staff, property and IT implications are outlined in the report to Scrutiny Committee [here](#).

## **8. Other Implications**

- 8.1. Legal implications are outlined in the report to [Scrutiny Committee](#)

## **9. Risk Implications/Assessment**

- 9.1. Risk implications are outlined in the report to [Scrutiny Committee](#)

## **10. Select Committee comments**

10.1. Not applicable to this report.

## **11. Recommendations**

11.1. Scrutiny Committee has resolved to recommend to Cabinet:

1. That the Council write to the Government to suggest that they find a new mechanism for dealing with utility issues in advance of major infrastructure projects.
2. That the Committee is supportive of the building of the Western Link Road.
3. That the reports presented to the Committee are referred to the External Auditors for investigation of a possible overspend.

## **12. Background Papers**

[Scrutiny Committee 19 November 2019 – Broadland Northway Lessons Learnt and One Year Monitoring reports](#)

### **Officer Contact**

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

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# Cabinet

Item No. 8

<b>Decision making report title:</b>	<b>Progress on the Council’s Equality, Diversity &amp; Inclusion Objectives 2017-2020</b>
<b>Date of meeting:</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Councillor Margaret Dewsbury - Cabinet Member for Communities and Partnerships</b>
<b>Responsible Director:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services</b>
<b>Is this a key decision?</b>	<b>Yes</b>

**Introduction from Cabinet Member [Together, for Norfolk](#)**, sets out the ambitious plans we have for the county. It shows how by working together, we can help Norfolk have a growing economy, full of thriving people living in strong communities we are proud of. Fundamentally, the plan relates to all Norfolk communities.

Norfolk is famous for its diverse landscapes and geography. Whilst we are less well known for population diversity, our diverse communities are interwoven into Norfolk’s history. The first Black Mayor in England was from Norfolk and elected in Thetford in 1904. With over 650 historic churches, we have more than any other county in Britain. The Ihsan Mosque in Norwich was the first mosque in the country to be established by British converts to Islam and there are over 140 languages spoken across the county.

The County Council’s equality, diversity and inclusion objectives help us to focus on enabling all of Norfolk’s diverse communities to access the services they need and to play their part in shaping a better future for all.

Over the past three years, significant work has been carried out to deliver on the County Council’s equality objectives. There have been many achievements and successes over this period, including:-

- Achieving Disability Confident Leader status from the Department of Work and Pensions
- The County Council’s website being judged by the relevant national body as passing a stringent accessibility test
- Ongoing and visible support for Norwich Pride, Disability Pride and Black History month events. The County Council was also the only local authority in Norfolk to have flown the Transgender flag to mark the Transgender Day of Remembrance
- Established the Tricky Period initiative in Norfolk libraries, which has since been emulated by other authorities across the country

The proposed new objectives provide an opportunity to build on the strong work already carried out.

## **Executive Summary**

This report summarises progress over the last three years to deliver against the County Council's Equality, Diversity and Inclusion Objectives for 2017-2020 (as set out in Appendix 1). Overall, progress over the last three years has been good. All critical activities have been delivered and one action will be carried over into 2020-2023.

The existing objectives are due to expire on 31 March 2020. Therefore, the report proposes revised objectives for 2020-2023, and summarises a range of developments on equality, diversity and inclusion that have taken place over the last three years that Cabinet will wish to consider when determining forward strategy.

## **Recommendations**

- 1. To comment on the progress made in delivering the Equality, Diversity and Inclusion Objectives 2017-2020 (as set out in Appendix 1)**
- 2. To review the relevant local and national developments and emerging issues set out in Section 4**
- 3. To approve the five new Equality, Diversity and Inclusion objectives for 2020-2023, as set out in Section 5**

## **1. Background and purpose**

- 1.1. This report summarises progress over the last three years to deliver against the County Council's Equality, Diversity and Inclusion Objectives for 2017-2020. The report also proposes new objectives for 2020-2023.

## **2. The legal context**

- 2.1. Local authorities have a statutory duty under the Equality Act 2010 to pay 'due regard' to the following when exercising public functions:
  - Eliminate discrimination, harassment and victimisation and other prohibited conduct
  - Advance equality of opportunity
  - Foster good community relations
- 2.2. The Act requires authorities to publish equality objectives and report annually on progress each year.
- 2.3. The Act is primary legislation and UK domestic law. The Government has stated that there will be no changes following exit from the EU.

### 3. Progress against the equality objectives 2017-2020

- 3.1. Detailed information on progress against the County Council's 2017-2020 equality objectives is set out in Appendix 1. Overall, progress over the last three years has been good. All critical activities have been delivered and one action will be carried over into 2020-2023.
- 3.2. The Council is continuing to build on its work as a national leader on accessibility, following achievement of the top level of Disability Confident Leader by the Department of Work and Pensions in 2018. This is an important element of [Together, for Norfolk](#), the Council's six-year business plan, which prioritises work to improve accessibility for disabled and older people. Work is taking place to systematically review and incorporate increased accessibility into the Council's physical premises, ICT, information, culture, policy and practice.
- 3.3. Work to promote digital inclusion is an essential component of this work, as [Together, for Norfolk](#) will see the Council make much greater use of technology to serve people in their homes, at a time and place that suits them. Digital inclusion will be an essential factor in the ability of disabled and older residents to live independently, access services and combat social isolation. Badly designed and implemented web technology can make it difficult or impossible for disabled people using assistive technologies like text-to-speech readers or magnification software to access web information and self-service.
- 3.4. In May 2017, for the first time, the Council passed a stringent two-stage test of the accessibility of its website for disabled people, scoring 2 out of 3. The test was carried out by [Socitm](#), an independent organisation which assesses and rates all UK local authority websites. Nationwide, 4 out of 10 local councils' homepages failed basic tests for accessibility, which places Norfolk County Council as a top performer in this area.
- 3.5. The Council maintains a visible presence at Norwich Pride and Disability Pride. It is the only local authority in Norfolk to have proudly flown the rainbow flag every year for 11 years since the first Pride in Norfolk, and the only local authority in Norfolk to have flown the Transgender flag to mark the Transgender Day of Remembrance. Residents tell us that this visible support is important and not tokenistic, because agencies that are not confident to tackle issues like homophobia do not fly flags and do not support events like Pride.
- 3.6. Norfolk County Council plays a key role each year to support Norfolk's community-led Black History Month steering group to deliver a programme of events to celebrate Norfolk's Black history and Black role models.
- 3.7. This is what the Chairs of Norwich Pride, Disability Pride and Black History Month say about Norfolk County Council:

*“Norfolk County Council has supported the aims of Norwich Pride to make Norwich a safe and inclusive place for the LGBT+ community since our first*

*event in 2009. We see the Council as being a positive advocate of LGBT+ inclusivity and we are aware they work hard to try and eradicate hatred in all forms towards people covered by the Equality Act. They also support county-wide LGBT+ events we are involved in and we greatly value their input."*

- The chairs of Norwich Pride, 2019

*"Norfolk County Council has supported Norfolk Disability Pride for the last 2 years to promote what the disability community can do as well as raising awareness of what support is available to disabled people in Norfolk. Norfolk County Council has also been proactively involved in making it happen".*

- The Chair of Disability Pride

*"I am writing on behalf of the Norfolk and Norwich BHM Committee to say how much we appreciate Norfolk County Council's ongoing support, and for the personal input we have received. The Council's support is an essential core of BHM activities because it enables Black, Asian and minority ethnic communities to celebrate cultures and achievements in a way that can be appreciated by the population of Norfolk as a whole."*

- The Chair of Norfolk's Black History Month, 2019

- 3.8. The Council is not complacent about the breadth and depth of issues and inequalities that face individuals and families in Norfolk and the country as a whole, and is committed to working to consistently identify, review and address these.
- 3.9. The Council has been quick to respond to emerging issues nationally on equality. In 2017, at the time when Period Poverty was hitting the national consciousness, the Council was one of the first authorities in the country to lead the way, by establishing the Tricky Period initiative in Norfolk libraries. Tricky Period has been emulated by other authorities across the country, and as agreed by the Council earlier this year, this model is being widened to cover all public buildings.

## **4. Local and national developments and emerging issues**

- 4.1. This section summarises a range of developments and emerging issues that Cabinet will wish to consider. These are useful in terms of understanding the changing context we operate within, and which will guide and influence thinking on equality, diversity and inclusion moving forward:
  - a) The Council's new six-year business plan, [Together, for Norfolk](#), prioritises work to improve accessibility for disabled and older people in the county, and work to tackle hate incidents – so these remain important priorities in going ahead.
  - b) There are many factors impacting on people's ability to live independently and peacefully with one another that are out of the Council's control – but equally, there are many factors that we can control. We can ensure that we are an organisation that listens to diverse voices and values and respects difference; that we actively confront prejudice and that our services are accessible and inclusive.

- c) Social norms and values change rapidly over time. For example, the ease and familiarity with which many younger people talk about gender diversity is often at odds with the national debate. The Council should invite periodic challenge from young people on its progress on equality, diversity and inclusion, to ensure that system leaders have opportunities to hear directly from young people about the equality issues they feel are most relevant to Norfolk today.
- d) Norfolk County Council is the largest democratically-elected organisation in Norfolk, the county's largest employer and a corporate parent to many young people. All elected members and staff have a unique role to play in leading the change they want to see and working to promote equality of opportunity and inclusion.
- e) In 'Improving lives: the future of work, health and disability, 2017', the Government sets out how it plans to work with employers and local authorities to break down employment barriers for disabled people to enable one million more disabled people to secure employment by 2027. The Council is supporting 'Preparing for Adult Life' and 'Skills and Employment' services to help young people with learning or physical disabilities, and those with mental health problems to make a smooth transition into adulthood and employment.
- f) Norfolk has an aging population, a higher number of disabled people than other parts of the country and increasing numbers of disabled young people. Work to promote accessibility is essential to delivery of Promoting Independence strategy – disabled and older people can only be independent if they can easily access services and facilities by themselves without the help of others. The Council is investing £29million in the 'Living Well: Homes for Norfolk' programme to support and accelerate extra care housing development across Norfolk and redesigning day services, so they respond to the needs of the people who use them.
- g) An estimated 13,150 young people in Norfolk have some form of Special Education Needs and Disability (SEND) and the provision for those pupils requires significant investment. The Council already has an ambition to invest £120m in new special schools and in specialist resource bases in maintained schools for children with special educational needs and disabilities.
- h) There is increased awareness of the importance of ensuring that services are accessible for people who are neurodiverse. *[Neurodiverse relates to neurological differences including, for example, Dyspraxia, Dyslexia, Attention Deficit Hyperactivity Disorder, Autistic Spectrum and others.]*
- i) On 9 February 2019, the Government published an Integrated Communities Action Plan, which sets out how it will work across central and local government to drive forward work to create socially and economically stronger, more

confident and integrated communities. The Action Plan will impact on all councils and employers.

- j) There is an increased awareness of gender inequalities – such as tackling Period Poverty (an issue on which Norfolk libraries led best practice nationally) and the insidious nature of sexual harassment – epitomised by the MeToo campaign.
- k) There is a growing understanding of diversity within ‘gender’ – increasing numbers of people identify as non-binary (a spectrum of gender identities that are not exclusively masculine or feminine) or intersex (individuals born with any of several variations in sex characteristics), and it is important that the Council is respectful of this and that our information systems can accommodate how people wish their personal characteristics to be recorded. Further guidance is expected from the Government on this matter.
- l) The findings of the recent Norfolk Fire and Rescue Service Inspection Report identified that a priority was “To identify and tackle barriers to equality of opportunity, and make its workforce more representative, the service should ensure diversity and inclusion are well understood and become important values of the service.”
- m) There has been a marked increase in racial tension and hate incidents following the EU referendum. Many diverse communities feel vulnerable to prejudice and hatred.
- n) The UK Government has formally adopted the International Holocaust Remembrance Alliance’s (IHRA) working definition of anti-Semitism. This states that:

“Anti-Semitism is a certain perception of Jews, which may be expressed as hatred toward Jews. Rhetorical and physical manifestations of anti-Semitism are directed toward Jewish or non-Jewish individuals and/or their property, toward Jewish community institutions and religious facilities.”

This definition is an important tool for public bodies to understand how antisemitism manifests in the 21st century. Norfolk County Council has incorporated the definition into practice, including in terms of work to tackle prejudice and hate incidents.
- o) Current planning for Brexit indicates that withdrawal from the EU may trigger an increase in the number of presentations to the Council of people who have uncertain immigration status and no recourse to public funds. There is also the potential that it may trigger an escalation in hate incidents.



- p) The Queen’s speech in October 2019 announced an Immigration and Social Security Co-ordination Bill which would end free movement, deliver a new fair, modern and global immigration system, and reaffirm commitment to the right to remain for resident European citizens who have built their lives in the UK.
- q) Over the last two years, Norfolk County Council has supported central government to resettle 150 vulnerable Syrian refugees. Norfolk’s resettlement scheme has been delivered at no cost to Norfolk County Council, and crucially, the funding secured from central Government has created extra capacity within Adult Social Care and Children’s Services to support other families in Norfolk. Norfolk’s resettlement scheme has been commended by the Home Office as an example of national best practice and it has built community cohesion through work to connect refugees with 100 volunteer members of the wider community.
- r) National strategies to address Preventing Radicalisation, Female Genital Mutilation and Modern Day Slavery will require the County Council to continue to engage with all its communities.

**5. Proposed equality, diversity and inclusion objectives for 2020/2023**

- 5.1. The table below sets out the five proposed objectives for 2020-2023, which take into account the issues summarised above. Also set out below are some potential key activity areas to support delivery of each of the objectives.
- 5.2. Further to Cabinet agreeing which objectives and activities it wishes to pursue, and any changes relating to these, detailed work will be undertaken to identify success and outcome measures and performance monitoring arrangements.

Objective	Potential activity areas
<p><b>1. Role model an organisational culture that respects and values difference across our county and in our workforce</b></p>	<ul style="list-style-type: none"> <li>a) Continue to systematically engage all Norfolk’s diverse voices in Together, for Norfolk’s ambition for economic growth, managed development and a better future for all, to ensure that Norfolk reflects the aspirations of everyone.</li> <li>b) Together, for Norfolk role models an inclusive approach that addresses unconscious bias. Taking the lead from this, a review will be undertaken of how Norfolk County Council works and communicates as an organisation, to identify any unconscious bias in the system. Where there is, steps will be taken to remove it. Progress will be reported to Cabinet.</li> <li>c) Review existing strategies to address inequalities in lifelong outcomes for Black, Asian and minority ethnic and disabled adults and children in Norfolk, to consider</li> </ul>

Objective	Potential activity areas
	<p>whether they are sufficient, or whether there are opportunities to do more, reporting to Cabinet on the findings.</p> <ul style="list-style-type: none"> <li>d) Implement Norfolk Fire and Rescue’s improvement plan and associated actions in accordance with agreed timescales and taking account of any equality issues highlighted in the scheduled Peer Review.</li> <li>e) Explore options for ensuring that business information systems incorporate appropriate options for gender honorifics.</li> <li>f) Monitor implementation of the Period Poverty initiative, reporting to Cabinet on the take up of this programme and any changes that should be made.</li> <li>g) Continue to ensure that the design, methodology and timing of consultation initiatives are as accessible and inclusive as possible, engaging with groups such as the ‘Making it Real’ Board, which is chaired and led by disabled people, to seek constructive challenge on how we can maximise accessibility within the constraints set nationally.</li> <li>h) Invite young people to provide challenge to the Council on progress on equality, diversity and inclusion to ensure that system leaders have opportunities to hear directly from young people about the issues they feel are most relevant to Norfolk today.</li> <li>i) Deliver against the commitment of the Leader that all Cabinet members complete the Autism Awareness e-learning and equalities and inclusion training for all members.</li> <li>j) Continue to develop data and analytics to help map the Council’s progress as an employer throughout colleagues’ working time so that we can learn and improve our inclusive practices.</li> </ul>
<p><b>2. Promote inclusive design and accessibility for disabled people in Norfolk and remove barriers to independence</b></p>	<ul style="list-style-type: none"> <li>a) Explore opportunities for further embedding inclusive design into Norfolk County Council’s next customer service strategy, which sets out how the Council will engage with its people, families and communities.</li> <li>b) Continue to lead digital inclusion for disabled people and other vulnerable groups across business transformation in Norfolk.</li> <li>c) Continue to embed heightened levels of inclusive design into County Council buildings and ICT to make good accessibility for service users and staff the ‘norm’. Where</li> </ul>

Objective	Potential activity areas
	<p>we identify barriers to accessibility, we will work hard to try to find ways to overcome these. As part of this action, we will offer services the opportunity to assess their accessibility across ways of working, buildings and ICT. We will also implement the results of the survey of the Council's physical buildings to inform ongoing development of access statements for the Council's assets.</p> <p>d) Consult with disabled groups in Norfolk on the barriers to access and independence identified by Norfolk's Access Groups, to consider options for addressing these barriers over the short to long term, and work with system leaders to address these barriers.</p> <p>e) Norfolk County Council is currently ranked 1st out of 28 county councils that participated in this year's National Highways and Transport survey. This is an important survey with a large sample size of 3,300 that helps the Council to understand what local people feel about their roads. Whilst we are currently the top performing county overall across traffic levels, condition of highway and highway maintenance, we fell slightly below the average (by no more than two per cent) on ease of access/disabilities. Over the next three years we will explore whether there are opportunities to address this.</p> <p>f) Deliver the Accessibility Strategy for Schools 2019/2021 in accordance with agreed timelines.</p>
<p><b>3. Strengthen hate incident recording and reporting protocols and better integrate these within safeguarding practice, to safeguard people in Norfolk from hate incidents</b></p>	<p>a) Continue implementation of the Norfolk Multi-Agency Protocol on Hate Incidents, addressing gaps identified in monitoring over the last 18 months.</p>
<p><b>4. Develop NCCs reputation as an employer that values difference, attracting and recruiting colleagues from a diverse range of backgrounds for the</b></p>	<p>a) Review and refresh our recruitment and marketing package to ensure we attract and recruit new colleagues from a diverse range of backgrounds.</p> <p>b) Explore adoption of Inclusive Employers, an employers' benchmarking tool on accessibility, and test ourselves against the standard in 2020/21</p> <p>c) Explore adoption of the Government's Race at Work Charter, which gives organisations a clear set of actions to</p>

Objective	Potential activity areas
<p><b>value they can bring to our organisation.</b></p>	<p>work towards in helping to create equality of opportunity for ethnic minority employees at work.</p> <p>d) Talk to our diverse communities about how they view NCC as an employer and address any issues or barriers.</p>
<p><b>5 Support and encourage our colleagues to be the best they can be at work, providing them with an employment deal that is fair and inclusive, helping everyone to contribute to the ambitions of NCC</b></p>	<p>a) Ensure the values of equality, diversity and inclusion are included in the new management and leadership development offer at all appropriate opportunities</p> <p>b) Embed flexibility into key processes to ensure managers can adapt them to individual needs e.g. induction</p> <p>c) Continue to develop our communication and promotional plan to support embedding the revised Equality, Diversity and Inclusion Policy.</p>

## **6. Impact of the proposals**

- 6.1. The proposals in this report will enable the Council to deliver the priorities in Together, for Norfolk and fulfil its statutory requirements under the Equality Act 2010.

## **7. Evidence and reasons for decision**

- 7.1. The evidence for the proposals is set out in sections 2 and 4.

## **8. Alternative options**

- 8.1. The proposed objectives and activity areas for 2020-2023 seek to provide Cabinet with as many options as possible for consideration in going forward. Cabinet may wish to amend the proposed objectives or to amend or delete one or more of the proposed activity areas.
- 8.2. An alternative option to agreeing the proposed objectives is to not take these proposals forward. However, this would place the Council at risk of not complying with the Equality Act 2010.

## **9. Financial and resource implications**

- 9.1. The objectives detailed in this report can be met within existing budgets and resources.

## **10. Other implications**

- 10.1. **Legal implications** - the proposals in this report will enable the Council to fulfil its statutory requirements under the Equality Act 2010.
- 10.2. **Human rights implications** – no human rights issues identified.
- 10.3. **Equality Impact Assessment (EqIA)**
  - 10.3.1. The proposals in this report will promote equality for people with protected characteristics in Norfolk. They will also ensure the Council continues to take full account of equality, diversity and inclusion when planning and commissioning services, and where necessary, put actions in place to address any barriers faced by people with protected characteristics.
  - 10.3.2. The Council continues to manage unprecedented financial challenges, and equality assessments are systematically carried out on the annual budget proposals. These are published on the [Council's website](#) for inspection and scrutiny.
  - 10.3.3. In carrying out an equality assessment, the Council reviews a wide range of evidence before drawing conclusions about likely impacts. This involves reviewing, for example, data about people and services that might be affected, contextual information about local areas and populations and other data sources. Where appropriate, equality assessments are informed by the findings of public consultation, and in particular feedback from people about the impacts that proposals might have.
  - 10.3.4. For information, data and intelligence about Norfolk and its communities, see [www.norfolkinsight.org.uk](http://www.norfolkinsight.org.uk)
  - 10.3.5. **Health and safety implications** – none identified.
  - 10.3.6. **Sustainability implications** – none identified.

## **11. Risk implications/assessment**

- 11.1. NCC has monitored potential risks for failure to comply with statutory equality duties. This risk is regularly reviewed by departmental managers.

## **12. Select Committee comments**

- 12.1. N/A

## **13. Recommendations**

- 1. To comment on the progress made in delivering the Equality, Diversity and Inclusion Objectives 2017-2020 (as set out in Appendix 1)**
- 2. To review the relevant local and national developments and emerging issues set out in Section 4**
- 3. To approve the five new Equality, Diversity and Inclusion objectives for 2020-2023, as set out in Section 5**

## 14. Background papers

- 14.1. [Progress on the Council's Equality Objectives – 25 March 2019 paper to Policy and Resources Committee](#) (page 127)

### Officer Contact

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

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

## Progress against NCC's Equality, Diversity and Inclusion Objectives 2017-2020:

### Objective 1: Integrate accessibility for disabled people across core service transformation initiatives

Sponsor: Executive Director for Community and Environmental Services

	What we said we'd do	What we've done
1.	<p>The Council will assess and 'rate' existing levels of accessibility across services, and set realistic targets, enabling an evidence-led approach to delivering accessibility improvements. This will include publishing access statements for disabled people on our internet about our different premises and locations.</p>	<p>(a) We have established an <a href="#">award winning</a> approach to embedding heightened levels of accessibility into County Council buildings and ICT to make good accessibility for service users and staff the 'norm'. Where we identify barriers to accessibility, we work hard to try to find ways to overcome these.</p> <p>(b) A set of accessibility standards and toolkit has been developed, to enable services to explore approaches to taking a holistic and evidence-led approach to accessibility improvements across services, buildings and ICT systems. We have tested this approach with ICT services, HR and Culture and Heritage services.</p> <p>(c) The Council has developed a detailed survey to enable the accessibility of each the Council's physical buildings to be assessed. The survey will review all elements of a building, taking account of all impairment groups, looking at features such as physical access, colour, way finding, facilities for customers and staff and fire egress. At the time of writing this report, the survey is due to be published at the end of November 2019 for a January 2020 return, so that the results can be analysed to inform the development of access statements for the Council's assets.</p>
2.	<p>We will undertake an annual review of the latest guidance on accessibility across priority areas, to explore innovations to achieve a more accessible Norfolk. As part of this, we will engage with disability-led access groups in Norfolk and strategic partners, to explore how Norfolk could better incorporate</p>	<p>a) We have held training for premises managers and systems leaders on emerging best practice on inclusive design of premises, ICT, information and policy.</p> <p>b) An evidence review has taken place with chairs of Norfolk's five county-wide independent Access Groups (led by disabled people) to compile a list</p>

What we said we'd do	What we've done
<p>accessibility into service planning and design (e.g. through emerging technology or consistent design principles).</p>	<p>of barriers in Norfolk to disabled people's independence. In summary, the barriers include:</p> <ul style="list-style-type: none"> <li>i. Lack of information on public agencies' websites about the accessibility of their individual public services (making it challenging for disabled service users to know in advance before they visit a service whether they will be able to access the service, park nearby, etc)</li> <li>ii. Lack of understanding by some public agencies of inclusive design and how to promote access for disabled people when service planning and commissioning</li> <li>iii. Reducing stress and anxiety in public spaces and at customer service points for people who are neurodiverse (e.g. on the autism spectrum)</li> <li>iv. Poor access to public leisure centres and private gyms</li> <li>v. Barriers in public transport</li> <li>vi. Inaccessibility of national 'shared spaces' initiative</li> <li>vii. Perceived shortage of disabled parking and inappropriate use of Blue Badges</li> <li>viii. Digital exclusion – many disabled people cannot access public agencies' websites due to a lack of compatibility with access software or poor design</li> <li>ix. Lack of 'changing places' toilet facilities across the county</li> <li>x. Clear pavements/pathways in urban centres</li> <li>xi. Affordability and cost of living</li> <li>xii. School premises, curriculums and information that are not accessible</li> <li>xiii. More effective enforcement of failures to make reasonable adjustments.</li> </ul> <p>c) The findings of this are being integrated into delivery plans.</p> <p>d) Some of these issues are not within the Council's gift to address, and others will be challenging to resolve, but the aim of the review is to be ambitious across the whole system in Norfolk to find ways to address these issues over the next 25 years – to achieve a more accessible Norfolk.</p>



**Objective 2: Strengthen hate incident recording and reporting protocols and better integrate these within safeguarding practice, to safeguard vulnerable people in Norfolk from hate incidents**

**Sponsor: Executive Director of Adult Social Care**

	What we said we'd do	What we've done
1.	<p>In 2016, the Council led work with Norfolk Constabulary, district councils and health bodies to undertake an audit of the effectiveness of partnership working on hate incident reporting. The audit highlighted opportunities for strengthening existing practice, to safeguard older and disabled people, Black, Asian and minority ethnic people, lesbian, gay bisexual and transgender people and people from minority faith groups from hate incidents.</p> <p>To deliver this objective, we will implement the audit recommendations, and monitor impact after 18 months to confirm that all the recommendations have been actioned.</p>	<p>(a) We have reviewed and relaunched Norfolk's <a href="#">Multi-Agency Protocol on Hate Incident Reporting</a>. The Protocol sets a consistent standard for tackling hate incidents in Norfolk, to make it easier for people (particularly residents with care and support needs) to report hate incidents.</p> <p>(b) So far, 275 Norfolk County Council and public agency staff have been trained to report hate incidents.</p> <p>(c) Tackling hate incidents has been built into the Norfolk Safeguarding Adults Board Strategic Plan 2018/2021 and supported by relevant actions.</p> <p>(d) An e-learning module for public agency staff on tackling hate incidents has been refreshed and published.</p> <p>(e) We have monitored implementation of the revised Protocol and identified actions that are still outstanding and need to be addressed.</p> <p>(f) This is an ongoing work programme that will continue to be monitored to ensure that hate incident reporting protocols are embedded within safeguarding practice and third party reporting arrangements are clear.</p>

### Objective 3: Implement the final phase of the Children’s Services Equality Plan 2015/16 - 2017/18 in accordance with agreed timescales

Sponsor: Executive Director for Children’s Services

	What we said we’d do	What we’ve done
1.	We will develop and extend our evidence and data base to improve analysis and highlight differences in relation to outcomes for particular groups of children and young people in Norfolk, reporting annually to Children’s Services Committee.	<p>a) Analysis has been completed to examine the lifelong outcomes of Black, Asian and minority ethnic (BAME) and disabled adults and children in Norfolk, to identify disparities for people from these groups and ensure that the Council understands whether disparities in Norfolk reflect the national picture.</p> <p>b) The analysis has highlighted that broadly speaking, Norfolk reflects the national picture – with a small number of differences. For example, at Early Years Foundation Stage (EYFS), Key Stage 2 and Key Stage 4, Gypsy, Roma and Traveller children in Norfolk perform above the national average in some areas, and Black children perform below.</p> <p>c) Further analysis is taking place to examine whether existing strategies to address these issues are sufficient and will be reported on to Cabinet in due course.</p>
2.	We will implement a film co-produced with 50 young people from diverse backgrounds in Norfolk across all staff in Children’s Services (and other departments/ partnerships as appropriate) to make sure that work with young people with protected characteristics is influenced by the voice of the child.	The film is available for all NCC staff to view on Learning Hub. The film is also available for elected members and other statutory agencies.
3.	We will develop an Accessibility Strategy for schools.	The Council has published a new <a href="#">Accessibility Strategy for schools</a> which draws on the experiences of over 100 disabled young people in Norfolk. The strategy is a statutory responsibility and sets the context for individual school accessibility plans.

	<b>What we said we'd do</b>	<b>What we've done</b>
4.	We will hold a Children's Services equality conference for members, staff and partners, co-hosted and planned with young people, to consider key issues such as the fact that the average age of perpetrators of hate incidents in Norfolk is 15, hear best practice, inform strategy development and sustain a collective vision on equality for children and young people.	This action will be carried forward into 2020/2023. This was agreed in order to free up capacity within Children's Services to enable higher priority work on equality to be completed.

**Objective 4: Ensure that the Promoting Independence strategy reflects the needs of all**

**Sponsor: Executive Director of Adult Social Care**

	<b>What we said we'd do</b>	<b>What we've done</b>
1.	<p>We will work with service users from a diverse range of backgrounds, including those who are Black, Asian and minority ethnic, lesbian, gay, bisexual, transgender and intersex, and from minority faith groups, to ensure that Promoting Independence strategy is inclusive.</p>	<p>a) A range of qualitative engagement has taken place with 94 newly-arrived Black and minority ethnic (BAME) residents and 52 Muslim women in Norfolk, to ensure that the needs of these groups inform ongoing service transformation and improvement.</p> <p>b) No issues were highlighted regarding access to adult care services (including support for carers). Further engagement is planned to better understand views about why proportions of adults receiving support in Norfolk within each of the broad BAME groups are lower when compared to the national averages of those receiving support.</p> <p>c) A continuing message from Norfolk's lesbian, gay, bisexual, transgender and intersex (LGBT+) residents is the importance of service providers demonstrating that they value and respect LGBT+ people and families. This is particularly important for older LGBT+ service users, who may lack confidence about coming out unless they are assured that it will not be met with bigotry or prejudice.</p> <p>d) In view of this, work with health services has taken place to better understand current provision in residential care and to train staff.</p>

## Objective 5: Build an organisational culture that respects and values difference in Norfolk County Council

Sponsor: Head of Human Resource

	What we said we'd do	What we've done
1.	Revise the Council's equality policy, to ensure that staff understand their responsibilities to respect and value difference in the county and across the workforce, and to include everyone in making Norfolk a great place to live, work and visit.	The Council has published a revised <a href="#">Equality, Diversity and Inclusion policy</a> , that sets clear expectations for colleagues, contractors and service delivery standards.
2.	Review all HR policies to ensure they reflect and promote equality and accessibility and inform a culture that respects and values difference.	All policies and guidance documents have been reviewed. These will be launched in conjunction with the learning and development offer to support them. The target is to launch them by the end of 2019.
3.	Review the resources available to members, managers and staff to assist them to apply the revised <a href="#">Equality, Diversity and Inclusion policy</a> , and improve our learning and development offer regarding a culture that respects and values difference.	<p>a) Learning resources to be provided or refreshed have been agreed. There will be a blended approach to learning with e-learning and tutor led training available for colleagues. Some of this training will be aimed specifically at managers so they can understand and carry out their roles with confidence. Messaging on valuing difference are also being included into our wider learning and development offer.</p> <p>b) The Executive Leader has requested that all Cabinet members complete the Autism Awareness e-learning and has committed to equalities and inclusion training for all members. This is currently in development.</p>
4.	Review current data on workforce diversity and consider how we might improve collection, target setting and reporting.	<p>a) HR dashboards are in development. These will provide management teams with information relating to a number of HR metrics including equality, diversity and inclusion data. The dashboards are due to be launched by 2020.</p> <p>b) Requirements relating to the collation of equality, diversity and inclusion information for all our colleagues have been included in the HR and</p>

What we said we'd do		What we've done
		Finance replacement system programme. This will enable our colleagues to more easily share and update the information we hold about them.
5.	Review opportunities for benchmarking our progress on equality and inclusion across the workforce, such as Stonewall's equality index, and identify appropriate actions.	We have reviewed the different standards available nationally and have identified a preferred provider, Inclusive Employers. We will look to test ourselves against the standard in 2020-21.
6.	Develop our communication and promotional plan to support embedding the revised Equality, Diversity and Inclusion Policy.	We have actively communicated our activity this year, including articles in NCC publications and representing NCC at key events such as Pride and Disability Pride. We have been asking our colleagues to get involved through providing us with feedback on their experiences and asking them to participate in a new inclusion group. There will be a diversity and inclusion champion category in the newly refreshed OSCAs this year.

# Report to Cabinet

Item No. 9

<b>Report title:</b>	<b>Norfolk Strategic Infrastructure Delivery Plan (NSIDP) refreshed for 2019.</b>
<b>Date of meeting:</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Councillor Martin Wilby (Cabinet Member for Highways, Infrastructure and Transport)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director, Community and Environmental Services)</b>
<b>Is this a key decision?</b>	<b>No</b>

## **Introduction from Cabinet Member**

The NSIDP is a shared plan that contains Norfolk's high-level strategic infrastructure priorities for the next 10 years, pulling together information on key projects needed to support planned development and deliver economic growth in Norfolk. It is a living document that provides a clear message of Norfolk's strategic infrastructure needs to Government and its agencies. The NSIDP is focussed on strategic transport, utility and sustainability projects; there are other infrastructure schemes and projects important across the county but not included in this strategic plan. We are working with other bodies too, such as Transport East and the A47 Alliance, who are pushing for government commitment to funding of Acle Straight and other schemes. The NSIDP sits alongside Children's Services Local Growth and Investment Plan and the Norfolk Public Health Strategy. The draft 2019 NSIDP can be found in Appendix A.

## **Executive Summary**

NSIDP is reviewed and updated annually as projects are progressed through to delivery and new schemes come forward. The NSIDP helps the County Council and its local partners to co-ordinate implementation, prioritise activity and respond to any funding opportunities. The list of projects is compiled in partnership with a range of stakeholders and aligns with the County Council's priority for improved infrastructure, the ambitions of the New Anglia Local Enterprise Partnership's, the Norfolk and Suffolk Economic Strategy and the District Council's Local Plans. The projects in the NSIDP will accelerate the progress of sites that will deliver a significant number of homes and jobs, examples include:

- Road infrastructure at Long Stratton and West Winch to deliver 5,300 homes;
- Power at Thetford to deliver 1,300 jobs at the Thetford Enterprise Park
- Weavers Way providing walking and cycling infrastructure to support the Broadland Growth Triangle's planned 13,500 homes
- Improvements to Digital Infrastructure, including improved broadband coverage, mobile phone coverage and the roll-out of LoRaWAN (long range wider area network)

Projects are grouped as those under Local Authority control and those to be delivered by external organisations.

The production of the 2019 NSIDP began in June with officers from the County and District Councils working jointly to update progress on existing projects and consider any additional emerging projects. The NSIDP has been reviewed by officer groups: Norfolk Strategic Planning Group, Norfolk Growth Delivery Group, and the Norfolk Chief

Executives Group (consisting of Chief Executives from all the District Councils). It has been considered by Norfolk Leaders (consisting of Leaders of all Norfolk District Local Authorities and the County Council) and the County Council's Infrastructure and Development Select Committee in November. The NSIDP remains a draft until a final version is signed off by Cabinet.

The key changes made to the 2019 NSIDP compared with the 2018 NSIDP are:

- The inclusion of new projects that meet the criteria – Fakenham A148 Roundabout Enhancement, Attleborough Electricity Upgrade, Snetterton Heath Electricity Upgrade and North West Woodlands Country Park;
- Heigham Water Works and Easton, Hethersett and Cringleford sewerage upgrade added to the funded list on page 14 and Broadland Business Park Rail Station removed from the NSIDP at this time and pending future consideration. Discussions are ongoing with the Department for Transport regarding funding for both building the station and ongoing costs of running the rail service. Until this has been resolved it was agreed with officers from Broadland District Council to remove the project from the NSIDP at this time.
- The inclusion of an “up and coming” list of for those projects which are likely to fit the criteria for the NSIDP but where enough information is not known for projects to be fully included in the plan at this time.

## **Recommendations**

- 1. To approve the 2019 NSIDP**
- 2. To support the continued production of the NSIDP, together with its annual review.**

## **1. Background and Purpose**

- 1.1. Since 2012 a refresh of the Norfolk Infrastructure Plan has been carried out annually. This means longer term projects and priorities can change accordingly. Since 2017 the NIP has become the Norfolk Strategic Infrastructure Delivery Plan (NSIDP) with a greater focus on delivery.

## **2. Proposals**

- 2.1. The Draft 2019 NSIDP can be found in Appendix A and sets out Norfolk's high level strategic infrastructure priorities for the next 10 years and has an accompanying online map [Norfolk Strategic Infrastructure Map](#) presenting all the projects in the NSIDP as one vision for Norfolk.

There are many other smaller infrastructure schemes and projects across the county. Not every project has been included in the NSIDP as the NSIDP only includes the most strategic projects, which make the largest contribution to housing and jobs targets; and on which the county council and other partners are actively working with a recognised route towards accelerated delivery. To maintain the purpose of the NSIDP there is a rigorous selection process and projects must meet the following criteria to be included:

- Delivering significant housing and jobs growth
- Identified in existing plans/programmes
- Have a committed route to delivery
- Significant Local Authority control or interest.

The list of projects has been compiled in conjunction with stakeholders including



internal county council departments, district councils, utility companies and government agencies. The list of prioritised projects included in the NSIDP has been reviewed and agreed by the appropriate officer groups: Norfolk Strategic Planning Group, Norfolk Growth Delivery Group, and the Norfolk Chief Executives Group.

2.2. The production of the 2019 NSIDP began in June with officers from the County and District Councils working together to update the progress of existing projects and consider whether there are any additional emerging projects that meet the criteria for inclusion. At the June joint Norfolk Strategic Planning Group and Growth Delivery Group meeting it was agreed that the following new projects be added to the 2019 NSIDP:

- Fakenham A148 Roundabout Enhancement
- Attleborough Electricity Upgrade
- Snetterton Heath Electricity Upgrade
- North West Woodlands Country Park

The NSIDP was drafted between July and October. Following the initial drafting the draft was reviewed and agreed by the appropriate officer groups: Norfolk Strategic Planning Group, Norfolk Growth Delivery Group, and the Norfolk Chief Executives Group in October and early November. Finally, it was considered by Norfolk Leaders (consisting of Leaders of all Norfolk District Local Authorities and the County Council) and the County Council's Infrastructure and Development Select Committee in November.

2.3. At the joint Norfolk Strategic Planning Group and Growth Delivery Group meeting it was agreed to add an "up and coming" section for those projects which are likely to fit the criteria for the NSIDP, but where enough information is not known for projects to be fully included in the plan at this time. This assists in the creation of a pipeline of projects for future inclusion.

2.4. The projects in the NSIDP are focussed on transport, utilities and sustainability and align with the County Council's priority for improved infrastructure, the ambitions of the Norfolk and Suffolk Economic Strategy (NSES) and the District Council Local Plans.

2.5. Some projects are further forward than others. The more developed projects have robust investment requirements and implementation timelines; others are in the early stages of design and are less well known. In some cases, the funding sources are clear, for example where Section 106 (S106) funding or Community Infrastructure Levy (CIL) collected from developers will provide a significant contribution. Additional details on costs and sources of funding, such as contributions from utility companies like UK Power Networks will be added as projects are firmed up.

### **3. Impact of the Proposal**

3.1. The NSIDP is focussed on delivery with projects grouped by those in Local Authority control and those which are being delivered by external organisations. For those projects in Local Authority control, significantly more information has been provided including a detailed breakdown of each project stage and the work underway to progress delivery.

3.2. In addition, the majority of projects have also received funding from the Business Rates Pool in a coordinated approach to ensure projects progress as planned over the coming year and the next stage for delivery has been identified. This

approach to infrastructure planning allows the County Council to collaborate with its partners to focus on the delivery of strategic infrastructure projects, understanding what is required to progress schemes most efficiently to delivery.

- 3.3. Norfolk County Council and its partners are using the NSIDP to help accelerate infrastructure delivery to support growth. This includes aligning key project milestones to opportunities such as the Major Road Network (MRN) funding. For the MRN, Government invited Sub National Transport Bodies to submit business cases for their priorities in the summer. We are accelerating work on our priority schemes at Long Stratton and West Winch, including work on the submission of strategic outline business cases.

## **4. Evidence and Reasons for Decision**

- 4.1. The NSIDP helps the County Council identify where and when infrastructure projects could support delivery of growth and the County Council's and other Norfolk Local Authorities' priorities. This allows for informed discussions and will enable work with partners to co-ordinate implementation, prioritise activity and respond to any funding opportunities.

## **5. Alternative Options**

- 5.1. If an NSIDP were not to be produced it would be more difficult to retain the inclusive approach to infrastructure planning. It would reduce the ability to keep track of the collective progress of the county's key infrastructure projects. The information in the NSIDP assists in coordinating resources to ensure projects are delivered as planned. Without the NSIDP it would be challenging to maintain the County's approach to infrastructure planning.

## **6. Financial Implications**

- 6.1. There are no direct financial implications of the NSIDP. Individual projects will have their own budgets. Staff support is managed through existing resources. Given the size of the projects within the NSIDP, the County Council needs to be aware of the potential impact of an increase in borrowing rates would have on the costs of delivering projects.

## **7. Resource Implications**

- 7.1. **Staff:**  
There are no immediate staff implications
- 7.2. **Property:**  
None
- 7.3. **IT:**  
None

## **8. Other Implications**

- 8.1. **Legal Implications:**  
None
- 8.2. **Human Rights implications**  
None
- 8.3. **Equality Impact Assessment (EqIA)**  
The Council's Planning functions are subject to equality impact assessments. No EqIA issues have been identified.

8.4. **Health and Safety implications** (where appropriate)

None

8.5. **Sustainability implications** (where appropriate)

The NSIDP helps deliver the infrastructure required for sustainable development and each project will be subject to its own Strategic Environmental Assessment as appropriate.

8.6. **Any other implications**

None

**9. Risk Implications/Assessment**

9.1. There are no other significant issues and risks that arise from this decision. This infrastructure delivery plan and accompanying online map is an innovative approach to presenting project information.

**10. Select Committee comments**

10.1. The Infrastructure and Development Select Committee considered the attached Norfolk Strategic Infrastructure Delivery Plan on 13 November 2019. Members had the following comments:

- Members noted there had recently been significant changes made to Section 106 contributions.
- Some Members felt there was insufficient information in the report about sustainability and reducing the carbon footprint. Officers will consider this matter but want to retain the purpose of the NSIDP, which is the delivery of key infrastructure projects.
- The committee agreed to retain the Broadland Business Park Rail Station project, this project is included in the 2019 NSIDP attached as requested by the Committee.

The committee endorsed the strategic and inclusive approach to infrastructure planning in Norfolk and supported the continued production of the NSIDP, together with the annual review.

**11. Recommendation**

11.1. **1.To approve the 2019 NSIDP**

**2.To support the continued production of the NSIDP, together with its annual review.**

**12. Background Papers**

The 2018 NSIDP is available at: <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/policies-and-strategies/business-policies/norfolk-infrastructure-delivery-plan> with an accompanying online map [Norfolk Strategic Infrastructure Map](#)

The 2019 NSIDP can be found in Appendix A and will be available via the same web link once approved by Cabinet.

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# **Norfolk Strategic Infrastructure Delivery Plan 2019**

**October 2019**


 **Norfolk** County Council

  
**Breckland**  
COUNCIL

  
**Broadland**  
District Council

 **GREAT YARMOUTH**  
BOROUGH COUNCIL

Borough Council of  
**King's Lynn &  
West Norfolk** 

 **NORTH  
NORFOLK**  
DISTRICT  
COUNCIL

 **NORWICH**  
City Council

  
**South Norfolk**  
COUNCIL

**NEWANGLIA**  
Local Enterprise Partnership  
for Norfolk and Suffolk

## Table of Contents

<b>INTRODUCTION .....</b>	<b>5</b>
FIGURE 1 KEY HOUSING GROWTH SITES .....	7
FIGURE 2 KEY EMPLOYMENT SITES .....	8
FIGURE 3 STRATEGIC INFRASTRUCTURE PROJECTS IN LOCAL AUTHORITY CONTROL.....	9
<b>FUNDING OPPORTUNITIES.....</b>	<b>11</b>
<b>FUNDED PROJECTS AT OCTOBER 2019 .....</b>	<b>14</b>
<b>SUPERFAST BROADBAND.....</b>	<b>15</b>
<b>EDUCATION .....</b>	<b>18</b>
<b>INFRASTRUCTURE PROJECTS IN LOCAL AUTHORITY CONTROL.....</b>	<b>21</b>
<b>ROADS .....</b>	<b>25</b>
BROADLAND GROWTH TRIANGLE LINK ROAD.....	26
ATTLEBOROUGH LINK ROAD.....	28
A10 WEST WINCH HOUSING ACCESS ROAD .....	29
A140 LONG STRATTON BYPASS.....	31
FAKENHAM A148 ROUNDABOUT ENHANCEMENT .....	33
NORWICH WESTERN LINK.....	34
<b>RAIL .....</b>	<b>36</b>
BROADLAND BUSINESS PARK RAIL STATION.....	37
<b>UTILITIES.....</b>	<b>38</b>
THETFORD ENERGY SUPPLY .....	39
ATTLEBOROUGH NEW EMPLOYMENT LAND – ELECTRICITY UPGRADE .....	41
SNETTERTON HEATH INFRASTRUCTURE - ELECTRICITY UPGRADE PHASE 2.....	42
<b>SUSTAINABLE.....</b>	<b>43</b>
WEAVERS WAY .....	44
THE GREEN LOOP.....	45
NORTH WEST WOODLANDS COUNTRY PARK .....	46
<b>EDUCATION .....</b>	<b>47</b>
BROADLAND GROWTH TRIANGLE SECONDARY SCHOOL.....	48
<b>INFRASTRUCTURE PROJECTS TO BE DELIVERED BY OTHER ORGANISATIONS .....</b>	<b>49</b>
FIGURE 4 INFRASTRUCTURE PROJECTS TO BE DELIVERED BY OTHER ORGANISATIONS .....	50
<b>ROADS .....</b>	<b>51</b>
A11 THETFORD BYPASS JUNCTIONS .....	52
A47 WISBECH BYPASS JUNCTIONS.....	54
A47 TILNEY TO EAST WINCH DUALLING .....	55
A47 ACLE STRAIGHT DUALLING .....	56
<b>RAIL .....</b>	<b>57</b>
NORWICH TO LONDON RAIL (NORWICH IN 90).....	58
GREAT YARMOUTH RAIL STATION .....	59
ELY AREA ENHANCEMENTS .....	60
EAST WEST RAIL (CAMBRIDGE TO OXFORD) .....	61
<b>UTILITIES.....</b>	<b>63</b>
SPROWSTON PRIMARY AND PEACHMAN WAY PRIMARY SUBSTATIONS .....	64

EARLHAM SUBSTATION .....	65
CRINGLEFORD PRIMARY SUBSTATION.....	66
BROADLAND GROWTH TRIANGLE TRUNK SEWER.....	67
WYMONDHAM WATER SUPPLY CONNECTIONS .....	68
KING’S LYNN SEWERAGE IMPROVEMENTS.....	69
INCREASED SURFACE WATER CAPACITY NORTH LYNN.....	70
<b>SUSTAINABLE.....</b>	<b>71</b>
GREAT YARMOUTH FLOOD DEFENCES 2017 ONWARDS (EPOCH 2) .....	72
FENS FLOOD PROTECTION.....	74
<b>UP AND COMING PROJECTS.....</b>	<b>76</b>



## Introduction

Norfolk County Council and its partners are determined to unlock Norfolk's full potential. To make this happen we are working together to ensure existing and planned infrastructure links people to jobs, homes and local amenities as well as connecting business with customers. Work is already underway to achieve our social, economic and environmental aspirations for today whilst making Norfolk future fit for the challenges of tomorrow...

This strategic infrastructure delivery plan (SIDP) pulls together information on the key infrastructure needed to deliver economic growth in Norfolk. It is a working document that will be reviewed on a regular basis as information becomes available and projects progress through to delivery. The Plan will help Norfolk County Council and partners to co-ordinate implementation, prioritise activity and respond to any funding opportunities. An online map showing all of the projects and key information can be found: [Norfolk Strategic Infrastructure Plan Map](#)

All the information in the SIDP is correct as of the date of publication and will be reviewed on a regular basis, the plan has been developed by assessing the work required for each project to progress forward and where appropriate identify funding opportunities to carry out this work.

**The Town and County Planning Association published (June 2018) a report: Building for the Future: The Role of County Councils in Meeting Housing Need. This report identified Norfolk County Council as a case study of best practice particularly highlighting the successes of the Norfolk Infrastructure Delivery Plan and Norfolk Strategic Planning Framework in future planning and collaboration.**

The SIDP sets out the Norfolk wide high-level strategic infrastructure priorities for the next 10 years. This list has been compiled in collaboration with stakeholders including internal county council departments, district councils, utility companies and government agencies. These projects align with the County Council's priority for improved infrastructure, the ambitions of the Norfolk and Suffolk Economic Strategy (NSES), District Council Local Plans, the County Council's plan "Together for Norfolk – an ambitious plan for our County 2019-2025" priorities, Children's Services Local Growth and Investment Plan and the Norfolk Strategic Planning Framework agreed by all Norfolk planning authorities.

There are many other infrastructure schemes and projects important across the county. Not every project can be included in the SIDP. The SIDP includes the most strategic projects on which the county council alongside partners are actively working to progress and which have a recognised route towards delivery.

Infrastructure projects in this delivery plan are appropriately in sync with the Governments Industrial Strategy, which identifies growth as being clustered around centres of skills and ideas. All of the projects will deliver the physical infrastructure that is essential to promote these economic growth locations.

The projects included in the SIDP are now categorised into those where Local Authorities lead the project and those where an external organisation is leading and delivering the project. This still allows us to identify all the strategic infrastructure projects in Norfolk but also direct resources, identify funding sources and target lobbying in the most effective way as different projects will have different routes through to delivery.

Some projects are further forward than others, so they have robust investment figures and implementation timelines; others are in the early stages of design and are less well known. In some cases, the funding sources are clear, where Section 106 (S106) or Community Infrastructure Levy (CIL) collected from developers will provide a significant contribution. Additional details on costs and sources of funding, such as contributions from utility companies like Anglian Water will be added as projects are firmed up.

**Figures 1 and 2** indicate that Norfolk's key growth locations are clustered at points along the main transport arteries. Therefore, these growth corridors and the locations identified in the NSES and District Local Plans provide the spatial context for this plan.

Figure 1 Key housing growth sites

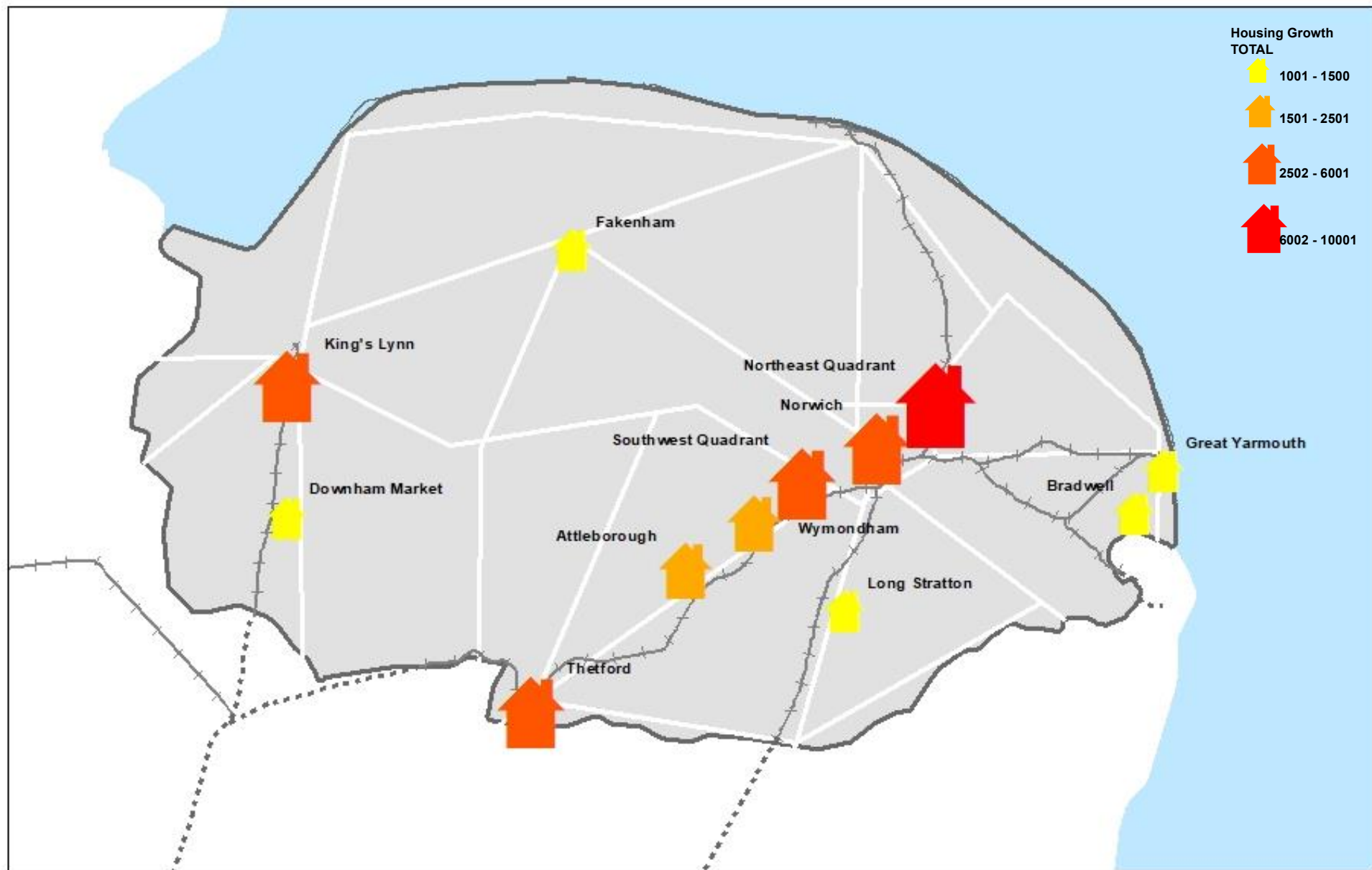
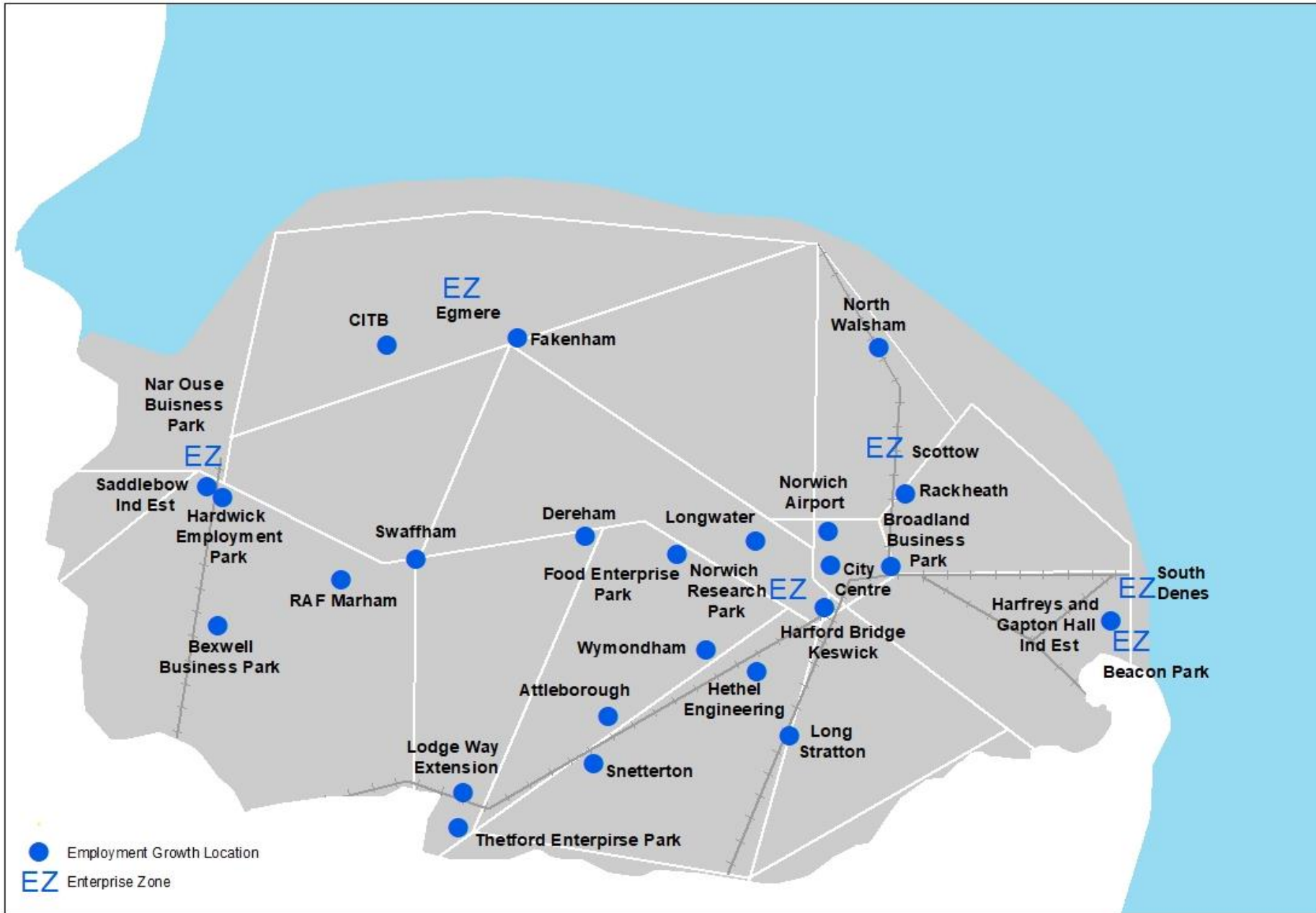
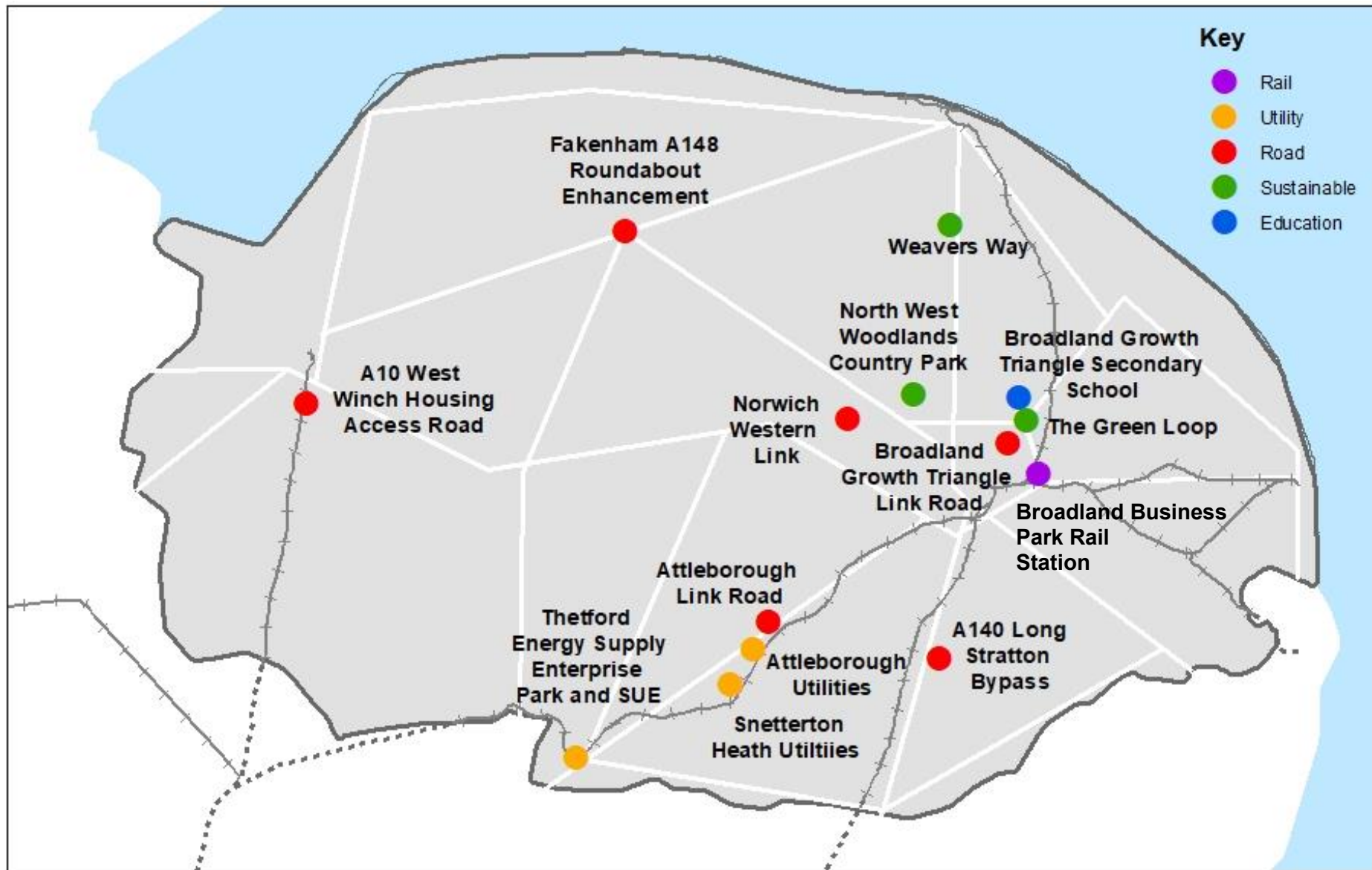


Figure 2 Key employment sites



**Figure 3 Strategic Infrastructure projects in Local Authority control**



The Norfolk Strategic Planning Framework suggests Norfolk authorities will need to collectively plan for an additional 84,000 (approx. 4,000 per annum) homes by 2036. **Figure 1** outlines the key strategic housing sites that will deliver the majority of this growth, with growth focussed around key urban areas that have existing infrastructure and services that have the capacity to support high levels of growth. It also identifies all the places in our area that are expected to grow by at least 1,000 homes over the relevant local plan period. As well as the major urban areas of Norwich, King's Lynn and Great Yarmouth there are groupings of towns along the A11 as well as key individual market towns that can make a significant contribution to growth.

**Figure 2** identifies the major employment sites and opportunities in Norfolk crossing a range of sectors and locations. As with housing it shows the majority of employment sites are aligned with the urban centres and access to the trunk road network. The job growth locations have a diverse mix of high impact sector activity, but the smaller locations have mainly advanced manufacturing and agri-tech, with more life sciences in the southwest which is closer to Cambridge. There are concentrations of employment locations serving high impact sectors in:

- **Greater Norwich** – Life sciences, digital cluster, finance and insurance
- **Great Yarmouth** – Offshore energy
- **Attleborough, Thetford and A11 Corridor**
- **King's Lynn and Downham Market** – Advanced engineering
- **Fakenham** – Clean energy

**Figure 3** shows all of the projects in Local Authority control that require further development, it does not show projects that are funded, which are listed on page 12. These projects are in alignment with housing growth, jobs growth and NSES key places, and will create better places to live and work for people in Norfolk. The transport projects support major housing and employment sites; improving connectivity and reducing journey times for people and businesses. Utility projects are concentrated around urban areas and the towns along the A11, ensuring the developments at Thetford, Attleborough and Snetterton are built out as planned, and capacity for water supply and disposal is increased in Norwich and King's Lynn to accommodate growth. Utilities including digital coverage are now as essential for homes and businesses as being able to turn a tap on and should be seen in the same way with this plan identifying a range of projects that need to be progressed to deliver the planned growth in NSES key locations. For the county to grow sustainably, green infrastructure projects will mitigate the impact of growth to the northeast of Norwich whilst flood defences and coastal erosion projects along the coast will be vital in protecting both existing and future homes and businesses. The projects do not work in isolation, and they deliver more than one outcome. The transport projects are focussed on unlocking housing and job sites. These cannot move forward without essential utilities being in place, while green infrastructure projects create innovative solutions that can alleviate environmental constraints.

## Funding Opportunities

The funding required to pay for the strategic infrastructure projects to support delivery of growth is a key element of the individual Local Infrastructure Plans. Opportunities for funding include:

- Growing Places Fund
- City Deals
- Business Rates Pooling (BRP)
- Growing Business Fund
- Enterprise Zone accelerator fund
- Enterprise Zone business rates retention challenge fund
- Local Investment Fund (LIF)
- Local Major Transport Schemes
- New Anglia Local Enterprise Partnership (NALEP)
- Homes and Communities Agency
- Housing Infrastructure Fund
- Private Investment
- National Productivity Investment Fund (NPIF)
- Developer funding (Section 106 and Community Infrastructure Levy (CIL))
- Transforming Cities Fund
- Government Major Road Network
- Access for All
- Future High Streets Fund
- Sovereign Wealth
- Industrial Strategy related funding

In December 2013, Broadland, Norwich City, Norfolk County and South Norfolk councils signed a City Deal with central government. A core theme supports infrastructure delivery to promote accelerated delivery of planned growth for infrastructure in Greater Norwich.

The infrastructure priorities identified in the IDP will assist the delivery of the NSES and District Council Local Plan growth ambitions. This plan then sets out which elements of infrastructure are required to support the identified growth locations.

### Housing Infrastructure Fund (HIF)

Norfolk has been successful in getting several schemes into the Homes England Housing Infrastructure Funds. The funds allocated in Norfolk are:

Scheme	Funding agreed	Works proposed	Homes unlocked
<b>Marginal viability fund (single and lower tier authorities)</b>			
Kingsfleet Urban Extension, Thetford	£9.95m	Power infrastructure	5,000
Anglia Square, Norwich	£12m	Decontamination, archaeology, demolition, drainage, roads	1,230

		and parking, water, electricals and gas	
Cringleford, South Norfolk	£7.8m	Infrastructure (Homes England's Accelerated Construction Fund.)	350
<b>Forward funding (upper tier authorities)</b>			
Broadland growth triangle	£57m	Infrastructure	7,720
<b>Total</b>	<b>£96.7m</b>		<b>14,300</b>

## Transforming Cities Fund

Norfolk County Council, in partnership with Norwich City Council, Broadland District Council and South Norfolk Council, has made an application to the Department for Transport (DfT) as part of the Transforming Cities Fund through Transport for Norwich. The fund aims to make it easier for people to access jobs, training and retail, and also aims to respond to issues around air quality.

In September 2018, Greater Norwich was one of 10 city areas shortlisted to apply for a share of the £840m grant. In the following budget announcement, this was extended to 12 city areas and a £1.2bn total fund. The Transport for Norwich team is now working with the DfT on detailed proposals to put forward for funding through the project.

In January 2019, the partnership submitted a wish-list of schemes for funding from an initial £60m pot to launch the project. Business cases for eight schemes made up the £7m application and in March 2019, we were awarded £6.1m to deliver six of the schemes:

- Improvements to Norwich Bus Station
- Continuation and completion of pedestrian, cycle and traffic flow improvements to the Prince of Wales Road area, extending into Bank Plain and London Street
- Cycle, pedestrian and highway improvements to the green pedalway in Thorpe St Andrew
- Provision of an additional section of off-carriageway cycle path along the blue pedalway in Hethersett
- Provision of a new cycle share scheme in Norwich
- Pedestrian access improvements at the Heigham Street/Mile Cross Road and Dereham Road/Bowthorpe Road junctions, including provision of a 20mph speed restriction in the residential areas between the junction

As outlined above we have already successfully secured a £6.1m allocation fund from an earlier tranche of TCF funding and have outlined the following key deliverables in the application for the remaining TCF allocation:

- Improvements along three principal transport corridors; Airport to Broadland Business Park; Wymondham to Sprowston; and Easton to Rackheath



- Quicker journeys by cleaner vehicles serving the Norwich Research Park, University of East Anglia and the hospital, providing a cross valley link crossing the River Yare
- More frequent bus services that are better co-ordinated between operators, with more evening services
- Improvements to public transport ticketing
- Improvements to walking and cycling networks to support the delivery of enhanced public transport
- Improvements to public transport, walking, cycling and general highway capacity in the Longwater area
- More direct and quicker public transport routes to and from the Broadland Growth Triangle, the UK's largest urban extension
- Provision of much needed additional bus stop capacity in the city centre, better connecting the train and bus stations and providing extra inner ring road junction capacity
- Delivering fully accessible transport hubs that provide a range of facilities, which could include seating, lighting, real time and disruption travel information, Wi-Fi, mobile phone charging, cycle parking, electric vehicle charging, retail opportunities and car club vehicles

### Infrastructure Funding Statements

The Government recently (June 2019) set out amendments to the Community Infrastructure Levy Regulations 2010, which introduces the requirement to produce an Infrastructure Funding Statement (IFS), whereby Local Authorities set out their infrastructure priorities and delivery as well as identifying (monitoring) how monies received have been spent.

The County Council will need to work with the District Councils to ensure a joined-up approach to infrastructure delivery through developer funding. This can build on existing arrangements relating to the preparation of Local Authority Infrastructure Delivery Plans.

The County Council already monitors effectively how it spends its Obligations receipts – although further consideration will be given to this matter once further Government Guidance is published.

## Funded Projects at October 2019

The following projects have successfully been funded since 2013

### Completed:

- Broadland Northway (Norwich Northern Distributor Road (incl Postwick) - £205m
- Norwich Pedal ways -£14m
- Great Yarmouth Beacon Park Link (A47/143 Link) - £6.8m
- A11 dualling Barton Mills to Thetford- £105m
- Great Yarmouth Right Turn at the rail station - £400,000
- Great Yarmouth Rail Station to the Market Place improvement- £2m
- Great Yarmouth sustainable transport package (Part 1) - £2.5m
- Thetford Enterprise Park Roundabout- £1.5m
- Bacton Walcott Sandscaping - £19.3m
- King's Lynn Lynnsport Link Road- 3.5m

### Under construction or part-completed:

- Attleborough Town Centre Improvements- £4.5m
- Snetterton Energy Supply - £3.6m
- Norwich (various projects including Dereham Road roundabout- £2m, Cycle link extension to Wymondham- £1.3m, City centre Prince of Wales Road- £2.6m, Dereham Road widening- £3m)
- A140 Hempnall Roundabout - £4m
- Great Yarmouth congestion-busting projects- £3.3m
- Great Yarmouth sustainable transport package (Part 2) - £3.5m
- Thetford Water Supply – £9.8m
- Thetford Sewerage Scheme - £2m
- Easton, Hethersett and Cringleford sewerage upgrade - £11m

### Planned, not yet started:

- A11/ORR Daniels Road junction improvement- £2m
- Great Yarmouth Third River Crossing- £120m
- A47 improvements £2-300m (incl Thickthorn and Great Yarmouth junction improvements and dualling Blofield to North Burlingham, and Easton to North Tuddenham)

## Superfast Broadband

There are two infrastructure providers that have deployed fibre infrastructure capable of delivering Superfast broadband (24Mbps+); BT Openreach and Virgin Media. Commercial investment from these two companies provided access to Superfast broadband for 42% of Norfolk properties. The Better Broadband for Norfolk (BBfN) Programme signed a third contract in March 2019 and as a result coverage is expected to increase access to Superfast broadband to 97% of Norfolk properties by the end of September 2022.

To date, BBfN has seen access to Superfast broadband increase from 42% in 2013, to 93% of Norfolk properties in March 2019. These figures are taken from the independent organisation "[Think Broadband](#)" data.

Provisions within the BBfN contract provide rebates from BT if Take-up of services using BBfN funded infrastructure are higher than expected. This has allowed contract 3 to provide further funding to allow the county to move towards its aim of achieving 100% coverage.

### UK Digital Strategy

The Government has set-up the National Productivity Investment Fund (NPIF) to provide over £23 billion of investment between 2017-18 and 2021-22. Investing in priority areas including economic infrastructure, housing and research and development. Of this money £740m will be invested in digital by 2020-21. This investment is underpinned by the UK Digital Strategy which supports the next generation of fast and reliable mobile and broadband communications for consumers and businesses.

Broadband Delivery UK has re-branded as Building Digital UK (BDUK). It has created an umbrella name for all it does UK Fibre Programme

Key areas include:

### Full Fibre

The initial Government announced the first steps, specifically £200m investment to leverage commercial investment in Full-Fibre, the 'gold standard' of fast and reliable broadband. Complementing the NPIF programmes, the new Digital Infrastructure Investment Fund will be launched in spring 2017. Government investment of £400m will be at least matched by private sector investors and will accelerate the deployment of Full Fibre networks by providing developers with greater access to commercial finance.

Working with partners Norfolk County Council has secured circa. £8 million via the Government's Local Full Fibre network. This will provide Fibre to the Premises for 370 public sector sites, and importantly offers potential for nearby homes and businesses to access via two new Government Gigabit Grant Schemes:

### **Scheme for properties with speeds of less than 30Mbps**

The Government has just announced a scheme for rural premises, experiencing speeds below 30Mbps, properties will be eligible for between £500 and £3,500 per small and medium-sized businesses (SME) and between £500 and £1,500 per resident to support the cost of installing new gigabit-capable connections (Ultrafast).

<https://gigabitvoucher.culture.gov.uk/rural/>

### **Scheme for businesses, even if they currently have a speed above 30Mbps**

Offers a grant of up to £2,500 per business to contribute to access to Ultrafast broadband infrastructure, grants can be pooled, and any residential property which can be covered will be eligible for up to a £500 contribution:

<https://gigabitvoucher.culture.gov.uk/>

The Government's has set the aim of achieving access to Full Fibre broadband for 15 million properties by 2025 and all by 2033. It anticipates 90% of properties will benefit from commercial investment from broadband infrastructure providers. Broadband Delivery UK is currently working on possible options for providing Full Fibre to the remaining 10% of properties.

## **5G**

The Budget also announced up to £16m for leading UK research institutions to cooperate on a cutting edge 5G facility to trial and demonstrate 5G technology. The first step to a new National 5G Innovation Network, this will involve government working as closely as possible with industry, investors, regulators, and researchers to refine the Government's policy as 5G technology emerges and evolves.

### **Support consumers in getting the best deal in digital connectivity**

Ensuring adverts for broadband accurately reflect the speeds and technology actually on offer for the majority of customers, so that people know what they are getting and can better find the most competitive deal. The budget announced various new ways to protect customer will be investigated.

### **Roll out free Wi-Fi on trains, and in more public places.**

Providing access to free Wi-Fi whilst on the move.

### **Introducing a Broadband Universal Service Obligation**

By 2020, the UK Government intends to introduce a Broadband Universal Service Obligation (USO) that would give everyone a right to a decent broadband connection on reasonable request. This is in recognition of the increasing importance of broadband to people's everyday lives. Ofcom recommendations for the USO have set this at 10Mbps download speed and 1Mbps upload. More details are available here: <https://www.ofcom.org.uk/phones-telecoms-and-internet/advice-for-consumers/broadband-uso-need-to-know>

## **Planning Regime reforms**

Will support the mobile industry in the rapid rollout of 4G technology, to help reach more people, more quickly.

## **The Electronic Communications Code**

Regulates the telecommunications sector, reforms will put digital communications infrastructure on a similar regime to utilities like electricity and water. The aim is to ensure new technologies like 5G can be rollout out more quickly and benefit more people.

## **Mobile connections**

There are four main mobile operators in the UK; EE, O2, Three and Vodafone. Coverage is increasing, based on a £2.5bn commercial investment which was agreed between Government and these operators. This is expected to provide 90% geographic voice coverage by the end 2017. However, the location of the 90% of UK geography will be determined by the operators. During 2018, Ofcom are expected to conduct a review of resulting coverage, this is expected to further inform future government policy. Local Authorities want to work collaboratively to improve mobile phone coverage in rural areas.

## **Local Industrial Strategy**

The Local Industrial Strategy under Information and Communications Technology and Digital Creative wants to develop the economic case for a Smart Emerging Technology Institute and testbed (SETI) – a unique advanced high-speed optical and wireless network (including 5G) which interlinks Internet of Things testbeds to support large-scale experiments and data transfer.

## Education

The Schools' Local Growth and Investment Plan (SLGIP) for pupil place provision 4- 16 sets out the strategic direction of pupil place supply for those areas of the County where pupil numbers are expected to increase in the next 5-10 years. The Plan is a response to the District Local Plan frameworks and is presented as the basis for discussion, planning and decision-making for the County Council and its partners across the increasingly diverse educational landscape. The Plan links to the County Council's schools' forward capital programme which was reported and approved at Committee in May 2018.

### Major growth areas which will require multi-school solutions:

- Thetford Sustainable Urban Extension (SUE) of 5,000 new dwellings;
- Broadland Growth Triangle (Sprowston/Old Catton/Rackheath) of 12,000+ new dwellings; and
- Attleborough Sustainable Urban Extension (SUE) of 4,000 new dwellings.

### Thetford

Primary School places within Thetford are provided by eight schools, a mix of infant, junior and all-through primary, six of these are academies plus two community schools. A total of 360 places are available each year group across the primary phase.

Working with the land promoters on the strategic urban extension to Thetford, sites have been secured free of charge for three new primary phase schools each of 420 places. In early 2018 the first reserved matters application for phase 1a of the development was permitted for 343 dwellings. This phase includes the site for the first new primary school with a potential opening date of 2021.

Pupil forecasts indicate that the current provision of places is sufficient until the new housing commences. In the short term as described above land has been secured for the first new school, in the longer term two further primary schools will be delivered. The timescales for these schools depend on the progress rate of new housing in Thetford.

Secondary school places will be monitored at Thetford Academy, as additional land has already been provided at the school to allow for future expansion. S106 contributions have been secured although not yet collected as a result of the future housing allocation.

### Broadland Growth Triangle

Existing provision is extensive and affects three secondary schools: Sprowston Community High School, Thorpe St Andrew School, Broadland Ormiston High School and their feeder primary phase schools. Existing primary phase provision remains a mix of infant/junior in Old Catton and Sprowston and all through primary in Rackheath and Thorpe.

To the immediate south-east, the new primary school at White House Farm is progressing. Land has been transferred over to NCC and construction has begun. The school opened in September 2019.

To the north of Old Catton progress is being made on several housing sites and when coupled with the first phase of Beeston Park, the expectation is that there will be pressure for school places in this area. Rackheath has a large allocation of for up to 3,000-4,000 houses, which is progressing with a Housing Infrastructure bid submitted in March 2019. Smaller sites around Rackheath are likely to commence earlier with four sites of up to 700 homes in total are in the planning system.

Housing in this area will establish the need for many new schools and impact on existing schools. There is a long-term plan for the area and sites have been secured for new schools within the Local Plan. In the shorter-term admissions into reception each year will be monitored.

As well as two new schools at Beeston Park, further school sites have been secured for new schools on Salhouse Road, North of Smee Lane and a planned extension to double the size of Little Plumstead Primary School. The major growth in Rackheath also safeguards two new primary school sites.

Norfolk County Council has made a commitment for a new secondary phase school in the Growth Triangle area and a preferred site has been identified on the current Sprowston Park and Ride site. Some work on feasibility has taken place but all options for additional secondary school places needs to be considered in the area as a new secondary school project is currently unfunded. Norfolk County Council continue to work with the Greater Norwich Growth Board to understand how CIL can contribute to this major piece of work.

## Attleborough

The town of Attleborough is served by two all-through primary schools, namely Attleborough Primary School and the new Rosecroft Primary School and one secondary school – Attleborough Academy. The two primary schools offer five forms of entry between them. The town is surrounded by villages with local schools. Some children in Attleborough catchment do choose a nearby village school as opposed to their local primary school in the Town - e.g. in September 2018, around 22% of Attleborough catchment children expressed a preference for a reception class outside catchment.

The outline planning application for 4,000 homes was recommended for approval at Breckland District Council planning committee in March 2019. Heads of Terms for the S106 agreement are still being finalised but land for two new primary phase schools will be secured once outline permission is approved. Progress with the development is subject to the [link road](#) so timescales for commencement of the development once planning permission is granted are still uncertain.

In the short-term school places will be monitored through the annual admissions

round. In the longer term there is planning for the provision of two new primary schools for Attleborough understanding the parental preference to surrounding villages and how that will impact on the new schools.

In addition to these major growth areas which require multi-school solutions the SLGIP also sets out development locations where one new school is expected and growth areas with implications for existing schools. The full report can be found: <https://norfolkcc.cmis.uk.com/norfolkcc/Meetings/tabid/128/ctl/ViewMeetingPublic/mid/496/Meeting/1474/Committee/8/Default.aspx>



## **Infrastructure projects in Local Authority Control**

## Infrastructure Projects in Local Authority control

The County Council in collaboration with partners is seeking to progress a number of key infrastructure initiatives for the next 10 years as listed below.

All of the projects in this list are judged on four criteria:

- Delivering significant housing and jobs growth
- Identified in existing plans/programmes
- Have a committed route to delivery
- Significant Local Authority control or interest.

### Tick system key:

No ticks = Issue identified but no work carried out to identify project/solution

✓ = Feasibility work on scheme has begun to identify options

✓✓ = Feasibility/development work underway on preferred option

✓✓✓ = Project is shovel ready

### Road Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Broadland Growth Triangle Link Road	2021	£38m	✓✓✓	Developer funding, CIL, BRP, HE HIF
Attleborough Link Road	2021	£18m	✓✓	Developer funding, NALEP
A10 West Winch Housing Access Road	2022	£32m	✓✓	Developer funding, NALEP, Government Major Road Network
A140 Long Stratton Bypass	2022	£33m	✓✓	Developer funding, NALEP, CIL, NPIF, Government Major Road Network

A148 Fakenham Roundabout Enhancement	2022	£3.5m	✓✓	NPIF, NALEP
Norwich Western Link	2023	£153m	✓✓	NALEP, Local major transport scheme

## Rail Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Broadland Business Park Rail Station	Mid 2020s	£6.5m	✓	NALEP, Rail Industry

## Utilities Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Thetford SUE Energy Supply	2019	£10m-£12m	✓✓✓	HCA, HE HIF
Thetford Enterprise Park Energy Supply	2020	£1m	✓	BRP, NALEP, Private Sector
Attleborough New Employment Land – Electricity Upgrade	2020	TBC	✓	BRP, NALEP, Private Sector
Snetterton Heath Infrastructure - Electricity Upgrade Phase 2	2020	TBC	✓	NALEP, Private Sector

## Sustainable Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Weavers Way	2019	£3.1m	✓✓	RDPE, HLF, NALEP
The Green Loop	2019/20	£5.8m	✓✓✓	DfT, NALEP, Sustrans, Lottery, Developer contributions, CIL
North West Woodlands Country Park	2022	£2m	✓	Broadland District Council, CIL, BRP

## Education Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Broadland Growth Triangle Secondary School	2025/26 – dependent on development progress	£26m	✓	NCC, BRP, CIL

# Roads

## Broadland Growth Triangle Link Road

The project will provide a road linking the strategic employment areas of Broadland Business Park and Norwich Airport through the development sites within the northern suburbs of Norwich. It will significantly increase the accessibility of employment sites in the Broadland Growth Triangle area and support the development of approximately 55 hectares of employment land in this vicinity. A section of the link between Wroxham Road and Salhouse Road has already been delivered through development and is expected to be open to traffic in the near future. The remaining sections are outlined below.

Broadland Growth Triangle Norwich Link Road				
Description of stage	Airport Industrial Estate to St Faiths Road	St Faiths Road to North Walsham Road and North Walsham Road to Wroxham Road	Salhouse Road to Plumstead Road	Plumstead Road to Broadland Business Park
Estimated cost to deliver the stage	Additional feasibility and scheme development costing approx. £200k	Additional feasibility and scheme development costing approx. £500k	Possible need for additional feasibility and scheme development costing approx. £300k	n/a
Indicative timeframe to deliver stage and start date	<p>Feasibility underway to establish optimal location, nature and timing of vehicular link to Airport - completion by March 2019. Scheme development and planning applications to follow as appropriate.</p> <p>Developer on site and delivering estate road link with mini roundabout on Repton Avenue. Temporary construction link between Repton</p>	<p>A detailed application has been submitted part of the link between St Faiths Road and Norwich RFU. NCC and BDC are working with the developer to achieve a planning approval. Approval anticipated by March 2020 and delivery by March 2021.</p> <p>NCC, BDC and developer are working through the co-development of the HIF bid to develop scheme for</p>	<p>Outline planning permission for development scheme across majority of link granted. Reserved matters application submitted for link between Salhouse Road and triangle land. Scheme for signals on Salhouse Road submitted and delivery anticipated by March 2020.</p> <p>Detailed consent for junction with Plumstead Road currently under-</p>	<p>Developer current intention is to begin constructing 1<sup>st</sup> phase of the Brook Farm Link Road by the end of 2019.</p> <p>BDC and NCC are in ongoing negotiations with developer about 2<sup>nd</sup> phase of link road.</p> <p>Key constraint is Middle Road Bridge. Scheme for widening and improving presently part</p>

	Avenue and Meteor Close has been constructed. Work on a permanent link between Repton Avenue and Meteor Close still to start. Construction complete by March 2020.	remainder of link. If HIF is successful delivery is expected by March 2021.	consideration. Roundabout junction subject to funding bid.	of funding bid.
<b>Potential funding source</b>	CIL, developer finance	CIL, BRP, HIF, developer finance	CIL, HIF, developer finance	Developer finance
<b>Tick system</b>	✓✓✓	✓✓✓	✓✓✓	✓✓✓

## Attleborough Link Road

A key transport priority for Attleborough, required for planned strategic growth, is a link road between the B1077 near Bunns Bank to London Road to the south of the town. The link road will distribute new and existing traffic away from the town centre and enable traffic management measures to be implemented within the town centre such as HGV restrictions. Delivery of the link road will be a planning requirement of the scheme and will be phased so that up to 1,200 homes can be built before the link road is required to be opened in full. A Planning Application for the Urban Extension including the link road was submitted in 2017 and was determined in 2019. Discussions are ongoing with development interests and key partners in order to bring forward the full completion of the road before the requirements of the planning obligations are triggered.

Attleborough Link Road		
<b>Description of stage</b>	Development phase: Preliminary Design; Statutory procedures and powers; Construction preparation	Construction phase
<b>Estimated cost to deliver the stage</b>	Circa £1.4m	£14m
<b>Indicative timeframe to deliver stage and start date</b>	Two years	
<b>Potential funding source</b>	BRP, local authority, developer	BRP, developer, NALEP, Homes England loan, HIF
<b>Qualifications for BRP and or NALEP funding</b>	Required for 4,000 new houses and 1,500 new jobs. Strategic scheme identified in the IDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation.	Required for 4,000 new houses and 1,500 new jobs. Strategic scheme identified in the IDP. Funding would be for construction.
<b>Tick system</b>	Completion of this stage will take from ✓✓ to ✓✓✓	



## A10 West Winch Housing Access Road

To facilitate planned housing growth in West Winch a new road is required between the A47 and A10 to enable distribution of trips from the new development and to alleviate congestion on the A10 through West Winch and at the Hardwick junction. In order to protect the existing A10 from increased traffic, a new route through or around the new development in this quadrant is proposed in the Borough Council's Core Strategy and Local Plan.

As outlined above the A10 West Winch Housing Access Road is intrinsically linked to some improvements at the Hardwick junction and the need to dual a short length of the A47. These other measures will form part of the overall West Winch Housing Access Road scheme. Work carried out by Mott MacDonald in 2014 indicated some £22.8m for the total package of these measures.

A10 West Winch Housing Access Road			
Description of stage	Stage 1: Scheme development	Stage 2: Preparation of planning application	Detailed design and procurement
Estimated cost to deliver the stage	£280k	Est. £770k	Est. £1.9m
Indicative timeframe to deliver stage and start date	Jan- Dec 2018	Jan-Dec 2020	2020
Potential funding source	Being funded by BRP, NCC and KLWNBC	Being funded by BRP, NCC and KLWNBC	Potentially BRP, local authority funding match, developer contribution. DfT Major Road Network (The scheme has been prioritised by Transport East. NCC submitted a draft Strategic Outline Business Case to DfT in July 2019. DfT have requested further information and a funding decision likely to be sometime in 2020/21).

<b>Tick system</b>	Completion of this stage will take it from ✓ to ✓✓	Initial stage to take from ✓✓ to ✓✓✓	Completion of this stage will take it to ✓✓✓
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## A140 Long Stratton Bypass

Long Stratton is located approximately 10 miles south of Norwich on the A140 Norwich to Ipswich road. There is planned growth in Long Stratton of at least 1,800 homes in the period 2008-2026 to deliver a bypass but this growth is also highly dependent on the provision of water supply, sewerage and improved electricity supply. The need for a bypass has long been a priority and is considered to be a prerequisite to provide for the needs of the proposed growth. South Norfolk District Council has adopted an Area Action Plan (AAP) for Long Stratton and a planning application was submitted by the developer in 2018. This is expected to be determined in early 2019.

A140 Long Stratton Bypass			
<b>Description of stage</b>	An economic viability study for the Long Stratton bypass. This will be carried out by an expert consultant to provide a professional opinion on the: estimated cost of the bypass; estimated funding gap; direct and indirect economic benefits of the bypass; and added benefits of early delivery of the bypass	Development phase: Preliminary Design; Statutory procedures and powers; Construction preparation NB: This work could be broken down into the three above phases	Construction phase
<b>Estimated cost to deliver the stage</b>	£200,000 (funded)	Circa £4m	

<b>Indicative timeframe to deliver stage and start date</b>	Dec 2017 to July 2018	Two years	2022 start on bypass DfT Major Road Network (The scheme has been prioritised by Transport East. A funding decision is expected on the first tranche of national projects at the end of 2019. A positive funding decision would see construction of the road start in 2022.) 2019 Hempnall Crossroads (under construction following successful NPIF bid by the county council in 2018)
<b>Potential funding source</b>	Funded from: Pooled Business Rates: £100,000 SNC: £15,000 HCA: £35,000 NCC: £50,000	BRP, local authority, developer	BRP, Developer, NALEP, HIF, Government Major Road Network
<b>Qualifications for BRP and or NALEP funding</b>		Required for 1,800 new houses and to overcome traffic problems on A140. Strategic scheme identified in the IDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Required for 1,800 new houses and to overcome traffic problems on A140. Strategic scheme identified in the IDP. Funding would be for construction
<b>Tick system</b>	Will take scheme from ✓ to ✓✓	Completion of this stage will take it from ✓✓ to ✓✓✓	

## Fakenham A148 Roundabout Enhancement

A planning application has been received for 950 residential dwellings adjacent to and south of the A148 between Water Moor Lane and the Morrisons roundabout to the east. Access to the new residential development is proposed via a new roundabout on A148 (at the Water Moor Lane junction) with a link road through to the existing roundabout serving Morrisons. There are longer term aspirations to take forward housing allocations adjacent and beyond the A148 at this location. As Highway Authority Norfolk County Council has indicated that a roundabout would be required to be built at the current A148/B1105 junction as a condition of the planning permission if residential development to the west of Water Moor Lane is progressed.

Fakenham A148 Roundabout Enhancement				
<b>Description of stage</b>	Development of planning application including time for statutory consultation of 13 weeks	Acquisition of land	Utilities diversion	Construction phase
<b>Estimated cost to deliver the stage</b>	TBC	TBC	TBC	Estimated £3.5m
<b>Indicative timeframe to deliver stage and start date</b>	18 Months – To develop planning application and supporting documentation including environmental assessment, ecological and arboricultural surveys.	6 months	9 months – to deliver and implement any required utility diversions	5 months
<b>Potential funding source</b>	NPIF, NALEP	NPIF, NALEP	NPIF, NALEP	NPIF, NALEP
<b>Qualifications for BRP and or NALEP funding</b>	Required to support the delivery of one of North Norfolk’s largest Local Plan allocations of 950 dwellings			
<b>Tick system</b>	✓✓	✓✓	✓✓	✓✓✓

## Norwich Western Link

This link – to connect the Broadland Northway at Taverham to the A47 west of Norwich – has been identified as one of the county council’s priority road infrastructure schemes. Scheme development work has commenced, looking at the business case for such a link and to consider possible routes. The County Council has recently consulted on this project and there is a significant amount of public support for the project.

Norwich Western Link			
<b>Description of stage</b>	Option development and initial appraisal Development of business case: progress Design; Environmental assessment; Traffic modelling; and economic appraisal	Development phase: Preliminary Design; Completion and submission of Outline Business Case; Statutory procedures and powers; Procurement and Detailed Design for Construction preparation	Construction phase
<b>Estimated cost to deliver the stage</b>	£1m	£10m	Indicative £160m
<b>Indicative timeframe to deliver stage and start date</b>	Feb 18- Dec 18	Three years (2019-2022) -(2019/2020) Prelim Design and OBC development submission - £3m -(2020 – 2022) Statutory process (development and delivery) - £4m -(2021-2022) Procurement and detailed design/construction prep - £3m	Two years (2022 to 2024)

<b>Potential funding source</b>	Funded from BRP (£500k) and NCC (£500k)	BRP, NALEP, local major transport scheme, local authorities	NALEP, local major transport scheme, local authorities
<b>Qualifications for BRP and or NALEP funding</b>	<p>Strategic scheme identified in the IDP.</p> <ul style="list-style-type: none"> <li>• Support sustainable housing growth in the western quadrant</li> <li>• Improve the quality of life for local communities</li> <li>• Support economic growth</li> <li>• Protect and enhance the natural environment</li> <li>• Improve strategic connectivity with the national road network</li> </ul> <p>Funding for detailed technical work designed to progress strategic schemes towards readiness for implementation</p>		<p>Strategic scheme identified in the IDP.</p> <ul style="list-style-type: none"> <li>• Support sustainable housing growth in the western quadrant</li> <li>• Improve the quality of life for local communities</li> <li>• Support economic growth</li> <li>• Protect and enhance the natural environment</li> <li>• Improve strategic connectivity with the national road network</li> </ul> <p>Funding would be for construction</p>
<b>Tick system</b>	Will take scheme from ✓ to ✓✓	Will take scheme from ✓✓ to ✓✓✓	

# Rail



## Broadland Business Park Rail Station

Currently services operate every hour between Norwich and Sheringham. New rolling stock will be delivered across the whole of the franchise between 2018 and 2020. Further capacity improvements are required to accommodate passenger demand and the County Council has been pressing for services every half hour (rather than hourly). Broadland Business Park is a strategic employment site located adjacent to the rail line just east of Norwich. Work to establish the benefits of adding a new station at this location is ongoing.

Broadland Business Park Rail Station				
<b>Description of stage</b>	Feasibility GRIP 2 and option selection GRIP 3	Further work to develop single option	Development phase: Preliminary Design; Statutory procedures and powers; construction preparation	Construction phase
<b>Estimated cost to deliver the stage</b>	£140k	Not known. Likely to be Circa £250,000	Circa £2m	Circa £20m
<b>Indicative timeframe to deliver stage and start date</b>	Dec 17	2018 1 year	2019-2022 3-5 years	Circa 2027 1 year
<b>Potential funding source</b>	Funded through BRP and Broadland District Council	BRP, local authorities	BRP, Growth Deal, local authorities	
<b>Qualifications for BRP and or Growth Deal funding</b>	Strategic scheme identified in the IDP.	Strategic scheme identified in the IDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Strategic scheme identified in the IDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Strategic scheme identified in the IDP. Funding would be for construction
<b>Tick system</b>	✓	To take scheme from ✓ to ✓✓	To take scheme from ✓✓ to ✓✓✓	

# Utilities

## Thetford Energy Supply

A major 5,000 unit housing development (Thetford SUE) which commenced on site in spring 2018 with the first 343 units now in contract. This first phase will substantially use the current spare electricity capacity power in the north of Thetford. A phased approach to increasing electricity capacity is proposed with the first phase being the building of a new Primary Substation to be located on the Thetford SUE and serving the housing development, a large employment area on the SUE and an adjacent large employment area known as the Thetford Enterprise Park. The two employment sites have a joint capacity for circa. 140,000sq m of B1, B2 and B8 development and potential to create 3,600 jobs.

	Thetford SUE	Thetford Enterprise Park
<b>Description of stage</b>	11MVA of power already reserved under contract with UKPN. Construction of a new 33kV primary electricity sub-station on the SUE in northern Thetford	Phase 1: Secure 1MVA from UKPN to support first development.  Phase 2: Distribution of power from the new substation to the Thetford Enterprise Park employment site as part of a northern Thetford upgrade of the 11kV distribution system.
<b>Estimated cost to deliver the stage</b>	£6.5m	£1m
<b>Indicative timeframe to deliver stage and start date</b>	2½ years Start date: 2019	Phase 1 - 1MVA of power available within 6 months, subject to contract (to support first development) BRP funded. Phase 2 - 2 years Start date: 2020 subject to funding
<b>Potential funding source</b>	HCA HIF (secured)	BRP, NALEP, Private Sector

<b>Qualifications for BRP and or NALEP funding</b>	To accelerate housing delivery and provide a source of power for the TEP	Required to unlock the TEP employment site
<b>Tick system</b>	✓✓✓	✓

## Attleborough New Employment Land – Electricity Upgrade

The emerging Breckland Local Plan is allocating 10ha of additional employment land at the SW end of Attleborough close to the junction with the A11. This already forms part of the Attleborough Neighbourhood Plan 2016-2036.

Early investigation has identified that there is insufficient electricity distribution capacity to support development at the site which sits on the other side of the railway line and some distance from the existing primary substation. It is also known that the substation has insufficient capacity to support both the large housing development and the additional employment allocation, so additional substation capacity will be required.

Attleborough New Employment Land Utilities		
<b>Description of stage</b>	Identification and scoping of utilities required to support new employment allocation	Delivery of infrastructure projects
<b>Estimated cost to deliver the stage</b>	Amount in £50k	£tbc
<b>Indicative timeframe to deliver stage and start date</b>	6 months Start Date: August 2019	2 years Start date: September 2020
<b>Potential funding source</b>	Breckland Council, BRP	BRP, NALEP, Private Sector
<b>Tick system</b>	✓	

## Snetterton Heath Infrastructure - Electricity Upgrade Phase 2

Snetterton Heath is Breckland's largest employment site with in excess of 150 acres of undeveloped/under-developed employment land. With Phase One of a major electricity upgrade scheme due to be completed in summer 2020, work has begun to identify further infrastructure projects which may be required to support major developments on the site.

Already envisaged is Phase Two of the electricity upgrade scheme which will be required for developments beyond the 6MVA which Phase One will support.

Snetterton Heath Infrastructure - Electricity Upgrade Phase 2		
<b>Description of stage</b>	Feasibility and scoping of Electricity Upgrade Scheme Phase Two	Delivery of Phase Two
<b>Estimated cost to deliver the stage</b>	£15k	£tbc
<b>Indicative timeframe to deliver stage and start date</b>	3 months Start date: Jan 2020	2 years Start date: July 2020
<b>Potential funding source</b>	Breckland Council, BRP	NALEP, Private Sector
<b>Tick system</b>	✓	

# Sustainable

## Weavers Way

This project will create new walking and cycling infrastructure in rural Norfolk. Weaver’s Way begins in Cromer, following a public rights of way network to the market town of Aylsham. Here it picks up the route of a disused railway line, following its course through the Norfolk countryside to the edge of the Broads National Park at Stalham. From here it meanders through these famous wetlands and waterways before re-joining the coast at Great Yarmouth. This project will focus principally on revitalising the disused railway line between Aylsham and Stalham. Route improvements will include new surfacing to ensure year round accessibility for walkers (including access impaired users) and cyclists, increased safety and accessibility at road crossings through installation of new gates and improved signage and connectivity to amenities and other routes throughout.

Weavers Way			
<b>Description of stage</b>	Feasibility – Being delivered as one of the three ‘Recycling the Railways’ focused studies.	Stage 1 delivery – surface and signage	Stage 2 delivery – associated industrial heritage buildings brought back into use as visitor facilities
<b>Estimated cost to deliver the stage</b>	£45,000	£1,062,343	c. £2,000,000
<b>Indicative timeframe to deliver stage and start date</b>	January 2019	January 2020	March 2023
<b>Potential funding source</b>	Norfolk County Council capital - secured	RDPE – bid successful	HLF, NALEP
<b>Qualifications for BRP and or NALEP funding</b>	Supports housing and jobs growth in both Broadland and North Norfolk District Councils through provision of housing related GI and mitigating the effects of housing growth on vulnerable environmental sites. Also increases the visitor offer supporting tourism related job growth.		
<b>Tick system</b>	✓✓✓	✓✓✓	✓✓



## The Green Loop

A 46 mile circular route for walking / cycling and disabled use. Encompassing the Marriott's Way, Bure Valley Path and Broadland Way. Broadland Way is partially built through the Broadland Northway and connects with the Broadland Growth Triangle. Marriott's Way and Bure Valley Path exist and are used currently for walking and cycling but require upgrading in some areas to make them more accessible for disabled users particularly. Both routes are biodiversity corridors. Broadland Way has been part built by the Broadland Northway and will link to the east end of the Green Pedal way. The Green Loop will also connect to the DfT, Norfolk County Council and Broad's Authority funded Three Rivers Way Cycle route and to Weaver's Way.

The Green Loop		
<b>Description of stage</b>	Feasibility	Phased delivery of Broadland Way and upgrades to Marriott's Way and the Bure Valley Path
<b>Estimated cost to deliver the stage</b>	£45,000	£5.7m
<b>Indicative timeframe to deliver stage and start date</b>	Broadland Way initial feasibility Delivered May 2018 Bure Valley Path and Marriott's Way upgrades feasibility started April 19	Staged – various completion dates dependent on funding source
<b>Potential funding source</b>	Norfolk CC Capital funding - secured	S106, CIL, DfT, NALEP, Interreg Experience- secured
<b>Qualifications for BRP and or NALEP funding</b>	Supports housing growth in the NE Broadland Growth Triangle and the Western Broadland growth allocation areas. Provides mitigation for the impact of the additional houses on vulnerable environmental sites, particularly those located in the Broads Authority Area. Contributes to the local visitor related economy through providing a very attractive sporting facility. Contributes to the health and wellbeing of residents in the Greater Norwich Area.	
<b>Tick system</b>	✓✓✓	✓✓✓

## North West Woodlands Country Park

The North West Woodlands Country Park (NWWCP) project proposes the creation of a new country park facility surrounded by a large area of woodland, heathland and fenland in the Greater Norwich area. The NWWCP project involves the delivery of a series of walking, cycling and trim trial routes, habitat restoration and enhancement schemes, public engagement events, car parking and visitor facilities as well as large woodland play area. The NWWCP project helps to manoeuvre the Greater Norwich area into a strong position in which to deliver sustainable, well planned communities by enabling a mitigation strategy that alleviates the impact of growth on, and therefore safeguards for generations to come, the internationally designated sites. Ideally located adjacent to the Broadland Northway, the Thorpe Marriott Greenway cycle and pedestrian route, and the purple and yellow bus routes the NWWCP is ideally located to intercept visits to the internationally designated sites and to attract visits from across the Greater Norwich area.

North West Woodlands Country Park				
Description of stage	Stage 1 – Site acquisition	Stage 2 - Scheme development: Design, feasibility and infrastructure delivery plan	Stage 3 - Preparation and submission of planning application	Stage 4. Capital delivery phase
Estimated cost to deliver the stage	£715,000	£72,000	£138,000	£1,067,100
Indicative timeframe to deliver stage and start date	October 2019	June 2020	February 2021	December 2022
Potential funding source	CIL	Broadland District Council, CIL, BRP	Broadland District Council, CIL, BRP	Broadland District Council, CIL, BRP
Qualifications for BRP and or NALEP funding	Project delivers green infrastructure mitigation that alleviates the impact of growth in the Greater Norwich area.			
Tick system	✓	✓✓	✓✓	✓✓✓

# Education

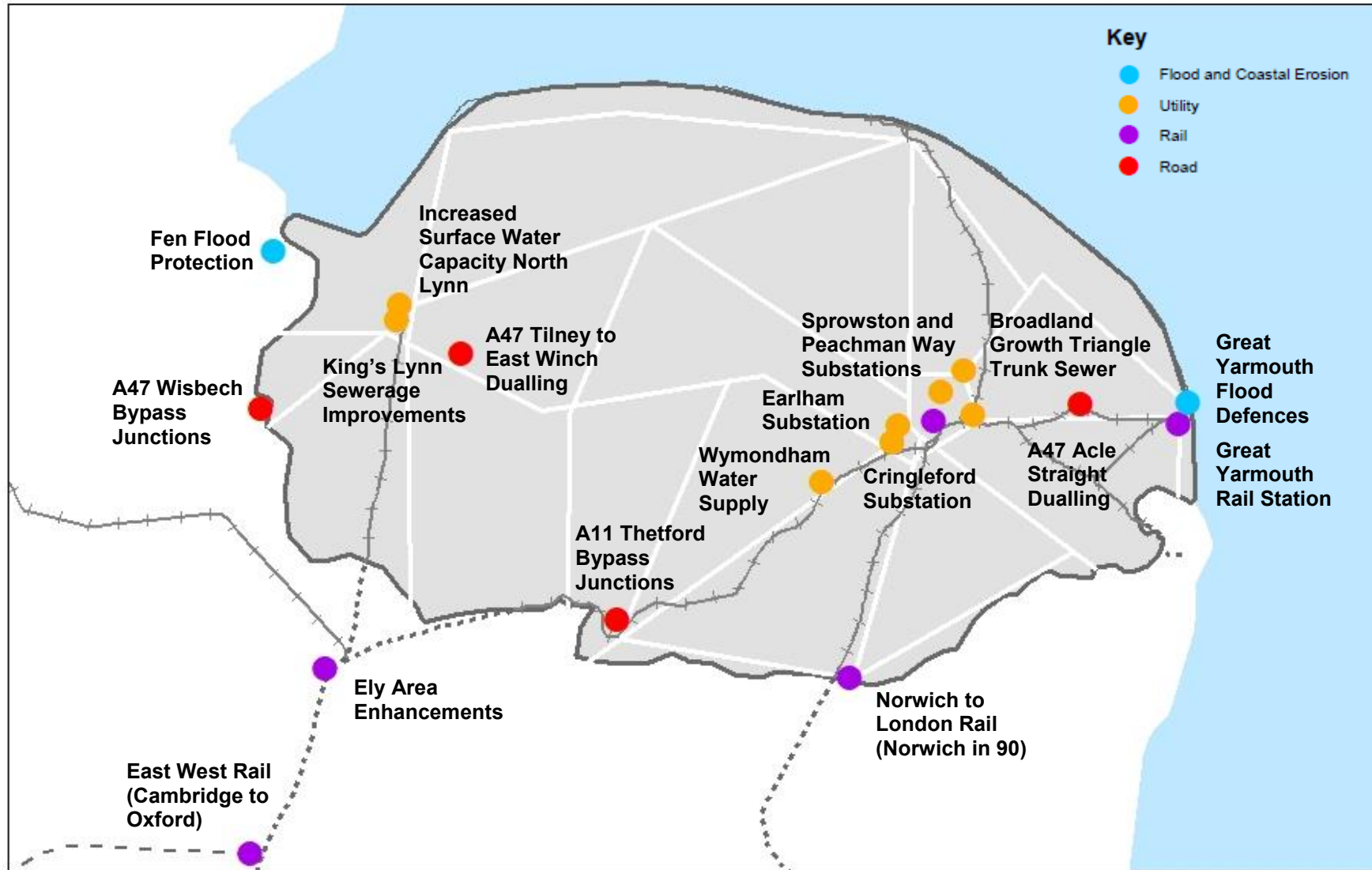
## Broadland Growth Triangle Secondary School

Norfolk County Council has made a commitment for a new Secondary phase school in the Broadland Growth Triangle area and a preferred site has been identified on the current Park and Ride site. Some work on feasibility has taken place but all options for additional secondary school places need to be considered.

Broadland Growth Triangle Secondary School			
<b>Description of stage</b>	Scoping & option assessment & design feasibility	Planning	Construction Phase
<b>Estimated cost to deliver the stage</b>	£100k	£300k	£26M
<b>Indicative timeframe to deliver stage and start date</b>	Present to March 2020 - Initial stage underway and has verified Sprowston P&R as preferred location. Locational considerations will however continue to be kept under review as part of ongoing scheme development.	April 2022 to March 2023, subject to successful funding award and implementation of Housing Infrastructure Fund scheme for Beeston Park and development progress in Broadland Growth Triangle.	April 2025 to March 2026, subject to successful funding award and implementation of Housing Infrastructure Fund scheme for Beeston Park and development progress in Broadland Growth Triangle.
<b>Potential funding source</b>	NCC, BRP	NCC	NCC, CIL
<b>Qualifications for BRP and or NALEP funding</b>	Required to support 13,500 planned homes in Broadland Growth Triangle. In principle agreement exists for BRP funding to support scheme development.	Required to support 13,500 planned homes in Broadland Growth Triangle.	Required to support 13,500 planned homes in Broadland Growth Triangle.
<b>Tick system</b>	Completion of this stage will take it from ✓ to ✓✓	Completion of this stage will take it to ✓✓✓	Delivery phase takes scheme beyond ✓✓✓

# **Infrastructure projects to be delivered by other organisations**

**Figure 4 Infrastructure projects to be delivered by other organisations**



# Roads

## A11 Thetford Bypass Junctions

Evidence has shown that even without the proposed growth at Thetford, the junctions on the A11 are forecast to operate over their theoretical capacity by 2026, with the Mundford Road (A134) junction experiencing the worst congestion. The issues are exacerbated by the proposed growth of Thetford. As a result, the five junctions on the A11 bypass around Thetford will need to be upgraded during the Plan period.

A Masterplan for the urban extension has been developed and improvements will be made to an appropriate standard agreed with Highways England.

It is likely that the agreed scope of work will comprise traffic signals on the roundabouts and speed limits on the A11. Because of the strategic function of the A11, which is the major trunk road connection between Norwich, Cambridge and London, the County Council considers that this is not an optimum solution and will continue to work with partners – principally Highways England – to bring forward measures that do not diminish the strategic status of the route. Ultimately, this might require grade-separation of the junctions.

The draft Thetford Network Improvement Strategy considered the town as a whole and, subject to agreement of the strategy and further funding, the county council will undertake further work on investigating the feasibility of a package of measures including looking at alternate solutions to the A11 junctions and the A134 Major Road Network route through the town. It is anticipated that this work could start in 2020.

Infrastructure	A11 Thetford Bypass Junctions
Location	Breckland
Delivers	5,000 homes and 5,000 jobs
Lead authority	Highways England, Norfolk County Council, Landowners, Breckland District Council
Estimated start date	2020-2025
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	NPIF, Highways England Roads Investment Strategy 2 (2020-2025), Major Road Network
Benefits	Improves congestion, required for growth
Link to other information	Thetford Area Action Plan - <a href="https://www.breckland.gov.uk/taap">https://www.breckland.gov.uk/taap</a>



**Status**

'Improvements, likely to be signalisation of the junctions will be phased with the delivery of the housing growth. None yet are programmed. More extensive improvements, required to maintain the strategic function of the A11, would be delivered as part of a future Highways England programme, but is not yet committed.

## A47 Wisbech Bypass Junctions

There are significant congestion issues on the A47 Wisbech Bypass especially at the pinch point junctions of the B198 (east and west) and A1101 which are the responsibility of Highways England. Improvements to these junctions could be brought forward as part of Highways England's trunk road programme post-2020 and /or development within the town. There are also safety concerns at the A47/Broadend Road which requires a new junction by developers to deliver housing in Wisbech.

Junction improvements/Broad End Road scheme will be brought forward under the Growth Deal Funding from the CPCA Business Board for the Wisbech Access Strategy. Short term to 2021 £10.5m. Medium Term scheme Elm High Road with CPCA funding to 2026.

Infrastructure	A47 Wisbech Bypass Junctions
Location	King's Lynn and West Norfolk, Fenland
Delivers	960 homes and 10,000sqm office space (up to 2026)
Lead authority	Developers/ Highways England
Estimated start date	2020
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	NPIF, developer funding, Highways England Roads Investment Strategy 2 (2020-2025), CPCA Business Board Growth Deal Funding
Benefits	Improved junctions on the A47 will overcome concerns regarding road safety and connect growth areas to the trunk road network.
Link to other information	N/A
Status	Fenland District Council has developed a Wisbech transport strategy, this identifies improvements to roundabouts on the A47 and they are now developing the schemes.

## A47 Tilney to East Winch dualling

The long-term objective of the County Council and other partners is for complete dualling of the A47 along the full length of the trunk road from the A1 at Peterborough to Lowestoft. However, it is recognised that this may need to be achieved through a phased approach to improvements. The A47 Alliance has agreed that the A47 Tilney to East Winch dualling along with the Acle Straight dualling above are two of its priorities for the period 2020-2025.

A number of schemes are committed for construction on the A47 between 2020 and 2025. These are shown on page [14](#).

Infrastructure	A47 Tilney to East Winch dualling
<b>Location</b>	King's Lynn and West Norfolk
<b>Delivers</b>	There are strategic site allocations in West Winch and North Runcton, adjacent to A47, which provide for 1,600 homes and 1ha employment land, while employment land is identified at Hardwick (27 ha) and Saddlebow (23ha).
<b>Lead authority</b>	Highways England
<b>Estimated start date</b>	2025
<b>Estimated cost</b>	£130m
<b>Unfunded cost</b>	£130m
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Highways England Roads Investment Strategy 2 (2020- 2025)
<b>Benefits</b>	Improves connectivity and reliability
<b>Link to other information</b>	A47 Alliance - <a href="http://www.a47alliance.co.uk/">http://www.a47alliance.co.uk/</a>
<b>Status</b>	Tilney to East Winch is a current priority of the A47 Alliance who are lobbying for the scheme to be in the Roads Investment Strategy 2.

## A47 Acle Straight dualling

As well as Tilney to East Winch, dualling the Acle Straight is a priority for 2020-2025. Highways England is currently working with various stakeholders on a trial to relocate a species of snail from habitats in the dykes adjacent to the road. If the trials are successful it will enable road improvements to be brought forward (subject to funding) in the trunk road programme 2020-2025. Currently, it is not possible for improvements to be implemented due to their likely impacts on the snail species in the dykes. Early indications suggest the trial to be successful, so this should not form an impediment to government announcing the scheme for inclusion in the RIS2 programme, although it will need to continue to be monitored.

Infrastructure	A47 Acle Straight dualling
<b>Location</b>	Broadland, Great Yarmouth
<b>Delivers</b>	The Enterprise Zone covering large parts of Great Yarmouth and Lowestoft will help bring forward 9,000 direct and 4,500 indirect jobs across the area. Furthermore, approximately 14,000 new homes are planned across Great Yarmouth and Lowestoft. The plans for 37,000 new homes and the creation of 27,000 jobs in the Greater Norwich area will further increase demand along the A47 between Greater Norwich and between the
<b>Lead authority</b>	Highways England
<b>Estimated start date</b>	2025
<b>Estimated cost</b>	£79m
<b>Unfunded cost</b>	£79m
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Highways England Roads Investment Strategy 2 (2020- 2025)
<b>Benefits</b>	Improve accessibility between Norwich and Great Yarmouth and improve the safety record of the
<b>Link to other information</b>	A47 Alliance - <a href="http://www.a47alliance.co.uk/">http://www.a47alliance.co.uk/</a>
<b>Status</b>	The Acle Straight is a current priority of the A47 Alliance who are lobbying for the scheme to be in the Roads Investment Strategy 2.

# Rail

## Norwich to London Rail (Norwich in 90)

As part of the recent franchise agreement, services will be upgraded to every 20 minutes; there will be new rolling stock; and some services (two each way every day) will have journey times of 90 minutes. Even these improvements however will not deliver sufficient capacity or frequent (at least one every hour) service in 90 minutes.

In recognition of the strength of the study work and lobbying, government formed a Great Eastern Main Line Task Force to define how the ambition for a faster, more reliable, better quality service with more capacity could be delivered to serve the needs of Essex, Suffolk and Norfolk. The Task Force is currently undertaking study work to identify exactly what infrastructure is required to deliver the required level of service, and the business case for it. This work is due for completion towards the end of 2019.

Infrastructure	Norwich to London Rail (Norwich in 90)
<b>Location</b>	Norwich to London
<b>Delivers</b>	48,000 jobs along the line. Improvements would lead to the creation of over a further 8,700 permanent jobs by 2043.
<b>Lead authority</b>	Greater Anglia, Network Rail, NALEP, Local Authorities
<b>Estimated start date</b>	2019- 2024
<b>Estimated cost</b>	Being evaluated
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Network Rail Control Period 6
<b>Benefits</b>	Track improvements (potentially comprising Trowse swing bridge, Haughley Junction, loops in Essex and level crossing upgrades) between Norwich and London, achieving London to Colchester in 40 minutes, Ipswich in 60 minutes and Norwich in 90 minutes at least hourly off-peak.
<b>Link to other information</b>	New Anglia Great Eastern Rail Campaign - <a href="http://www.newanglia.co.uk/gerailcampaign">http://www.newanglia.co.uk/gerailcampaign</a>
<b>Status</b>	The Great Eastern Mainline Task Force has commenced work on re-evaluating the business case, which will confirm the measures needed, the cost of the measures and the benefits from their implementation.'

## Great Yarmouth Rail Station

Existing services are operated by Greater Anglia as part of the East Anglia franchise. Currently services operate between Norwich and Great Yarmouth every hour, with 30 minutes services at peak times. The new East Anglia franchise started in October 2016. New rolling stock will be delivered across the whole of the franchise with the first new train beginning to serve this line in July 2019. This will help to address quality issues with the rolling stock, but a major upgrade is required at Great Yarmouth rail station to improve this gateway to the town. Work, undertaken by the local authorities to improve the Great Yarmouth Rail Station forecourt and onward links to the town centre using Growth Deal money, has recently been completed. There has been a long-standing ambition for improvements to the Rail Station itself.

Infrastructure	Great Yarmouth Rail Station
<b>Location</b>	Great Yarmouth
<b>Delivers</b>	Improvements to Great Yarmouth Rail Station
<b>Lead authority</b>	Greater Anglia
<b>Estimated start date</b>	2019- 2024
<b>Estimated cost</b>	TBC
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Network Rail Control Period 6
<b>Benefits</b>	Facilitate local plan jobs growth and encourage inward investment into the energy coast.
<b>Link to other information</b>	N/A
<b>Status</b>	Potential for inclusion in Network Rail spending programme 2019-2024

## Ely Area Enhancements

A large number of rail services pass through Ely: King's Lynn to Cambridge; Norwich to Cambridge; Norwich to Peterborough; Ipswich to Peterborough; and freight services from Felixstowe. Major rail infrastructure improvements are required to accommodate all services committed within franchise agreements and for further frequency improvements in the future. Local authorities are working with local enterprise partnerships, government and Network Rail to bring forward the improvements for delivery. The New Anglia LEP, former GCGP LEP and Strategic Freight Network have invested £8.8m into feasibility work to identify the required improvements and the business case for them (required to unlock funding). This is expected to report later in 2019.

Infrastructure	Ely Area Enhancements
<b>Location</b>	East Cambridgeshire
<b>Delivers</b>	£120m wider economic benefits, and 1,000 homes and 1,000 jobs.
<b>Lead authority</b>	Network Rail
<b>Estimated start date</b>	Around 2020
<b>Estimated cost</b>	TBC
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Network Rail Control Period 6, NALEP
<b>Benefits</b>	Supports better connectivity on the Cambridge Norwich and King's Lynn Cambridge corridors.
<b>Link to other information</b>	New Anglia website - <a href="http://www.newanglia.co.uk/2017/03/24/vital-ely-rail-project-track">http://www.newanglia.co.uk/2017/03/24/vital-ely-rail-project-track</a>
<b>Status</b>	Currently Network Rail are undertaking £8.8m of feasibility and design work which will be published in 2019 for inclusion in National Rail spending programme



## East West Rail (Cambridge to Oxford)

The complete East West Rail scheme comprises a strategic rail route that will link Ipswich and Norwich to Cambridge, Bedford, Milton Keynes, Bicester and Oxford, allowing connections to Swindon, the Thames Valley, South West England and South Wales providing a connection across the important Oxford to Cambridge “high tech arc.” The route will potentially allow freight trains to connect the ports of Felixstowe and Harwich with the Great Eastern, East Coast, Midland, West Coast and Great Western main lines without the need to travel on congested tracks around North London.

Government has set up a Special Delivery Vehicle for the project and this is currently taking forward design and development work on a new line from Cambridge to Bedford. Delivery of this could be completed in the mid-2020s. Major work is expected to commence on reinstating rail lines from Bedford to Bicester (with services already running from Bicester to Oxford) in late 2019 with services expected from the end of 2023.

East West Rail is supported by Norfolk County Council and is focussed on making sure that the benefits of this substantial investment come to Norfolk by ensuring that services extend at least as far as Norwich (on existing lines).

Infrastructure	East West Rail (Cambridge to Oxford)
Location	Cambridge to Oxford
Delivers	Establishes a railway connecting East Anglia with central, southern and western England.
Lead authority	Local authorities along the route working with DfT and Network Rail
Estimated start date	Late 2020s
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	Government via special purpose delivery vehicle
Benefits	Connects Oxford and Cambridge to major economies in New Anglia.
Link to other information	East West Rail - <a href="http://www.eastwestrail.org.uk/route">www.eastwestrail.org.uk/route</a>

**Status**

Phase 1 Oxford to Bicester complete  
Phase 2 Bicester to Oxford expected to commence late 2019 with services from end of 2023  
Phase 3 Bedford to Cambridge expected to be built by the mid-2020s.  
Work is ongoing to identify how services might extend to Norwich and Ipswich (on existing tracks) following completion of Phase 3.

# Utilities

## Sprowston Primary and Peachman Way Primary Substations

These substations are identified in the Greater Norwich energy infrastructure study (March 2019) as constrained and unable to currently support more development. The constraint of these substations affects development in the Broadland Growth Triangle including Rackheath and Beeston Park. Reinforcements or upgrades to the electricity network are required when demand exceeds capacity. If development sites cannot proceed due to insufficient capacity, alternative measures must be considered in order to deliver these.

Infrastructure	Sprowston Primary	Peachman Way Primary
<b>Location</b>	Broadland	Broadland
<b>Delivers</b>	A possible 10,000 homes	A possible 10,000 homes and Broadland Business Park
<b>Lead authority</b>	UK Power Networks	UK Power Networks
<b>Estimated start date</b>	TBC	TBC
<b>Estimated cost</b>	£2.5-10m	£2.5-10m
<b>Unfunded cost</b>	£2.5-10m	£2.5-10m
<b>CIL contribution</b>	Yes	Yes
<b>Funding opportunities</b>	CIL, private sector	
<b>Benefits</b>	Support the delivery of 10,000 homes and job development at airport and Rackheath	
<b>Link to other information</b>	GNDP Local Investment Plan and Programme - <a href="http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan">http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan</a>	
<b>Status</b>	Baseline requirement	

## Earlham Substation

This substation is identified in the Greater Norwich energy infrastructure study (March 2019) as constrained and unable to currently support more development. The constraint of this substation affects development in Costessey, Food Enterprise Zone, Longwater/Easton, Norwich Research Park and Threescore. Significant amounts of spare capacity has already been reserved by users within the Research Park and reinforcements or upgrades to the electricity network are required when demand exceeds capacity. If development sites cannot proceed due to insufficient capacity, alternative measures must be considered in order to deliver these.

Infrastructure	Earlham Substation
<b>Location</b>	South Norfolk
<b>Delivers</b>	900 homes at Easton and jobs at NRP and Food Hub
<b>Lead authority</b>	UK Power Networks
<b>Estimated start date</b>	TBC
<b>Estimated cost</b>	£2.5-10m
<b>Unfunded cost</b>	£2.5-10m
<b>CIL contribution</b>	Possibly
<b>Funding opportunities</b>	CIL, private sector
<b>Benefits</b>	Critical for growth of NRP and will support the delivery of growth in to the SW Norwich – 900 homes at Easton and Food Hub
<b>Link to other information</b>	N/A
<b>Status</b>	Baseline requirement

## Cringleford Primary Substation

This substation is identified in the Greater Norwich energy infrastructure study (March 2019) as constrained and unable to currently support more development. The constraint of this substation affects development in Cringleford and Hethersett. With new housing close to Cringleford Primary and spare capacity utilised as backup for the hospital reinforcements or upgrades to the electricity network are required when demand exceeds capacity. If development sites cannot proceed due to insufficient capacity, alternative measures must be considered in order to deliver these.

Infrastructure	Cringleford Primary Substation
Location	South Norfolk
Delivers	2,500 homes
Lead authority	UK Power Networks
Estimated start date	TBC
Estimated cost	£2.5-10m
Unfunded cost	£2.5-10m
CIL contribution	Possibly
Funding opportunities	CIL, private sector
Benefits	Supports housing growth in SW Norwich and provides back up supply to Norfolk and Norwich Hospital.
Link to other information	N/A
Status	Baseline requirement

## Broadland Growth Triangle Trunk Sewer

There is no significant capacity constraint from the existing works at Whitlingham or Belaugh, but there is in the existing sewerage network. An existing trunk main connecting from Sprowston to Whitlingham has a limited amount of capacity. After capacity within this main is used, new infrastructure would be required to give a connection of adequate capacity to the Whitlingham Water Recycling Centre (WRC).

Infrastructure	Northeast Norwich Trunk Sewer
<b>Location</b>	Broadland
<b>Delivers</b>	A possible 10,000 homes
<b>Lead authority</b>	Anglian Water
<b>Estimated start date</b>	2011-2026
<b>Estimated cost</b>	TBC
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	Yes
<b>Funding opportunities</b>	Private sector
<b>Benefits</b>	Supports the delivery of 10,000 homes to the northeast of Norwich
<b>Link to other information</b>	GNDP Local Investment Plan and Programme - <a href="http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan">http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan</a>
<b>Status</b>	Baseline requirement

## Wymondham Water Supply Connections

Water resource is available in principal for up to 4,400 homes for Wymondham (Current commitment for approximately 2,600 homes at 2018). However, network improvements will be required before connection can take place.

Infrastructure	Wymondham Water Supply Connections
<b>Location</b>	South Norfolk
<b>Delivers</b>	Up to 4,400 homes
<b>Lead authority</b>	Anglian Water
<b>Estimated start date</b>	TBC
<b>Estimated cost</b>	£22m
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	Yes
<b>Funding opportunities</b>	Private sector
<b>Benefits</b>	Supports the delivery of up to 4,400 homes
<b>Link to other information</b>	GNDP Local Investment Plan and Programme - <a href="http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan/">http://www.greaternorwichgrowth.org.uk/delivery/greater-norwich-infrastructure-plan/</a>
<b>Status</b>	Baseline requirement



## King's Lynn Sewerage Improvements

To help facilitate growth in King's Lynn, sewerage improvements may be required.

Infrastructure	Upgraded waste water flow capacity in King's Lynn	Major sewerage improvements at King's Lynn
<b>Location</b>	King's Lynn and West Norfolk	King's Lynn and West Norfolk
<b>Delivers</b>	Housing growth in King's Lynn	
<b>Lead authority</b>	Anglian Water	Anglian Water
<b>Estimated start date</b>	TBC	TBC
<b>Estimated cost</b>	Circa £500,000	£1-1.2m
<b>Unfunded cost</b>	Circa £500,000	£1-1.2m
<b>CIL contribution</b>	Possibly	Possibly
<b>Funding opportunities</b>	Private sector	
<b>Benefits</b>	To help facilitate growth in King's Lynn, sewerage improvements may be	
<b>Link to other information</b>	N/A	N/A
<b>Status</b>	Baseline requirement	Baseline requirement

## Increased Surface Water Capacity North Lynn

In addition, increased surface water capacity is required in North Lynn (through the North Lynn link scheme linking the Black Drain with the Bawsey Drain and providing a second pump at North Lynn Pumping Station) to enable the development of the strategic housing allocation at South Wootton and other housing land in North Lynn.

Infrastructure	Increased Surface Water Capacity North Lynn
<b>Location</b>	King's Lynn and West Norfolk
<b>Delivers</b>	Up to 800 homes at South Wootton and some 700 homes in North Lynn
<b>Lead authority</b>	King's Lynn IDB
<b>Estimated start date</b>	2020-21
<b>Estimated cost</b>	TBC
<b>Unfunded cost</b>	TBC
<b>CIL contribution</b>	Possibly
<b>Funding opportunities</b>	IDB, private sector
<b>Benefits</b>	Enables housing development in South Wootton/ North Lynn
<b>Link to other information</b>	N/A
<b>Status</b>	Commissioning of feasibility work has begun.

**Sustainable**

## Great Yarmouth Flood Defences 2017 onwards (Epoch 2)

There are approximately 12km of flood defences in Great Yarmouth that help reduce the risk of tidal flooding to over 5000 homes and 1000 businesses from the River Yare. However, the steel piled quays supporting our flood defence walls are badly corroded and need replacing. Failure of these defences during a surge tide event would result in rapid flooding of properties in the lower lying land adjoining the river. We have developed a 5-epoch project over the next 40 years to address this issue, prioritised based on the condition of the defences.

Infrastructure	Great Yarmouth Flood Defences 2019 onwards Epoch 2 (2016 – 2021), Epoch 3 (2021 – 2026), Epoch 4 (2026 – 2046), Epoch 5 (2046 – 2061)
Location	Great Yarmouth
Delivers	The Environment Agency is currently delivering Epoch 2 (2016 –2021) to refurbish and improve approximately 4km of flood defences and the supporting quayside. A Limpet Dam will be used to enable patching of the corroded pile sections and installation of cathodic protection to stop future accelerated low water corrosion. It is anticipated that adopting this approach will allow a further 30 years of life to be gained from the assets for an estimated 30% of the cost of replacement and manage the flood risk to around 2000 homes and 700 businesses. The challenge is to secure funding to deliver the next epoch of work required to manage the flood risk to the town grows. The partners are working together to identify a sustainable income stream to ensure the vital investment for the next phase of work and continued maintenance. All opportunities and beneficiaries should be explored.
Lead authority	Environment Agency (lead technical partner) working in partnership with Great Yarmouth Borough Council, Norfolk County Council, New Anglia Local Enterprise Partnership, Peel Ports, Broads Authority and the Tidal Defence Business Partnership (representing local businesses).
Estimated start date	Gained financial approval for Epoch 2 in January 2019, with work to the quays starting in October 2019.
Estimated cost	£40.3m construction cost with an additional £6.2 million required to maintain the Epoch 2 defences over the next 30 years. (Epoch 2 only)

<b>Unfunded cost</b>	£1.5m of future maintenance commitment from local sources (Epoch 2 only)
<b>CIL contribution</b>	No
<b>Funding opportunities</b>	Partners of the project, growth and regeneration investment, developer contributions, critical infrastructure providers and businesses
<b>Benefits</b>	The flood defences support the economic growth and development of Great Yarmouth with the potential to support 34,000 jobs and £1.5 billion to the economy over the lifetime of the Epochs. Enabling 50ha of prime location undeveloped land and opportunity to enable appropriate resilient development, in line with local development strategies and supporting policies.
<b>Link to other information</b>	Project website: <a href="http://www.greatyarmouthflooddefence.co.uk/home/">http://www.greatyarmouthflooddefence.co.uk/home/</a>
<b>Status</b>	The Environment Agency have appraised, identified the preferred option and carried out detailed design for 40 walls across the town. £18m Partnership funding has been secured to gain approval to spend £27m FDGiA (capital and revenue). Construction start date of October 2019 with completion planned for April 2021. The partners will begin to identify a sustainable income stream to meet future investment required to manage flood risk to the town.

## Fens Flood Protection

The Great Ouse Fens comprises approximately 370,000 hectares of rural lowland, much of this is below mean sea level. 66,000ha of this area is within Norfolk. The Fens are high grade agricultural land and currently have a high standard of flood risk management provided by a complex system of watercourses and key water management assets in Norfolk, including the Denver Sluices, King Lynn tidal defences, South Level Barrier bank, and major pumping stations.

New housing development proposed for Downham Market, Wisbech and Kings Lynn, as well as new transport infrastructure crossing the Fens will put additional pressure on the Fens flood risk infrastructure.

Infrastructure	Fens Flood Protection
<b>Location</b>	Area around Southery, Denver, Upwell, Outwell, Kings Lynn
<b>Delivers</b>	There are over 56,600 properties located within the Fens, plus a further 60,700 which are at risk of isolation due to roads and railway lines being at flood risk. This project will provide the evidence base for the consideration of future and potential flood risk investments required across the Fens
<b>Lead authority</b>	Environment Agency
<b>Estimated start date</b>	Ongoing project. Implementation phase from ~2030.
<b>Estimated cost</b>	TBC - from £125m to 2120
<b>Unfunded cost</b>	TBC - from £100m to 2120 CIL
<b>CIL contribution</b>	Possibly
<b>Funding opportunities</b>	Central Government (Flood and Coastal Erosion Risk Management Grant in Aid); Local Government (Regional Flood and Coastal Committee Local Levy), Internal Drainage Boards, and other funding sources from beneficiaries.
<b>Benefits</b>	Land protected for economic growth, appropriate housing development and new transport infrastructure enabled, particularly East Wisbech, West Winch and A10 and A47 improvements.
<b>Link to other information</b>	<a href="#">Great Ouse Tidal River Baseline Report 2017</a>

**Status**

The EA have begun study work to plan the best way of managing future flood risk in the Great Ouse Fen Area, including investment needs. Existing cost estimations are based on initial understanding of the core, tidal river area of the Fens; needs for the Fens as a whole will be significantly in excess of these currently known figures.

## Up and Coming Projects

Having a list of up and coming projects assists in the creation of a pipeline of schemes so we are aware of the major infrastructure likely to come forward in the future and as more information on these new projects becomes available they can be considered for inclusion in future versions of the NSIDP. This section is for those projects which fit the criteria for the NSIDP but where enough information is not known for projects to be fully included in the plan at this time. These projects are:

- North Walsham Link Road
- Trowse Rail Bridge
- Thetford A143 to A11 connection.
- Longwater additional access.
- Transport Infrastructure to support Norwich East
- A149 King's Lynn Bypass
- A10 Setchey (south of West Winch)
- A17 Pullover Roundabout
- A140 north of Long Stratton



# Cabinet

Item No. 10

<b>Decision making report title:</b>	<b>Adult Education Strategy</b>
<b>Date of meeting:</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Councillor Margaret Dewsbury (Cabinet Member for Communities and Partnerships)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director, Community and Environmental Services)</b>
<b>Is this a key decision?</b>	<b>No</b>

## Introduction from Cabinet Member

'Together, for Norfolk' sets out Cabinet's ambition for economic growth and how we aim to ensure that our communities grow, thrive and prosper for the future.

I am seeking Cabinet endorsement for an Adult Education Strategy that outlines how the Adult Learning service actively contributes to the Council's three outcomes of:

- Growing Economy
- Thriving People; and
- Strong Communities.

The Adult Learning service makes a significant contribution to our priorities by working with adult Norfolk residents (13,000 opportunities in the 2018/19 academic year), supporting them to get the skills, knowledge and qualifications they need to progress into employment or further learning. Learners also gain confidence and wider skills and the service's learning programmes reduce social isolation and increase social mobility.

Adult Learning is funded by central Government, through the Department for Education, and by tuition fee income. It is subject to Ofsted inspection and currently the service is rated as good by Ofsted.

The proposed Adult Education Strategy focuses on:

- The service's **intent**: which is aligned to the Council's six-year plan
- How the service will **implement** its plans: so that outcomes are achieved
- The **impact** of the service's work on Norfolk residents.

These three areas are in line with how Ofsted judges further education training providers.

I would also ask Cabinet to note the Adult Learning service's performance in the most recent academic year, which finished in July 2019, when the service continued to progress from strength to strength.

## **Recommendations**

- 1. To approve the Adult Education Strategy**
- 2. To commend the Adult Learning service's performance outcomes and improvement journey.**

## **1. Background and Purpose**

### **1.1. Intent – the Adult Learning Vision**

#### Funding and Income

The Adult Learning service is externally funded through grant funding from central Government's Education and Skills Funding Agency (£4,102,272), tuition fees (£591,991) paid directly by learners and employers and through student loans (£202,217), which together total £4,900,000. This funding is earned through the delivery of learning provision across Norfolk.

In addition, the service is commissioned by Adult Social Care with a budget of £294,000 to provide the Skills and Employment Team, to support employers and day opportunities providers across Norfolk to remove barriers to employment for residents with autism, physical disabilities, mental health and learning disabilities.

#### The Adult Learning Vision

Our vision is that

*"We are the learning provider of choice, delivering outstanding, inspirational learning for individuals, employers and communities using our services to enrich their lives".*

Adult Learning plays a significant role in enabling and supporting adult Norfolk residents to learn and gain the skills, knowledge and qualifications they need to progress into employment or further learning. Our learners also gain confidence and wider skills and our learning programmes are designed to raise aspirations, reduce social isolation and increase social mobility.

### **1.2. Intent - Strategic Direction**

The 2020/21 strategy for Adult Education has been developed by the Adult Learning service to reflect the strategic objectives of Norfolk County Council, as detailed in the Council's Together, for Norfolk 6-year plan.

Adult Learning's strategic activities contribute to three priority outcome areas:

#### Growing Economy

- Community learning that entices adults back into the classroom to start their journey to further education and a career
- Increase literacy, numeracy and digital skills
- Stronger links with the LEP and local employers to provide vocational skills qualifications and Apprenticeships to create a qualified and relevant workforce
- Access to Higher Education programmes to grow the graduate workforce – pilot schemes with colleges to deliver career pathways
- Learning and work opportunities for Adults with physical and mental disabilities through Independent Living Skills and the work of the Skills and Employment Team
- Develop Wensum Lodge as a creative hub to incubate small craft businesses.

### Thriving People

- Opportunities for individuals to thrive with a range of community and family-based learning programmes such as healthy eating, budgeting and mental wellbeing
- Maximise the use of additional services, such as childcare support, to enable people to access learning opportunities
- Support people with disabilities through Independent Living Skills, lipreading, British Sign Language and personal assistant courses, as well as the work of the Skills and Employment Team
- Comprehensive information, advice and careers guidance service
- Raise aspiration with our learner awards and involvement programmes
- Provide the opportunity for career progression through vocational learning and apprenticeships.

### Strong Communities

- Plan our funded provision by targeting need to ensure we support disadvantaged families and communities, as well as employers
- Work with district colleagues to understand and plan for local need
- Actively support the voluntary sector and those working with communities with information advice and guidance training
- Prevent loneliness and isolation by creating the opportunity for new networks either through leisure or community learning courses
- Place our activities in the heart of the communities that need them most and working alongside the Local Service Strategy by creating a network

with Libraries, the Early Childhood and Family Service and the Voluntary Community and Social Enterprise sector

- Champion Safeguarding and Prevent, including British Values.

The Adult Learning Plan on a Page October 2019, in **Appendix 1**, summarises the service's Vision and how the service aims to achieve it.

## **2. Implementation – a service that aims to be outstanding**

### **2.1. The Shape of the Service**

To position the service so that it has the capacity to effectively implement and deliver the strategic activities outlined in this report and deliver an outstanding service to Norfolk residents, the service is currently re-shaping both its Senior Leadership and operational teams.

The proposed changes to the service structure will also place the service in a strong position to respond to Ofsted's new Education Inspection Framework, which was implemented in September 2019. The service was the first provider in the country to experience this new way of inspecting learning provision, as the service agreed to participate in an informal pilot inspection in May 2019. Our interpretation of the informal feedback from this pilot inspection is outlined in Appendix 2 Paragraph 1.

Tutor terms and conditions have been reviewed so that the service will be in a stronger position to consolidate teaching contracts and deliver a countywide service that responds to local need.

The proposed changes to the service, which will be fully implemented by April 2020, will also move the service towards being cost neutral to Norfolk County Council by the financial year 2021/22.

### **2.2. Funding Considerations**

Central government is considering changes to the way that it funds Adult Education provision in England. The proposals may mean that in future the service will be required to bid for funding based upon a planned intention.

As such the shaping of our service now to respond to need and local priorities will make it easier to evidence the requirement for funding to central government, if the need arises, as this approach will already be well embedded within the activity of the service.

In addition, we will take the opportunity to grow our funding wherever possible outside of the traditional sources for adult education provision. Examples include the Wensum Lodge Development and community outreach programmes to ensure that we have a diverse source of funding to strengthen the service for the future. Further information about the Wensum Lodge redevelopment project is in **Appendix 2 Paragraph 2**.

### **2.3. IT Infrastructure**

Adult Learning bid for capital funding from NCC to transform its ageing educational IT equipment and was successful in securing £800,000 to be spent in the 2019-20 and 2020-21 financial years. A project is now underway to replace the service's equipment countywide. This funding will significantly enhance learners' experiences across all of the service's programmes.

#### 2.4. The Skills and Employment Team (SET)

The newly formed Skills and Employment Team (SET), commissioned by Adult Social Services, is creating resources and forging strong working relationships with internal/external stakeholders, including employers. The team's objective is to develop employment opportunities for Norfolk residents with barriers such as autism, physical and learning disabilities and mental health issues. The team is ready to deliver an immediate impact, by enabling individuals who are closest to the job market but need to overcome barriers to be independent in employment.

### 3. **Impact – measuring our performance**

3.1. **Appendix 3** provides a service performance update. The most recent data available is for the 2018/19 academic year, which ended in July 2019.

To demonstrate and evidence the impact of this Adult Education Strategy, the service will implement a range of financial and performance targets and soft outcome targets. Full details of these can be found in **Appendix 4**. The impact measures cover 6 key areas:

1. The Quality of Teaching and Learning
2. Attendance & Qualification Achievement Rates (as defined by the Education and Skills Funding Agency)
3. Planning and Financial – that we plan on time and deliver to budget
4. Levels of Deprivation – that we focus our community learning funding on those in the 30% most deprived households (indices of multiple deprivation)
5. Intended Destination, Destination and Progression – that we enable our learners to achieve their goals and aspirations
6. Soft / qualitative outcomes – a range of measures that focus on the personal impact of the courses we run (for example, increased confidence, increased social mobility, reduced loneliness and isolation or improved mental health and wellbeing)

Successful achievement of these proposed targets will evidence the impact of this Adult Education Strategy.

### 4. **Evidence and Reasons for Decision**

- 4.1. The Adult Education Strategy is based on the identified needs and priorities for adult learning in Norfolk and responds to the policy and funding requirements of the Education and Skills Funding Agency.
- 4.2. The service's external funding enables Norfolk County Council to deliver adult learning that enables Norfolk residents to develop their skills and knowledge, gain qualifications, progress; that reduces social isolation; and that increases family and social integration

## **5. Alternative Options**

- 5.1. The proposed Adult Education Strategy enables the Adult Learning service to maintain its external funding contract with the Education and Skills Funding Agency, which brings £4.3 million into Norfolk for adult learning each year, and an Ofsted rating of good. The Council could decide not to deliver Adult Learning in Norfolk and the outcome of this decision would result in the loss of this external funding to Norfolk residents, communities and employers.

## **6. Financial Implications**

- 6.1. The Adult Learning service is externally funded through the Education and Skills Funding Agency, tuition fee and student loan income and is on course to be financially self-sustainable by the financial year 2021/22.

## **7. Resource Implications**

### **7.1. Staff:**

There are no additional resource implications as the service already has staff in place to deliver the proposed Strategy. A staff consultation will take place to address proposed changes required to deliver the strategy. Staff are being fully engaged and contributing to these requirements.

### **7.2. Property:**

The vision for the Wensum Lodge redevelopment has been approved by the Council and the service is working hard to increase its use of Library and other NCC properties to deliver learning.

### **7.3. IT:**

There are no IT implications.

## **8. Other Implications**

### **8.1. Legal Implications**

Ofsted and ESFA requirements around funding and performance

### **8.2. Human Rights implications**

None

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

The strategy actively seeks to target vulnerable groups and we would therefore not envisage any adverse impacts.

8.4. **Health and Safety implications**

None

8.5. **Sustainability implications**

None

8.6. **Any other implications**

None

**9. Risk Implications/Assessment**

9.1. None

**10. Select Committee comments**

10.1. See draft extract of minutes below from Infrastructure and Development Select Committee meeting held on Wednesday 13 November 2109.

**Agenda Adult Education Strategy  
item 9.**

The Select Committee received the report by the Executive Director of Community & Environmental Services asking it to consider a proposed Adult Education Strategy and the impact measures that the service proposed to use.

In introducing the report, the Assistant Director, Community, Information and Learning highlighted that the service continued to go from strength to strength. The Assistant Director, Community, Information and Learning also introduced the recently appointed Head of Service, Adult Learning to the Select Committee.

The Head of Service, Adult Learning highlighted the following:

- Since the report had been published and following the appointment of a new apprenticeship team, the performance of the apprenticeship programme had significantly improved, with an achievement rate of 73% which was 7% above the national average.
- The Wensum Lodge redevelopment project was progressing well.
- Work was being carried out with further education colleges in Norfolk to try to develop better progression routes for learners.
- Learners from diverse and less advantaged groups were being actively targeted to encourage them to participate in courses.

In response to questions and comments from the Select Committee, the following points were noted:

Members welcomed the well-written and interesting report and recognised that the Adult Learning Service was well regarded by its users.

The Assistant Director, Community, Information and Learning advised that Wensum Lodge offered a unique opportunity in Norfolk and was particularly well known for its craft courses. Many of the courses were offered on a full-cost recovery basis and it was hoped that additional courses across the service could be offered in the future.

The Assistant Director, Community, Information and Learning advised that conversations were being held with District Council's to try to ascertain potential need and appetite for adult education leisure courses. Some opportunities had already been identified in King's Lynn and Great Yarmouth. The Assistant Director, Community, Information and Learning was confident courses in other areas would be possible in the future.

Following the appointment of the new Assistant Head of Service Operations & Learner Services, the service was being reorganised to offer an improved careers guidance service, with the national providers being utilised where necessary but a much stronger inhouse offer to meet learner needs. Changes had also been made to the way data was collated by staff which allowed learners to be contacted more easily and to track distance learning.

As this year marked the 100<sup>th</sup> anniversary of Adult Learning nationally, the Head of Service, Adult Learning had challenged staff to note down 100 impact stories which could then be published.

The reference to Safeguarding in the report was mainly about staff not recording the appropriate training which would allow them to teach. Safeguarding training was very stringent, and the Assistant Director, Community, Information and Learning advised that no safeguarding issues existed within the service. It was also noted that Ofsted expected learners to know how to keep themselves safe.

Apprenticeship funding was specific to the sector the apprentice was being trained in, for example an apprentice fire-fighter generated more funding than an apprentice administrator.

There were currently 5 apprentices employed in the care professions. This was partly due to the many challenges faced by employers being able to release apprentice staff for 20% of their working time.

Apprenticeship programmes were being taken up by some people under the age of 18 years.



The Adult Learning Service advised learners that follow-on courses were available at further education colleges, although it recognised that some adults could find it difficult to take courses in colleges.

Inter-generational learning was being offered through the family learning programme.

There were opportunities to provide additional funding for learners through advanced learning loans which the learner would not have to repay if they progressed from an Access to Higher Education course and went into higher education.

The Adult Learning Service considered its offer of IT courses was the first step into IT where learners could have their aspirations raised and be encouraged to attend further education colleges and progress to higher level courses and hopefully gain employment in IT professions.

Any support Councillors could give in promoting the service would be welcomed.

The Service offered a low-level programme around counselling and would take away the suggestion of supporting people by offering counselling training in youth work to see if there was an appetite for offering these courses in future.

The Head of Service, Adult Learning advised that there was a 30% uptake in courses last year among settled families and migrant people accessing the service, so it was doing well in attracting people into programmes.

The service had been successful in working with Adult Social Services to help Syrian refugees access courses and gain employment in Norfolk.

The Select Committee:

- **Reviewed** the proposed Adult Learning Strategy; and
- **Noted** the service's performance outcomes and ongoing improvement journey.

## **11. Recommendations**

- 11.1.
  - 1. To approve the Adult Education Strategy**
  - 2. To commend the Adult Learning service's performance outcomes and improvement journey.**

## **12. Background Papers**

- 12.1. None

## Officer Contact

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

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

## Appendix 1 – Adult Learning Plan on a Page October 2019

### What we'll do

#### Vision:

We are the learning provider of choice, delivering outstanding, inspirational learning for individuals, employers and communities using our services to enrich their lives.

#### Outcomes:

- Learners achieve well and progress onto further study or employment
- Learners feel safe, valued and know how to protect themselves
- Teaching is good or outstanding across the majority of our provision
- Levels of literacy, numeracy and digital skills improve
- The service has a good reputation and is seen as a good place to learn.

#### Priorities:

- Become financially self-sustaining within 2 years
- Ensure our staff feel valued
- Rebrand the service
- Improve the quality of physical and online learning environments
- Deliver outstanding teaching, responding robustly to improvement needs
- Develop a strong business offer
- Embed Prevent and British Values within our learning programmes.

### How we'll do it

We will **collaborate** with strategic partners, local communities and employers to develop and continuously improve an innovative and responsive curriculum. We will respond to the needs of Norfolk's residents and businesses, to equip people with the skills for long term employment, skills development and independence to reduce demand for specialist services.

We will ask our residents and learners about their **needs** and use this, plus other **data and insight** to shape and **target** our provision more effectively. We will **involve learners** in our plans for the service and take their **feedback** on board.

We will further develop the quality and accessibility of the **information, advice and guidance** we provide. We will seek to understand and be ambitious for our learners, **assessing their needs** ensuring we provide high quality **careers guidance**, which is focused and targeted well to their needs.

We will **operate within the budget** available from the funding we secure and the income we generate. We will look for ways to improve our efficiency, be **commercial**, and make the best use of our assets and resources.

We will provide **high quality learning experiences**, including high quality support, environments and resources which give every learner the best chance of success. We will relentlessly focus on the quality of teaching and learning and be ambitious for our learners, ensuring any support needs are quickly identified and responded to.

We will continue to use **our systems and processes** to improve the efficiency and effectiveness of our service. Everyone will understand the importance of the **data** we capture, to support learners, monitor performance and continuously improve the service.

We will work closely with our steering group to ensure we have strong leadership and governance and to **develop an inclusive and supportive culture** for both learners and staff, where diversity is valued and people feel safe. **Safeguarding, Prevent and British Values** will continue to be embedded into our ways of working and curriculum.

### How we'll know if we've made a difference

- Self-assessed as providing an outstanding service to our learners and staff by the end of the 2019/20 academic year
- Achievement rates exceed national averages in all areas
- Operating within our budget
- Year on year increase in the uptake of apprenticeships
- Number of learners progressing to further learning/education
- Number of learners going into long term employment (beyond apprenticeships)
- Good or better inspection outcome (Ofsted)
- Positive and improving learner feedback
- Matrix accreditation for information, advice and guidance maintained
- Number of learners accessing service
- Proportion of learners accessing service from pre-determined demographic backgrounds.

## **Appendix 2 – Implementation**

### **1. Informal Feedback from Ofsted Pilot Inspection in May 2019**

In May 2019, the service became the first training provider in the country to 'test' the new Ofsted Education Inspection Framework. This was not a formal inspection, but an excellent opportunity to practise Ofsted's new way of carrying out an inspection. Informal feedback from inspectors was good.

The key informal feedback from Ofsted was that the service's main strengths include:

- The service's planning and curriculum, which really does respond to the needs of Norfolk residents. The service has a deep reach into Norfolk's communities. Inspectors recognised the significant strengths in the service's maths and English programme
- The quality of teaching and learning
- The service's capacity to improve through strong leadership and management
- The new apprenticeships programme meets the needs of employers and apprentices
- Safeguarding – staff know the correct referral process and learners felt and were safe.

Ofsted confirmed that areas the service needs to work on (and the service recognises and has been working on these) include:

- Careers guidance and the tracking of learners when they leave the service, so that we can demonstrate impact
- Apprentices who have been on programme for a long time are slow to make sufficient progress
- The quality of feedback given by teaching staff to learners (in particular written feedback)
- Safeguarding – at the time not all staff could demonstrate effectively they had completed relevant training.

### **2. Wensum Lodge redevelopment project – further information**

The project to redevelop Wensum Lodge is progressing well. Following the appointment of a Development Officer, the focus has been on developing the forward plan of the development. A range of surveys have been completed so that the architects can produce a RIBA Stage 1 report, which will provide the aims, objectives and milestones for the project, including constraints and opportunities and a full cost plan. This report will be complete in late autumn 2019. To date, there is good news relating to the overall condition of the buildings, with no serious issues uncovered as part of the work.

Staff focus groups have been held to ensure a sound understanding of spatial requirements and the team have conducted a series of research and consultation visits to other similar projects around the UK.

The next steps will be to develop an internal business case, develop a funding strategy and bids and create governance around the development.

## **Appendix 3 – Service Performance Update – Academic Year 2018/19**

### **Recruitment**

Recruitment of learners remained strong, with over 13,000 learning opportunities delivered.

#### Education and Training (accredited and qualification programmes)

Learner numbers on qualification programmes fell (down from 4,335, to 3,488) due to a planned increase in vocational and Functional Skills (English, maths and IT) qualification courses and a planned reduction in non-regulated (internally assessed and awarded accreditation) and English for Speakers of Other Languages (ESOL) provision. This means that the service used more of its funding to deliver externally validated qualification programmes and less on internally assessed courses and ESOL (which is challenging to deliver without making a financial loss).

Higher learner numbers in Functional Skills were mainly due to an increase in online provision (up from 135 to 321 learners learning solely online with the service).

#### Community Learning (non-accredited programmes)

Learner recruitment on non-qualification community learning programmes grew (up from 5,265 to 6,159) after the dip that the service experienced in 2017/18.

#### Apprenticeships

Whilst the service's Apprenticeship cohort grew (from 2% to 3% of total learners), it remained a small proportion of the service's overall recruitment and funding, although the service plans to rapidly increase recruitment towards the end of the 2019/20 academic year, when access to funding for non-levy paying employers returns.

#### LeisureStream

In 2018/19, the service recruited 1,948 learners onto self-financed courses, which are managed outside of the funded programme, generating an income of £275,191.

#### Learners from areas of deprivation

On the service's funded programmes, on qualification programmes, in the 2018/19 academic year, 44% of learners were from the 30% most deprived wards in Norfolk (43% in 2017/18), and on community learning programmes, 28% of learners were from the 30% most deprived wards (29% in 2017/18).

The service has implemented a new planning process for the 2019/20 and subsequent academic years. Detailed data analysis now informs planning and the service is actively targeting learners from the County's more disadvantaged communities.

## **Retention of Learners**

Retention of learners (those who completed their course) remained stable at 91% for qualification programmes and 99% on community learning programmes.

## **The Quality of Teaching and Learning**

The quality of teaching and learning continues to improve, with 29% of tutors judged to be Outstanding (15% in 2017/18) and 96% Good and Outstanding (94% in 2017/18). The shift of tutors from Good to Outstanding is a result of a comprehensive continuing professional development programme for teaching staff, combined with robust performance management by the academic teams.

## **Achievement**

Overall the service's headline achievement figures have reduced, as expected, due to the change in the service's curriculum offer.

### Education and Training (accredited and qualification programmes)

The achievement rate in Education & Training reduced from 83.6% in 2017/18 to 83.1% in 2018/19, however, this slight dip was expected due to changes in the curriculum offer. In 2018/19, service reduced its short, non-regulated provision (which is internally assessed and awarded), and replaced it with longer, more meaningful external qualifications.

As the non-regulated courses require no formal assessment the achievement rate is high (95% in 2018/19 vs. 93% in 2017/18), but due to the reduction in the number of these courses (790 in 18/19 vs. 1754 in 17/18), it has had an impact on the overall achievement rate figure. In most areas of the delivery there has been a marked improvement. For example, most of the service's qualifications delivery took place in the Preparation for Life and Work area, our most important area, and the achievement rate in this area has increased by nearly 3%. The volume and proportion of learners in this area has also risen from 51% (2208) in 2017/18 to 66% (2287) in 2018/19, showing the significant levels of improvement that have been made.

### Community Learning (non-accredited programmes)

Achievement in Community Learning reduced from 98% to 97% which is in line with expectations. The service has been transitioning across from mainly very short taster sessions where attendance, retention and achievement are all 100%, to longer courses with more impact to the learners. This will continue into 2019/20.

### Apprenticeships

In the previous academic year (2017/18), the service reported disappointing performance in Apprenticeships. In 2018/19, the service is very pleased to report that the service's new Apprenticeships team has turned this position around. The service successfully over-achieved on its target of 68% with an overall achievement rate of 73%, and exceeded its timely success rate target of 60% by over 3%.

## **Learner Satisfaction**

Learner satisfaction with the service remains good at 85% (national average 82%) (Ipsos Mori external survey) and compares well with other local further education providers (City College Norwich 76%; East Coast College 80%; and The College of West Anglia 87%).

## **Appendix 4 – Service Impact Targets**

This document outlines the service impact targets for the 2019/20 academic year, which will demonstrate and evidence the impact of the proposed Adult Learning Strategy. As the service works in academic years, the targets are set on the same basis and will be updated as the service moves into the 2020/21 academic year.

As a service that can and does have a positive impact on the lives of so many of Norfolk's residents we have a responsibility to ensure that the provision we deliver is relevant and of a high quality.

In order to ensure that we meet the standards we aspire to, we have developed a list of expectations that we, as a service will meet.

### **1 Quality of Teaching and Learning**

The quality of the teaching and learning is paramount to our learners and as such the expectations of teaching and direct delivery staff are that overall as a service:

- 98% of teaching, learning and assessment is good or better
- 95% of support for learners is good or better
- 100% of teaching staff are promoting the British Values effectively
- 100% of learners are safeguarded by Adult Learning staff

### **2 Attendance & Qualification Achievement Rates**

With attendance being a proxy to good levels of retention, pass rates and achievement the service's expectation is that attendance will be at 90% as a minimum for all areas of the service and its delivery.

#### **2.1 Education & Training**

The expectation for the retention, pass rate and achievement rates are that where the service delivered rates above the 2018/19 national average it will deliver at least a 1% increase on 2018/19 performance.

Where the levels of performance fell below the national average, then the national average for 2018/19 in the minimum level of performance expected. This is not limited to one way of measurement, e.g. it will be measured against Sector Subject Area Tiers 1 and 2, qualification type and size, learning aim, learners with and without support, gender, ethnicity, programme area, etc.

#### **2.2 Community Learning**

Due to the substantial change in the Community Learning curriculum where the focus is on delivering more impactful learning to fewer learners; achievement, retention and pass rates will be expected to remain the same as in 2018/19 when compared on a like for like basis. These will be compared in a variety of ways, including Sector Subject Area Tiers 1 and 2, length of learning, learners with and without support, gender, ethnicity, programme area, etc.

#### **2.3 Apprenticeships**

Due the size of the provision, Apprenticeship expectations will be measured at a headline level. Expected levels of performance are an overall achievement rate of 70% and a timely achievement rate of 66%.



### **3 Planning and Financial**

In order to achieve a balanced budget, there are certain planning and financial expectations that the service has.

Firstly, the service needs to deliver 103% of its ESFA Adult Education Budget to retain funding at 2018/19 levels. This cascades down to individual programme areas needing to meet their planning targets as set out in curriculum planning for 2018/19. These planning targets are set out in the service's Outturn Report.

#### **3.1 Education & Training**

Education and Training will be measured in three main ways; funding draw down, fee income and balancing budgets. In order to meet these targets Curriculum Managers will need to plan approximately 120% of the delivery required to meet the 103% allocation. They will also be given a corresponding expectation of a maximum 20% course cancellation rate.

#### **3.2 Community Learning**

Community Learning will be measured in three main ways; enrolment numbers, fee income and balancing budgets. Curriculum Managers will be given a maximum 3% course cancellation rate.

#### **3.3 Apprenticeships**

Apprenticeships will be measured in two main ways, funding draw down and balancing budgets.

### **4 Levels of Deprivation**

Some of the key areas where the service can have the greatest impact is in areas with the greatest levels of deprivation. Accordingly, the service needs to ensure that these areas are well represented in its service delivery.

#### **4.1 Education & Training**

For basic skills learning aims 50% of the learners will come from the 0-30% most deprived areas in Norfolk (National indices of deprivation). For Vocational learning aims, 40% will come from the 0-30% most deprived areas of the county.

#### **4.2 Community Learning**

For learning aims classified as Neighbourhood Learning in Deprived Communities (NLDC), Wider Family Learning (WFL) or Family English Maths and Literacy (FEML), 70% of the learners will come from the 0-30% most deprived areas of the county.

### **5 Intended Destination, Actual Destination and Progression**

It is very often a case of taking multiple steps in order to realise a learner's aspirations. With this in mind it is crucial that we progress learners through different levels and types of provision.

It is also crucial to us as a service to understand whether the path a learner wants to take is realised by the curriculum offer that we have. In order to ensure that we have achieved this we need to look at the intended destinations of our learners and compare them to their actual destinations.

For internal progression we will use two measures:

- Horizontal – where a learner progresses onto another course, which may or may not be at the same level or below, but in a different subject or provision area. For example, achieving a level 2 Functional Skill qualification in English and progressing on to an Entry 3 Functional Skills in maths.
- Vertical – where a learner progresses from one level to the next. For example, achieving a level 1 AAT and progressing onto a level 2 AAT qualification.

For external progression we will use the Education and Skills Funding Agency definitions as follows:

- Education
- In paid employment
- Gap year
- Not in paid employment
- Other
- Voluntary Work

### **5.1 Education & Training**

- Horizontal – The expectation is that at least 20% of our learners will progress into other areas of the curriculum with us.
- Vertical - As a service we expect 30% of our learners to progress into a higher level of study with us.
- External progression – Targets will be set based on national averages
- Intended Destination – 95% completion rate.

### **5.2 Community Learning**

- Horizontal – The expectation is that at least 40% of our learners will progress into other areas of the curriculum with us.
- Vertical - As a service we expect 50% of our learners to progress into a direct progression of study with us.
- Intended Destination – 95% completion rate.

### **5.3 Apprenticeships**

- Vertical – At least 30% of achieving level 2 Apprentices go on to start an Apprenticeship at a higher level.
- External progression – At least 95% of achieving Apprentices move to a positive destination including remaining in sustainable employment for the year following their achievement.
- Intended Destination – 95% completion rate.

## **Soft Outcomes**

Qualitative measures will vary depending on the type of programme, however there are some measures which are consistent across all programmes:

- Improvement in mental health and wellbeing

(using a scaled approach to assess mental health and wellbeing at the start of the course, and at the end as a number)

- Improved social network
- Improved confidence
- Improved self esteem

Other more individual qualitative outcomes should be set as part of the individual's learning plan and progress recorded against them; for example, improvement in a specific health outcome, or budgeting well.

# Cabinet

Item No. 11

<b>Decision making report title:</b>	<b>CES Enforcement Policy – Annual review</b>
<b>Date of meeting:</b>	<b>02 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Councillor Margaret Dewsbury (Cabinet Member for Communities &amp; Partnerships)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director, Community and Environmental Services)</b>
<b>Is this a key decision?</b>	<b>Yes</b>

## **Introduction from Cabinet Member**

The CES Enforcement Policy provides a framework for a number of services within the CES directorate to ensure that we work in an equitable, practical and consistent manner when undertaking regulatory activities and law enforcement.

Norfolk County Council is committed to the principles of better regulation, as set out in the Regulators' Code. This is the annual review of the enforcement policy and the Infrastructure and Development Committee has had the opportunity to comment on it at their November meeting. Regulatory services within CES are committed to protecting and supporting Norfolk residents, businesses and the environment whilst, at the same time, responding proportionately to address identified non-compliances so as to reduce burdens on businesses and help them to grow.

The main changes to the policy provide clarification on:

- how we manage information
- available sanctions to address non-compliance
- senior manager review of investigations
- our partnership working with National Trading Standards, and
- the use of criminal assets recovered under the Proceeds of Crime Act 2002.

## **Executive Summary**

The Community and Environmental Services (CES) directorate is responsible for a range of regulatory functions, including Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Norfolk Fire and Rescue (fire safety) and Highways (networks, maintenance and blue badge enforcement). Each area of work uses different legislation to secure its aims and each has its own framework of regulations, codes of practice and guidance. The CES Enforcement Policy and associated performance data are subject to annual review by Members.

The Policy has been reviewed and updated to reflect recent changes to legislation and guidance. A revised CES Enforcement Policy (Appendix A) has been produced, with proposed changes highlighted in yellow, supported by explanatory notes.

The revised Policy, once adopted, will be published via the NCC web pages.

## **Recommendations**

- 1. To approve the revised CES Enforcement Policy at Appendix A and its annex documents (A-1 to A-5).**
- 2. To note the 2018/19 enforcement performance data provided at Appendix B, and summary of stakeholder engagement at Appendix C.**

## **1. Background and Purpose**

- 1.1. The Enforcement Policy provides a framework to ensure that we work in an equitable, practical and consistent manner in the way we deliver regulatory activities and law enforcement. Norfolk County Council is committed to the principles of better regulation, reducing burdens on business with proportionate responses and ensuring we act to protect and support residents, businesses and the environment. A range of enforcement approaches are available to the Council but there is a need to discharge these in a consistent, fair and transparent way, as well as ensuring that the public or environment is adequately protected.
- 1.2. The current CES Enforcement Policy was first developed as a cross-departmental policy in 2013. The Policy covers the range of regulatory functions within CES, including Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Norfolk Fire and Rescue (fire safety) and Highways (networks, maintenance and blue badge enforcement). It does not try to capture all the detailed, complex and often changing background to enforcement, but instead seeks to summarise the overall approach to the use of enforcement powers; whether that is criminal prosecution at one end of the spectrum or informal warnings and advice at the other. The policy is supported by detailed procedures for officers within each service area and, where necessary, additional protocols can be appended to the main policy. There are five areas of work which appear as annex documents to the main policy; these relate to minerals and waste planning, flood and water management, the Norfolk Fire and Rescue Service, highways enforcement and Blue Badge enforcement - see annexes A-1 to A-5 to the main policy.
- 1.3. Appendix B provides enforcement performance information in relation to those regulatory functions covered by the CES Enforcement Policy.

## **2. Proposals**

- 2.1. The current Enforcement Policy has been reviewed by CES regulatory services and updated to reflect recent changes to legislation and guidance. Appendix C documents the stakeholders who have been consulted on and/or contributed to the CES Enforcement Policy since 2014.

The revised policy continues to ensure that the application of enforcement is:

- proportionate to the offence and risks, and mindful of previous transgressions
- transparent - persons affected understand what is expected of them, what they should expect from the local authority and the reasons for the action
- consistent in approach, and appropriate.
- consistent with the Equality Act 2010 and the Council's Equalities Policies.

The revised policy, once adopted, will be published via the NCC web pages.

## **3. Impact of the Proposal**

- 3.1. CES regulatory activities are aimed at protecting the economic wellbeing and safety of Norfolk's residents and businesses and protecting the environment. Impact arising from non-compliance can range from advice to prosecution but experience in regulatory enforcement shows that, in most cases, businesses and individuals comply with the law. Failure to do so generally stems from ignorance or carelessness, but sometimes from wilfulness or malice.

## **4. Evidence and Reasons for Decision**

- 4.1. A CES wide Enforcement Policy is considered to be the most effective way to demonstrate how CES intends to fulfil its regulatory/legal responsibilities.

## **5. Alternative Options**

- 5.1. An alternative option would be for each service area within CES to produce its own enforcement policy. However as described in section 1.1 above there is need for consistency in overall approach. This draft policy does provide for additional (detailed) protocols where necessary or appropriate.

## **6. Financial Implications**

- 6.1. There are no direct financial implications arising from this report.

## **7. Resource Implications**

- 7.1. **Staff:** There are no immediate resource implications as a result of this proposal although there is the recognition in the policy that enforcement resources are not limitless and need to be targeted at areas where risk is highest. Higher performing, more compliant businesses require less resource, with regulators focusing their efforts on rogue and higher-risk businesses.

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

7.3. IT: N/A

## 8. **Other Implications**

8.1. There is a legal context to the deployment of enforcement powers. In 2014 the Regulators' Code (the Code) was published and seeks to provide a clear, flexible and principles-based framework to which regulators should work. It covers how we develop and implement items such as our service standards, policies and legal procedures, and sets out the type of information we must include in our enforcement policy. The Council has a legal obligation to have regard to the Code, including ensuring a consistent approach to enforcement. However, we are able to make changes to the policy, if these would better explain or clarify the requirements arising from the Code. In certain instances, officers may conclude that a provision in the Code is either not relevant or is outweighed by another provision. Officers will ensure that any decision to depart from the Code is properly reasoned, based on material evidence and documented. The Code requires the Council to publish its Enforcement Policy. The Council must also have regard to The Code for Crown Prosecutors (CPS) guidance which requires extensive consideration of the evidence (for example is it admissible, substantial and reliable) before a decision is made to institute legal proceedings; with any decision also considering whether it is in the public interest to prosecute. This CES Enforcement Policy provides a clear framework and mitigates the risk of legal challenge regarding the delivery of the regulatory enforcement function within the directorate.

CES through its public protection and regulatory functions has an important role to play dealing with crime and disorder. This Policy will support the directorate in protecting the public and the environment in a consistent, fair and transparent way, in line with both local and national priorities and the legal requirement arising from Section 17 of the Crime and Disorder Act 1998.

### 8.2. **Human Rights implications**

In carrying out its enforcement role, the directorate has regard to the Freedom of Information Act 2000, the Data Protection Act 2018, Regulation of Investigatory Powers Act 2000 and the Human Rights Act 1998 (e.g. in the latter context the right to a fair trial, right to respect for private and family life, prohibition of discrimination and protection of property).

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

This policy has been reviewed and updated in line with the requirements of the Equality Act 2010.

Having a clearly defined approach to enforcement action provides positive benefits to equality. In particular, enforcement in areas like blue badges helps to ensure an important and highly valued service is not misused and can continue to be available for those who need it. Disabled people frequently highlight the importance of effective blue badge enforcement.

Consistent and robust enforcement action also protects people who may be vulnerable or at risk of harm - for example, preventing people with care or support needs from being targeted by rogue traders; under-age young people from obtaining illicit cigarettes and misuse of disabled parking bays. Disabled parking bays are critical to disabled people's independence, and their misuse can have serious consequences, preventing someone from accessing essential services.

One of the core principles of the policy is to ensure that it is available in appropriate accessible formats, so that it is easily understood by all.

The policy will continue to be reviewed periodically to ensure that it reflects changes to legislation and safeguards the interests and rights of all.

#### **8.4. Health and Safety implications**

There are no health and safety implications of which to take account.

#### **8.5. Sustainability implications**

There are no direct sustainability implications to consider as part of this report. However, the policy does provide for consideration of formal enforcement action where there is a significant risk to infrastructure or the environment. The policy also includes a specific enforcement protocol for Flood and Water Management, and for planning controls

#### **8.6. Any other implications**

None

### **9. Risk Implications/Assessment**

- 9.1. This policy provides a clear framework and mitigates any risk of legal challenge regarding the delivery of the regulatory enforcement function within CES.

### **10. Select Committee comments**

- 10.1. See draft extract below of minutes from Infrastructure and Development Select Committee meeting held on Wednesday 13 November 2109.

#### **Agenda Community & Environmental Services Enforcement Policy item 10.**

The Select Committee received the report by the Executive Director of Community & Environmental Services setting out how the Policy had been reviewed and updated to reflect recent changes to legislation and guidance.

The following points were noted in response to questions from the Select Committee:

The Head of Trading Standards confirmed that the enforcement of Blue Badges was a split function between the County Council and



the seven District Councils in Norfolk. There was one Enforcement Officer employed by Norfolk County Council, and the Head of Trading Standards could not confirm how many Enforcement Officers were employed by the District Councils, but would provide this information to the Select Committee.

The Assistant Director, Community, Information and Learning said a number of other councils had worked together to ensure the interpretation of the Government's guidance criteria was consistently applied.

Enforcement Officers were able to check blue badges to identify if they were being appropriately used as the majority would include the holder's photograph and a stringent approach was undertaken in enforcement. The Assistant Director, Community, Information and Learning agreed to find out whose photograph was on a blue badge if it had been issued for a child with mobility/health problems and feed this back to the Select Committee.

The Blue badge team worked to set criteria when considering applications for blue badge parking permits.

A Member raised a concern about flooding caused by rivers not being cleaned regularly by the Environment Agency and the Executive Director of Community & Environmental Services highlighted that the report covered the enforcement duties of Norfolk County Council only.

The Select Committee:

- **Reviewed** the revised CES Enforcement Policy and its annex documents prior to consideration by Cabinet; and
- **Noted** the 2018/19 enforcement performance data provided at Appendix B of the report and the summary of stakeholder engagement at Appendix C of the report.

## **11. Recommendations**

- 11.1. **1. To approve the revised CES Enforcement Policy at Appendix A and its annex documents (A-1 to A-5).**
- 2. To note the 2018/19 enforcement performance data provided at Appendix B, and summary of stakeholder engagement at Appendix C.**

## **12. Background Papers**

- 12.1. N/A

## Officer Contact

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

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**Norfolk** County Council

# Enforcement Policy

Community and Environmental Services



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November 2019

<b>Contents</b>	<b>Page</b>
Introduction	3
Principles of Inspection & Enforcement	4 – 7
Primary Authority Partnerships	7
Enforcement Actions	8 – 14
Complaints, Compliments and Comments	15
Conflict of Interest in Enforcement Matters	15
Where to get further information	15
Annexes	
Annex 1 – Local Monitoring and Enforcement Code	
Annex 2 – Flood and Water Management Enforcement Protocol	
Annex 3 – Fire and Rescue Service Enforcement Policy Statement	
Annex 4 – Highways Enforcement Protocol	
Annex 5 – Blue Badge Enforcement Protocol	

# 1 Introduction

- 1.1 This document applies to the enforcement activities carried out by the Community and Environmental Services (CES) Directorate of Norfolk County Council, including Trading Standards, Highways, Planning and the Norfolk Fire and Rescue Service (Fire Safety).
- 1.2 Where appropriate, additional enforcement protocols or policy may be developed to support this policy, for example where there are national requirements regarding a particular enforcement process. These will be appended to this policy as required. When read in conjunction with Annex 1 this policy constitutes the Local Enforcement Plan for Norfolk County Council Planning Services, as recommended by Paragraph 58 of the National Planning Policy Framework.
- 1.3 This Policy has been developed in conjunction with a range of stakeholders, including business representatives and is subject to annual review and approval. See Annex 6 for a summary of stakeholder engagement since 2014.
- 1.4 The purpose of this Policy is to provide a framework to ensure that local authority enforcement is delivered in an equitable, practical and consistent manner. This is in line with the principles of good enforcement, as set out in the Legislative and Regulatory Reform Act 2006, and regard has been given to the associated [Regulators' Code](#) (the Code) in the preparation of this policy. In certain instances, it may be concluded that a provision in the Code is either not relevant or is outweighed by another provision. Any decision to depart from the Code will be properly reasoned, based on material evidence and documented.
- 1.5 Compliance with this Policy will ensure that we will strive to be fair, impartial, independent and objective. We are committed to ensuring that the decisions we take and the services we deliver take proper account of equality issues and, where necessary, put actions in place to address any barriers faced by protected groups.
- 1.6 Within the context of this Policy, 'enforcement' includes action carried out in the exercise of, or against the background of, statutory enforcement powers. This is not limited to formal enforcement action, such as prosecution or issue of notices, and so includes inspection to check compliance with legal or other requirements and the provision of advice to aid compliance.
- 1.7 For the purposes of this document 'formal action' includes: Prosecution, Simple Caution, Injunctive Action, Enforcement Order, Issue of Notices, Monetary Penalties, Seizure, Suspension, Withdrawal, Recall, Forfeiture, Revocation/Suspension of a licence, registration or approval, Disqualification of weighing or measuring equipment, Works in Default, Criminal Behaviour Orders, Referral to another agency or any other criminal or civil/injunctive proceedings or statutory sanctions, applied either separately or in any other combination.
- 1.8 Where appropriate we will seek to recover our enforcement costs, including making formal applications for costs through the Courts.

**Commented [NS1]:** Amended in line with revised national framework

**Deleted:** 207

**Commented [NS2]:** Added to clarify Referral to another agency can be on a formal basis

## 2 Principles of Inspection & Enforcement

### 2.1 Proportionality

- 2.1.1 We are committed to avoiding the imposition of unnecessary regulatory burdens and will endeavour to minimise the cost of compliance by ensuring that any action taken, or advice offered, is proportionate to the seriousness of the breach, as well as the risk to people, businesses, other organisations, animals, property, the community or the environment. In doing so we will choose approaches that are based on relevant factors including, for example, business size and capacity.
- 2.1.2 We will usually give notice of our intention to carry out routine inspection visits, unless we are required by law to visit unannounced, or we have a specific reason for not giving prior notice. For example, this would include where the identity of the person or premises is unknown, or where it would defeat the objectives of the inspection visit to give such notice. Similarly, routine or reactive inspections of the highway and blue badges are not normally subject to such notice.
- 2.1.3 As far as the law allows, we will take account of the circumstances of the case and attitude of the people involved when considering action. We will take particular care to work with businesses and individuals so that, where practicable, they can meet their legal obligations without unnecessary expense, to support and enable economic growth.

### 2.2 Accountability

- 2.2.1 We will actively work with businesses and individuals to advise and to assist with compliance and requests for help. Contact points and telephone numbers will be provided for business and public use.
- 2.2.2 We will aim to carry out visits and inspections at a reasonable time and where appropriate to do so. In most cases our staff will show their identification (and authority if requested) at the outset of every visit and explain the reason for the visit. However, so that we can see things from the point of view of a customer or ordinary member of the public, we may carry out informal visits or arrange to buy goods or services and not introduce ourselves. Where we must use a young person to carry out work on our behalf, such as in attempting to purchase age-restricted products, we will always use the latest Code of Best Practice.
- 2.2.3 Out of hours contact for services will be provided where there is a need for an immediate response/risk to public health, safety or damage to property, infrastructure or the environment.
- 2.2.4 The whole range of enforcement activities will be dealt with as promptly and efficiently as possible in order to minimise time delays.
- 2.2.5 Where appropriate, feedback questionnaires will be used to gather and act upon information about the services we provide.
- 2.2.6 We will include information to highlight new legal requirements on our website, with letters sent after an inspection or visit; and by providing or signposting advice and information to help businesses and individuals keep up to date.

Deleted: <#>The most serious formal action, including prosecution, will be reserved for serious breaches of the law.

Deleted: <#>¶

2.2.7 We will have regard to fairness and individuals' human rights in all of our enforcement work through conforming to the European Convention on Human Rights (as implemented by the Human Rights Act 1998).

### 2.3 Consistency

2.3.1 All officers are required to act in accordance with this enforcement policy and our published service standards.

2.3.2 We will carry out our enforcement and advisory functions in an equitable, practical and consistent manner. We will adopt and adhere to relevant policy and guidance and will ensure that our officers are suitably trained, qualified and authorised to undertake their enforcement duties, and understand the principles of good regulation.

2.3.3 Where appropriate, we will publish clear service standards providing information on:

- a) How we communicate and how we can be contacted
- b) Our approach to providing information, guidance and advice
- c) Our risk assessment methodology used to determine inspection activity, clearly setting out what can be expected from us at the time of visit
- d) Any applicable fees and charges; and
- e) How to comment or complain about the service provided and the routes to appeal.

### 2.4 Transparency

2.4.1 In most circumstances we will seek to ensure that people affected by formal action are informed of what is planned and allow for discussion and time to respond before the action is taken. We will also give them a named officer's contact details. These arrangements must have regard to legal constraints and requirements.

2.4.2 When a notice is served it will say what needs to be done, why, and by when, and that in the officer's opinion a breach of the law has been committed and why the notice is necessary. We will also make a clear distinction between legal requirements and recommended works.

2.4.3 As part of our commitment to equality we will communicate in a clear, accessible, concise, format using media appropriate to the target audience, in plain language. We offer translation/interpretation services (language and British Sign Language) where English is not the first language.

**Deleted:** Where businesses or the public do not have English as a first language we offer translations of correspondence on request.

**Commented [NS4]:** Clarified to be consistent with para 4.6

2.4.4 This Enforcement Policy is published via the Norfolk County Council website and we may also publish further guidance about specific/technical areas, such as the use of civil sanctions.

2.4.5 The publicity generated by legal proceedings acts as a deterrent to others and reassures the general public that we take a serious view of illegal behaviour. We therefore publish the outcome of court proceedings, including undertakings; as part of this we include the name of the defendant(s), unless directed not to do so by the Courts.

- 2.4.6 We will routinely publish the names and trading addresses of trader's subject to legal proceedings, including prosecutions, enforcement orders, undertakings or the administrative issue of penalties/fines.
- 2.4.7 We may also publish the names and trading addresses of traders who act in ways that represent a significant risk to consumers or the interests of legitimate businesses, subject to the following conditions:
- There is no risk of prejudice to legal proceedings or other formal enforcement action, and
  - The evidence of unfair or illegal trading is conclusive, and
  - It is in the public interest to do so, taking into account the personal circumstances of the offender and community cohesion, and
  - To do so does not breach Human Rights or Data Protection Law, or the Children and Young Persons Act 1933.

2.4.8 Examples of the current published enforcement action is via the [Norfolk Trading Standards web pages](#).

2.4.9 We obtain and process information in the course of our enforcement functions. Some of this information is personal data, and some of it is confidential or sensitive. We will process information in accordance with the law (including the Data Protection Act 2018 and the Enterprise Act 2002) and with proper regard to our privacy notices, which can be found on our website.

**Commented [NS5]:** Clarifies compliance with data protection, with reference to NCC Privacy Notices

## 2.5 Targeted (Intelligence and Risk Led) Enforcement

- 2.5.1 Enforcement will be primarily targeted towards those situations that give rise to the most serious risks, and against deliberate/organised crime. Other determining factors will include local priorities, Government targets and priorities, new legislation, national campaigns and public concerns.
- 2.5.2 By having a coherent and risk-based intelligence system, effective strategies can be formed to enable and co-ordinate solutions to particular problems. This enables the identification of new, current and emerging issues, allowing provision of strategic and tactical direction on how the issues can best be tackled. Subject to the provisions of Data Protection and Human Rights Law, we may also refer cases and/or share information and intelligence with other law enforcement agencies.

## 2.6 Supporting the local economy

- 2.6.1 We recognise that a key element of our activity will be to facilitate and encourage economic progress against a background of protection.
- 2.6.2 Wherever possible, we will work in partnership with businesses and individuals, and with parish councils, voluntary and community organisations, to assist them with meeting their legal obligations without unnecessary expense.

## 2.7 Reducing enforcement burdens

- 2.7.1 If there is a shared enforcement role with other agencies, e.g. the Police, Environment Agency or other local authorities, we will consider



co-ordinating with these agencies to minimise unnecessary overlaps or time delays and to maximise our overall effectiveness. We will also liaise with the other regulators to ensure that any proceedings instituted are for the most appropriate offence.

2.7.2 We will follow the principle of “collect once, use many times” and, where legally permitted, share information that we collect with other local authority regulatory services to minimise business impact.

**Commented [NS6]:** Clarified that sharing of data must be on a legal basis

2.7.3 When conducting farm visits, we will have due regard to the [Farm Regulators' Charter](#), which makes sure visits are carried out consistently across regulators. The charter covers all inspection types and visits of agricultural and aquaculture activities carried out by Farm Regulators.

### 3 Primary Authority Partnerships

3.1 Primary Authority is a statutory scheme established by the Regulatory Enforcement and Sanctions Act 2008. It allows an eligible business to form a legally recognised partnership with a single local authority in relation to the provision of tailored advice, guidance and assistance relating to regulatory compliance. The single local authority (known as the “Primary Authority”) is registered with the [Office for Product Safety & Standards](#) (OPSS), via the Primary Authority Register.

3.2 The Primary Authority then acts as the single point of contact between its partner business and the local authorities that regulate it. The Primary Authority can issue assured advice upon which the business can rely and can also, where appropriate, devise inspection plans for businesses. The inspection plan can place specific requirements on other local authorities and can require feedback on their checks to be given to the Primary Authority.

3.3 Where an enforcing local authority is considering enforcement action against a business that has a Primary Authority it is required to make a statutory notification to the Primary Authority. In most cases, this notification must be made before the action can be taken. However, in certain circumstances the notification can be retrospective, including where a compliance issue is identified that requires urgent action in order to avoid a significant risk of harm to human health, the environment, or the financial interests of consumers.

**Deleted:** These currently include

3.4 If another local authority proposes enforcement action which the Primary Authority deems to be inconsistent with the assured advice, the Primary Authority may seek to block the enforcement action. Where this is the case but is disputed, or there is a need for further considerations, the matter would be referred to the [Office for Product Safety & Standards](#) (OPSS) for their consideration/determination.

**Commented [NS7]:** Clarified in line with the Primary Authority Statutory Guidance

**Deleted:** <#>abatement notices the Environmental Protection Act 1990¶  
<#>emergency prohibition notices under specified food hygiene legislation¶  
<#>prohibition notices under the Regulatory Reform (Fire Safety) Order 2005¶  
<#>notices of emergency remedial action under the Housing Act 2004¶  
<#>emergency prohibition orders under the Housing Act 2004¶  
<#>enforcement action that is required urgently to avoid a significant risk of harm to human health, the environment or the financial interests of consumers; and¶  
<#>enforcement action where the 'pre-notification' requirements of the scheme would be wholly disproportionate.

**Deleted:** <#>¶

## 4 Enforcement Actions

- 4.1 Nothing in this policy shall be taken to compel us to take enforcement action. In certain instances, we may conclude that an enforcement response is not appropriate given the circumstances.
- 4.2 In deciding what enforcement action to take, we will have regard to the following aims:
- to change the behaviour of the offender
  - to eliminate financial gain or benefit from non-compliance
  - to be responsive and consider what is the most appropriate sanction for the particular offender and the regulatory issue concerned
  - to be proportionate to the nature of the offence and the harm/potential harm caused
  - to repair the harm caused to victims, where appropriate to do so
  - to deter future non-compliance.
- 4.3 Any decision to undertake formal enforcement action will be taken in the context of operational priorities, this policy and the [Council Constitution and scheme of delegations](#). Such decisions will include the use of intelligence in determining the nature of any response, as well as being subject to ongoing monitoring and review.
- 4.4 Where a right of appeal against a formal action exists other than through the courts, advice on the appeal mechanism will be clearly set out in writing at the time the action is taken.
- 4.5 All investigations into alleged breaches of legislation will be conducted in compliance with statutory powers, time limits and all other relevant legislation (and relevant Codes of Practice), including the requirements of:
- Police and Criminal Evidence Act 1984 (PACE)
  - Criminal Procedure and Investigations Act 1996 (CPIA)
  - Regulation of Investigatory Powers Act 2000 (RIPA)
  - Investigatory Powers Act 2016 (IPA)
  - Criminal Justice and Police Act 2001 (CJPA)
  - Human Rights Act 1998 (HRA).
  - Consumer Rights Act 2015 (CRA)
- 4.6 As part of any criminal investigation process, persons suspected of having committed a criminal offence will, wherever possible,
- be formally interviewed in accordance with PACE
  - be given the opportunity to demonstrate a statutory defence
  - have the opportunity to give an explanation or make any additional comments about the alleged breach
  - be offered translation/interpretation services (language and British Sign Language) where English is not their first language
- 4.7 As part of our enforcement function we may exercise a wide variety of powers, including the power to enter premises and inspect goods, to require the production of documents or records and, when necessary,

**Commented [NS8]:** Added as now provides for cross border Trading Standards investigations

the power to seize and detain such material where they believe it may be required as evidence.

4.8 We may also take with us such other persons as may be necessary as part of our enforcement function. This may include Police Officers where there is the possibility of an arrest, or a breach of the peace situation. In certain cases, we may exercise an entry warrant issued by a Magistrate to gain access to premises and may use police assistance to effect entry.

**Commented [NS9]:** Clarifies support available from the Police for arrest and exercise of an entry warrant

4.9 We may also use investigation equipment whilst undertaking our duties, including hand held and Body-Worn Video (BWV) cameras. BWV devices are capable of recording both visual and audio information and can provide a number of benefits to enforcement agencies, including a deterrent to aggressive, verbal and physical abuse towards officers, and in providing additional evidence to support investigations. BWV will usually be deployed on an overt basis for a specific purpose, and where it is necessary and proportionate to do so. Any decision to deploy BWV on a covert basis will be made in accordance with the Regulation of Investigatory Powers Act (RIPA), related legislation, Codes of Practice and associated Council Policy.

#### 4.10 Immediate Formal Action

4.10.1 Whilst recognising that most people want to comply with legal requirements, we also recognise that some will operate outside the law (both intentionally and unintentionally). Where possible, a staged approach to enforcement will be adopted, with advice and informal action explored to resolve the matter in the first instance. However, we will consider taking immediate formal action for the most serious breaches, including any of the following circumstances:

- Where the infringement causes or is likely to cause actual or emotional damage, or substantial loss or prejudice to people, businesses or other organisations
- Where there is a significant risk to public health, safety or wellbeing, or damage to property, infrastructure or the environment.
- Fraud, aggressive or misleading practices/equipment, or practices seeking an unfair 'competitive advantage'.
- Illegal practices targeted at vulnerable people, including young people and the elderly.
- For matters where there has been recklessness or negligence, or a deliberate or persistent failure to comply with advice, warnings or other enforcement action.
- Where food fails food safety requirements.
- Any act likely to affect animal health or welfare, disease prevention measures, or the integrity of the food chain.
- Obstruction or assault (including verbal assault) of an officer in the execution of their duties.

#### 4.11 Advice, Guidance and Support

4.11.1 We are committed to using advice, guidance and support as a first response to the majority of breaches of legislation, subject to any need

to take immediate formal action for the most serious breaches (see paragraph 4.10 above).

4.11.2 Any initial requests for advice from individuals or businesses on non-compliance will not necessarily trigger enforcement action. In such cases we will seek to assist in rectifying such breaches as quickly and efficiently as possible, where there is a clear willingness to resolve the matter.

4.11.3 Any correspondence will clearly differentiate between legal requirements and good practice, and indicate the regulations contravened and the measures which will enable compliance.

4.11.4 Follow up checks will be carried out on a risk and intelligence-led basis and where a similar breach is identified in the future, previous advice will be taken into account in considering the most appropriate enforcement action to take on that occasion.

4.12 Where more formal enforcement action has previously been taken, such as a simple caution or prosecution, we recognise that there is likely to be an ongoing need for compliance advice and support, to prevent further breaches.

#### 4.13 Verbal or written warning

4.13.1 Compliance advice can be provided in the form of a verbal or written warning. In doing so we will clearly explain what should be done to rectify the problem, and how to prevent re-occurrence. Warnings cannot be cited in court as a previous conviction but may be presented in evidence. Failure to comply with warnings or advice could result in more serious enforcement action being taken.

#### 4.14 Statutory (Legal) Notices

4.14.1 Statutory Notices are used as appropriate in accordance with relevant legislation. Such notices are legally binding. Failure to comply with a statutory notice can be a criminal offence and may lead to prosecution and/or, where appropriate, the carrying out of work in default.

4.14.2 A statutory notice will clearly set out actions which must be taken and the timescale within which they must be taken. It is likely to require that any breach is rectified and/or prevented from recurring. It may also prohibit specified activities until the breach has been rectified and/or safeguards have been put in place to prevent future breaches. Where a statutory notice is issued, an explanation of the appeals process for such notices will be provided to the recipient.

#### 4.15 Monetary penalties

4.15.1 Fixed or variable monetary penalties, or penalty charge notices may be issued where there is a specific power or delegated authority to do so.

4.15.2 Specific guidance for legislation, which includes the power to issue monetary penalties, may be produced to support this policy. Such guidance will be published via our website.

**Commented [NS10]:** Clarification  
**Deleted:** and under the following circumstances

**Commented [NS11]:** Caveat removed as in some cases penalty notices can now be an additional sanction to other enforcement action  
**Deleted:** <#>Where they are the sole penalties available to deal with legislative breaches, ¶  
<#>To provide an effective and visible way to respond to less serious crimes without going to court, or ¶  
<#>As a response to genuine problems or as part of a wider enforcement strategy.

**Formatted:** Highlight  
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**Deleted:** alongside  
**Deleted:**

4.15.3 Where the offender fails to discharge their liability resulting from any monetary penalty issued, alternative enforcement action will automatically be considered under this policy. Where prosecution is brought; an assessment will be made of other offences that may also have been committed in order that those charges may be considered at the same time.

Deleted: (including

Deleted: prosecution of the initial offence)

Consideration will be given to the adoption of alternative remedies to the issue of a monetary penalty, such as those involving dedicated advice and training sessions, which aim to change the behaviour of the offender, whilst remaining proportionate to the nature of the offence and the harm/potential harm caused.

#### 4.16 Licences, registrations and approvals

Local authorities have a role to play in ensuring that appropriate standards are met in relation to licences, registrations and approvals. We may refuse to grant, seek to review, temporarily remove, suspend or revoke any licence, registration or approval if we are made aware that actions have been carried out which undermine scheme objectives and/or would be unlawful. This includes those issued by other agencies.

#### 4.17 Seizure and Destruction

4.17.1 Some legislation permits our Officers to seize items such as goods and documents that may be required as evidence. When we seize goods, we will give an appropriate receipt or other record of seizure to the person from whom they are taken. On some occasions we may also ask a person to voluntarily surrender and transfer ownership of illegal goods to us.

4.17.2 Where we seize food for failing food safety requirements, or animal feed for non-compliance with feed law, an application will be made to the Court for a condemnation order, for the illegal product to be destroyed. We will provide details of where and when this application will be made to allow interested parties to attend the hearing.

4.17.3 Where products are found to present a serious risk, we may seek to destroy or otherwise render them inoperable by virtue of EC Regulation 765/2008, the Regulation on Accreditation and Market Surveillance (RAMS).

#### 4.18 Detention

4.18.1 Where food is suspected of failing food safety requirements, or where animal feed does not comply with specified feed law, it may be detained to allow further investigation.

4.18.2 When food or animal feed is detained, a notice of detention will be provided, detailing the detention arrangements, including the location where the product(s) will be detained.

#### 4.19 Forfeiture

4.19.1 Where an accused has not agreed to voluntarily surrender any infringing goods then, on successful conclusion of legal proceedings, forfeiture may be applied for.

4.19.2 Where illegal goods have been seized but there is insufficient evidence of a defendant's identity or other circumstances which do not justify any other course of action, proceedings may be instituted for the forfeiture of those goods. This action is by way of a complaint to the Magistrates Court.

4.19.3 This does not preclude us from taking forfeiture proceedings in their own right in any other appropriate circumstances. We may also seek to recover costs of forfeiture proceedings from the defendant(s).

#### 4.20 Injunctive Actions, Enforcement Orders etc

4.20.1 We will consider formal civil enforcement action in pursuance of breaches of law which have a detrimental impact on the collective interests of consumers or businesses.

4.20.2 When considering formal civil enforcement action, an Officer will, where appropriate, first discuss the circumstances with those suspected of a breach and, through consultation, attempt to resolve any issues. Alternatively, we will look to redress detrimental practices via a range of enforcement actions. These include the following:

- informal and formal undertakings
- interim and other court orders
- contempt proceedings.

We may ask the Court to consider other remedies as part of any proceedings, including compensation for victims.

#### 4.21 Other Sanctions or Interventions

4.21.1 We will consider other sanctions or interventions where legally available and appropriate to do so, including criminal behaviour orders under the Anti-Social Behaviour, Crime and Policing Act 2014, injunctions under the Local Government Act 1972, restriction orders under the Children & Young Persons Act 1933, and/or equivalent orders to disrupt and/or prevent activities that may contribute to crime or disorder. This may also include arranging for the removal of websites where it is clear they are being used for illegal purposes.

**Commented [NS14]:** Added in line with new provisions to issue restriction orders concerning the sale of products to minors

#### 4.22 Taking animals into possession/banning orders

4.22.1 Under the Animal Welfare Act 2006, if a veterinary surgeon certifies that 'protected animals' are suffering or are likely to suffer if their circumstances do not change, we will consider taking them into our possession and applying for Orders for re-imbursment of expenses incurred and subsequent disposal. We may also look to other legislation where appropriate to ensure that similar standards of care and/or control of animals are properly maintained. In some circumstances we will also consider applying to the Court to ban a person(s) from keeping animals.

#### 4.23 Simple Cautions

4.23.1 In certain cases, a simple caution may be offered as an alternative to a prosecution, for example for first time offending. The purpose of a simple caution is to deal quickly with less serious offences, to divert less

serious offences away from the Courts, and to reduce the chances of repeat offences.

4.23.2 Officers will comply with the provisions of relevant Home Office Circulars. The following conditions must be fulfilled before a caution is administered:

- The offender has made a clear and reliable admission **concerning all elements of the offence(s) in question**
- There is a realistic prospect of conviction
- It is in the public interest to offer a simple caution; and
- The offender is 18 years old or older at the time that the caution is to be administered.

**Commented [NS15]:** Clarified in line with Home Office guidelines

4.23.3 A simple caution may appear on the offender's criminal record. It is likely to influence how we and other enforcement agencies deal with any similar breaches in the future and may be cited in court if the offender is subsequently prosecuted for a similar offence. If a simple caution is issued to an individual (rather than a corporation) it may have consequences if that individual seeks certain types of employment or wishes to travel or move to certain countries. Simple cautions will be issued with regard to Home Office and other relevant guidance.

#### 4.24 Prosecution

4.24.1 We may prosecute in respect of serious or recurrent breaches, or where other enforcement actions, such as statutory notices have failed to secure compliance. The Council recognises that the decision to prosecute is significant and could have far reaching consequences on the offender.

**4.24.2** Before any decision is taken, the alleged offence(s) will be fully investigated, and a report will be compiled by the Investigating Officer/Officer in Charge of the case. The file will then be reviewed by a Senior Manager, who will consider whether the sufficiency of the evidence and the public interest falls within the guidelines as laid down by the Attorney General and Crown Prosecution Service [Code for Crown Prosecutors](#).

**Commented [NS16]:** Clarification on process for senior manager decision on investigations

4.24.3 Any decision to prosecute will only be taken where it is expedient for the promotion or protection of the interests of the **inhabitants** of Norfolk to do so. Before deciding whether or not to prosecute, consideration will also be given to:

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**Commented [NS17]:** Added to clarify the requirements of Section 222 of the Local Government Act 1972

- How well the prosecution supports our aims and priorities
- The factors contained in paragraphs 4.2 and 4.10 of this policy
- Action taken by other enforcement agencies for the same facts
- The nature and extent of any harm or loss, including potential harm and loss, and any offer of redress made by the offender to victims
- The willingness of the alleged offender to prevent a recurrence of the infringement
- The likelihood of the alleged offender being able to establish a statutory defence
- The calibre and reliability of witnesses
- The probable public benefit of a prosecution and the importance of the case, e.g. the possibility of establishing legal precedent

- Cost effectiveness of a prosecution
- The scope for alternative routes for redress for 'victims' and their likelihood of success
- The impact of the intervention on small businesses in particular, to ensure action is proportionate.

4.24.4 A conviction can result in a criminal record and the court may impose a fine and, for particularly serious breaches, a prison sentence. The court may order the forfeiture and disposal of non-compliant goods and/or the confiscation of assets. Prosecution may also lead, in some circumstances, to the disqualification of individuals from acting as company directors (see 4.26 below).

4.24.5 Norfolk County Council may also act as prosecuting authority for joint investigations with partner agencies, including those which are supported by National Trading Standards (NTS). NTS works in partnership with local Trading Standards authorities, regional investigation teams, and other enforcement agencies to maximise effectiveness. NTS funding supports major investigations that are detrimental to consumers or businesses that occur on a regional, cross boundary or national level, in areas such as doorstep crime, counterfeiting, and consumer and business fraud. NTS investigations are subject to the same best practice principles found in legislation and codes that are outlined within this Enforcement Policy. Any decision to prosecute in such cases will be made in accordance with paragraph 4.24 of this Policy.

**Commented [NS18]:** Added to clarify where prosecutions may be taken on behalf of partner agencies

#### 4.25 Proceeds of Crime Actions

4.25.1 Where appropriate, we will seek to recover the benefit that the offender has obtained from their criminal conduct through financial investigation.

4.25.2 Financial investigations will be undertaken in accordance with the Proceeds of Crime Act 2002. Such investigations may include applications to the Court requiring financial information to be provided (production orders) or in serious cases applications to freeze and/or confiscate criminal assets (restraint and confiscation orders). Where appropriate, consideration will also be given to seeking compensation for victims or recovery of financial investigation costs as part of this process. Any funds recovered as part of the Asset Recovery Incentivisation Scheme (ARIS) will be used to support further asset recovery work, or crime reduction and community projects.

**Commented [NS19]:** Clarification as to the recovery and use of assets for costs and for crime reduction/community projects.

#### 4.26 Directors

On the conviction of a Director connected with the management of a company the prosecutor will, in appropriate cases, draw to the Court's attention their powers to make a Disqualification Order under the Company Directors Disqualification Act 1986.

### 5 Complaints, Compliments and Comments

5.1 If you are unhappy with the service you have received, or we have failed to live up to our promises, managers are always willing to discuss with you the cause of your dissatisfaction and will try to find a solution.



- 5.2 If you wish to make a complaint or send us a compliment or comment about our service, please use our online procedure by going to:

[www.norfolk.gov.uk/compliments and complaints](http://www.norfolk.gov.uk/compliments_and_complaints)

Complaints can also be submitted by telephone to 0344 800 8020 or in writing to the **Compliments and Complaints Team, Norfolk County Council, County Hall, Martineau Lane, Norwich, NR1 2DH.**

If you are still not satisfied, and feel you have been caused injustice, our complaints process explains how the matter will be escalated, including how to complain to the Local Government Ombudsman.

- 5.3 If you wish to appeal against any enforcement action taken or have any other comments, you should write to: The Executive Director, Community and Environmental Services, using the address in 5.2 above.

## **6 Conflict of Interest in Enforcement Matters**

- 6.1 Where a breach is detected in which the enforcing authority is itself the responsible operator, for example operating as a food business, the following protocol will be followed:

- Where a breach of law is sufficiently serious to warrant more than the provision of advice, information, assistance or a written warning, or where the response to remedy the breach is considered insufficient, an additional authorised officer from another local authority will be requested to assist in the decision-making process as to the action required. Senior Managers of the Council will be informed of serious breaches without delay.
- The additional officer's role is to assist and challenge the decision-making process to ensure that appropriate, proportionate and consistent action is taken to remedy the breach, prevent re-occurrence and to minimise the risk of 'conflict of interest' for the enforcing authority. An auditable record of the additional officer's involvement will also be kept.

## **7 Where to get further information**

- 7.1 Copies of this document and other information/advice are available from by writing to the Trading Standards Service using the address in 5.2 above.
- 7.2 We will make this policy available on tape, in Braille, large type, or in another language on request.



**Norfolk** County Council

# **LOCAL MONITORING AND ENFORCEMENT PROTOCOL**

**For the Extraction and Processing of  
Minerals, Waste Management Facilities and  
for County Council Development under  
Regulation 3 of the Town and Country  
Planning General Regulations 1992**

**in**

**Norfolk**

**November 2019**

## CONTENTS

1.0	BACKGROUND.....	3
2.0	GENERAL STATEMENT.....	4
3.0	MONITORING INSPECTIONS.....	5
4.0	INVESTIGATION AND ENFORCEMENT.....	6
5.0	THE RELEVANT ENFORCEMENT AUTHORITY.....	7
6.0	GENERAL GUIDANCE.....	8
7.0	INVESTIGATION PRIORITIES.....	12
8.0	PROSECUTIONS.....	15
9.0	MONITORING OF REGULATION 3 DEVELOPMENT.....	16
10.0	MEMBER PROTOCOL.....	17

## 1.0 BACKGROUND

- 1.1 This document provides supplemental guidance to the County Council's Enforcement Policy (Community and Environmental Services) and is provided in the context of specific requirements arising from planning legislation and the National Planning Policy Framework (NPPF) and associated guidance contained in the Planning Practice Guidance.
- 1.2 Paragraph 58 of the National Planning Policy Framework, February 2019 (NPPF) states,  
'Effective enforcement is important as a means of maintaining public confidence in the planning system. Enforcement action is discretionary, and local planning authorities should act proportionately in responding to suspected breaches of planning control. They should consider publishing a local enforcement plan to manage enforcement proactively, in a way that is appropriate to their area. This should set out how they will monitor the implementation of planning permissions, investigate alleged cases of unauthorised development and take action where it is appropriate to do so.' In conjunction with the overarching CES Enforcement Policy, this Annex represents Norfolk County Councils Local Enforcement Plan for planning.
- 1.3 Schedule 1 to The Town and Country Planning Act 1990 as amended sets down the responsibilities for Town Planning within a two-tier Planning Authority in England and Wales. Regulation 3 of The Town and Country Planning General Regulation 1992 authorises an authority to determine (subject to regulation 4), an application for planning permission by an interested planning authority to develop any land of that authority, or for development of any land by an interested planning authority or by an interested planning authority jointly with any other person, unless the application is referred to the Secretary of State under section 77 of the 1990 Act for determination by him.
- 1.4 The Development Plan for the County comprises the Norfolk Core Strategy and Minerals and Waste Development Management Policies Development Plan Document (DPD) 2010 -2016 (Adopted 2011), Norfolk Waste Site Specific

Allocations DPD, Norfolk Minerals Site Specific Allocations DPD (both adopted in 2013) and the adopted Borough and District wide Local Plans, including Development Plan Documents and Area Action Plans. Adopted Neighbourhood Plans which have been developed by local communities, also form part of the Development Plan. The County Council maintains an up-to-date list of local planning authority policy documents and Neighbourhood Plans.

## **2.0 GENERAL STATEMENT**

- 2.1 Section 19 of The Waste (England and Wales) Regulations 2011 makes it a duty that where a Planning Authority has planning functions in relation to establishments or undertakings carrying on disposal or recovery of waste, the Planning Authority must ensure that appropriate periodic inspections of those establishments or undertakings are made.
- 2.2 There are two elements within this plan. The first being periodic inspections (Section 3.0), the second being the investigation and enforcement of planning breaches (Sections 4-8).
- 2.3 Planning breaches are normally not criminal offences and no sanction can usually be imposed. However, failure to comply with a formal notice is a criminal offence and making the person committing the breach liable to prosecution.
- 2.4 Where a planning breach occurs a Local Planning Authority (LPA - 'the Authority') is required to consider the expediency of formal enforcement action. Formal enforcement notices may be issued, including a Breach of Condition Notice, Enforcement Notice, Temporary Stop Notice, Stop Notice, Injunction, or Direct Action (following failure to comply with an Enforcement Notice). Enforcement action may result from any of the above or a combination of the above.
- 2.5 The Service of a Planning Contravention Notice constitutes formal action but does not in itself constitute enforcement. Rather it is a request for information relating to interests in the land and the nature of the alleged planning breach, although failure to comply with notice may lead to formal enforcement action as may the information contained in the response.

- 2.6 Similarly, the serving of a notice requesting information on land ownership and occupation under Section 16 of Local Government (Miscellaneous Provisions) Act 1976 is not considered to be enforcement.
- 2.7 The taking of formal enforcement action is discretionary. The Authority may choose to take no action but will need to justify any decision not to enforce, and equally, any decision to take proportionate enforcement action. Any decision will be taken in line with the County Council's Communities and Environmental Services policy on enforcement.

### **3.0 MONITORING INSPECTIONS**

- 3.1 To ensure confidence in the planning control system it is essential that the public and operators are conscious of a fair and effective system of monitoring all authorised and unauthorised development.
- 3.2 Monitoring of permitted sites is an essential tool of controlling development and preventing problems from developing. It is this 'pro-active' approach that often enables officers to anticipate likely breaches of planning control arising before they occur. It enables them to take immediate action to ensure that deterioration in the situation does not arise.
- 3.3 There are currently over 200 operational and active mineral and waste sites in Norfolk. As there are no reserves of hard rock in Norfolk recycling of concrete and other rubble is a significant source of sub-base and fill material. The scale of an operation being undertaken at a site is not an accurate yardstick for allocating resources; experience will often show that small recycling and waste transfer sites can give rise to more complaints and the need for more officer time, in comparison with large sites.
- 3.4 Following an inspection of the site and relevant planning permissions, a report shall be prepared and copied to the operator/owner usually within two weeks of such inspection taking place. The report shall amongst other matters detail any

breaches identified and specify timescales for compliance with conditions that have been breached.

- 3.5 The Monitoring and Control Team will be consulted on all proposals to permit development by the Development Control Team in particular they will be consulted on the planning conditions intended to be attached to the planning permission.

### MONITORING FEES

- 3.6 The Town and Country Planning (Fees for Applications and Deemed Applications) (Amendment) (England) Regulations 2006 as amended , enables Mineral and Waste Planning Authorities (MWPAs) to charge operators, where sites have planning permissions for mineral extraction and/or waste landfill, for the reimbursement of the average costs calculated over all MWPAs providing a monitoring service.
- 3.7 The Authority has agreed a guidance note with minerals and waste operators on the charging regime for minerals and waste site inspections. The guidance note sets out the categories of sites and associated fees, the methodology for agreeing the number of site visits and the monitoring regime.

## **4.0 INVESTIGATION AND ENFORCEMENT**

- 4.1 In seeking to secure the highest possible level of compliance with relevant legislation whilst conforming with The Human Rights Act 1998, The Police and Criminal Evidence Act 1984 (P.A.C.E.) the Enforcement Concordat, the Code for Crown Prosecutors the principal enforcement activities of the Authority are directed towards avoidance of infringements. It is nevertheless inevitable that breaches and offences will occur, and the purpose of this protocol is to ensure that they are resolved in a consistent, transparent, balanced and fair manner.
- 4.2 Similarly, where an operator carries out development without complying with the conditions attached to a planning permission and this gives rise to problems leading to an unacceptable injury to amenity, the County Council's approach will be to seek to remedy the injury in the first instance by negotiation and persuasion.

- 4.3 All enforcement action, be it verbal warnings, the issue of written warnings, statutory notices, or prosecution, is primarily based upon assessment of risk to public health, public safety, harm to amenity, economic well being or the environment.
- 4.4 Where appropriate, this Authority will endeavour to recover money under the Proceeds of Crime Act 2002.
- 4.5 This Authority will ensure that all clients subject to any enforcement action are informed of what is expected and the procedures that will be followed. This is to aim to avoid any misunderstandings and ensure transparency of all enforcement action.
- 4.6 This Authority, in exercising its function of ensuring compliance with planning control will:
- where there is serious harm caused to the amenity, take immediate action against a breach of planning control to stop further damage;
  - in all other instances, seek to resolve any problems within a reasonable timescale by discussion and negotiation without the need to resort to legal action;
  - only take enforcement action where it is necessary to do so to protect the public interest or to protect the environment, people and transport systems and the amenity of the area in accordance with the provisions of the local development framework;
  - ensure that action is always commensurate with the breach of planning control;
  - Give due regard to current legislation, policy framework, instructions, appeal decisions and relevant judicial authority;
  - where appropriate take into account comments made by the general public and consultees;
  - enable acceptable development to take place, even though it may initially have been unauthorised;
  - maintain the integrity of sites having interests of acknowledged importance;
  - where appropriate maintain liaison and contact with the general public, and



mineral and waste operators.

## **5.0 THE RELEVANT ENFORCING AUTHORITY**

- 5.1 There is often an overlap of enforcement of activities involving waste disposal and recycling between the Authority, the District and Borough Councils' Environmental Health Departments (EHO) and the Environment Agency (EA). Where the unauthorised activity results in, or has the potential to result in, pollution, the EA will normally be the lead Authority. Where the activities involve a statutory nuisance the District Council EHO may be better placed to take action. In all cases that potentially involve the above bodies, consultations and discussions will take place to see which Authority is in the better position to lead the investigation and if necessary, take action.
- 5.2 The Authority will have regard to the fact that unauthorised development and some breaches of planning conditions involving wastes may be a criminal offence under legislation enforced by the EA and the Authority will liaise with the EA accordingly. The EA may be in a stronger position to ultimately remedy harm to amenity by way of prosecution and enforcing cessation of the harmful activities. In cases where unauthorised development causes or has the potential for serious harm to human health the Authority will have regard to the fact that it may be more appropriate for the HSE to be the lead Authority and will liaise with them accordingly.
- 5.3 Norfolk County Council is a two-tier Authority with seven District, Borough and City Councils; King's Lynn and West Norfolk Borough Council, Breckland District Council; North Norfolk District Council; South Norfolk District Council; Broadland District Council; Norwich City Council and Great Yarmouth Borough Council. All of whom are also planning authorities. In addition to these councils the Broads authority also has planning responsibilities for the Norfolk and Suffolk Broads area.
- 5.4 It is the intention of the County Council to work closely with other regulatory bodies when investigating and remedying an alleged breach of planning control. The County Council in dealing with all complaints concerning an alleged breach of planning control will identify the authority responsible for taking action and redirect complaints to other regulating bodies where necessary.

## 6.0 GENERAL GUIDANCE

6.1 The County Council will have regard to the provisions of the Norfolk minerals and Waste development framework and relevant local plans and any other material considerations in the enforcement of planning control.

6.2 This Authority remains committed to fostering business enterprise and prosperity, provided that the necessary development can take place without unacceptable harm to local amenity. . Whilst the Authority has a general discretion to take enforcement action when they regard it expedient, it does not condone wilful breaches of planning law. Moreover, in some cases effective enforcement action is likely to be the only appropriate remedy where a breach is causing unacceptable harm. The Authority will be guided by the following considerations: -

- (i) The Commissioner for Local Administration (the local ombudsman) has held, in a number of investigated cases, that there is "maladministration" if an Authority fails to take effective enforcement action which was plainly necessary or where an Authority fails to consider whether to take formal enforcement action or not and be able to show their reasoning for not initiating formal action, often resulting in an award of compensation payable to the complainant for the consequent injustice;
- (ii) The planning regulatory provisions are to ensure proper land use and to resolve breaches of planning control by removing unacceptable impacts on the environment and the amenity of the area. This ensures a 'level playing field' for legitimate businesses to develop and prosper.
- (iii) Enforcement action should always be commensurate with the breach of planning control to which it relates (for example, the Authority would usually consider it inappropriate to take formal enforcement action against a trivial or technical breach of control which causes no harm to amenity in the locality of the site); and

- (iv) Where the Authority's initial attempt to persuade the owner or occupier of the site voluntarily to remedy the harmful effects of unauthorised development fails, negotiations will not be allowed to hamper or delay whatever formal enforcement action may be required to make the development acceptable on planning grounds, or to compel it to stop.
- 6.3 It is not an offence to carry out development without first obtaining planning permission for it. If the Authority's initial assessment indicates it is likely that planning permission would be granted for development which has already taken place, the person responsible will be asked to submit a retrospective planning application. However this initial assessment is not binding on the Authority's subsequent decision to grant or not grant planning permission.
- 6.4 While it is clearly unsatisfactory for anyone to carry out development without first obtaining the required planning permission, an enforcement notice will not normally be issued solely to "regularise" development which is acceptable on its planning merits, but for which permission has not been sought. This would only apply to development which would be granted without any planning conditions being attached to control the development.
- 6.5 The Authority will not normally invite an owner or operator to submit a planning application if the unauthorised development is contrary to development plan policies or if it appears that any actual or potential harm cannot be made acceptable by the imposition of planning conditions; however, we cannot prevent a landowner who is determined to apply for permission retrospectively.
- 6.6 If an operator or owner submits a planning application that the Authority has requested, the Authority will not normally consider formal enforcement action whilst the application is being considered. If agreement can be reached between the operator and the Authority about the operation being reduced to an acceptable level (e.g. hours of operation, use of plant and equipment, routing of vehicles etc) during any period between a planning application being submitted and its determination, and the person concerned honours the agreement, formal

enforcement action may be avoided

- 6.7 Where the Authority considers that development has been carried out without the requisite planning permission, but the development could be made acceptable by the imposition of planning conditions the owner or occupier of the land will be invited to submit an application, and pay the appropriate application fee, voluntarily. However, if, after a formal invitation to do so, the owner or occupier of the land refuses or fails to submit a planning application in these circumstances within a reasonable timescale, the Authority will consider whether to take formal enforcement action.
- 6.8 Accordingly, where an owner or occupier of land refuses or fails to submit a planning application which would enable the LPA to grant conditional planning permission, the Authority will be justified in issuing an enforcement notice if, in their view, the unauthorised development has resulted in any harm, or has the potential to cause harm, which can only be satisfactorily removed or alleviated by imposing conditions on a grant of planning permission for the development.
- 6.9 If the location of the unauthorised development is unacceptable, but relocation is feasible, it is not the Authority's responsibility to seek out and suggest an alternative site to which the activity might be satisfactorily relocated. However, if an alternative site has been suggested, the Authority will make it clear to the owner or occupier of the site where unauthorised development has taken place that he is expected to relocate to the alternative site within a reasonable timescale. In such circumstances the Authority will usually agree a reasonable time-limit within which relocation should be completed.
- 6.10 What is reasonable will depend on the particular circumstances, including the nature and extent of the unauthorised development; the time needed to negotiate for, and secure an interest in, the alternative site; submit a planning application (if required) for the alternative site; consultation timescales; and the need to avoid unacceptable disruption during the relocation process. If the owner or operator fails to provide justification for a suggested timescale, the Authority will set a timescale it considers reasonable. If a timetable for relocation

is ignored, or it is evident that appropriate steps are not being taken to progress the relocation, the Authority will consider formal enforcement action. In that event, the compliance period in the notice will specify what the Authority regard as a reasonable period to complete the relocation.

- 6.11 Nevertheless if the unauthorised development is causing unacceptable harm to the environment or amenity, the Authority will consider issuing an Enforcement Notice and/or Stop Notice even if an alternative site has been identified and steps have been made towards relocation. The Authority considers that any difficulty or delay with relocation will not normally be a sufficient reason for delaying formal enforcement action to remedy unacceptable unauthorised development.
- 6.12 Where the Authority considers that unacceptable unauthorised development has been carried out, and there is no realistic prospect of its being relocated to a more suitable site, the owner or occupier of the land will be informed that the Authority is not prepared to allow the operation or activity to continue at its present level of activity, or (if this is the case) at all. If the development nevertheless provides valued local employment, the owner or occupier will be advised how long the Authority is prepared to allow before the operation or activity must stop, or be reduced to an acceptable level of intensity. If agreement can be reached between the operator and the Authority about the period to be allowed for the operation or activity to cease, or be reduced to an acceptable level, and the person concerned honours the agreement, formal enforcement action may be avoided. However, the Authority will have regard to the possibility of intensification of the development after expiry of the statutory period for enforcement action. If no agreement can be reached, the issue of an enforcement notice will usually be justified, allowing a realistic compliance period for the unauthorised operation or activity to cease, or its scale to be acceptably reduced.

## **7.0 INVESTIGATION PRIORITIES**

- 7.1 Investigating and remedying alleged breaches of control is labour intensive and the level of service provided is directly proportional to the resources available for

regulating planning control. The demand for resources in this area naturally fluctuates over time and while the service will endeavour to match resources to demand, the level of service provided may vary over time.

## COMPLAINTS

7.2 A complaint/incident is an event or matter that is either brought to the Authority's attention or that monitoring, and control officers may become aware of as part of their duty, and which may have a planning related impact. The type of complaints/incidents received by the Authority are split into 3 priorities:

### 7.3 Priority 1

Immediate or irreparable harm to the environment or immediate and substantial harm to amenity. Harm would be assessed in relation to impact on the environment. E.g. the impact of mineral, waste and Regulation 3 development would often be greater in an area close to residential amenities than it would be in the open countryside. The Authority will respond to the complainant within 24 hours and investigate the complaint within 3 working days.

### 7.4 Priority 2

On-going low-level harm to amenity or moderate and reparable impact on the environment. E.g. HGV's occasionally going in the wrong direction and causing the road verge to break up. The Authority will respond to the complainant within 3 working days and investigate the complaint within 1 working week.

### 7.5 Priority 3

Occasional harm to amenity or the raising of long-standing issues leading to low level impact on the environment e.g. concerns about the permitted type of material (sand or waste) stored on a site with permission, but in the wrong place or slightly higher than the agreed height. The Authority will respond to the complainant within 3 working days and investigate the complaint when the relevant officer is next in the area, but no later than one month of the receipt of complaint.

## INVESTIGATION OF BREACHES

7.6 A response to an alleged breach will also require a record of the outcome of

investigation. Where there is continued non-compliance, and this results in further visits and investigation then these should additionally be recorded. However, where the operator is taking known action to resolve the problem then this is classified as an ongoing event. It is not necessary to record this as a new breach..

- 7.7 Where separate members of the public report complaints/incidents about different issues relating to a site then these should be recorded as separate breaches. Where multiple residents complain about the same incident then this is recorded as a single breach.
- 7.8 As part of our regular monitoring of planning permissions there are matters identified by officers that if reported to us separately would have been dealt with and recorded as a breach. These will be recorded, and information captured. The same applies as above in that, where there is continued non-compliance then this will be reported as a single breach.
- 7.9 The Monitoring and Control Team will liaise with the Legal Services; Environment Agency; District Council or any other relevant Authority as necessary throughout the investigation.
- 7.10 When complaints about alleged breaches of planning control are received, they will be properly recorded and investigated. If the Authority decides to exercise its discretion not to take formal enforcement action it should be prepared to explain its reasons to the complainant, including where complaints are attributable to repeated allegations from vexatious complainants and they have been previously proved unsubstantiated.
- 7.11 The Authority will ensure that anyone who does complain about a breach of planning control is dealt with in a polite, efficient and responsive way. All complaints that are received will be recorded and stored on a complaints register, which is an electronic and paper based system. The complaints register will enable the receiving officer to detail both the nature of the complaint and the action the Authority has taken to resolve it. Keeping a record of complaints will

enable the Authority to assess and improve its overall service.

7.12 It may not always be necessary to visit sites to satisfactorily resolve a complaint. However, in most cases it may be necessary to establish whether there has been a breach of planning control by visiting the site. Where, following the investigation of a complaint, the Authority decides not to take formal enforcement action to resolve a substantive issue, the matter being satisfactorily resolved by other methods, the reason for this decision will be explained to the complainant upon request. If, however, the Authority elects to instigate enforcement proceedings against the offender the complainant will be notified of the progress of that action.

7.13 The County Council in dealing with all complaints concerning an alleged breach of planning control within their responsibility will:

- treat them confidentially as far as practical;
- ensure that they are acknowledged and actioned within the timescales prescribed in the priority rating;
- deal with them expeditiously in a professional and efficient manner;
- visit the site where necessary, and establish whether there has been a breach of planning control;
- notify the complainant upon request of the progress of any action taken to resolve substantive matters forming the basis of the complaint;

notify the complainant if the authority elects to commence enforcement action against the alleged breach of planning control and be prepared to explain the reason in the event formal enforcement action has not been taken.

## **8.0 PROSECUTIONS**

8.1 Subject to the Evidential and Public Interest tests Persons who fail to comply with a formal notice will normally be prosecuted.

## **9.0 MONITORING OF REGULATION 3 DEVELOPMENT**

9.1 A procedure has been agreed between Norfolk County Council's Children's Services Department and the Monitoring and Control Team where by Schools development which falls within Regulation 3 of The Town and Country Planning



General Regulation 1992 can be monitored and a fee levied.

- 9.2 The developments to be pro-actively monitored will fall into one or more of the following categories:
- Developments where planning permission was granted after 1 January 2009 and includes permanent external substantial building works.
  - Major developments where planning permission was granted prior to 1 January 2009 and construction is still in progress.
  - Developments where planning permission was granted prior to 1 January 2009, include permanent external substantial building works, and remain unlawful due to the failure to discharge pre-development conditions.
- 9.3 Prior to the inspection taking place, notification will be passed to the applicant informing them that an inspection will be scheduled for a given school. An initial list of developments has been agreed with Children's Services and notification of future inspections will be sent out to individual applicants.
- 9.4 Where a development has been permitted on an open school an appointment will be made prior to inspection. This generally ensures that the school will allow the officer onto the site without issue and, if required, allocate a member of staff to accompany the officer. This will also allow the inspecting officer to check that work has begun prior to going on site.
- 9.5 Where a planning permission is found not to have been implemented it will be removed from the list and an invoice will not be raised. It is generally agreed that a single chargeable inspection will be required for smaller developments such as extensions, although a second non-chargeable visit may be required after completion of the development.
- 9.6 For major developments, such as new schools, two chargeable visits per year for the life of the construction phase will be required. A final chargeable visit to check completion and landscape implementation will also be required.

9.7 Failure to comply with all planning conditions could result in further chargeable visits being undertaken until full compliance is achieved. There will be a maximum of two chargeable visits per school in any one financial year.

9.8 Once the report has been completed, it will be sent to the applicant along with a copy of the planning permission and an invoice for payment.

## **10. MEMBER PROTOCOL**

10.1 Local Norfolk County Council members will be informed when an Enforcement Notice is served in their division.

10.2 Members of the Council will be presented on a regular basis of not less than once per year with a report detailing the decisions made under delegated authority, performance statistics and enforcement update for the work of the Monitoring and Control Team.

November 2019

## **Norfolk County Council Flood and Water Management Enforcement Protocol**

### **1.0 Introduction**

This document provides supplemental guidance to Norfolk County Council's Community and Environmental Services (CES) Enforcement Policy, and is provided in the context of specific requirements arising from the Flood and Water Management Act 2010 and the Land Drainage Act 1991.

Norfolk County Council (NCC) is the Lead Local Flood Authority (LLFA) for the county. This role is fulfilled by the Flood and Water Management team.

This Protocol and guidance note has been adapted from best practice identified within local authorities in England. It is intended for use as guidance by Risk Management Authorities, developers and landowners.

### **2.0 Regulation of Ordinary Watercourses**

The Lead Local Flood Authority has powers under the Land Drainage Act 1991 to exercise its regulatory powers in relation to watercourses outside of Internal Drainage Board areas and where they are not Environment Agency designated main rivers.

The Lead Local Flood Authority will take a risk-based and proportionate approach to exercising its regulatory powers under the Land Drainage Act 1991, taking into account the location and nature of any nuisance caused by;

- the failure to repair or maintain watercourses, bridges or drainage works
- un-consented works
- impediments to the proper flow of water

This approach will take into account whether the contraventions have or are likely to increase flood risk and what the consequences of any increase in risk may be. Where works are un-consented the Lead Local Flood Authority would require the landowner, person and/or Risk Management Authority responsible for the works to prove that the un-consented works would not cause a nuisance or increase flood risk.

With regards to the causes of the nuisances described above, the Lead Local Flood Authority has powers under Sections 21, 24 and 25 of the Land Drainage Act 1991 to serve notice on individuals who have caused contraventions.

In issuing a notice the Lead Local Flood Authority may set out the works required to resolve the contravention to an acceptable standard and the date by which the works should be completed.

November 2019

If the works are not completed by the date set out in the notice, the Lead Local Flood Authority may take action to remedy the effect of the contravention or failure and seek to recover the costs incurred, as well as pursue any necessary prosecution.

### **3.0 Guiding Principles**

Enforcement under the Land Drainage Act, 1991 will be carried out using the guiding principles as set out in the CES Enforcement Policy.

### **4.0 Process**

#### ***a) Initial response***

Where the Lead Local Flood Authority receives a complaint in relation to an ordinary watercourse, we will carry out an initial assessment to establish whether the actual or potential flood risk meets our threshold for intervention. We aim to complete this assessment within 21 days. However, there will be occasions when it is necessary to extend the period of assessment for more complex matters and/or to accommodate exceptional circumstances e.g. weather, flood conditions, etc. At the outset the complainant will be informed of the case officer who will follow up the enquiry and of the outcome of the assessment.

#### ***b) Initial assessment***

The threshold for intervention will be based on the Lead Local Flood Authority's [impact criteria](#).

To assess the potential impact the initial assessment will consider the on-site conditions, any available historical data and high-level indicators of potential risk, such as Environment Agency (EA) Flood risk maps for surface water flooding and flooding from rivers. It will also consider any other status of land e.g. conservation designations, common land etc.

To substantiate incidents of actual flooding as part of the initial assessment we will need to be provided with one or more of the following types of evidence:

- I. An insurance claim
- II. Records of emergency services and utility companies i.e. fire brigade attending to pump out a property
- III. Dated photos of the event
- IV. Written report from a Risk Management Authority

The evidence supplied will be determined in line with the guiding principles as set out in the CES Enforcement Policy.

The Lead Local Flood Authority may close an enforcement case file, where there is a lack of physical evidence to corroborate the impact of a flood event. If further relevant evidence was to come forward, then the Lead Local Flood Authority may re-open the case file and undertake a further investigation.

### **C) Further Investigation**

Where the initial assessment has identified an actual or potential risk of flooding that exceeds the adopted impact criteria, but where a site inspection has failed to identify the primary cause of the problem the authority may;

- consult with other organisations including other local authorities, Highway Authorities, Environment Agency, Natural England as appropriate.
- require or commission appropriate site surveys and inspections.

In deciding whether or not to carry out the above steps the LLFA will consider whether it is in the public interest to do so. Having regard to the actual and potential impacts of the flooding, the costs of carrying out the works and the likelihood of obtaining sufficient evidence to enable enforcement activity. Where the Lead Local Flood Authority is made aware of breaches of other legislation it will advise the appropriate authorities.

### **D) Outcome of initial assessment/Further Investigation**

Once an initial assessment/further investigation has been carried out the complainant will be informed in writing as to the next course of action and this may include;

- I. Informing relevant party(s) of works that are required to be undertaken within the set timescale OR
- II. No further action by the LLFA and:
  - Providing advice to those affected on referral to the [First Tier Tribunal \(Property Chamber\), Agricultural Land and Drainage \(AL&D\)](#) or other relevant organisation, where appropriate
  - Informing relevant parties of their [riparian responsibilities](#)

Where it is considered that further action needs to be taken by the relevant landowner, person and/or Risk Management Authority responsible this will be explained within the letter that sets out the outcome of the initial assessment/further investigation. This will include the following:

- An explanation of the problem and the remedy required in accordance with the Land Drainage Act 1991.
- Depending on the nature of the problem we aim to ensure that remedial work is carried out within the timeframe specified in the letter (between 7 and 21 days of the date of the letter). However, there will be occasions when it is necessary to extend the period of compliance for more complex matters and/or to accommodate exceptional circumstances e.g. weather, flood conditions, etc. The time allowed will be reasonable in the circumstances. The extent of the work required will be proportionate to the scale of the problem.

- In certain circumstances practicalities may not allow for works to be done within the timeframe specified in the letter. The Lead Local Flood Authority will assess the circumstances with regards to enforcement and whether any works need to be deferred or amended to take into account the impacts of any works on wildlife. Examples where this may occur include:
  - Seasonal farming practices and Environmental Schemes can restrict access or time schedules to carry out works;
  - The nesting season for some birds occurs between the 1 March and 31 August and works might cause disruption if nests are present;
  - Presence of protected species will influence when it is most appropriate to carry out work.

### ***Seeking resolution prior to serving notices***

The Lead Local Flood Authority will seek to resolve the situation by means of negotiation with the person responsible and obtain compliance with a request to satisfactorily undertake the work required.

### ***Serving notices under the Land Drainage Act 1991***

If a positive response to the Lead Local Flood Authority's letter has not been received within the timescale specified and on inspection no work has been satisfactorily undertaken as required, a notice under the relevant section of the Land Drainage Act 1991 will be served. The notice will include the nature of the work to be carried out, the period within which it is to be carried out and any relevant right of appeal to a magistrates' court within 21 days of service of the notice (where applicable). A Notice under the Land Drainage Act 1991 is a legal document formally requiring specific work to be carried out within a set timescale.

A letter will accompany the notice and inform the responsible person that in the event of their failure to satisfactorily undertake the work, the Lead Local Flood Authority may carry out the work itself and recover from the person responsible the expenses reasonably incurred in doing so which will include recovering the costs of pursuing the case.

### ***Enforcement of notices***

Following service of the notice, one of four things will happen: -

- The responsible person will carry out the work to the satisfaction of the council.
- The responsible person may appeal the notice.
- The responsible person will fail to carry out the work to the satisfaction of the Lead Local Flood Authority and the Lead Local Flood Authority will seek to recover their expenses; and /or

- The Lead Local Flood Authority will, where appropriate, decide whether to take a prosecution against the responsible person, in addition to carrying out the work and seeking to recover the costs of that work.

### **Completion of proceedings**

If the responsible person complies with the notice and completes the work to the satisfaction of the Lead Local Flood Authority, the Lead Local Flood Authority will write to the responsible person confirming the closure of the case and the end of the action.

### **No further action**

The Lead Local Flood Authority may take no action where:

- there is no actual or potential risk to properties or infrastructure; and/or
- that the matter complained of is not the cause of the drainage problem; and/or
- the matter is trivial in nature

If this is the case, the complainant will be advised accordingly, and a written communication will be sent to the complainant explaining the reason why no action is to be taken. The complainant will also be referred, where appropriate, to the [First Tier Tribunal \(Property Chamber\), Agricultural Land and Drainage \(AL&D\)](#) or other relevant organisation. The riparian owner will also be informed, as appropriate.

Examples of matters not requiring action may include minimal silting of the watercourse, slight vegetation overgrowth, the accumulation of a small quantity of debris etc

### **Advice**

The Lead Local Flood Authority will provide basic information and advice to individuals of their riparian ownership responsibilities and of the route for appeal against other riparian owners where appropriate. The Lead Local Flood Authority may suggest that independent legal and/or technical advice is sought, where appropriate.

### **Data Protection**

Information may be shared with [Risk Management Authorities](#) under Section 13 and 14 of the Flood and Water Management Act 2010 in order to exercise flood and coastal erosion risk management functions.

This information will be held securely, and any processing will be performed in line with the requirements of the Data Protection Act 1998 and the General Data Protection Regulation from 25 May 2018. Norfolk County Council is registered as a Data Controller with the Information Commissioner's Office. Further details about how we process personal data can be found in our [Privacy Notice](#).

### **Further Information**

Please consult the [Glossary of terms](#) document which supports this protocol.

## **Norfolk Fire and Rescue Service**

### **Fire Safety Policy Directive**

# **ENFORCEMENT POLICY STATEMENT (England and Wales)**

#### **Introduction**

We are approachable and want to engage with and hear from you.

The following pages explain our enforcement policy. This document is supported by other documents required by the Regulators Code, namely our Service Standards and our Challenges, Appeals and Complaints procedure. This guidance has been produced in consultation with the Better Regulation Delivery Office (now Regulatory Delivery). This policy aims to explain our approach to our regulatory functions in relation to fire safety and public safety in our communities. It also explains the behaviours that business can expect receive from us and legal constraints and frameworks under which we operate.



# Quick-guide

## 1. Introduction

The Norfolk Fire and Rescue Service (and its officers) will exercise its regulatory functions in accordance with the principles of better regulation and will comply with all relevant laws. Business should have a mainly positive experience of being regulated by the Service. To learn more, [click here](#).

## 2. Principles

The Service is tasked with seeing that people are safe in case of fire and believes that deaths and injuries caused by fire in regulated premises are preventable, if the right measures are taken. The Service and its officers will engage and work with business, in preference to enforcing fire safety standards. To learn more, [click here](#).

## 3. Regulation

The purpose of enforcement action is to bring about improvements in safety and in attitudes to providing safety. While the Service has laid down procedures for its officers, we will take each case on its merits. To learn more, [click here](#).

## 4. Helping Those We Regulate (Transparency)

The Service aspires to help regulated businesses and to work with them to resolve fire safety problems but will robustly enforce where the risk to people is highest and when those responsible refuse to help them. To learn more, [click here](#).

## 5. Targeting

The regulatory policy of the Service focuses on risk in case of fire and in places where we will be most effective in saving life. To learn more, [click here](#).

## 6. Accountability to Those We Regulate

The Service is accountable for its actions and is open to analysis and questioning of our regulatory work. To learn more, [click here](#).

## 7. Principles of Enforcement Action

A range of relevant factors will be considered before any enforcement action is taken by the Service. When action must be taken to improve safety, the Service will be clear about what is required. To learn more, [click here](#).

## 8. Our Enforcement Action

The Service would rather work with business to make places safe than enforce against them. When enforcement is needed; we will be clear about what must be done. Letters or notices may be sent to confirm what business needs to do to. All enforcement will be proportional to the risk. To learn more, [click here](#).

## **9. After Enforcement Action**

The Service encourages dialogue and open communication during and after the enforcement process. Requirements for safety and how to challenge what we are asking for will be made clear. To learn more, [click here](#).

## **10. Failure to Comply With Requirements**

When the Service makes an enforcement decision, there might be a route to appeal or challenge what we have said. How to do this (and how to complain about our behaviour) will be made clear. Business can talk to us. To learn more, [click here](#).

## **11. Simple Cautions and Prosecution**

If an offence has been committed, it means the law has been broken and the Service can take the matter to court. In addition to going to court, there are other actions that the Service can take. To learn more, [click here](#).

## **12. Public Register**

The Service must enter details of certain notices (called “relevant notices”) into a register to which the public have access. (In accordance with the Environment and Safety Information Act 1988). Further details are available on request or from the [CFOA public register web pages](#)

## **13. Other Duties of the Service**

As well as ensuring that people are kept safe in case fire, the Service is also responsible for some other laws relating to public safety. To learn more, [click here](#).

## **14. Data Protection**

The Service will comply with data protection laws. To learn more, [click here](#).

## **15. Freedom of Information**

The Service is subject to the Freedom of Information Act, which provides a right of access to regulatory information held by the Service. To learn more, [click here](#).

**-End-**

## ***More on the Introduction***

1.1 This statement sets out the service that business and others being regulated by the Norfolk Fire and Rescue Service can expect from its regulatory and enforcement function and its appointed inspectors. It goes some way to satisfying the Regulators' Code by committing the Service and appointed inspectors to the principles of good enforcement with the assistance of effective procedures and clear guidance, which can be viewed by businesses and members of the public. [Procedures and Guidance](#)

1.2 This Enforcement Policy Statement has been prepared with regard to the following legislation and statutory guidance:

The Regulators Code - [\[more\]](#)

The Regulatory Enforcement and Sanctions Act 2008 - [\[more\]](#)

The Legislative and Regulatory Reform Act 2006 - [\[more\]](#)

The Legislative and Regulatory Reform (Regulatory Functions) Order 2007 - [\[more\]](#)

The Environment and Safety Information Act 1988 - [\[more\]](#)

The Regulatory Reform (Fire Safety) Order 2005 - [\[more\]](#)

The Licensing Act 2003 - [\[more\]](#)

The Explosive Regulations 2014 - [\[more\]](#)

The Petroleum (Consolidation) Regulations 2014 - [\[more\]](#)

1.3 The primary function of the regulatory part of the Service is to achieve safety in case of fire (in premise to which fire safety law applies).

[Click here to return to table of contents](#)

## ***More on Our Principles***

2.1 Fire safety regulation is founded on the principle that people should be kept safe in case of fire. We regulate to help secure this safety and through our regulation, we aim to provide a consistently high quality service to those we regulate. Our regulatory activity generally extends to premises in which there is a trade, business or other undertaking.

2.2 Non-compliance with fire safety law will mean that, in our view, people are at risk in case of fire. Where we identify people at risk in case of fire, we will respond

proportionately to that risk; taking account of the likelihood and severity of the risk, in line with our service standards.

2.3 The Service believes in firm but fair enforcement of fire safety standards. We aim to achieve this by:

- proportionally applying the law to secure safety;
- being consistent in our approach to regulation;
- targeting our resources and enforcement action on the highest risk;
- being transparent about how we operate and regulate; and
- being accountable for our actions.

2.4 We will have regard to the Regulators Code when developing the policies and procedures that guide our regulatory activities. We will encourage and promote fire safety while minimising the associated costs of providing safety from fire.

2.5 We believe that by fostering good relationships with our business community and by working with them, we can improve public safety, business resilience, and can remove any unnecessary burdens of complying with fire safety law.

2.6 The Service will endeavour to engage with the business community, to seek their views about our policies and practices. (Details of engaging with us are available on request and on our website)

2.7 In the most serious cases of danger in case of fire, we will take immediate and decisive action to secure safety, for example by serving a prohibition notice that can stop people from using the premises.

For more information see [\[CFOA fire safety law web pages\]](#).

[Click here to return to table of contents](#)

### ***More on the way we approach regulation***

3.1 In accordance with the Regulators Code, the Service takes enforcement action (and imposes sanctions and penalties) to:

- (a) change the behaviour of the offender;
- (b) change societal attitudes to the risks from fire;
- (c) eliminate financial gain or benefit from putting people at risk in case of fire;
- (d) exercise a proportionate response to the nature of the offence and the harm caused;
- (e) restore safety to premises where fire safety risks were found; and
- (f) encourage fire safety to be secured in future.
- (g) impose an appropriate sanction for the particular offender, which can include punishment through the courts (and the public stigma that should be associated with a criminal conviction);

[Click here for more information on the Regulators Code](#)

3.2 Avoiding fires is better than protecting people when fire occurs. Where fire is likely and / or the consequences of fire pose a hazard to people, it becomes necessary for us to take action (against the responsible person / duty holder) to reduce the risk. We have a wide range of enforcement action available to us.

The actions we may take include:

- (a) no action;
- (b) providing advice;
- (c) informal action;
- (d) formal action (including enforcement, alterations and prohibition notices);
- (e) taking samples of dangerous materials or extracts of recorded information; and
- (f) securing information to prepare for prosecutions.

3.4 The enforcement actions listed above are not written in an absolute order of escalation. Enforcement action taken by the Service is scalable and appropriate to the risk to people in case of fire.

3.5 When formal enforcement action is necessary, each case will be considered on its merits. All enforcement decisions will be fair, independent and objective. They will not be influenced by issues such as ethnicity or national origin, gender, religious beliefs, political views or the sexual orientation of the suspect, victim, witness or offender. Such decisions will not be affected by improper or undue pressure from any source.

3.6 All enforcement activities, including investigations and formal actions, will always be conducted in compliance with the statutory powers of the officer and all other relevant legislation, including but not limited to the Police and Criminal Evidence Act 1984, the Criminal Procedure and Investigations Act 1996, the Human Rights Act 1998, and the Regulation of Investigatory Powers Act 2000, and in accordance with any formal procedures and codes of practice made under this legislation so far as they relate to the regulatory activity of the Service.

[Click here to return to table of contents](#)

### ***More on helping those we regulate***

4.1 We will help those responsible for delivering safety in case of fire (responsible persons and duty holders) to understand what is expected of them and what they should expect from the Service. Legal requirements will be clearly distinguished from best practice or non-statutory fire safety advice. We will publish guidance in a clear, accessible, concise, format using media appropriate to the target audience, in plain language.

4.2 (Details are available on request and on our website).

[Click here to return to table of contents](#)

### ***More on Targeting***

5.1 Our policy on inspections will be to focus primarily on those whose premises and activities give rise to the most serious risk to life in case of fire. In making an assessment of risk, we will take into account the fire safety record of those we regulate and the current risks to people in case of fire.

5.2 We will maintain a strategy that will identify and evaluate risks in premises as well as to the wider community and allocate resources to carry out inspections accordingly. We want to see fire safety provided in buildings and may take action against those regarded as putting people at risk in case of fire.

5.3 Earned recognition may be awarded to businesses for assurance of safety, including for example external verification of safety systems / practices.

5.4 Our Service Standards and plans including details of our risk-based approach to risk and are available on request.

[Click here to return to table of contents](#)

### ***More on our Accountability***

6.1 The Service is accountable to its community for its actions. This means we must have policies and standards against which we can be judged, and an effective and easily accessible mechanism for dealing with comments and for handling complaints.

6.2 (Details are available on request and on our website [\[Complaints\]](#))

[Click here to return to table of contents](#)

### ***More on the Principles of Enforcement Action***

7.1 In assessing necessary and proportionate enforcement action, consideration will be given to (amongst other things):

- the safety history at the premises,
- the history of operational attendances and false alarms at the premises,
- safety referrals to the premises from other authorities / interested parties,
- any Primary Authority relationship that might be in place with the business,
- the adequacy of fire safety arrangements at the premises,
- the attitude of the responsible person / duty holder to providing safety,
- statutory guidance,
- codes of practice, and
- legal advice.

7.2 Certain enforcement action, such as the decision to use a Simple Caution and / or the decision to investigate for prosecution, is further and specifically informed by those matters set out below at section 11

7.3 In every case, when we require action to remedy unsafe conditions, we will explain the nature of the unsafe conditions to those responsible and will confirm the same in writing.

November 2019

7.4 Because, subject to any letter or notice we give, work must be done to improve or secure the safety of people in case of fire; we will agree reasonable timescales within which the work must be completed that are agreed with those responsible.

[Click here to return to table of contents](#)

### ***More on Our Enforcement Action***

8.1 The Service will offer duty holders information and advice both verbally and / or in writing. This will include an explanation of why any specified work is necessary and a time period within which the specified work should be completed. Educating, informing and advising responsible persons and duty holders about their duties under fire safety legislation will form a fundamental element of our enforcement regime. The Service will fulfil its obligation under section 6(2) of the Fire and Rescue Services Act 2004 to give on request, advice on fire safety free of charge.

8.2 Where we find risks to safety, we may deal with them by informal means or (where appropriate) we may take formal action by serving alterations, enforcement and / or prohibition notices. We may also issue Simple Cautions, and (in the most serious cases) may prosecute. Before formal enforcement action is taken, inspectors will provide the person responsible with an opportunity to discuss the circumstances of the case and, if possible, resolve points of difference without recourse to formal enforcement action (unless immediate action is required to reduce the risk to life or to prevent evidence from being destroyed).

8.3 In certain circumstances, after evaluating the safety at premises, no action may be required. This will be the case when the safety of people in case of fire has been adequately secured.

8.4 If the likelihood of fire is high and the consequences in case of fire are low, advice may be given on how the likelihood can be reduced. Advice may also be given where the consequences of fire might cause harm to people but can be simply avoided. Advice can also be given to point out good practice or to



signpost business continuity advice or other business protections, for example protection from flooding.

- 8.5 Where the likelihood of fire is low / medium or the consequences of a fire are slight, informal action will be taken. Informal action will take the form of a letter, pointing out that people are at risk in case of fire, where in the building they are located and what has led to them being put at risk as well as what should be done to provide safety and how to prevent the same danger from recurring. Informal action may also be taken, if those responsible have displayed clear intentions to undertake corrective action. Failure to respond to informal action can result in escalation to formal enforcement action.
- 8.6 Formal action will take the form of serving a Notice (alterations, enforcement, and / or prohibition notices). Formal action will be taken when the consequences of fire are such that people are likely to be harmed, suffer serious injury or death. It can require specific action to be taken or certain activities to cease.
- 8.6.1 Where a reasonable known change to premises or to the use of premises could result in a significant increase in the risks to people on the premises, we may serve an Alterations Notice, which requires the responsible person / duty holder to notify us, before making that known change.
- 8.6.2 Enforcement Notices require improvements in safety and will point out: that people are at risk in case of fire; where in the building they are located; and what has led to them being put at risk, as well as what should be done to provide safety and how to prevent the same danger from recurring. Enforcement Notices include a reasonable period of time for safety to be put in place. Failure to respond to a formal Notice can result in escalation to an investigation for prosecution.
- 8.6.3 Where immediate action is considered necessary to keep people safe from fire, a Prohibition Notice, which can prohibit or restrict the use of premises, can be served. An explanation of why such action is required will be given at the time and confirmed in writing. Whereas a Prohibition Notice requires action to remove imminent and immediate risks in case of fire, an Enforcement Notice might also be served to deal with less imminent risks in case of fire.

8.7 Fire Safety law gives power to warranted inspectors to take samples of dangerous materials or extracts of recorded safety information and documents. When we take materials or documents we will provide an appropriate receipt.

8.8 In the most serious of cases we will gather information and conduct an investigation to prepare for a prosecution. The decision to prosecute a case will be taken by those with authority to do so in accordance with our Scheme of Delegations.

8.9 All our members of staff that make enforcement decisions will be required to follow the Regulators Code.

[Click here to return to table of contents](#)

### ***More about After Enforcement Action***

9.1 When the Service takes enforcement action we will discuss what is required to achieve safety for relevant persons with the responsible person / duty holder (taking into account the circumstances of the case, if they have been explained to us).

9.2 The Service will clearly explain any advice, required actions or decisions taken at the time of our visit and will be willing to discuss such matters on any future occasion to ensure those responsible have clarity of what must be done.

9.3 Our letters and notices will provide details in writing of what must be done and how to appeal against any of our regulatory decisions. Our letters and notices will also explain what will happen next, especially if you do not undertake the work. Our web-site has details of how to complain about our conduct, if you should feel it necessary. [\[Complaints\]](#)

9.4 We encourage those responsible for providing safety in case of fire to contact us, especially if there are any questions or comments about our regulatory activity. We will also maintain regular communication (where required) until safety has been provided.

## ***More on a Failure to Comply With Requirements***

10.1 Rights of and routes to appeal will be clearly set out in writing and issued with our letters.

10.2 The failure to comply with an alterations, enforcement or prohibition notice constitutes an offence and may result in prosecution.

10.3 We can withdraw alterations, enforcement and prohibition notices at any time but they will generally be deemed to be in force until such time as the notice is complied with, withdrawn or cancelled by the court.

[Click here to return to table of contents](#)

## ***More on Simple Cautions and Prosecution***

11.1 There are a number of offences that can be committed under Fire Safety law.

Among the foremost of these are failure to comply with a formal notice and failing to provide safety in case of fire to such extent that one or more people are put at risk of death or serious injury in case of fire.

11.2 The Service can deal with offenders through prosecution and Simple Cautions.

These legal actions are important ways to bring to account those responsible for alleged legal offences. Where appropriate, we will use one of these measures in addition to issuing a formal notice.

11.3 A prosecution may be taken following full consideration of the many factors arising for the alleged breaches of the law. Penalties for offences are awarded by the courts and can include fines, imprisonment or both.

11.4 A Simple Caution will only be used where a prosecution could be properly brought and there is a realistic prospect of conviction. A Simple Caution includes a written submission from the person responsible that an offence has been committed.

11.5 A record of a Simple Caution will be kept on file for three years and if a conviction for a further offence is brought within that period, the written submission of the previous offence will be introduced to the court for consideration.

[Click here to return to table of contents](#)

### ***More about the Other Duties of the Service***

13.1 In addition to Fire Safety law the Service is also responsible for the following regulations.

- Licensing authority for the Petroleum Consolidation Regulations 2014
- The Explosive Regulations 2014.

13.2 The Service can request a review of a premises license under Section 51 of the Licensing Act 2003. The options available to the Licensing Committee are:

- i. Modification of the conditions of the Licence
- ii. Exclusion of Licensable activity from the scope of the Licence
- iii. Removal of the Designated Premises Supervisor
- iv. Suspension of the Licence for a period not exceeding three months
- v. Revocation of the Licence
- vi. Issue of a Warning Letter
- vii. No Action

13.3 The Service enforces the requirements of Explosive Regulations 2014 through application of the Health and Safety at Work (etc) Act 1974 and the serving of improvement notices and prohibitions orders. [Regulating and Enforcing Health and Safety](#)

[Click here to return to table of contents](#)

### ***More on Data Protection***

14.1 The Service will comply with the principles of the Data Protection Act 1998 governing the use of personal data received or obtained and will respect the rights and freedoms of those individuals when processing their details. The following document Information Management Strategy lays out our strategic

approach to meeting these legal requirements. (Details are available on request and on our website [\[Information Management Strategy\]](#))

[Click here to return to table of contents](#)

### ***More on Freedom of Information***

15.1 Under the Freedom of Information Act 2000, individuals are given 'a general right of access to information held by public authorities in the course of carrying out their functions subject to certain conditions and exemptions'. Under Section 19 of that Act, public authorities are required to produce a publication scheme setting out details of the information routinely published or made available, how the information is made available (in hard copy and on-line), and whether it is available free of charge or on payment.

15.2 Details of The Service's publication scheme are available on request and on our website [Publication Scheme](#).

[Click here to return to table of contents](#)

### ***The Regulators Code***

The Regulators Code is a statutory code of practice for regulators and makes six broad requirements:

- i. To carry out their activities in a way that supports those they regulate to comply and grow;
- ii. To provide simple and straightforward ways to engage with those they regulate and to hear their views;
- iii. To base their regulatory activity on risk;
- iv. To share information about compliance and risk;
- v. To ensure clear information, guidance and advice is available to help those they regulate meet their responsibilities to comply; and
- vi. To ensure their approach to regulatory activity is transparent.

The service has taken regard of the Regulators Code in producing this policy statement.

For the full version click here: [‘The Regulators Code’](#)

[Click here to return to table of contents](#)

### ***The Regulatory Enforcement and Sanctions Act***

The Regulatory Enforcement and Sanctions Act (The RES) established The Local Better Regulation Office (later renamed as the Better Regulation Delivery Office (BRDO)). It also imposed a duty on Regulators to: (a) have regard to any guidance issued by BRDO, (b) a duty to comply with guidance where the Regulator is directed to do so by BRDO, and (c) a duty to have regard to any list of enforcement priorities published by BRDO. As a listed Regulator, the Service is committed to these duties.

For the full version click here: [‘The Regulatory Enforcement and Sanctions Act’](#)

[Click here to return to table of contents](#)

### ***Legislative and Regulatory Reform Act***

Part 2 of the Legislative and Regulatory Reform Act, requires the Service to have regard to the Principles of Good Regulation. We recognise that our regulatory activities should be carried out in a way which is: (i) proportionate; (ii) accountable; (iii) consistent; (iv) transparent; and (v) targeted to situations which need action.

When we exercise a regulatory function, which for the Service includes: the Regulatory Reform (Fire Safety) Order, [\[The Petroleum \(Consolidation\) Regulations 2014, Explosives Regulations 2014 and the Health and Safety at Work \(etc\) Act\]](#) we have regard to the Regulators Code.

For the full version click here: [‘Legislative and Regulatory Reform Act’](#)

[Click here to return to table of contents](#)

### ***The Legislative and Regulatory Reform (Regulatory Functions) Order 2007***

The Legislative and Regulatory Reform (Regulatory Functions) Order imposes a duty on the Service to have regard to the Regulators' Code when determining general policies or principles. It requires that the regulatory activities of the Service are carried out in a way which is transparent, accountable, proportionate and consistent, as well as being targeted only at cases in which action is needed.

For the full version click here: '[Legislative and Regulatory Reform \(Regulatory Functions\) Order](#)'

[Click here to return to table of contents](#)

### ***The Environment and Safety Information Act***

The Environment and Safety Information Act requires the Service to make a publicly accessible record of formal enforcement action that we have taken.

For the full version click here: '[The Environment and Safety Information Act 1988](#)'

[Click here to return to table of contents](#)

### ***The Regulatory Reform (Fire Safety) Order***

The Regulatory Reform (Fire Safety) Order 2005 principally imposes a general duty on responsible persons and duty holders to take general fire precautions to keep people safe in case of fire and establishes enforcing authorities to enforce the provisions of the Order. The Service is an enforcing authority under the Order and is empowered to inspect premises and serve notices to improve safety standards (among others).

For the full version click here: '[The Regulatory Reform \(Fire Safety\) Order](#)'

[Click here to return to table of contents](#)

### ***The Licensing Act 2003***

The Licensing Act establishes the Service as a 'responsible authority' with whom the Licensing Authority must consult in connection with Licensable activities, including the sale or supply of alcohol or the provision of regulated entertainment or late night refreshment. The licensing objectives are to promote: the prevention of crime and disorder; public safety; the prevention of public nuisance; and the protection of children from harm.

For the full version click here: '[The Licensing Act](#)'

[Click here to return to table of contents](#)

November 2019

### ***The Explosive Regulations 2014***

The Service is the local authority for the purposes of dealing with applications for registration or for a licence to store explosives (under certain prescribed conditions).

For the full version click here: [The Explosive Regulations 2014](#)

[Click here to return to table of contents](#)

### ***The Petroleum (Consolidation) Regulations***

The Service is the 'petroleum enforcement authority' and can grant 'storage certificates' for premises at which petrol is dispensed, and enforces The Petroleum (Consolidation) Regulations in premises to which those regulations apply.

For the full version click here: '[The Petroleum Consolidation Regulations](#)'

[Click here to return to table of contents](#)



November 2019

## **Norfolk County Council Highways Enforcement Protocol**

### **1.0 Introduction**

The Highways area teams receive a significant number of customer complaints each year relating to enforcement matters. These range from trading on the highway, such as car sales on verges, caravans / motorhomes being parked on the highway, blocked public footpaths and trailer or van mounted advertising hoardings.

The CES enforcement policy is followed, although priority is given to highway safety matters. Increasingly, the teams work with District and Borough Councils and on a more local level with Town and Parish Councils to achieve successful outcomes.

In the majority of cases, the legal processes relating to enforcement are well established, such as dealing with public rights of way issues under various sections of the Highways Act. The following processes are less well established and have been the subject of recent Local Member interest.

### **2.0 Vehicles for sale on the Highway**

When a complaint is received or issue identified, the Highways Area team will notify the owner and ask them to remove it immediately. A phone call will suffice provided that a record is kept of the time and date.

The Highways Area team will re-inspect the site at least twice within the next calendar month, taking photos and noting the date and time of the inspections. If the problem persists after 4 weeks, the Highway Engineer and Area Manager will assess situation and identify a way forward.

### **3.0 Advertising Boards and Trailers on the Highway**

At joint authority meeting, which included NPLaw, it was concluded that the most appropriate way forward in addressing the issue of illegal advertising boards and trailers was to use the Town & Country Planning Act 1990 rather than the Highways Act 1980, as this offered the best chance of a successful prosecution combined with deterrent fines. In these cases, District and Borough Councils would take be the Lead Authority.

However, where a complaint is received and the issue identified is likely to cause a danger to other highway users, the Highways Area team will;

- Check whether route is subject to an advertising ban by-law (generally District/Borough Council imposed)
- Laminated notices can be attached to towable hoardings if they are found to be on Highway land, illegal and causing a safety issue for highway users.
- If the contact details for the trailer owner are known, they can be contacted direct to remove the trailer. This can be by either telephone or the use of letter
- If letter is sent or contact details are unknown, a formal notice must be attached to the advertising hoarding. All fees charged should recover all costs incurred including Officer time, administration costs and hoarding collection costs.
- Officers can request the removal of unauthorised A Boards. Photographic records can be taken and re-inspection may be required
- Request for removal, by formal letter, should be made to the offending party, in their absence, immediate removal can be arranged and cost recovered.
- If there is a significant problem with a particular shopping area, precinct or high street it may be helpful for the Highways Engineer to arrange a meeting with the traders, town Councillors or Town Centre Managers to explain the procedure and our Duty of Care for all highway users
- In exceptional cases Area Managers can consider whether offenders should be prosecuted in Magistrates Court.

## **1.0 Introduction**

In November 2011 Norfolk was designated as a Civil Enforcement Area and, following the commencement of the Disabled Persons' Parking Badges Act 2013, local authority enforcement officers are now able to inspect and retain a blue badge without police presence, if they have reasonable grounds for believing that an offence has occurred.

Wrongful or misuse of a Blue Badge is a strict liability offence. The County Council employs a Blue Badge Investigator to carry out follow up investigations and prepare the evidence in support of enforcements – including giving written warning, or recommendations for formal prosecutions or simple cautions.

The Community and Environmental Services Enforcement Policy is followed, and this protocol is to be read in conjunction with that over-arching document. The Blue Badge Investigations service forms part of the Infrastructure and Development Section. There is a close working arrangement with Trading Standards, who process the legal disposals, and with the Customer Services Centre (CSC) who administer the Blue Badge Scheme.

There is close liaison with District Councils who employ Civil Enforcement Officers (CEO), including guidance on the policy requirements for evidence-gathering and operational arrangements.

The misuse of the Blue Badge Scheme can have serious consequences for legitimate users by denying them access to essential services and facilities. Norfolk County Council are committed to reducing the level of misuse and increasing compliance with the scheme in pursuit of our traffic management duties and aims, and to support vulnerable people in Norfolk.

## **2.0 Identifying Offences**

Blue Badge Offences are identified in 3 ways –

- Reports by members of the public via the online form or the CSC
- Badge Inspections and seizures by CEOs as part of normal patrol duties.
- Badge Inspections and seizures by the Blue Badge Investigator during specific patrols.

The County Council publicised the commencement of work by the Blue Badge Investigator and continues to publish on its website the results of enforcement action where a person is taken to court.

<https://www.norfolk.gov.uk/care-support-and-health/disabilities/blue-badges/blue-badge-enforcements>

We have provided guidance to Civil Enforcement Officers who have the power to inspect and retain Blue Badges. This includes when and when not to inspect/retain badges, what offences are likely to have been committed. How they should interact

with members of the public in what is a stressful situation and the type of questions to ask to gather evidence.

### **3.0 Investigation Process**

All investigations into alleged offences are conducted in accordance with statutory powers, relevant legislation and codes of practice.

Persons suspected of committing an offence will always where possible be formally interviewed in accordance with Police and Criminal Evidence Act 1984 (PACE). This is undertaken in 3 ways –

- Roadside interview by the Blue Badge Investigator
- Interview in person with the Blue Badge Investigator
- Postal Interview

The method chosen is dependent on how the alleged offence was identified.

The opportunity to demonstrate a statutory defence and offer mitigating information is, where possible, always offered during the PACE interview. Unsolicited information may also be recorded and used as part of the decision making process. We will also give an additional opportunity to offer mitigation following a road side interview by writing to the alleged person providing them with a copy of their responses.

### **4.0 Disposal**

We are committed to giving advice, guidance and support to all those persons suspected of committing an offence and will do so at all stages of an investigatory process. Mitigating information where supplied will be used during the decision making process but, a formal disposal may still be the likely outcome.

There are four methods of disposal available to use in relation to the misuse of a Blue Badge.

1. No further Action (NFA) – the alleged offence may fall outside our jurisdiction, there may be insufficient evidence or formal action not in the public interest.
2. Written warning – The alleged offence was within our jurisdiction but there is insufficient evidence or formal action would not be in the public interest.
3. Simple Caution – In certain cases a simple caution may be offered instead of prosecution. When offering a simple caution we will comply with relevant Home Office Circulars and the offender will be made aware of the impact the simple caution may have on their life.
4. Prosecution - We may prosecute using different pieces of legislation depending on what offences are alleged. The legislation we use is;
  - Section 115/117 of the Road Traffic Regulation Act 1981
  - The Fraud Act 2006
  - Forgery and Counterfeiting Act 1981
  - The Theft Act 1968
  - Proceeds of Crime Act 2002

A person could also be issued with a penalty charge notice for any parking contravention that occurs.

In cases where a badge holder lets a third party use a badge, the issuing local authority can withdraw the badge under regulation 9(2)(a) of the Disabled Persons (Badges for Motor Vehicles) (England) Regulations 2000 after a relevant conviction has been obtained.

In certain circumstances involving prolific offenders Courts are able to disqualify drivers for a period of time under section 46 of the Powers of Criminal Courts (Sentencing) Act 2000.

**Performance Data 2018/19**

In response to a Member request in 2018, this appendix provides enforcement performance information in relation to those regulatory functions covered by the CES Enforcement Policy; Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Highways (networks, maintenance and blue badge enforcement) and Norfolk Fire and Rescue Service.

**1. Trading Standards****1.1 Outcomes of investigations and prosecutions**

Number of defendants taken through prosecution process	12
Number of offenders to whom simple cautions issued	5
Number of years imprisonment	6.2
Number of years for suspended sentences	2.66
Fines awarded	£19,000
Costs awarded from court cases	£53,358
Community Punishment Orders (hours)	500
Proceeds of Crime Act (POCA) benefit ordered to be paid in the year	£14,302.56
Proceeds of Crime Act (POCA) benefit paid in the year	£5,900

**1.2 Redress obtained/detriment prevented by service actions**

Compensation from court (including POCA compensation)	£6,360
(£) not handed over to criminals (e.g. rapid response outcomes)	£162,574
Detriment (£) over the following 12 months prevented by service actions	£139,026
Amount of money saved on behalf of scam victims	£86,600

**1.3 Business compliance**

Percentage of businesses that were compliant when visited, brought into compliance at the time of the visit or brought into compliance during the period, subsequent to the visit	95.7%
Number of individual complaints where the decision was taken to directly investigate the specific case	225
Number of businesses reviewed during tasking and subject to intervention (advice, investigation or action such as referral to another body or local authority)	137
Of those subject to intervention, the percentage where outcome was successful (i.e. resulted in compliance being achieved, or investigation outcome was successful)	82.3%
Number of counterfeit items/products removed from or prevented from entering the supply chain and value	32,347 £329,500
Number of unsafe items/products removed from or prevented from entering the supply chain and value	7,387 £15,933.40
Number of businesses identified as supplying misdescribed food, or not correctly declaring allergens, or selling food containing toxic or illegal components, or involved in fraud involving food	115

#### 1.4 Tackling the availability of illegal tobacco

Number of premises from which products were seized	19
Number of cigarettes seized and value	1241211 £620,605.50
Weight of Hand Rolling Tobacco seized and value	883,850 g £353,540

#### 1.5 Businesses tested for compliance with the law utilising underage volunteers or compliance with mandatory Challenge 21/25 conditions

Number of individual premises tested for Alcohol Failure rate (%)	36 36.1%
Number of individual premises tested for Tobacco Failure rate (%)	1 0%
Number of individual premises tested for Other Products Failure rate (%)	7 42.9%

## 2. Planning Services

Over 557 programmed inspections of authorised developments were undertaken during 2018/2019 and 102 inspections were undertaken as a result of ongoing complaint investigations.

Levels of complaints received have remained at the previous level of 47. However, as can be seen from the above figures individual complaints can generate a number of site visits until matters are fully resolved.

The chargeable site monitoring regime has generated £65,165.

Four Temporary Stop Notices, One Breach of Condition Notice and eleven Planning Contravention Notices were served in 2018/2019. Two longstanding cases under the Proceeds of Crime Act (POCA) 2002 have now been resolved:

- On 6 August 2018 at Norwich Crown Court a financial agreement was reached by the Council, and two defendants from Wymondham were each given a 12-month conditional discharge. The agreed financial settlement under POCA has now been paid to the County Council and this positive outcome should send a clear message to others that funds that have been obtained as a result of criminal activity are subject to recovery, where possible, by the courts following a successful prosecution.
- On 17 March 2016 a local waste operator was sentenced to 15 months imprisonment for running an illegal waste site in North Runcton. On 17 August 2018 at Norwich Crown Court the waste operator agreed a benefit figure of £233,445. His Honour Judge Bate agreed a nominal confiscation order of £1 and thanked the officers for their 'utmost diligence' in dealing with this case.

### 3. Flood and Water team

No enforcement action has been required due to a) matters being resolved or b) not meeting the required thresholds for action.

## 4. Highways

### 4.1 Highway obstructions

- North and South Area - no enforcement action taken beyond advisory letters being sent, following which matters were resolved.
- West Area – 2 outstanding public rights of way obstruction cases – these are currently being dealt with through NP Law.

### 4.2 Highways development

Enforcement action covering development management is all undertaken by the District Council as part of their remit. Enforcement action for highway obstructions (highway boundaries) is undertaken by area.

### 4.3 Blue badge enforcement

Total investigations by disposals, reporting, location of incident and residency of badge-holder (latest 2 years):

<b>Investigations of Blue Badge Infringements</b>	2018-19	2017-18
<b>Disposals:</b>		
Formal prosecution including caution*	7 (+9) **	7 (+1) **
Advisory/warning letter or verbal advice from BBI	15	24
Details forwarded to parking team for CEO awareness	24	13
No action required (including insufficient or incorrect information to pursue further)	26	33
Investigation in progress/pending	15	1
<b>Reporting:</b>		
Reports from others (incl. public)	42	55
Identified by CEO	52	24
Identified by BBI	3	6
<b>Location of incident:</b>		
Norfolk	83	84
Outside Norfolk	15	8
Insufficient information to determine	6	5
<b>Residency of badge-holder:</b>		
Norfolk resident badge-holder	71	67
Non-Norfolk resident badge-holder	14	28
Insufficient information to determine	6	6



Not BB related	2	2
<b>Total investigations:</b>	<b>93</b>	<b>103</b>
* A summary of all prosecutions is available to view on the NCC website under Blue Badges ** Pending prosecutions in brackets.		

## 5. Norfolk Fire and Rescue Service\*

768 Fire Safety Audits (FSA) were completed in 2018-19. Of these:

- 86 premises were issued with informal notices for deficiencies.
- 14 premises were issued with formal notices for deficiencies.
- 2 formal prosecutions were concluded, resulting in a conviction and fine in both cases.

\*Norfolk Fire and Rescue Service is required to provide detailed operational statistics to the Home Office on an annual basis. Further information regarding this is available from Garry Collins, Head of Fire Prevention & Protection, Norfolk Fire and Rescue Service.

## Summary of Stakeholder Engagement

Since 2014 the following have been consulted on and contributed to the development of the CES Enforcement Policy:

1. Norfolk County Councillors
2. Local businesses
3. Business organisations/forums
4. Members of the public
5. Charity or community organisations/groups
6. Suffolk County Council Trading Standards Service
7. Other Local Authorities
8. Enforcement partners such as the Police and HMRC
9. Planning Services (NCC)
10. Highways Maintenance (NCC)
11. Blue Badge Enforcement (NCC)
12. Norfolk Fire and Rescue Service
13. Trading Standards Service (NCC)
14. Flood and Water Management Team (NCC)
15. Economic Development (NCC and other local authorities)
16. Nplaw (Chief Legal Officer)
17. CES Equalities representative

# Report to Cabinet

Item No. 12

<b>Report title</b>	<b>Finance Monitoring Report 2019-20 P7: October 2019</b>
<b>Date of meeting</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member</b>	<b>Cllr Andrew Jamieson (Cabinet Member for Finance)</b>
<b>Responsible Director</b>	<b>Simon George (Executive Director of Finance and Commercial Services)</b>
<b>Is this a key decision?</b>	<b>Yes</b>

## **Introduction from Cabinet Member**

This report gives a summary of the forecast financial position for the 2019-20 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2020, together with related financial information.

## **Executive Summary**

Subject to mitigating actions, the forecast revenue outturn for 2019-20 is an overspend of **£3.819m** on a net budget of £409.293m. General Balances are £19.6m and reserves and provisions are forecast to total **£72.8m**.

## **Recommendations**

1. Recommend to County Council the addition of £0.750m to the capital programme for the purpose of making a contribution to improved infrastructure on former NCC agricultural land, as set out in appendix 2 paragraph 4.1;
2. Note the period 7 forecast general fund revenue overspend of **£3.819m** noting also that Executive Directors will take measures throughout the year to reduce or eliminate potential over-spends;
3. Note the period 7 forecast shortfall in savings of £4.916m, noting also that Executive Directors will take measures throughout the year to mitigate savings shortfalls through alternative savings or underspends;
4. Note the forecast General Balances at 31 March 2020 of £19.623m, before taking into account any over/under spends;
5. Note the expenditure and funding of the revised current and future 2019-22 capital programmes.

## 1. Background and Purpose

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2019-20, to assist members to maintain an overview of the overall financial position of the Council.

## 2. Proposals

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

## 3. Impact of the Proposal

- 3.1. The impact of this report is primarily to demonstrate where, if applicable, the Council is anticipating financial pressures not forecast at the time of budget setting, together with a number of other key financial measures.

## 4. Evidence and Reasons for Decision

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

**Appendix 1** summarises the revenue outturn position, including:

- Forecast over and under spends
- Changes to the approved budget
- Reserves
- Savings
- Treasury management and
- Payments and debt performance

**Appendix 2** summarises the capital outturn position, and includes:

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

## 5. Alternative Options

- 5.1. In order to deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report.

## 6. Financial Implications

- 6.1. As stated above, the forecast revenue outturn for 2019-20 is an overspend of **£3.819m** (P6 £4.368m) linked to a forecast shortfall in savings of **£4.916m**. Forecast reserves and provisions amount to **£72.8m**, and general balances **£19.6m**.

Within the forecast overspend are significant financial pressures identified in Children's Services and Adult Social Services, balanced by underspends in other areas, primarily Finance General.

The Children's Services net overspend is due mainly to high and increasing levels and complexity of need across placement and support budgets, including

children looked after, young people leaving care and children at risk of harm, and transport costs. Transport costs are forecast to rise due to pressures relating to the costs of home to school transport, particularly Special Educational Needs, Disabilities and Alternative Provision (SEND & AP) transport. Within Adults, there are pressures on Purchase of Care budgets, mainly related to Older People and Mental Health services. A full narrative is given in Appendix 1.

The Council's capital programme contains new schemes approved by County Council on 12 February 2019, as well as previously approved schemes brought forward and schemes subsequently approved during the year. The programme is being further developed as part of the 2020-23 budget proposals.

## **7. Resource Implications**

- 7.1. There are no direct staff, property or IT implications arising from this report.

## **8. Other Implications**

### **8.1. Legal Implications:**

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

### **8.2. Equality Impact Assessment**

In setting the 2019-20 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published as "Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)".

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

## **9. Risk Implications/Assessment**

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

Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. Chief Officers will take measures throughout the year to reduce or eliminate potential over-spends.

## **10. Select Committee comments**

- 10.1. None / not applicable.

## **11. Recommendation**

- 11.1. Recommendations are set out in the executive summary to this report.

## **12. Background Papers**

- 12.1. None

## **Officer Contact**

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

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

## Appendix 1: 2019-20 Revenue Finance Monitoring Report Month 7

Report by the Executive Director of Finance and Commercial Services

### 1 Introduction

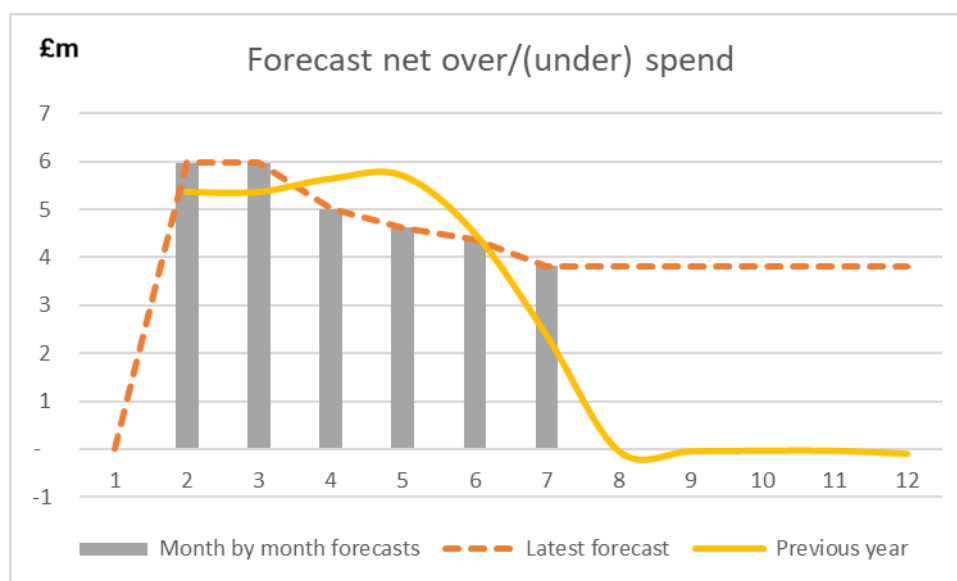
1.1 This report gives details of:

- the latest monitoring position for the 2019-20 Revenue Budget
- forecast General Balances and Reserves at 31 March 2020 and
- other key information relating to the overall financial position of the Council.

### 2 Revenue outturn – over/underspends

2.1 **At the end of October 2019** an **overspend of £3.819m** is forecast on a net budget of £409.293m.

Chart 1: forecast /actual revenue outturn 2019-20, month by month trend:



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

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

**Table 1: 2019-20 forecast (under)/over spends by service**

Service	Revised Budget	Net (under)/over spend	%	RAG
	£m	£m		
Adult Social Services	240.753	3.926	1.6%	A
Children's Services	181.212	8.500	4.7%	R
Community and Environmental Services	155.122	0	0.0%	G
Strategy and Governance	8.747	-0.057	-0.7%	G
Finance and Commercial Services	29.001	0	0.0%	G
Finance General	-205.542	-8.550	4.2%	G
<b>Totals</b>	<b>409.293</b>	<b>3.819</b>	<b>0.9%</b>	<b>G</b>

Notes:

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

2.4 **Children's Services:** Existing commitments within NCC Funded Children's Services indicate significant pressures during 2019-20 particularly within placements and support for children looked after, young people leaving care, as well as support and intervention around families to enable children and young people to stay safe at home, including staff costs where they are the intervention as well as third party support.

2.5 Additional pressures relating to the costs of home to school transport, particularly Special Educational Needs, Disabilities and Alternative Provision (SEND & AP) transport, totalling £3.5m, were identified this period following a review of the commitments since the start of the academic year. Market conditions have resulted in a significant unit cost increase for SEND & AP home to school transport. As a result of a DfE consultation, a £2m contribution previously budgeted from the NCC General Fund to support the Dedicated Schools Grant High Needs pressures is no longer required, partly off-setting the transport pressures. The net impact is an increase in the forecast Children's Services overspend of £1.5m to £8.5m.

2.6 The service pressures have been long identified by the department, including front line social care staffing pressures where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need. The impact of these pressures continues to be reviewed and are being addressed through a sustained multi-year programme of transformation.

2.7 Further details relating to the Children's Services position are included in Revenue Annex 1.

2.8 **Dedicated Schools Grant:** A review of the financial year's commitments for each of the blocks of the Dedicated Schools Grant (DSG) have highlighted



pressures within the High Needs Block. The pressures for the High Needs Block were anticipated and built into the plan shared with the Secretary of State when the application to move funds from the Schools Block to the High Needs Block for 2019/20 was agreed.

- 2.9 The DfE have recently issued a consultation upon the grant conditions of the DSG that could have implications upon the planned contributions from NCC General Fund to the DSG. Having reviewed the proposed grant conditions, the budgeted £2m contribution from NCC General Fund in 2019/20 has been removed from the DSG forecast. The ongoing impact of these revised grant conditions will be considered as part of the Council's strategic budget planning.
- 2.10 The current outturn forecast indicates an overall overspend on the DSG in the region of £7.5m, which is an increase of £2m to take into account the impact of the expected changes to grant conditions as per 2.9 above. This in-year overspend will be combined with the cumulative overspend of £10.887m brought forward from prior years.
- 2.11 Significant work is being undertaken through the Special Educational Needs and Disabilities (SEND) and Alternative Provision (AP) part of the Transformation programme both to ensure that the right specialist provision is in the right place to meet needs, whilst also progressing work to transform how the whole system supports additional needs within mainstream provision.
- 2.12 The Council submitted its DSG recovery plan to the DfE at the end of June and are awaiting a meeting with the DfE to explore this plan further. The Council also submitted a response to the DfE's call for evidence at the end of July.
- 2.13 **Adult Social Services:** The forecast outturn as at Period 7 (end of October 2019) is an overspend of £3.926m. The main area of overspend is on Older People and Mental Health services within the Purchase of Care budget, which relates to direct provision of care services. This is largely due to the underlying position, which in 2018-19 was mitigated through the use of £4.2m of winter pressures funding and expected shortfall in delivery of demand management savings in this financial year.
- 2.14 Despite a year on year reduction in spend, the number of packages of care that are currently being delivered to service users exceed those budgeted for to achieve savings. Work is ongoing to manage this and identify actions to reduce the pressure. The senior management team is directly overseeing a recovery plan, focused primarily on purchase of care costs that could be influenced during the year. The overspend is lessened by additional recharges from the NHS for specific cases that are not NCC's responsibility.
- 2.15 The forecast overspend in P7 reduced by £0.499m. This is due to a range of variances to the forecast including an increase in staff vacancies, additional income towards early help and prevention, and the release of provision to reflect the review of debt forecasts.

- 2.16 **CES:** Community and Environmental Services are currently forecasting an overall net balanced budget for 2019/20. Based on early data there are some forecast underspends around staff vacancies and forecast additional income within Highways. However, the department is managing a number of issues.
- 2.17 Fire Service – We anticipated there would be continuing cost pressures within 2019/20 and proposed to manage these through budget control of other areas, where possible, and a planned use of reserves. The longer-term impacts of managing these issues being picked up through the 2020/21 budget planning cycle and the development of the 2020 IRMP (integrated Risk Management Plan).
- 2.18 We are now through the first quarter of the financial year and following on from the outcomes of the HMICFRS (Her Majesty’s Inspectorate of Constabulary, Fire and Rescue Services) inspection and the subsequent improvement plan that has been developed we have had the opportunity to work up in more detail the estimated additional costs of the various activities.
- 2.19 The additional pressure arises from the delivery of the Improvement plan and the need to ensure appropriate capacity/resources in place to deliver this. For 2019/20 this is likely to be an additional £0.201m. Where possible we will manage this within the wider CES departmental budget and we will continue to look at opportunities to offset this with further budget control within the service.
- 2.20 Museums Services – To date the Service has been forecasting a balanced outturn, however based on the latest information and updated forecasts we are projecting a deficit for 2019/20 of £0.155m. This is subject to several factors which are difficult to estimate, and the Museums Service will be working hard to mitigate the immediate impact on earned income through a new programme of exhibitions and additional events, including those relating to the acquisition of Walton Bridges by JMW Turner. This is partially offset by small underspends elsewhere within the services.
- 2.21 **Corporate services:** The Strategy and Governance directorate is forecasting a modest underspend at this early stage of the year, with Finance and Commercial Services forecasting a balanced budget.
- 2.22 **Finance General:** The forecast underspend in Finance General increased by £1.5m this month as a result of lower than anticipated costs of redundancy releasing monies held in organisational review budgets. The net impact of revised business rates projections, insurance fund assumptions, flexible use £2m of capital receipts to support transformation costs, along with revised interest receivable and payable assumptions have resulted in a forecast underspend of £8.5m.

### 3 Agreed budget, changes and variations

- 3.1 The 2019-20 budget was agreed by Council on 11 February 2019 and is summarised by service in the Council's Budget Book 2019-22 (page 21) as follows:

**Table 2: 2019-20 original and revised net budget by service**

<b>Service</b>	<b>Approved net base budget</b>	<b>Revised budget P6</b>	<b>Revised budget P7</b>
	£m	£m	£m
Adult Social Services	247.606	247.253	240.753
Children's Services	211.667	211.336	181.212
Community and Environmental Services	160.712	159.122	155.122
Strategy and Governance	8.657	8.747	8.747
Finance and Commercial Services	26.395	28.593	29.001
Finance General	-245.744	-245.758	-205.542
<b>Total</b>	<b>409.293</b>	<b>409.293</b>	<b>409.293</b>

Note: this table may contain rounding differences.

- 3.2 During period 7 "refcus" estimates were removed from service budgets and transferred to Finance General. These budget estimates represent an estimated £40m of capital expenditure which for statutory accounting purposes terms is treated as "Revenue Expenditure funded from Capital under Statute". This can include capital grants to third parties, or capital work on third party property (for example work to expand provision at Academy schools). The estimates will be replaced by actual "refcus" charges in the statutory accounts when final figures are known – this does not affect the Council's general fund.
- 3.3 In addition, a small number of property and staffing budgets were re-allocated between departments to reflect service responsibilities.
- 3.4 The Council's overall net budget for 2019-20 has remained unchanged.

## 4 General balances and reserves

### General balances

- 4.1 On 11 February 2019 Council agreed the recommendation from the Executive Director of Finance and Commercial Services for a minimum level of General Balances of £19.536m through 2019-20. The balance at 1 April 2019 was £19.623m. The forecast for 31 March 2020 is unchanged at £19.623m, before any over or underspends

### Reserves and provisions 2019-20

- 4.2 The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2019. Actual balances at the end of March 2019 were higher than planned, mainly as a result of grants being carried forward, and reserves use being deferred.
- 4.3 The 2019-20 budget was approved on the basis of a forecast reduction in earmarked revenue reserves and provisions (including schools reserves but excluding LMS and DSG reserves) from £85.6m to £61.3m, a net use of £24.5m.

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

Reserves and provisions by service	Budget book forecast balances 1 April 2019	Actual balances 1 April 2019	Increase in opening balances after budget setting	2019-20 Budget book forecast March 2020	Latest forecast balances 31 March 2020
	£m	£m	£m	£m	£m
<b>Adult Social Services</b>	27.463	32.101	4.638	13.619	16.369
<b>Children's Services (inc schools, excl LMS/DSG)</b>	6.521	8.184	1.663	1.568	1.998
<b>Community and Environmental Services</b>	34.030	37.992	3.962	29.935	36.327
<b>Strategy and Governance</b>	1.809	2.680	0.871	1.422	2.171
<b>Finance &amp; Commercial Services</b>	1.746	3.147	1.401	1.510	3.047
<b>Finance General</b>	14.247	17.429	3.182	13.215	12.915
<b>Reserves and provisions</b>	<b>85.816</b>	<b>101.533</b>	<b>15.717</b>	<b>61.269</b>	<b>72.827</b>

- 4.4 Forecast overall provisions and reserves at 31 March 2020 are approximately £11m in excess of 2019-20 budget book assumptions. This is due primarily to the increases in reserves, including unspent grants and contributions, brought forward after budget setting.

### 4.5 Provisions included in the table above

The table above includes provisions of £28m comprising £9m insurance provision, £12m landfill provision (this provision is not cash backed), £6m provisions for bad debts, and a small number of payroll related provisions.

## 5 Budget savings 2019-20 summary

- 5.1 In setting its 2019-20 Budget, the County Council agreed net savings of £31.605m. Details of all budgeted savings can be found in the 2019-20 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 5.2 The latest monitoring reflects total forecast savings **delivery of £26.689m** and a **total shortfall of £4.916m** forecast at year end.
- 5.3 The RAG status and forecast savings delivery is anticipated as shown in the table below:

Table: Analysis of 2019-20 savings forecast and RAG status

RAG status and definition	Adult Social Care	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
<b>Savings shortfall</b>	<b>-4.584</b>	<b>-0.332</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-4.916</b>
<b>Red</b> Significant concern saving may not be delivered, or there may be a large variance (50% and above).	-0.567	0.000	0.000	0.000	0.000	0.000	<b>-0.567</b>
<b>Amber</b> Some concern saving may not be delivered or there may be some variance (up to 50%).	-6.000	-0.168	0.000	0.000	0.000	0.000	<b>-6.168</b>
<b>Green</b> Confident saving will be delivered (100% forecast).	-6.743	-6.322	-3.891	-0.931	-0.945	-1.122	<b>-19.954</b>
<b>Total forecast delivery</b>	<b>-13.310</b>	<b>-6.490</b>	<b>-3.891</b>	<b>-0.931</b>	<b>-0.945</b>	<b>-1.122</b>	<b>-26.689</b>
<b>Total budget savings</b>	<b>-17.894</b>	<b>-6.822</b>	<b>-3.891</b>	<b>-0.931</b>	<b>-0.945</b>	<b>-1.122</b>	<b>-31.605</b>

### Commentary on savings shortfalls

- 5.4 Five savings have been rated as RED, and two rated as AMBER, where partial delivery of savings is forecast. This equates to an overall forecast savings shortfall of £4.916m (16% of total budgeted savings).

Apart from an adverse movement of £0.210m in P6, the overall position remains broadly unchanged since period 6. A full commentary was provided in the 4 November 2019 Cabinet Finance Monitoring report.

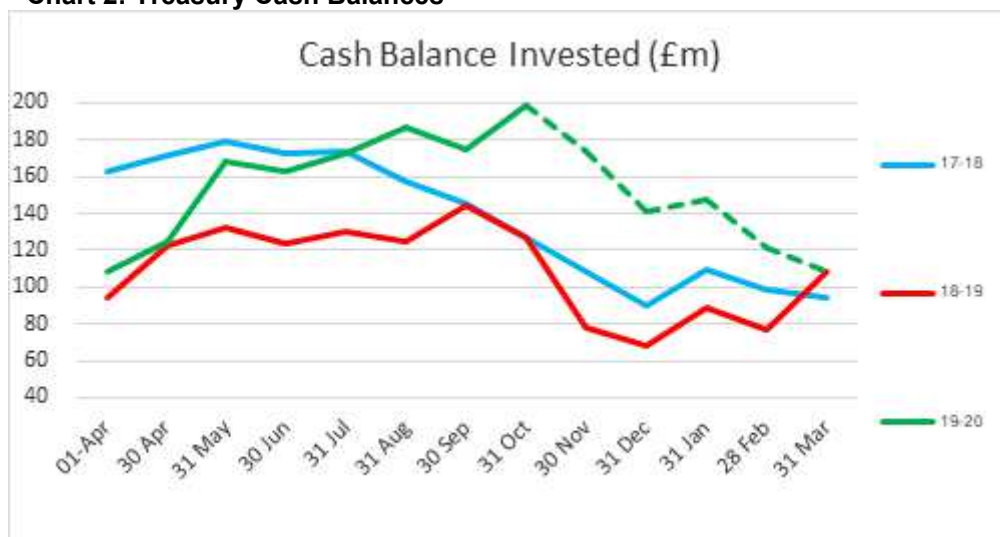
### **2020-21 to 2021-22 savings**

- 5.5 Budget setting in 2019-20 saw the approval of £31.082m savings for 2020-21 and £16.740m savings for 2021-22. At this point work is underway as part of the 2020-21 budget setting process to identify whether any of these savings need to be reversed and this will be reported to Cabinet in January.

## 6 Treasury management summary

- 6.1 The corporate treasury management function ensures the efficient management of all the authority's cash balances. The graph below shows the level of cash balances over the last three years, to March 2020.

Chart 2: Treasury Cash Balances

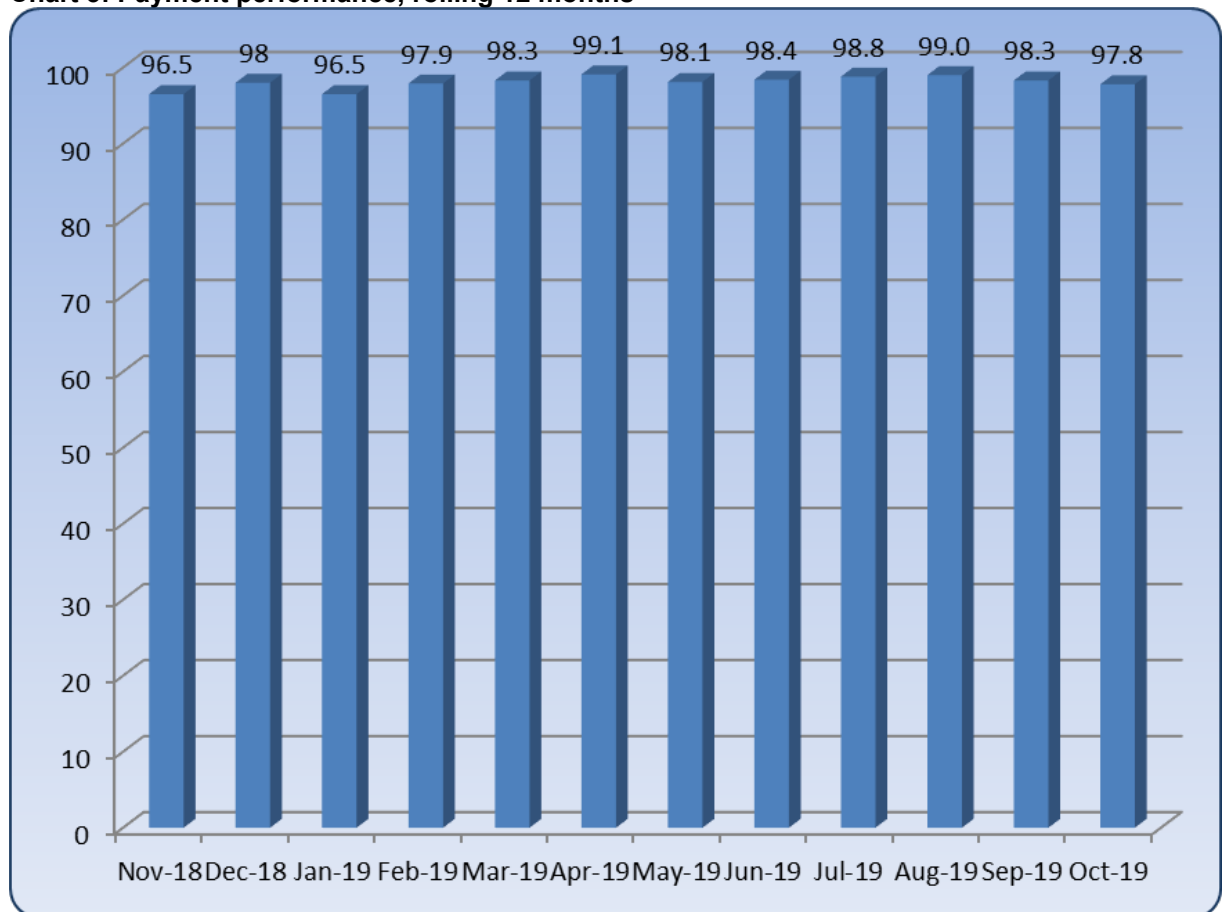


- 6.2 No borrowing was undertaken in October 2019. The graph above reflects the total of £70m borrowed in the year to date, plus a forecast additional £10m borrowing planned as part of the Council's approved treasury management strategy.
- 6.3 Despite a spike in grant income in October, temporarily increasing balances, the forecast closing balance of approximately £100m is consistent with closing balances in March 2018 and 2019.
- 6.4 PWLB and commercial borrowing for capital purposes was £693m at the end of October 2019. Associated annual interest payable is £28.8m.
- 6.5 On 9 October 2019 HM Treasury announced that 1% will be added to all new PWLB borrowing rates, with immediate effect. This will affect new non-infrastructure borrowing. Borrowing at the infrastructure rate is unaffected.
- 6.6 Subsequently, on 1 November 2019, HM Treasury announced that the Council's bid for access to £17.1m at the discounted local infrastructure rate PWLB borrowing has been approved for investing in the river crossing in Yarmouth. With interest rates historically low and subject to external advice, the Council may borrow this amount in 2019-20, effectively bringing forward £7.1m planned borrowing from 2020-21.
- 6.7 New borrowing is applied to the funding of previous capital expenditure, effectively replacing cash balances which have been used on a temporary basis to avoid the cost of 'carrying' debt in the short term.

## 7 Payment performance

7.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 420,000 invoices are paid annually. Over 97% were paid on time in October. The percentage has not dropped below 96% in the last 12 months.

**Chart 3: Payment performance, rolling 12 months**



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



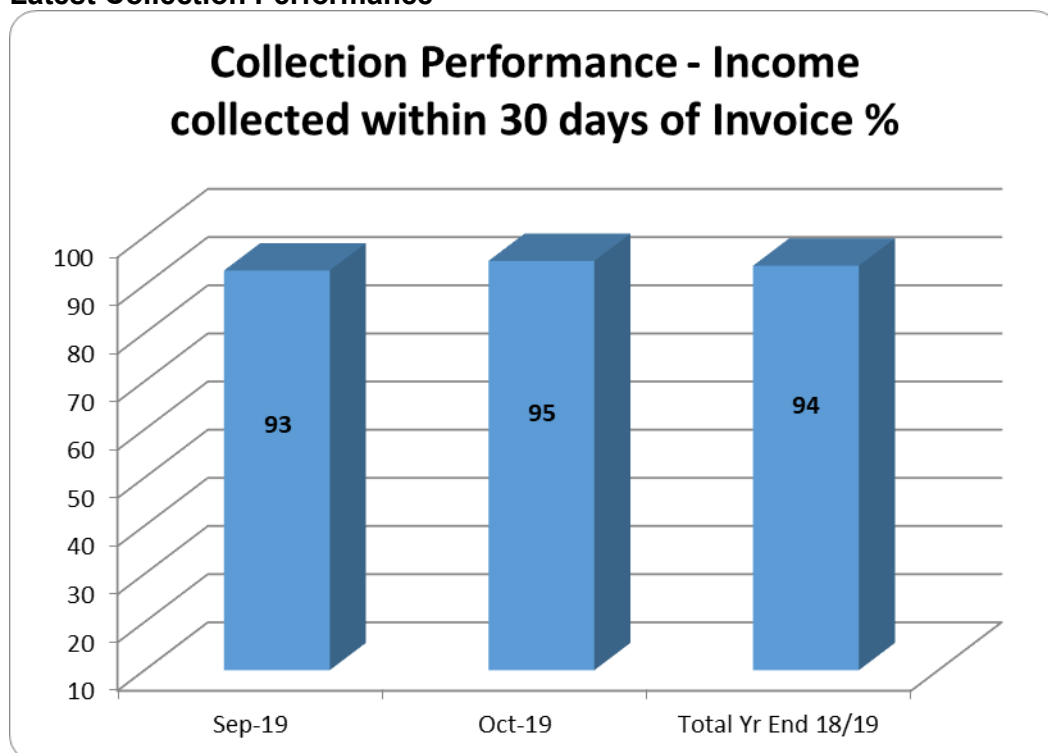
## 8 Debt recovery

8.1 **Introduction:** Each year the County Council raises over 150,000 invoices for statutory and non-statutory services totalling over £1bn. In 2018-19 94% of all invoiced income was collected within 30 days of issuing an invoice, and 98% was collected within 180 days.

### Debt collection performance measures

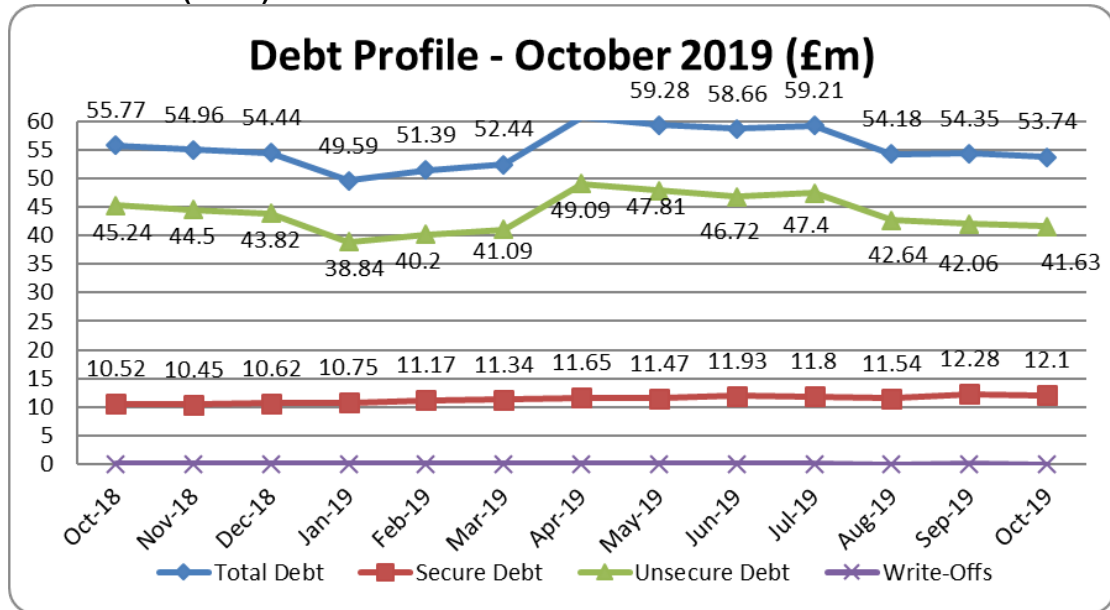
8.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 95% in October 2019.

#### Latest Collection Performance



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

## Debt Profile (Total)



Of the £41.6m unsecure debt at the end of October, £12.0m is under 30 days. The largest area of unsecure debt relates to charges for social care, £28.8m, of which £9.8m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.

- 8.4 Secured debts amount to £12.1m. Within this total £3.6m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.
- 8.5 **Debt write-offs:** In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write off of all debts up to £10,000.
- 8.6 Service departments are responsible for funding their debt write offs. Before writing off any debt all appropriate credit control procedures are followed.
- 8.7 For the period 1 April 2019 to the end of October 2019, 453 debts less than £10,000 were approved to be written off following approval from the Executive Director of Finance and Commercial Services. These debts totalled £294,634.72.
- 8.8 Two debts over £10,000 totalling £36,925.35 were approved for write off in May 2019 and written off in the 2018-19 accounts.

## Revenue Annex 1

### Forecast revenue outturn

#### Revenue outturn by service

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

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	240.753	3.926	1.6%	244.679
Children's Services	181.212	8.500	4.7%	189.712
Community and Environmental Services	155.122	0	0.0%	155.122
Strategy and Governance	8.747	-0.057	-0.7%	8.690
Finance and Commercial Services	29.001	0	0.0%	29.001
Finance General	-205.542	-8.550	4.2%	- 214.092
<b>Forecast outturn this period</b>	<b>409.293</b>	<b>3.819</b>	<b>0.9%</b>	<b>413.112</b>
Prior period forecast	409.293	4.368	1.1%	413.661

#### Reconciliation between current and previously reported underspend

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

	£m
<b>Forecast overspend brought forward</b>	<b>4.368</b>
<b>Movements October 2019</b>	<b>-0.499</b>
Adult Social Services	
Children's Services	1.500
Community and Environmental Services	
Strategy and Governance	
Finance and Commercial Services	
Finance General	-1.550
<b>Outturn over/(under) spend</b>	<b>3.819</b>

## Revenue Annex 1 continued

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

### Revenue budget outturn by service – detail

<b>Adult Social Services</b>	<b>Over spend</b>	<b>Under spend</b>	<b>Changes</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>
Business Development		(0.151)	0.013
Commissioned Services	0.718		0.143
Early Help & Prevention		(0.433)	-0.203
Services to Users (net)	2.563		-0.328
Management, Finance & HR	1.229		-0.124
<b>Forecast over / (under) spends</b>	<b>4.510</b>	<b>-0.584</b>	<b>-0.499</b>
<b>Net total</b>	<b>3.926</b>		
<b>Children's Services</b>	<b>Over spend</b>	<b>Under spend</b>	<b>Changes</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>
Social Work	8.600		
Early Help, Prevention & Commissioning	0.400		
Home to school transport including SEND & AP	3.500		3.500
Re-allocation of budget provision for High Needs Block due to proposed change in DSG grant conditions		-2.000	-2.000
Schools capital funded by borrowing		-2.000	
	<b>12.500</b>	<b>-4.000</b>	<b>1.500</b>
	<b>8.500</b>		
<b><i>Dedicated schools grant</i></b>			
Post 16 Further Education High Needs Provision	1.000		
Independent special school places	5.100		
Maintained special schools		-0.500	
Alternative provision	0.800		
Short Stay School for Norfolk	1.000		
Personal Budgets	0.300		
Specialist Resource Bases		-0.200	
Other	0.100		
Schools block	-	-0.100	
NCC contribution			2.000
Increase in net deficit to be carried forward		-7.500	-2.000
<b>Forecast over / (under) spend</b>	<b>8.300</b>	<b>-8.300</b>	<b>-</b>
<b>Net total</b>		<b>-</b>	

<b>Community and Environmental Services</b>	<b>Over spend</b>	<b>Under spend</b>	<b>Changes</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>
Culture & Heritage	0.136		
Support & Development		-0.065	
Economic Development	0.049		
Highways & Waste		-0.488	
Community Information & Learning	0.005		
Public Health		-0.184	
Fire Service	0.201		
Provision for CES departmental risks	0.346		
<b>Forecast over / (under) spend</b>	<b>0.737</b>	<b>-0.737</b>	<b>0</b>
<b>Net total</b>		-	

<b>Strategy, Finance and Finance General</b>	<b>Over spend</b>	<b>Under spend</b>	<b>Changes</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>
<b>Strategy and Governance</b>			
Communications		-0.055	
Democratic Services		-0.002	
<b>Forecast over / (under) spend</b>	-	<b>-0.057</b>	
		<b>-0.057</b>	
<b>Finance and Commercial Services</b>			
<b>Forecast over / (under) spend</b>		<b>0</b>	
<b>Finance General (see below for narrative)</b>			
Net impact of revised business rates projections		-2.700	
Insurance fund		-1.000	
Interest on balances		-0.550	-0.050
Interest on LIF loans		-0.800	
Lower than anticipated costs of redundancy / use of organisational review reserves		-1.500	-1.500
Use of capital receipts to support transformation costs		-2.000	
<b>Forecast over / (under) spend</b>		<b>-8.550</b>	<b>-1.550</b>
<b>Net total</b>		<b>-8.550</b>	

## Revenue Annex 1 continued

### Children's Services Commentary

Existing commitments within NCC Funded Children's Services indicate significant pressures during 2019-20 particularly within placements and support for children looked after, young people leaving care, as well as support and intervention around families to enable children and young people to stay safe at home, including staff costs where they are the intervention as well as third party support.

The service pressures have been long identified by the department. These are being addressed through a sustained multi-year programme of transformation.

The primary reasons for the pressures being indicated at this stage in the financial year are:

- that the level of pressure rose during the latter part of 2018/19 beyond that which was covered by the additional growth monies allocated, resulting in additional pressures for 19-20 particularly because of the full year effect of what was seen in quarter 4 of last year;
- that the savings to be achieved through transformation during 2019/20 have begun to impact with the expected impact anticipated already in the outturn forecast. The various initiatives aimed at reducing the number of children in care and changing the placement mix continue to be profiled to impact in phases throughout 2019/20;
- front line social care staffing pressures, where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need to allow for increased levels of intervention earlier to reduce escalation of need and to prevent and reduce placement spend;
- the current commitments currently show more children with higher costs than we anticipated having when the budget was set, with the transformation expected to impact later in the year.

In addition to the pressures listed above, a review of commitments in relation to the Home to School transport budget, particularly for children with Special Educational Needs and Disabilities, has been undertaken. As a result of this review, a potential overspend of £3.5m has been identified. This is primarily due to the deterioration of already challenging market conditions that were not foreseen when the budget was set. The rurality of Norfolk means that pupils often have to travel significant distance to attend a school that meets their educational needs and it is not always viable for journeys to be shared. The £120m capital SEND transformation programme will ensure that children are able to attend a school place closer to their home, which in turn will reduce down the spend on SEND transport in future years as this provision comes on board.

Due to a recent DfE consultation in relation to DSG grant conditions, a £2m contribution previously budgeted from the NCC General Fund to support the DSG High Needs pressures is no longer required.

To partially mitigate previously identified pressures, Children's Services plan to capitalise £2m of equipment spend and revenue contributions to capital expenditure by schools in line with the approach utilised in 2018-19. Taking these mitigating

actions into account, the projected overspend at period 7 for NCC Funded Children's Services has increased by £1.5m to £8.5m.

In relation to the financial costs for children in care, there are positive trends since the beginning of the year that are reducing the pressure level over time, as anticipated in the outturn forecast. The number of children in care has reduced from a high of 1227 in January to 1149 at the end of October (of which 60 were unaccompanied asylum-seeking children). In particular the department is seeing fewer children coming into care as a result of effective earlier intervention. Significant focus is now being employed to ensure that children are able and supported to leave care as soon as it is safe for them to do so. We would expect this to result in an increase in the number of children ceasing care as well as reducing the average length of time that a child is in care for. Additionally, Children's Services are already seeing a good level of success in relation to one of the key changes targeted in our placement mix with a significant move away from high-cost independent fostering agencies and towards NCC's own high quality and cost effective in-house fostering team. A large proportion of cost is driven by residential placement numbers, these have remained stable since the start of the year. Key to bringing down the overall pressure will be the level of success we have in moving away from this provision and towards our new semi-independent and enhanced fostering options.

Key points to note are:

- Forecast placement and support spend at P7 is similar to 2018/19 outturn. The pressure reflected occurred between P8 and P12 of 2018/19 when we saw an increase of nearly £1m.
- Positive financial impact on the placements budgets is being achieved through increasing in-house fostering placements and reducing independent fostering with performance better than profiled. Pressure reflects year on year increase in agency residential, net £2m and plans to reduce reliance on residential placements are in place and expected to impact later in the year.
- Further analysis of the agency residential commitments is required but expected to be due to the full year effect of changes in placements in 2018-19 following an increase in placements during the last quarter after the budget was set (potentially over £1m effect based upon average costs per placement).
- Growth due to demographic changes was anticipated for 2019-20 alongside the agreed budgetary savings. Close scrutiny continues to understand the actual impacts of both these areas against the planned impact as the year progresses and the impact of the transformation programme is seen.

Over and above the existing transformation programme, Children's Services Leadership Team have agreed an action plan of activity with the aim of avoiding further pressures and to reduce the identified pressures. Alongside this, work is ongoing to review and scrutinise the data alongside colleagues from support services to ensure that projections take account of expectations and plans for the full year on a child by child basis.

This forecast includes significant assumptions with respect to the anticipated impact of the transformation programme as it continues to evolve and as changes are embedded in business as usual. Review of placements costs over the most recent

months show a reduction in monthly spend that supports the expectation that the transformation impact would begin to take effect as the year progressed. Ongoing review is required to inform future forecasts, alongside reviewing the accuracy of predictions both in relation to growth and savings. This will allow more specific forecasting and a clearer picture of where the year-end position will be. The department is already taking a number of actions to enable this clarity to be gained and to keep a careful track of progress, alongside colleagues within support services.

Work is underway to understand the potential impact of these pressures seen in 2019-20 upon future years, in particular 2020-21, to allow the budget planning work of the Council to reflect them.

### **Finance General forecast over and underspends**

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

#### **Net impact of revised business rates projections (underspend £2.700m)**

This forecast underspend relates to the net impact of revised business rates projections from district councils, received after the Council set its budget in February 2019.

#### **Insurance fund (underspend £1.000m)**

This forecast underspend is the result of a forecast over-provision in the light of recent insurance fund valuations.

#### **Interest on balances (forecast underspend £0.550m)**

The 2019-20 interest payable/receivable budget was prepared on the basis of a number of assumptions including cash flows, interest rates and the extent of actual borrowing. The cost and timing of borrowing has resulted in a forecast underspend.

#### **Interest on LIF loans (underspend £0.800m)**

This forecast underspend is an estimate of interest which will be accrued during 2019-20 on Local Infrastructure Fund loans made to developers to accelerate the construction of new homes in Norfolk.

#### **Lower than anticipated costs of redundancy (forecast underspend £1.500m)**

Based on the latest projections, officer forecasts for 2019-20 suggest that spend on redundancy costs will be £1.5m lower than was anticipated at the time of budget setting

#### **Use of capital receipts to support transformation costs (underspend £2.000m)**

On 25 September 2017 Policy and Resources Committee considered a report entitled Demand Management & Prevention Strategy: Children's Services. This resulted in the allocation of a one-off investment of £12-£15m into children's services over the four years 2018-22. It is proposed that subject to the achievement of property sales in 2019-20, £2m of capital receipts will be allocated to fund transformation through the "flexible use of capital receipts" in accordance with the policy approved by County Council on 12 February 2018.



## Norfolk County Council Finance Monitoring Report 2019-20

### Appendix 2: 2019-20 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

#### 1 Capital Programme 2019-20

- 1.1 On 11 February 2019, the County Council agreed a 2019-20 capital programme of £307.858m with a further £240.734m allocated to future years', giving a total of £548.592m.
- 1.2 Additional re-profiling from 2018-19 resulted in an overall capital programme at 1 April 2019 of £617m. Further in-year adjustments have resulted in the outturn capital programme shown below:

**Table 1: Capital Programme budget**

	<b>2019-20 budget</b>	<b>Future years</b>
	<b>£m</b>	<b>£m</b>
New schemes approved February 2019	87.207	167.28
Previously approved schemes brought forward	220.651	73.454
<b>Totals in 2019-22+ Budget Book (total £548.592m)</b>	<b>307.858</b>	<b>240.734</b>
Schemes re-profiled after budget setting	58.373	5.766
Other adjustments after budget setting including new grants	4.821	
<b>Revised opening capital programme (total £617.551m)</b>	<b>371.051</b>	<b>246.500</b>
Re-profiling since start of year	-127.218	127.218
Other movements	52.650	110.265
<b>Capital programme budgets (total £780.466m)</b>	<b>296.483</b>	<b>483.983</b>

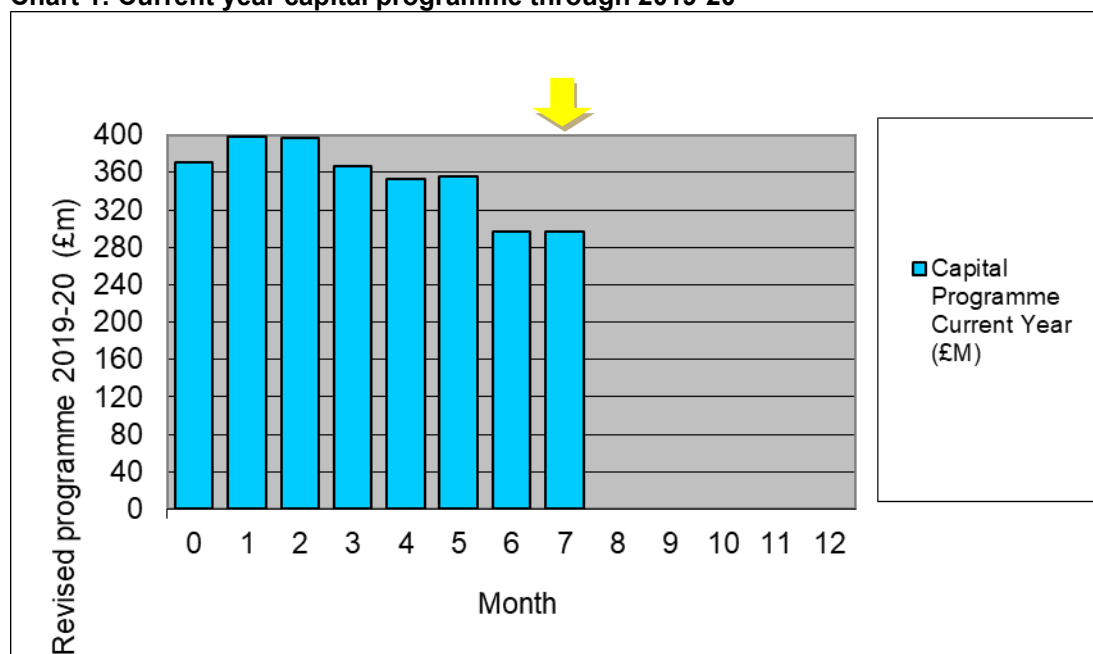
*Note: this table and the tables below contain rounding differences*

The "future years" column above includes new schemes approved as part of the 2019-22 capital strategy and programme.

## Changes to the Capital Programme

1.3 The following chart shows changes to the 2019-20 capital programme through the year.

Chart 1: Current year capital programme through 2019-20



1.4 Month “0” shows the 2019-20 outturn future capital programme with a number of highways schemes added in month 1. The arrow shows the latest current year position. The current year programme will change as additional funding is secured, and as schemes are re-profiled to future years where timings become more certain.

1.5 The current year’s capital budget for each service is set out in the table below:

Table 2: Service capital budgets and movements 2019-20

Service	Opening programme	Previously reported Programme	Reprofilng since previous report	Other Changes since previous report	2019-20 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	154.474	99.486	-9.953	0.000	89.533
Adult Social Care	18.388	14.103	0.000	0.000	14.103
Community & Environmental Services	119.188	140.875	0.609	-0.102	141.382
Finance & Comm Servs	79.001	51.466	0.000	0.000	51.466
<b>Total</b>	<b>371.051</b>	<b>305.931</b>	<b>-9.344</b>	<b>-0.102</b>	<b>296.484</b>
				<b>-74.567</b>	

Note 1: this table may contain rounding differences

- 1.6 The revised programme for future years (2020-21 to 2021-22 and beyond) including £240.734m new and reprofiled schemes approved County Council 11 February 2019, is as follows:

**Table 3: Capital programme 2020-22**

<b>Service</b>	<b>Previously reported future programme</b>	<b>Reprofilng since previous report</b>	<b>Other Changes previous report</b>	<b>2020+ Future Capital Budget</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
Children's Services	150.751	9.953	1.033	161.738
Adult Social Care	39.226	0.000	0.000	39.226
Community & Environmental Services	208.169	-0.609	0.000	207.560
Finance & Comm Servs	75.459	0.000	0.000	75.459
<b>Total</b>	<b>473.605</b>	<b>9.344</b>	<b>1.033</b>	<b>483.983</b>
			<b>10.377</b>	

*Note: this table may contain rounding differences*

- 1.7 The funding for a large number of schemes has been reprofiled from the current to future years, on the basis of more up to date expenditure predictions. Further details can be found in Capital Annex 1.
- 1.8 Actual expenditure to P7 is as follows:

**Table 4: Actual expenditure to date**

<b>Service</b>	<b>Expenditure year to date</b>
	<b>£m</b>
Children's Services	24.734
Adult Social Care	9.223
Community & Environmental Services	34.847
Finance and Commercial Services	8.171
<b>Total</b>	<b>76.975</b>

Capital accounting accruals at 31 March 2019 represented approximately 2 months expenditure. Taking this into account the rate of capital spend is averaging £15-16m per month. Total spend in 2019-20 is therefore forecast to be £180m-£190m, compared with £158.5m in 2018-19. The current level of spend indicates that a significant amount of re-profiling of schemes into 2020-21 will take place as the timing of schemes becomes more certain.

## 2 Financing the capital programme

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

**Table 5: Financing of the capital programme**

<b>Funding stream</b>	<b>2019-20 Programme</b>	<b>Future Years Forecast</b>
	<b>£m</b>	<b>£m</b>
Prudential Borrowing	130.260	299.918
Use of Capital Receipts		
Revenue & Reserves	0.129	-
<i>Grants and Contributions:</i>		
DfE	58.660	31.630
DfT	48.731	122.994
DoH	8.270	0.566
MHCLG	0.284	0.049
DCMS	1.953	5.814
Developer Contributions	21.812	12.718
Other Local Authorities	6.575	-
Local Enterprise Partnership	9.695	
Community Infrastructure Levy	2.984	
National Lottery	3.681	8.618
Other	3.451	1.677
<b>Total capital programme</b>	<b>296.484</b>	<b>483.983</b>

*Note: this table may contain rounding differences*

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

### 3 Capital Receipts

- 3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.
- 3.2 The capital programme, approved in February 2019, gave the best estimate at that time of the value of properties available for disposal in the three year's to 2021-22, totalling £23.6m. Revised estimates, particularly around the value of development land and the potential to re-use rather than dispose of properties, have resulted in an updated longer term forecast:

**Table 6a: Disposals longer term forecast**

<b>Financial Year</b>	<b>Property sales forecast £m</b>
2019-20	10.296
2020-21	9.483
2021-22	1.322
2022-23	2.075
2023-24	0.805
	<b>23.981</b>

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

**Table 6b: Disposals expected within year £m**

<b>Actual and anticipated property sales 2019-20</b>	<b>Potential receipt £m</b>
Receipts secured (inc sales subject to contract)	2.375
High chance of sale	0.911
Major development sites	5.418
	<b>8.704</b>
<b>Other possible sales 2019-20</b>	
Medium chance of sale	1.592
Low chance of sale (moved to 2020-21)	
<b>Maximum receipts potential</b>	<b>10.296</b>

In addition to the receipts from the disposal of property shown above, capital receipts from the repayment of loan capital will also be classed as capital receipts.

#### **4 New schemes to be added to the Capital Programme**

##### **4.1 Contribution to improved infrastructure on former NCC agricultural land to south east of Attleborough (new capital budget £0.750m)**

Norfolk County Council owns 13.1 acres of former agricultural land to the south east of Attleborough, which has been zoned into three plots for commercial development. It is proposed to sell plot 1 to a local manufacturing business, so they can build a new factory. As part of the transaction, the purchaser will install site infrastructure to their own plot and also to serve plots 2 and 3. NCC will then be able to sell plots 2 and 3 as serviced development land at higher value.

Total servicing costs are estimated at £1.673m, which have been reviewed for NCC by NPS Property Consultants Ltd. NCC will pay 41% of these costs which relate to plots 2 and 3. These are estimated at £0.693m subject to surveys and agreement. This split is proportionate to plot sizes and usage. The works will be commissioned and managed by the purchaser, and NCC will release its contributions on the basis of quantity surveyor certificates and approval from the Head of Property.

Plots 2 and 3 equate to 5.298 acres. NCC will generate a premium of £0.054m per acre for servicing the site, totalling £0.285m over and above the cost of the work. The amount requested is £0.750m to allow for contingencies.

## Capital Annex 1 – Changes to capital programme since last Cabinet finance monitoring report

Changes to capital programme since previous capital monitoring report			19-20	19-20	20-21+	20-21+	
Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
<b>Adult Social Care</b>							
<b>Total Adult Social Care</b>			<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	
<b>Children's Services</b>							
Developer Contributions	Various	S106	-	8.515		8.515	There are a number of S106 agreements where there is no specific project available to allocate the funding to at present. These projects are being developed and the spend reprofiled so the funds can be applied in future.
EC4279	CS Sufficiency	NCC Borrowing	-	1.263		1.263	This project is set to complete in 2019/20 and the current forecast provides a potential underspend of 1.263m. however, there is a possibility of the project being extended and more properties purchased, so the funding has been reprofiled rather than removed at this stage .
EC4907	Hethersett Junior	External Grant		0.294	-	0.294	The approval report and cost statements have now been received for this project and funds have been reprofiled accordingly.
EC4423	Browick Road		-	0.020		0.020	This project is on hold for the time being so remaining funds have been reprofiled
EC4397	Sheringham Woodfields	External Grant	-	0.450		0.450	This has now started on site but as this is a school led project the funds are being released in stages.
EC3829	Bradwell Developer Contribution	S106			1.033		Income received in 19/20 but won't be allocated until next financial year
<b>Total Children's services</b>			<b>0.000</b>	<b>-9.953</b>	<b>1.033</b>	<b>9.953</b>	
<b>CES</b>							
Adult Education	Wensum Lodge Development	NCC Borrowing		-1.230		1.230	Site surveys being carried out at present - reprofiled expenditure likely to be required in 2020-21
Libraries	Various small projects	S106 funding		-0.161		0.161	Reprofiled to match latest expenditure forecasts
		CIL Funding	-0.120				Funding reduced as no longer required
Economic Development	Great Yarmouth Energy Park	NCC Borrowing		0.375	-	0.375	Reprofiling funds to 20/21 in line with forecasts
	E Commerce Digital Development	NCC Borrowing		0.026	-	0.026	Budget accelerated to cover in year expenditure
Highways	Various	Various	0.018	1.600	-	1.600	Adjustment to programme based on current forecasts
<b>Total CES</b>			<b>-0.102</b>	<b>0.609</b>	<b>0.000</b>	<b>-0.609</b>	
<b>Total</b>			<b>-0.102</b>	<b>-9.344</b>	<b>1.033</b>	<b>9.344</b>	





<b>Report title:</b>	<b>Mid-Year Treasury Management Monitoring Report 2019-20</b>
<b>Date of meeting</b>	<b>2 December 2019</b>
<b>Responsible Cabinet Member</b>	<b>Cllr Andrew Jamieson (Cabinet Member for Finance)</b>
<b>Responsible Director</b>	<b>Simon George (Executive Director of Finance and Commercial Services)</b>
<b>Is this a key decision?</b>	<b>Yes</b>
<p><b>Introduction from Cabinet Member</b></p> <p>This report and the attached annex provide details of the 2019-20 treasury activities and highlights compliance with policy and strategy previously approved by Members in relation to treasury management.</p> <p><b>Executive Summary</b></p> <p>In accordance with regulatory requirements, this report provides information on the Treasury Management activities of the County Council for the period 1 April 2019 to 30 September 2019.</p> <p><b>Recommendations</b></p> <p>Cabinet is asked to:</p> <ul style="list-style-type: none"> <li>• <b>endorse and recommend to County Council the Mid-Year Treasury Management Monitoring Report 2019-20.</b></li> </ul>	

**1. Background and Purpose**

1.1. This Treasury Management Report forms an important part of the overall management of the Council’s financial affairs. The regulatory environment places responsibility on Members for the review and scrutiny of treasury management policy and activity.

**2. Proposals**

2.1. This report provides details of the 2019-20 treasury activities for the 6 months to September 2019, and highlights compliance with policy and strategy previously approved by Members in relation to treasury management.

**3. Impact of the Proposal**

3.1. The impact of this report is to demonstrate that during the first six months of 2019-20, the Council’s treasury management operations have been carried out in accordance with best practice and in compliance with legislative and regulatory requirements.

## **4. Evidence and Reasons for Decision**

4.1. One annex is attached to this report, giving details of treasury management activities and outcomes, including:

- Investment activities
- Borrowing strategy and outcomes
- Non-treasury investments
- Prudential indicators.

## **5. Alternative Options**

5.1. In order to achieve treasury management in accordance with the Council's treasury management strategy, no viable alternative options have been identified to the recommendation in this report.

## **6. Financial Implications**

6.1.

Long term borrowing rates remained historically low. However, on 9 October 2019 HM Treasury announced that 1% will be added to all new PWLB borrowing with immediate effect, apart from specific borrowing for approved infrastructure projects. Officers will work with the Council's treasury advisors to identify whether alternative lenders can offer better rates, but on the face of it this will increase the costs of future borrowing by £0.100m pa per £10m borrowed for locally funded projects

At 30 September 2019, the Council's external debt was £693m, including £70m new PWLB borrowing taken out in the first 6 months of 2019-20 at rates of between 2.31% and 1.70%. Only £10m remains planned to be borrowed in the second half of 2019-20, so the 1% PWLB increase will have only a small impact on the 2019-20 revenue budget.

At 30 September 2019, the Council's investments totalled £175m, including the £70m new PWLB borrowing taken out in the first 6 months of 2019. During this period the Bank of England base rate remained unchanged at 0.75%. Average interest of 0.93% was generated on treasury cash investments, unchanged from the average earned in 2018-19.

The Council's treasury management operations have been carried out in accordance with the Council's Treasury Management Strategy, treasury best practice, and in compliance with legislative and regulatory requirements.

## **7. Resource Implications**

7.1. There are no direct staff, property or IT implications arising from this report.

## **8. Other Implications**

8.1. **Legal Implications:**

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

## 8.2. Equality Impact Assessment

Treasury management activities take place to manage the cash-flows relating to the Council's revenue and capital budgets. Impact assessments are carried out in advance of setting the budget, the latest being published as "Budget proposals 2019/2020 Overall Summary: [Equality & rural impact assessment report](#)".

The Council's net budget, and as a result planned cash requirements, remained unchanged throughout the financial year and there are no additional equality and diversity implications arising out of this report

## 9. Risk Implications/Assessment

9.1. The Council's Corporate Risk Register provides a full description of corporate risks, including corporate level financial risks, mitigating actions and the progress made in managing the level of risk.

A majority of risks, if not managed, could have significant financial consequences such as failing to generate income or to realise savings, which in turn would have an impact on the Council's cash balances or the timing and amount of borrowing. Executive Directors have responsibility for managing their budgets within the amounts approved by County Council.

More specifically, the Council's Treasury Management Strategy sets parameters for the selection and placing of cash balances, taking into account counterparty risk and liquidity. The strategy also sets out how the Council manages interest rate risks.

## 10. Recommendation

10.1. Recommendations are set out in the executive summary to this report.

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

**Officer name:** Howard Jones

**Tel No. :** 01603 222832

**Email address:** Howard.jones@norfolk.gov.uk



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

## Norfolk County Council

**Annex 1: Mid-Year Treasury Management Monitoring Report 2019-20**

Report by the Executive Director of Finance and Commercial Services

**1. Introduction**

- 1.1 The Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice for Treasury Management in the Public Sector (the Code), requires that the County Council receives a mid-year review of treasury activities in addition to the forward-looking annual investment and treasury strategy and backward-looking annual treasury report. The Annual Investment and Treasury Strategy for the current year (2019-20) was approved by County Council on 11 February 2018.
- 1.2 The County Council operates a balanced budget, which broadly means cash raised during the year will meet its cash expenditure. Part of the treasury management operations ensure this cash flow is adequately planned and managed.
- 1.3 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning to ensure the Council can meet its capital spending operations. This management of longer-term cash may involve arranging long or short term loans, or using longer term cash flow surpluses and on occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.4 Accordingly treasury management is defined as:

“The management of the local authority's **borrowing**, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”
- 1.5 The County Council recognises the importance of monitoring treasury management activities, with regular reports being presented to the Treasury Management Panel and Cabinet throughout the year.
- 1.6 This mid-year review provides commentary on economic conditions produced by Link Asset Services (the Council's external treasury advisors) and details treasury activities for the period 1 April 2019 to 30 September 2019 including; cash balances and cash flow management, investment performance, counterparty management, long term borrowing/debt management and prudential indicators.
- 1.7 **Capital Strategy:** In December 2017, the Chartered Institute of Public Finance and Accountancy, (CIPFA), issued revised Prudential and Treasury

Management Codes. As from 2019-20, all local authorities are required to prepare a Capital Strategy which is intended to provide the following: -

- a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
- an overview of how the associated risk is managed
- the implications for future financial sustainability

A Capital Strategy was approved at full Council as part of the capital programme papers in February 2019.

- 1.7 **Treasury Management Strategy:** The Council's Treasury Management Strategy for 2019-20 was approved by full Council on 11 February. Since that time there have been no policy changes to the current year's strategy.

## **2. Economic Overview and interest rate forecasts**

### **2.1 Economic update**

#### **UK**

2.1.1 UK. This first half year has been a time of upheaval on the political front as Theresa May resigned as Prime Minister to be replaced by Boris Johnson and continuing Brexit uncertainty.

2.1.2 Subject to the outcome of the general election and subsequent Brexit negotiations and outcomes, it is possible that growth could recover relatively quickly. The MPC could then need to address the issue of whether to raise Bank Rate when there is very little slack left in the labour market; this could cause wage inflation to accelerate which would then feed through into general inflation. On the other hand, if there is a significant level of disruption to the economy, then growth could weaken even further than currently and the MPC would be likely to cut Bank Rate in order to support growth. However, with Bank Rate still only at 0.75%, it has relatively little room to make a big impact and the MPC would probably suggest that it would be up to the Chancellor to provide help to support growth by way of a fiscal boost by e.g. tax cuts, increases in government departments and services annual expenditure budgets and expenditure on infrastructure projects, to boost the economy.

2.1.3 The Monetary Policy Committee (MPC) has left Bank Rate unchanged at 0.75% throughout 2019, so far, and is expected to hold off on changes until there is some clarity on what is going to happen over Brexit. CPI has been hovering around the Bank of England's target of 2% during 2019, but fell to 1.7% in August. It is likely to remain close to 2% over the next two years and so it does not pose any immediate concern to the MPC at the current time. However, in the event of a no deal Brexit, inflation could rise towards 4%, primarily as a result of imported inflation on the back of a weakening pound.

#### **USA**

2.1.4 President Trump's massive easing of fiscal policy in 2018 fuelled a temporary boost in consumption in that year. Growth in 2019 has been falling back after a strong start in quarter 1 at 3.1%, (annualised rate), to 2.0% in quarter 2. Quarter 3 is expected to fall further. The strong growth in employment numbers during 2018 has reversed into a falling trend during 2019, indicating that the economy is cooling, while inflationary pressures are also weakening.

## **Eurozone**

2.1.5 Growth has been slowing from +1.8 % during 2018 to around half of that in 2019. German GDP growth fell to -0.1% in quarter 2; year on year industrial production was down 4% in June with car production down 10%. Germany would be particularly vulnerable to a no deal Brexit depressing exports further and if President Trump imposes tariffs on EU produced cars. The European Central Bank (ECB) ended its programme of quantitative easing purchases of debt in December 2018, which meant that the central banks in the US, UK and EU had all ended the phase of post financial crisis expansion of liquidity supporting world financial markets by purchases of debt.

## **Other**

2.1.6 Chinese Economic growth has been weakening over successive years, despite repeated rounds of central bank stimulus; medium term risks are increasing. Major progress still needs to be made to eliminate excess industrial capacity and the stock of unsold property, and to address the level of non-performing loans in the banking and credit systems.

2.1.7 The trade war between the US and China is a major concern to financial markets and is depressing worldwide growth, as any downturn in China will spill over into impacting countries supplying raw materials to China. These concerns have resulted in government bond yields in the developed world falling significantly during 2019.

2.1.8 Japan has been struggling to stimulate consistent significant GDP growth and to get inflation up to its target of 2%, despite huge monetary and fiscal stimulus. It is also making little progress on fundamental reform of the economy.

## 2.2 Link Interest Rate Forecast

2.2.1 The Council's treasury advisor, Link Asset Services, has provided the following forecast:

Link Asset Services Interest Rate View										
	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22
Bank Rate View	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.25
3 Month LIBID	0.70	0.70	0.70	0.80	0.90	1.00	1.00	1.00	1.10	1.20
6 Month LIBID	0.80	0.80	0.80	0.90	1.00	1.10	1.10	1.20	1.30	1.40
12 Month LIBID	1.00	1.00	1.00	1.10	1.20	1.30	1.30	1.40	1.50	1.60
5yr PWLB Rate	2.30	2.50	2.60	2.70	2.70	2.80	2.90	3.00	3.00	3.10
10yr PWLB Rate	2.60	2.80	2.90	3.00	3.00	3.10	3.20	3.30	3.30	3.40
25yr PWLB Rate	3.30	3.40	3.50	3.60	3.70	3.70	3.80	3.90	4.00	4.00
50yr PWLB Rate	3.20	3.30	3.40	3.50	3.60	3.60	3.70	3.80	3.90	3.90

2.2.2 Just after the end of the period covered by this report, on 9 October 2019 HM Treasury announced that 1% will be added to all new PWLB borrowing, with immediate effect, and this is reflected in the table above.

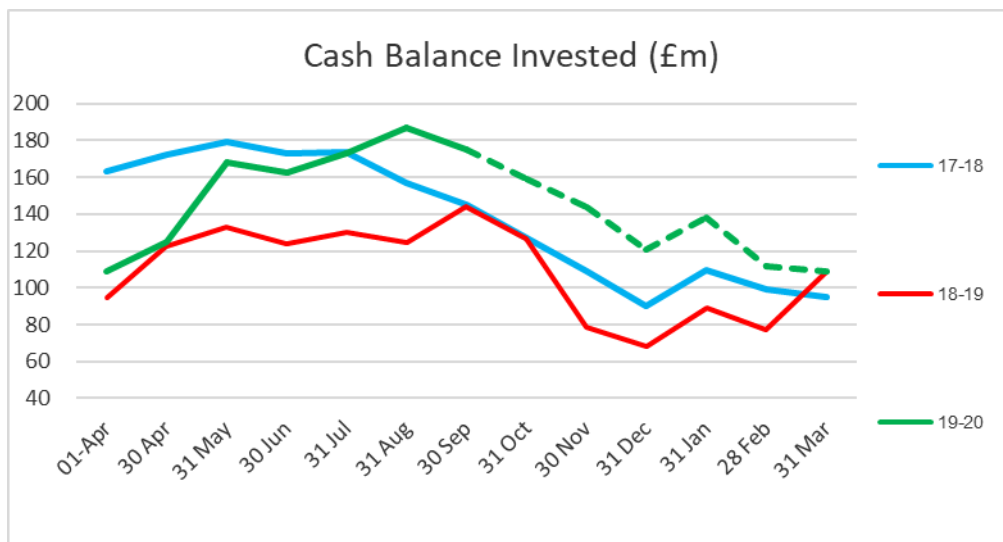
2.2.3 The interest rate forecasts above have been based on an assumption that there is some sort of "muddle through" to an agreed deal on Brexit at some point in time. Given the current level of uncertainties, this is a huge assumption and so forecasts may need to be materially reassessed in the light of events over the next few weeks or months

2.2.4 During the last half year we have seen a near halving of longer term PWLB rates to completely unprecedented historic low levels. There is though, an expectation that financial markets have gone too far in their fears about the degree of the downturn in US and world growth. If, as expected, the US only suffers a mild downturn in growth it will put upward pressure on bond yields. However, forecasting the timing of this and how strong the correlation with PWLB rates is likely to be, is very difficult to forecast with any degree of confidence.



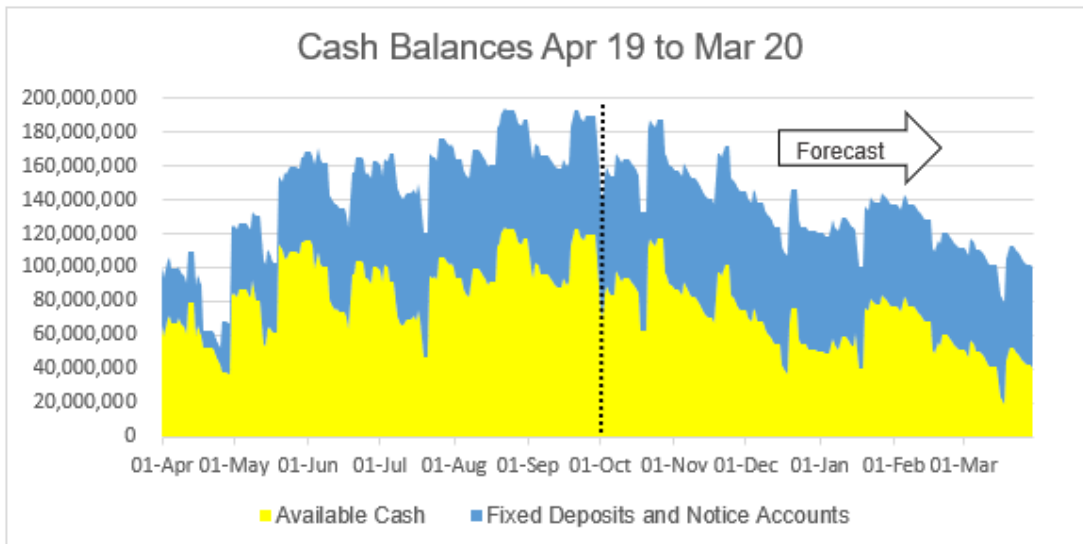
### 3. Cash Balances and Cash Flow Management

- 3.1 The Council's cash balances comprise of revenue and capital resources, such as general balances, provisions and earmarked reserves and the timing differences between the receipt and payment of monies required to meet the cost of County Council services and its capital programme. The average level of cash balances year to date totals £146m (equivalent last year £112m).
- 3.2 Cash balances are managed internally and have been invested in accordance with the Council's approved Authorised Lending List.
- 3.3 A key objective of cash flow management is to minimise balances held in the Council's bank accounts at zero interest.
- 3.4 Of the 300 bank accounts administered by the County Council, only 3 are principal accounts (one for income collection, general expenditure and salary payments). The remaining bank accounts are service specific, for example schools locally managing their devolved budgets. The corporate treasury management function ensures the efficient management of cash balances across all bank accounts by aggregating and investing surplus cash balances on a daily basis.
- 3.5 Cash balances available for investment have increased from £108m at 1 April 2019 to £175m at 30 September 2019. The increase is after taking into account borrowing of £70m. The table below shows the level of cash balances over the last two and a half years with a forecast for the next 6 months to March 2020 (dashed green line), assuming a further £10m additional borrowing.



- 3.6 Long term cash deposits have reduced due to a reduction in cash balances (before new borrowing). However, a proportion of the Council's cash balances remain invested in medium term deposits where higher rates of return can be achieved. As a result, short term (overnight) borrowing may be necessary from time to time. The costs of temporary borrowing are currently absorbed because short term borrowing rates are currently lower than medium/longer term deposit rates.
- 3.7 Having borrowed £70m long term during the year to September the County Council has not had to borrow short term during that period.

3.8 Details of daily liquidity are provided in the graph below. The bottom yellow segment of the graph shows the actual daily liquidity (the amount of cash on instant access deposit) compared with cash invested for longer fixed periods (top blue segment of the graph). The forecast average daily liquidity level, assuming £10m additional long term borrowing, is around £78m.



#### 4. Investment Portfolio

4.1 In accordance with the Code, it is the Council's priority to ensure security of capital and liquidity, and to obtain an appropriate level of return which is consistent with the Council's risk appetite. As shown by forecasts in section 2.2, it is a very difficult investment market in terms of earning the level of interest rates commonly seen in previous decades as rates are very low and in line with the current 0.75% Bank Rate.

4.2 At 30 September 2019, the Council held £175m of investments. The profile of these investments is shown in the table below.

Institutional Sector	Liquid £M	Upto 3 Months £M	Upto 6 Months £M	Upto 9 Months £M	Upto 12 Months £M	Over 12 Months £M
UK Banks	24.83	60	10	0	0	0
Non-UK Banks	0	0	0	0	0	0
Building Societies	0	0	0	0	0	0
Money Market Funds	80	0	0	0	0	0
Other	0	0	0	0	0	0
<b>Total</b>	<b>104.8</b>	<b>60</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>

4.3 A more detailed investment profile is shown at Appendix 1.

4.4 The average interest rate earned year to date is 0.93% (comparative period in 2018 0.89%). This compares favourably with the average London Interbank Bid Rate (LIBID) – outperforming the current 12 month LIBID deposit rate. The table below gives a monthly cumulative year-to-date comparison against the LIBID benchmarks for 7 day, 3 month, 6 month and 12 month.

2019/20	Interest Earned Year to Date (%)	7 day LIBID Year to Date (%)	3 Month LIBID Year to Date (%)	6 Month LIBID Year to Date (%)	12 Month LIBID Year to Date (%)
Apr 19	<b>0.93</b>	0.57	0.7	0.82	0.96
May 19	<b>0.96</b>	0.57	0.69	0.80	0.94
Jun 19	<b>0.95</b>	0.57	0.68	0.78	0.91
Jul 19	<b>0.95</b>	0.57	0.67	0.76	0.87
Aug 19	<b>0.93</b>	0.57	0.66	0.74	0.84
Sep 19	<b>0.93</b>	0.57	0.66	0.73	0.83

4.5 Gross interest earned for the period 1 April 2019 to 30 September 2019 is £0.679m (comparative period in 2018: £0.497m).

- 4.6 In addition, the County Council has undertaken daily treasury management activities on behalf of the Norfolk Pension Fund, the Norse Group, and Independence Matters. Average cash balances managed on behalf of these other bodies totalled £22m, earning interest of £0.083m in the six months to 30 September 2019.
- 4.7 Approved limits within the Annual Investment Strategy were not breached during the period covered by this report. A summary of treasury prudential indicators and the position at 30 September 2019 is shown in Appendix 4.

## **5. Counterparty Maintenance**

- 5.1 The Executive Director of Finance and Commercial Services is responsible for maintaining an Approved Counterparty List in accordance with the criteria as set out in the approved Annual Investment and Treasury Strategy 2019-20. Credit rating information is supplied by our treasury advisors on all active counterparties. Any rating changes, rating watches (notification of a likely change) and rating outlooks (notification of a possible longer term change) are provided by our treasury advisors immediately as they occur. A wide range of market information such as Credit Default Swap prices and share price is also taken into account. The Approved Counterparty List is therefore actively managed on a day-to-day basis and when an institution no longer meets the Council approved counterparty criteria, it is immediately removed.
- 5.2 There have been no credit rating downgrades during the period 1 April 2019 to 30 September 2019 that have resulted in counterparties being removed from the approved counterparty list.

## **6. Non-treasury investments**

- 6.1 Following updates to Treasury Management reporting requirements from 2019-20 under the revised CIPFA Code, local authorities have to report more information on their non-treasury investments. Appendix 3 lists non-treasury investments made or held by the authority, with a short narrative and explanation of the objectives for each one.

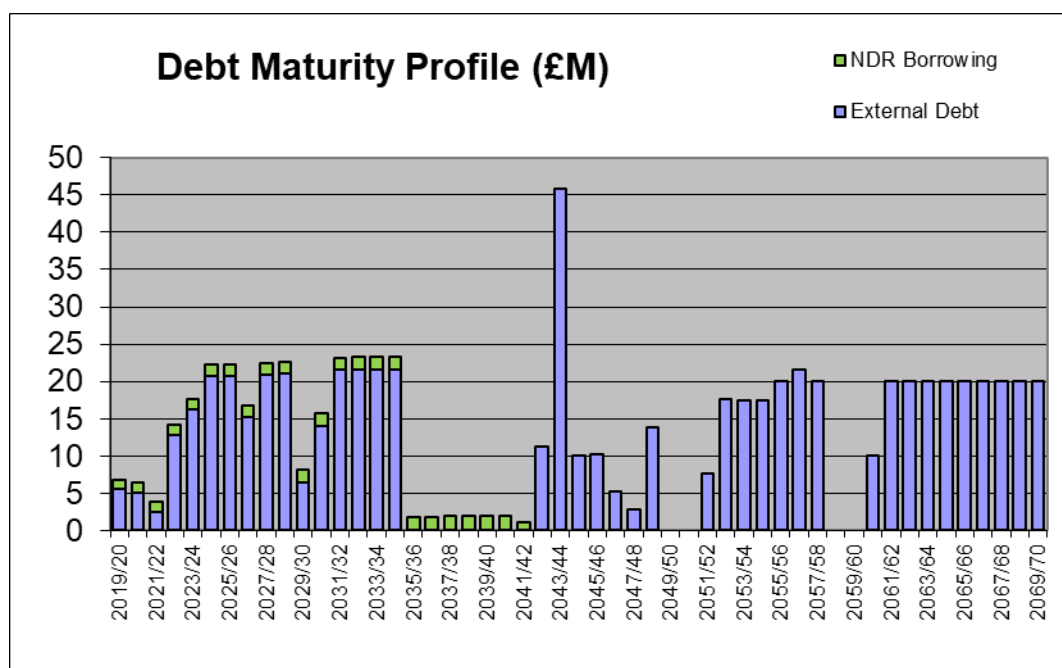
## 7. Long Term Borrowing/Debt Management

- 7.1 The County Council undertakes capital expenditure on long-term assets. This activity gives rise to the need to borrow. Part of the Council's treasury management activity is to address this borrowing need, either through long term borrowing from external bodies (PWLB or commercial banks) or utilising temporary cash resources within the County Council pending long term borrowing.
- 7.2 In accordance with the approved 2019-20 Investment and Treasury Strategy, the County Council maintains a flexible approach to borrowing for capital purposes which avoids the 'cost of carrying debt' in the short-term but which recognises the Council's need to maintain cash balances to fund working capital. As a result, the Council is taking advantage of historically low interest rates to fund its capital financing requirement.
- 7.3 Eight tranches of PWLB borrowing, totalling £70m, have been taken in the 6 months to September 2019, as set out in the table below:

Date	Amount	Rate	Maturity date
16 April 2019	£10m	2.31%	11 April 2069
17 May 2019	£10m	2.28%	11 April 2069
29 May 2019	£10m	2.21%	1 March 2064
5 July 2019	£10m	2.02%	1 September 2062
8 August 2019	£10m	1.95%	11 October 2061
9 August 2019	£10m	1.85%	11 October 2061
16 September 2019	£5m	1.83%	1 March 2061
25 September 2019	£5m	1.70%	1 March 2061

A further £10m borrowing is planned as part of the Council's approved treasury management strategy.

- 7.4 At 30 September 2019, the Council's external borrowing (debt outstanding) totalled £693M. The re-payment profile for debt is shown below.



- 7.5 Appendix 2 shows debt maturities during the last 2 years, including the amount of debt repaid, the rate of interest and interest savings.
- 7.6 The Council's borrowing requirement (past capital expenditure for which the approved borrowing has not yet been drawn down) at the end of 2019-20 is expected to be approximately £160m. This assumes substantial delivery of the capital programme, and a total of £80m borrowed during 2019-20. The Executive Director of Finance and Commercial Services, under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks identified in the economic forecast (Section 2). Prior to any borrowing, the additional pressure on current and future revenue interest payables budgets will be fully taken into account.
- 7.7 The PWLB provides a facility to restructure debt, including early repayment of loans, albeit at a cost which reflects the difference between current and past interest rates. Rates are monitored on a regular basis in order to identify possible repayment opportunities.
- 7.8 On 9 October 2019 HM Treasury announced that 1% will be added to all new PWLB borrowing (apart from specific borrowing for approved infrastructure projects), with immediate effect. Officers will work with the Council's treasury advisors to identify whether alternative lenders can offer better rates, but on the face of it this will increase the costs of future borrowing by £0.100m pa per £10m borrowed for locally funded projects.
- 7.9 The Council continues to maintain its total gross borrowing level well within its Authorised Limit of £1038m for 2019-20. The Authorised Limit being the 'affordable borrowing limit' required by section 3 of the Local Government Act 2003, and includes "other long term liabilities" such as PFI commitments and leases, as well as PWLB and other borrowing.

## **8. Treasury Management Prudential Indicators**

- 8.1 As part of the Annual Investment and Treasury Strategy Report in February 2019 County Council approved a number of indicators intended to restrict the activity of the treasury function to certain limits, thereby managing risk and reducing the impact of an adverse movement in interest rates. The indicators cover;
- Maximum principal sums invested > 365 days
  - Fixed and variable interest rate exposure
  - Maturity profile of debt
- 8.2 The Prudential Code requires regular monitoring to be undertaken in-year against all key indicators. Monitoring is reported to Cabinet on an 'exception basis'. Monitoring of the 2019-20 treasury indicators shows no deviation from expectations or breaches of limits as at 30 September 2019. Further details are shown in Appendix 4.

## **9. Minimum Revenue Provision**

- 9.1 MHCLG Statutory Guidance on Minimum Revenue Provision issued by the Secretary of State in February 2018 states that local authorities may choose to pay more MRP than they consider prudent in any given year. If they do so they should separately disclose the in-year and cumulative amount of MRP overpaid in the Statement presented to full Council.

	£m
Cumulative amount of MRP previously overpaid 1 April 2018	49.630
Use of overpaid MRP	-17.706
MRP previously overpaid carried forward 31 March 2019	<b>32.041</b>
Forecast use of overpaid MRP 2019-20	<b>-18.094</b>
Forecast MRP previously overpaid carried forward 31 March 2020	<b>15.488</b>

Outstanding Deposit Profile @ 30th September 2019

Appendix 1

Counterparty Name	Deal Date	Maturity Date	Interest Rate %	Principal £M
<b>Aberdeen Standard</b>				
Aberdeen Standard Money Market Fund	Instant Liquidity		0.74*	40.0
				<b>40.0</b>
<b>Barclays Bank Plc</b>				
Barclays Bank Plc	Instant Liquidity		0.70	24.83
				<b>24.83</b>
<b>Federated</b>				
Federated Money Market Fund	Instant Liquidity		0.74*	40.0
				<b>40.0</b>
<b>Goldman Sachs Intl Bank</b>				
Goldman Sachs 370 Day Notice	23-May-17	16-Jan-20	1.38	10
				<b>10</b>
<b>Lloyds Banking Group</b>				
Lloyds Bank	Not yet called		1.10	60
				<b>60</b>
<b>Total Deposits</b>				<b>174.83</b>

\* Daily variable rates: rates as at 30th September 2019

In addition deposits of £9.862m were held on behalf of other bodies:

Norfolk Pension Fund, Norse Commercial Services Ltd, Norse Care Ltd, NPS Property Consultants Ltd and Independence Matters.



**Appendix 2**

<b>Debt Maturities 2018/19 to 2019/20</b>			
<b>Maturity Date</b>	<b>Amount Repaid</b>	<b>Rate</b>	<b>Full Year Interest Saving</b>
11/04/2018	£1,000,000	4.625%	£46,250
15/06/2018	£500,000	9.250%	£46,250
30/09/2018	£1,500,000	5.000%	£75,000
11/10/2018	£500,000	4.625%	£23,125
11/10/2018	£500,000	9.750%	£48,750
15/12/2018	£500,000	9.250%	£46,250
31/03/2019	£500,000	9.375%	£46,875
31/03/2019	£1,500,000	5.000%	£75,000
<b>2018/19</b>	<b>£6,500,000</b>		<b>£407,500</b>
15/06/2019	£1,500,000	5.125%	£76,875
30/09/2019	£500,000	9.750%	£48,750
11/10/2019	£1,500,000	4.625%	£69,375
15/12/2019	£1,525,000	6.500%	£99,125
31/03/2020	£500,000	9.375%	£46,875
<b>2019/20</b>	<b>£5,525,000</b>		<b>£341,000</b>
<b>Apr 18 to Mar 20</b>	<b>£12,025,000</b>		<b>£748,500</b>

## Non-treasury investments

### Non-treasury investments - Capital loans and similar arrangements including objectives and context

Capital loans are not classed as a treasury management activity but have an impact on cash flows, and interest received, and have been included as part of Treasury Management reporting from 2019-20 under the revised CIPFA Code. Current capital loans are as follows:

Capital loans	Balance 31 March 2019 £m	Authority / Objectives	Funding and other notes
<b>Infrastructure related loans</b>			
GNGB/CIL support for NDR ("Broadland Northway")	37.167	Formal arrangements between GNGB members, to allocated CIL receipts to support £40m costs of the NDR, was agreed 21 October 2015. Rather than a loan as such, the arrangement is long term loan repayment support.	Payments allocated from CIL receipts match the interest and repayments due on a £40m PWLB loan taken out by Norfolk County Council in 2016-17 to part fund construction of the NDR. The arrangement is treated as a long-term debt in the financial statements, and has first call on CIL receipts.
NDR Radar Loan	2.194	NCC Cabinet 2 September 2013 agreed to part fund relocation of the Norwich International Airport radar as a compensatory element of the NDR project. A legal agreement for the funding of the radar was agreed with Norwich Airport Limited on 18 October 2013. Repayments will start 2023 when the previous radar would have been replaced.	The airport will contribute to the cost of the radar through financing arrangements from years 9 to 20 at an agreed commercial rate.

Local infrastructure Fund loans to developers	6.278	The GNGB area City Deal resulted in the establishment of a Local Infrastructure Fund to provide loans to developers for site specific help to enable development sites to be delivered quickly. The City Deal partners can borrow up to £20m at the PWLB project rate for this purpose. The approval process is described at: <a href="http://www.greaternorwichgrowth.org.uk/delivery/local-infrastructure-fund">http://www.greaternorwichgrowth.org.uk/delivery/local-infrastructure-fund</a> .	Loans to date include St. George's Park, Loddon – Halsbury Home East Anglia Ltd, Thurlton, Horsford and Little Plumstead – Cripps Developments, and Rockland St. Mary – FW Properties. The first repayment was triggered in December 2017, since when regular repayments have been received, with further loans being made and interest accrued.
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<b>Loans to Subsidiaries</b>	<b>Balance 31 March 2019</b>	<b>Authority / Objectives</b>	<b>Funding and other Notes / status</b>
<b>Loans to Norse Group</b>	£m		
Norse Energy	10.000	As part of the Mid-Year Treasury Management Monitoring Report 2015-16 to Policy and Resources Committee and then County Council, members approved the extension of the existing Norse Group short-term loan arrangements by a further £15m for specific longer-term loans, with the loans being approved for inclusion within the County Council's capital programme.	Interest paid annually at a commercial variable rate. Repayment of principal is due on the 7th anniversary of loan (December 2022).
Norse Group	3.236	The first loan was for Norse Energy capital investment, and the second to fund replacement of Norse's existing asset portfolio.	Loan agreement dated 14 February 2018, based on fixed commercial rate for 5 years, with option to increase the interest rate if LIBOR increases. Six monthly repayments of principal and interest started August 2018, with increased principal repayments in 2024 and 2025. Loan will be fully repaid by February 2025.
NPS Aviation Academy	6.127	At 20 July 2015, Policy and Resources Committee authorised a loan of £6.25m to the Norse Group, to create a physical location for the Norwich International Aviation Skills Academy.	Agreement based on commercial fixed annuity rate. Repayments of interest and capital in 29 equal instalments from July 2018.
NEWS	0.530	Loan agreement between Norfolk County Council and Norfolk Environmental Waste Services Limited dated 28 March 2001, for the construction of a materials recycling facility and the purchase of associated vehicles and equipment in Norfolk.	Twice yearly repayments of capital and interest, rate based on PWLB 20-25 year rate at time of agreement. Capital repaid in equal instalments. Original loan £2.44m, to be fully repaid by end March 2024.
<b>Other NCC wholly owned companies</b>			
Hethel Innovations	5.195	On 23 May 2012 Cabinet agreed to approve 60% match funding estimated at £3.77m, via a loan to Hethel Innovation Limited, for the construction of an	Six monthly equal repayments, capital and interest calculated on an annuity basis. Interest rates fixed based on PWLB rates at the date of

		Advanced Manufacturing Facility at Hethel. The final revision of the loan agreement is dated May 2015 for £3.26m. In addition, the company borrowed £2.132m in 2018-19 to purchase the remainder of its site and buildings from NCC.	the loans. The final instalment date for both loans is September 2049.
<b>Other capital loans</b>	0.004	Small historic arrangements.	Final repayment due 2020.
<b>Total capital loans</b>	<b>70.731</b>		

During the financial year to date, interest and principal has been repaid in accordance with the individual loan agreements. During 2018-19 loan repayments of £2.306m were received by the authority, and additional loans were advanced to Hethel Innovation Limited (£2.132m) and local infrastructure developers (£1.951m).

### Financing

Financing for the Broadland Northway (formerly NDR) £40m arrangement shown above has been provided through a £40m PWLB annuity loan. The finance for capital loans is provided initially from Norfolk County Council surplus cash balances and ultimately PWLB loans.

### Relevant powers

- The local authority has the power to do anything which is calculated to facilitate, or is conducive or incidental to, the discharge of any of their functions [a] (whether or not involving the expenditure, borrowing or lending of money or the acquisition or disposal of any property or right).
- The local authority has a general power of competence just like individuals generally [b].
- The local authority may borrow money for any purpose relevant to its function or for the purposes of the prudent management of its financial affairs [c].
- Where the local authority is running a purely commercial or trading activity then it must do it through a company [b].

Sources      [a]: Local Government Act 1972 s 111(1); Egan v Basildon Borough Council 2011.  
                   [b]: Localism Act 2011 s 1 and s4  
                   [c]: Local Government Act 2003 s 1

## Non-treasury investments – Investment properties as defined for statutory accounting purposes

For statutory accounting purposes, investment properties are assets which are used solely to earn rental income and/or capital appreciation, rather than in the production or supply of goods or services, for administrative purposes, or for sale in the ordinary course of operations. Two properties are classed as investment properties in the Council's statutory accounts:

<b>Investment property</b>	<b>Norwich Airport Industrial Estate</b>			<b>Agricultural land with development potential</b>		
Note	Owned jointly with Norwich City Council 60:40					
Reason for ownership:	Rental income			Capital appreciation		
Financial year	<b>2018-19</b>	<b>2017-18</b>	<b>2016-17</b>	<b>2018-19</b>	<b>2017-18</b>	<b>2016-17</b>
	£m	£m	£m	£m	£m	£m
Net rental income £m	0.368	0.507	0.464	n/a		
Fair value £m	11.437	11.439	11.789	9.755	10.090	10.095

Investment property is re-valued each year by NPS Property Consultants.

The reduction in rents due in 2018-19 was due to the sale of a property which generated a capital receipt but resulted in reduced rental income, an over-estimated debtor brought forward, and several vacant properties seeking tenants during 2018-19.

Treasury Prudential Indicators

Indicator		Original Indicator £m or %		Actual Year to Date	Headroom: Actual - Indicator	Forecast to Year End	Notes
External Debt Limit (Authorised)		1,038.470		756.333	282.137	762.145	Debt for the purpose of this indicator includes notional lease and PFI liabilities
Operational Boundary Limit		933.610			177.277		
Upper Limits for Fixed Rate Maturity Structure	Under 12 months	0%	10%	0.8%	9.2%	0.9%	
	12 months to 2 years	0%	10%	1.0%	9.0%	0.6%	
	2 years to 5 years	0%	10%	6.6%	3.4%	7.7%	
	5 years to 10 years	0%	20%	13.9%	6.1%	13.2%	
	10 years to 20 years	10%	30%	17.8%	12.2%	16.9%	
	20 years to 30 years	10%	30%	10.4%	19.6%	10.1%	
	30 years to 40 years	10%	30%	17.6%	12.4%	17.5%	
	40 years to 50 years	10%	40%	27.4%	12.6%	28.6%	
Upper Limits for Variable Rate Maturity Structure	Under 12 months	0%	10%	0.0%	10.0%	0.0%	The Council's LOBO loans total value £31.25m are included under this indicator. The rates will become variable if interest rates exceed set percentages. This is not forecast to happen in the short or medium term.
	12 months to 2 years	0%	10%	0.0%	10.0%	0.0%	
	2 years to 5 years	0%	10%	0.0%	10.0%	0.0%	
	5 years to 10 years	0%	10%	0.0%	10.0%	0.0%	
	10 years to 20 years	0%	10%	0.0%	10.0%	0.0%	
	20 years to 30 years	0%	10%	4.5%	5.5%	4.5%	
	30 years to 40 years	0%	10%	0.0%	10.0%	0.0%	
	40 years to 50 years	0%	10%	0.0%	10.0%	0.0%	
Total principal funds invested for greater than 365 days		100.000		0.000	100.000	0.000	
Total principal funds managed by third party		n/a		0	n/a	0	All investment decisions currently managed internally



# Cabinet

Item No. 14

<b>Decision making report title:</b>	<b>A Social Impact Bond for Carers</b>
<b>Date of meeting:</b>	<b>2<sup>nd</sup> December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Bill Borrett (Cabinet Member for Adult Social Care, Public Health and Prevention)</b>
<b>Responsible Director:</b>	<b>James Bullion, Executive Director Adult Social Services</b>
<b>Is this a key decision?</b>	<b>Yes</b>

## **Introduction from Cabinet Member**

Effective and early support for Norfolk's 99,000 informal carers is a high priority for Norfolk County Council (NCC) and specifically for Adult Social Services.

We have an improvement plan for informal carers, but we have identified that the pace of this improvement will not be adequate without a radically different approach.

In response, we are committed to developing a Social Impact Bond (SIB) under the auspices of the Life Chances Fund (LCF). This has potential to bring boldness, innovation and additional funding to our services for carers, driving a five year turn around for improved outcomes.

A Carers SIB will provide the framework for a new model of support for carers in Norfolk.

It does away with many of the barriers between commissioners and providers, and between assessed social work, universal information and practical support.

It combines the existing separate budgets for carers into one "pot" which is then managed on behalf of carers and NCC by our social investment partners – Bridges Outcomes Partnership (BOP).

We have been in discussion with our third sector and other providers supporting carers. It will be essential to success that third sector partners help shape and guide the direction of the enterprise, and that carers themselves are engaged in designing the future shape of services.

This is a bold approach – but it will protect spending on carers for the next five years, and offer real prospects of attracting additional investment, through the social investment route.

## **Executive Summary**

Following endorsement by the Department of Culture, Media and Sport (DCMS) in summer 2018, the County Council submitted a successful bid to the LCF for up to £4.1m of funding to deliver outcomes-based contracts through a SIB with multiple projects focussed on Promoting Independence.

Following scoping work with the social investor (BOP), it was agreed to refine the scope of the project to focus on Carers.

Work has been focused on developing the Business Case with details of the principles, outcomes and payments agreed. This work has progressed positively, working with the social investors on the detailed content that will form the contract between NCC and BOP. The SIB will be assessed on submission to the LCF in December 2019 with a decision due in March 2020. If successful, services would mobilise in September 2020.



Approval of the proposal by the LCF will result in a top-up payment of between 33% and 36%, based on the value of the contract, that could amount to £0.473m per year, over a five-year period. Future options, subject to invest to save, to expand the contract in years three to five could enable the full £4.1m funding to be awarded. Managing demand for services by better supporting carers is proposed to demonstrate significant additional savings through the life of the project in addition to leveraging external expertise and improving understanding the needs of carers through better data collection.

This is an opportunity for system transformation that has the potential to improve outcomes for carers and those they care for: an innovative demand management approach that will have significant financial benefits across the health and social care landscape. Working with Bridges and the providers of support for carers who share this ambition, we are confident of achieving this transformation.

## **Recommendations:**

### **Cabinet are asked:**

- a) **To delegate the approval of the Application for a Carers SIB to the Department of Culture, Media and Sport / Life Chances Fund to the Executive Director of Adult Social Care**

## **1. Background and Purpose**

- 1.1 The purpose of this report is to provide detail of the Carers SIB bid to the LCF which is due to be submitted to DCMS in mid-December 2019.
- 1.2 Across the UK 6.5 million people are carers supporting a loved one who is older, disabled or seriously ill. In Norfolk this figure is estimated to be upwards of 99,000 unpaid adult carers. The cost of carer breakdown is significant and prevention services in Norfolk are not effective at identifying or supporting carers through their carer journey. Carer satisfaction with services provided through NCC has fallen over recent years and reflects a focus on the cared for person rather than the carer. The use of respite services has grown and overall support to carers fallen.
- 1.3 NCC has signalled its overall ambition to raise the profile of carers and to ensure better support for them in all walks of life. The County Council's Carers' Charter was launched a year ago and is at the forefront of action to strengthen support for carers.
- 1.4 Transformation of services to and for carers which ensures access to the right support at the right time; with the minimum of hand offs and bureaucracy will increase carer satisfaction with the Norfolk carer support offer - central in reducing the incidence of carer breakdown. Reducing gatekeeping and providing support that is tailored to an individual's need, throughout their caring journey, will support carers to safely maintain their caring role.
- 1.5 A partnership between NCC and Bridges, under the auspices of a SIB, will increase the numbers of carers, and their needs, to be understood. It will create a seamless carer pathway that supports the prevention of carer breakdown with the subsequent human and financial costs. The partnership will enable the recognition and identification of carers together with the budgets that will allow creative and innovative interventions to be put in place. The voice of carers will be used to support and develop this partnership.

- 1.6 The SIB for Carers will create and manage a local dedicated social enterprise that focuses on carers and the services provided to them. The project would result in a single service, managed by BOP that would ensure that preventative services and products for carers are provided enabling them to continue to provide essential care for their loved ones.

## 2. Proposals

- 2.1 The SIB will result in a contract with BOP that has a five-year delivery period and will focus on improving the wellbeing of carers in Norfolk. The partnership with BOP will enable the initial risk of the outcome-based payments to be borne by the social investor rather than the third sector providers currently contracted with. These providers would then work under contract to BOP who would bear the risk of the outcome-based payments from NCC.
- 2.2 The proposed model will combine £1.3m of existing NCC budgets focused on carers to deliver a seamless person-centric model of support to all service users that is continuously informed by its users and upgraded to improve their wellbeing. The improvement in wellbeing outcomes for carers will be measured through the outcomes identified in the Triangle “Carer’s Star” and the sustainment of a caring role.
- 2.3 Delivering the SIB under the auspices of the DCMS LCF will provide the opportunity to leverage advice and support from several national experts in addition to attracting a 33-36% per annum, top up from LCF. This represents a maximum value of £4.1m over the five-year period. Importantly, it enables the transformation of services to carers.
- 2.4 We have been in discussion with third sector and other providers supporting carers, including Carers Matters Norfolk, about this approach and are building a framework within which to co-produce the interventions that are needed to support carers. It will be essential to success that third sector partners help shape and guide the direction of the enterprise and that carers themselves co-produce the future design of services.
- 2.5 Currently there are no SIBs nationally that focus on the complex area of support for carers or demand management on the crisis services that carers and those cared for require when care breaks down. NCC currently invests £1.3m in prevention services for carers however carer satisfaction of services in Norfolk is low and provision of crisis services cost upwards of £4m per year. Nationally, studies over the five years have estimated the value of carers to the UK at between £119bn - £132bn.
- 2.6 This project will effectively protect and lock in our spending on carers support services for the next five years, a demonstration of the high level of commitment to tackle what the Council has identified as a high priority. Quantifying the investment needed in prevention services, which will improve the quality of life for carers and those cared for, in addition to providing significant value for NCC is a key aim of this project. Undertaking it under the auspices of the LCF bring the opportunity for robust evaluation and national focus on a trailblazing approach to carer wellbeing and sustainment.

## 3. Impact of the Proposal

- 3.1 The ambition of NCC is to improve the wellbeing of its carers, especially those at high risk, and reduce the incidence of carer breakdown. Studies<sup>1</sup> and local co-production work with carers shows that wellbeing is central to a carer’s ability to continue their caring role.

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<sup>1</sup> ADASS Economic Case for Local Investment in Carers - <https://www.local.gov.uk/sites/default/files/documents/economic-case-investment--7a4.pdf>

- 3.2 NCC want to test the hypothesis that improvement in carers wellbeing will contribute to a reduction in carer breakdown. To prove this link, NCC will commission an independent evaluation, working with GoLab (<https://golab.bsg.ox.ac.uk/>), alongside the delivery of the outcomes contract to test this hypothesis.
- 3.3 It is proposed that existing Voluntary Sector Organisations (VSOs) work alongside and as part of a partnership, led by BOP, which will ensure that system transformation is sustainable, and expertise is developed with local providers. This will ensure that outcomes for carers and those they care for are sustained beyond the reach of the SIB.
- 3.4 The proposed impact of the proposals is as follows:
- a) Increase the number of carers known to NCC
  - b) Improve organisational and individual understanding of the role of carers and the support that is available to them
  - c) Seamless carer pathway – from universal access to specialised services that prevent carer breakdown and support
  - d) Accurate and timely identification and recording of risk to carers wellbeing
  - e) Accurate recording and understanding of the carer pathway
  - f) Increased understanding and knowledge of the interventions required to support the wellbeing and maintenance of the caring role – reducing the incidence of avoidable carer breakdown
  - g) Innovation and creativity in developing services and support that prevent the incidence of carer breakdown
  - h) Improve carer satisfaction with the Norfolk Carer support offering
  - i) Provide evidence and funding to identify the optimal investment in carers
  - j) Generate long term social care savings through improved demand management
- 3.5 Key to the transformation of services is the joining up of understanding and synergies between cohorts of carers and people being cared for. Currently the multitude of service provision and providers, combination of universal and targeted services does not result in coherent provision that satisfies existing carers nor prevents carer breakdown. Evidence shows that in many cases carer breakdown can be avoided, and quality of service improved by earlier interventions and effective targeting of support.
- 3.6 One of the main objectives of this project would be accurate identification of risk and provision of appropriate interventions that reduce risk of future carer breakdown and increase carer satisfaction.

#### **4. Evidence and Reasons for Decision**

- 4.1 Services for carers need to become more responsive and effective at supporting carers to maintain their caring role while living a full and good life. Resource constraints and increased demand for services have resulted in services and support coalescing around the cared for person potentially at the expense of carers. NCC recognise that longer term, targeted, earlier interventions aimed at sustaining the independent living of those cared for and improving outcomes for carers will deliver the outcomes of improved carer satisfaction, demand management and financial benefits – more effectively serving the population of Norfolk.
- 4.2 Our work with carers has highlighted the pressing need to improve earlier help and support. Carers have told us that our processes for accessing planned breaks is not straight-forward. The structure of the Norfolk SIB will allow us to work with carers to find less bureaucratic ways of organising earlier support – including breaks from caring; drawing on learning and best practice from others in the field.

4.3 NCC and Bridges want to use the opportunity of a SIB to drive service transformation and, through collaboration, bring about system change. The LCF represents a unique opportunity to build out an evidence base on this largely unexplored but critical component of adult social care. The strategic and operational drivers for developing a SIB for carers are therefore:

- a) To improve preventative services and outcomes for carers – this will also drive improved outcomes for those being cared for
- b) To inform and implement demand management thereby reducing the use of costly crisis intervention services across the public sector over time
- c) To understand better the circumstances around which unplanned carer breaks and carer breakdowns occur
- d) To drive innovation and test new ways of commissioning services by collaborating with investment and third sector partners – benefitting from our collective expertise, challenge and shared resources – to investigate and evidence using a SIB approach.
- e) To provide a more holistic, inclusive service that removes inefficiencies, duplications and allows for a far deeper understanding of the cohort

4.4 A contract focused on improving outcomes, instead of detailed activity specifications, will enable us, in partnership with Bridges and our VCS delivery organisations, to offer more flexible interventions to improve outcomes instead of process focussed service provision. Increasing creative approaches and thinking about interventions to support people will help to ensure that outcomes are sustainable and underlying needs addressed. The core aims of such a SIB will be to create an environment which combines **flexibility** to trial front-line delivery innovations, with strong **accountability** to drive continuously improving results. The governance and performance management regimes will be also be very different to a normal contract. This approach would enable us to work together with BOP to co-design these and be clear on who does what.

4.5 This type of social investment uses funding from a mix of sources, but predominately government and charitable trusts. A small return is expected on the investment, but this is focused on the suite of projects being undertaken nationally rather than any single project. The aim for the investors is to ensure that financial support (which in the past may have been given via grants) is being focused on achieving clear outcomes; supporting wider benefits for society and is enabling an opportunity to test new ideas and approaches that could be used by others in the future.

## 5. Alternative Options

5.1. Undertaking this project under the auspices of the LCF provides a unique opportunity to secure additional, external, funding for carers while providing the scope to explore innovative approaches using an outcomes approach.

5.2. Should the bid be unsuccessful it is recommended that the recommissioning of services for carers be undertaken, bringing together budgets under a single entity and using the principles of creating a seamless service for carers that supports prevention rather than crisis management.

## 6. Financial Implications

6.1 At this stage of development there are no immediate financial implications to note as all savings relating to the SIB have been removed from current 2020-24 budget planning.

6.2 The proposal is for the core contract to be funded through the current carers budget £1.3m. This provides a low risk option for the Council as payments would be driven by a mix of outputs and outcomes and capped at the budget level. In addition, LCF will top up

the contract through additional outcome payments worth between 33% and 36%. This would increase the spend to £1.790m. If the Council is able to secure 36% top up, the additional 3% would be mainly used to support robust and independent evaluation of the contract that would support future decisions for invest to save in carers and also to enable the work in Norfolk to be shared more widely by other Councils across the UK.

- 6.3 The contract must be at least 51% outcome-based payments, but it is expected that this will be higher. Payment mechanisms will be triggered by a mix of outputs and outcomes. For this reason, some payments may not be made in 2020-21 and these would be held in a reserve to make payment if the outcomes are reached.
- 6.4 Current costs of supporting the business case for the SIB are being managed within the Adult Social Care budget. Although some initial set up and management costs would need to be managed from the service budget, it is proposed that ongoing costs would be drawn from the project.
- 6.5 No savings are currently built into the council's medium-term financial plan. However, studies published by the Department of Health, Association of Directors of Adult Social Services (ADASS); Carers Trust and Carers UK demonstrate the value of carers to councils and suggest that £1 investment in carers saves between £4 - £5. This is an area where councils, including Norfolk have been able to only invest a proportionately small amount of the overall budget. Currently, there is insufficient hard evidence to enable the council to confidently increase investment. One of the key aims of the SIB project is to both help make the case for further investment and to provide initial investment to support the future business case. At the end of the contract the aim will be for the council to have been able to agree the optimal investment in carers in Norfolk.
- 6.6 The evaluation aspect of the project will enable a further business case to be prepared for years three to five of the project, which will focus on any further opportunities for join up of services and further investment.

## **7. Resource Implications**

### **7.1. Staffing:**

- 7.1.1 Staff resource from ASD has been dedicated to the project in addition to drawing resources from Commissioning, Finance and Operations. This input has enabled the bid to be developed and the business case constructed to the strict guidelines outlined by DCMS
- 7.1.2 Assuming approval by DCMS in December 2019 significant work would be required to deliver the full SIB by the mobilisation date of September 2020.
- 7.1.3 As outlined in Section 6 'Financial Implications' a top slicing of the outcomes payments made by LCF during the life of the project, amounting to £0.040m per year initially and with the potential for up to £0.100m in years three through to five, would be utilised to resource operational and evaluation requirements.

### **7.2. Property:**

- 7.2.1 None identified

### **7.3. IT:**

- 7.3.1 None identified

## **8. Other Implications**

### **8.1. Legal Implications**

8.1.1 None identified

### **8.2. Human Rights implications**

8.2.1 None identified

### **8.3. Equality Impact Assessment (EqIA) (this must be included)**

8.3.1 **To follow**

### **8.4. Any other implications**

8.4.1 None identified

## **9. Risk Implications/Assessment**

9.1. Risks and opportunities will be managed through the contract with BOP and through ensuring that flexibility to undertake interventions is paired with the accountability for outcomes. A developmental approach to the contract will allow evidence on avoidable and unavoidable breakdowns and risk factors to be accurately identified and for growth of the value of the contract over the life of the five year delivery period. Annual reviews of the arrangement will allow all parties to operate with confidence about progress, risk and outcomes.

## **10. Select Committee comments**

10.1. None

## **11. Recommendations**

11.1. **Cabinet are asked:**

- a) **To delegate the approval of the Application for a Carers SIB to the Department of Culture, Media and Sport / Life Chances Fund to the Executive Director of Adult Social Care**

### **Officer Contact**

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

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# Cabinet

## Item 15

<b>Decision making report title:</b>	<b>Renewal of the NCC Group Catering Contract for maintained schools</b>
<b>Date of meeting:</b>	<b>02 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr John Fisher, Cabinet Member for Children's Services</b>
<b>Responsible Director:</b>	<b>Sara Tough, Executive Director of Children's Services</b>
<b>Is this a key decision?</b>	<b>No</b>

### **Introduction from Cabinet Member**

The council has a duty to ensure that there is provision for all children in maintained schools to receive a school meal. The Local Management of Schools legislation gives governing bodies the freedom to choose their own catering provider for their school. However, due to the many smaller primary schools in Norfolk, and in particular those with no cooking facilities of their own, the Council fulfils its legal obligations and ensures provision is available to all schools, irrespective of size and available facilities, by negotiating a group catering contract. The governing bodies of maintained primary schools are able to opt into this contract via a Service Level Agreement or are free to procure another solution should they wish to do so.

### **Executive Summary**

1. The Council currently has a group contract with Norse Eastern Limited to provide catering services to maintained primary schools.
2. The current contract ceases on 31 March 2020, contains in the region of 119 schools, and is worth approximately £6M per annum.
3. Maintained primary schools may opt into the contract by signing a Service Level Agreement with Norse but must leave if they convert to academy status. There is no obligation for maintained schools to opt into the contract, and they are free to choose an alternative supplier or provide their own meals if they wish.
4. The nutritional standards, quality and value for money of the contract is monitored and reported upon by a Catering Board.
5. There is no financial cost to the Council but there may be some financial risk if the contract is not renewed, as the Council may then receive a reduced dividend from Norse and there may be the potential for pension strain costs should Norse staff be made redundant as a direct result of lost business.
6. The value of the contract is reducing annually as schools convert to academy status, making it less attractive to alternative suppliers.
7. The operation of Norse Eastern Ltd, with reference to the Group Catering Contract has been considered by the Council's procurement team and by solicitors from nplaw, in conjunction with a report to Norse Group from the external auditors KPMG, and it has been deemed to be Teckal compliant.
8. Norse Eastern Ltd use local suppliers for the majority of the food used in the servicing of the school contract, and also meet the stringent School Food Standards.

9. On the basis of all the considerations above, it has been agreed that the NCC Group Catering Contract with Norse Eastern Ltd should be renewed for a further 3 years, but with enhancements as agreed with the members of the Catering Board.

**Recommendations To note the contents of the report and the renewal of the Group Catering Contract with Norse Eastern Ltd with effect from 1 April 2020 for a period of 3 years.**

## **1. Background and Purpose**

- 1.1 There is a longstanding arrangement whereby the Council has a group catering contract with Norse Eastern Limited to provide catering services to maintained primary schools.
- 1.2 The council is not obliged to tender the contract, which is currently valued at circa £6M per annum, because Norse Eastern meets certain criteria about degree of council control set out in procurement law (Teckal).
- 1.3 Maintained primary schools may choose to sign a Service Level Agreement with Norse to be covered by the group contract. Some 119 primary schools currently opt into this arrangement, although this number is falling as schools convert to academy status.
- 1.4 The group contract can only cover LA maintained schools; academies are required to enter into a contract for catering, as opposed to an SLA via the Council. As schools convert to academy status during the contract term, they must therefore leave the group contract.
- 1.5 The group contract is monitored in terms of nutritional quality and value for money by a Catering Board comprising council officers, Norse officers and stakeholders (governor & headteacher representatives). The Board is content with the quality and value of the Norse contract, and that it should be renewed.
- 1.6 Although the contract does not end until 31 March 2020, in order to ensure that schools that do not opt to renew have sufficient time to find alternate provision and undertake any staff TUPE processes, we need to ensure that we have an indication of sign-up to the new contract before the end of this school term.

## **2. Proposal**

- 2.1 The proposal is that the Council continue with the Group Catering Contract with Norse Eastern Limited for a further 3-year contract term with effect from 1 April 2020, but with some enhancements to the contract as agreed with the members of the Catering Board.
- 2.2 The Catering Board, in negotiating with Norse Eastern Limited, discussed changes to the management fee structure to give participating schools more freedom and choice.
- 2.3 In addition, discussions have led to a methodology to encourage take-up of meals in order to allow for a 'profit-sharing rebate' with participating members.



- 2.4 The final contract renewal is recommended by the Catering Board, stakeholder engagement includes discussion at Norfolk School's Forum, before ultimate sign-off by the Executive Director of Children's Services.

### **3. Impact of the Proposal**

- 3.1 The proposals will ensure there is a suitable provision available for all maintained schools, irrespective of size and available facilities, so that all children will have access to a school meal and thereby ensure the council's duty is fulfilled.

- 3.2 Should the Council not negotiate a group contract, there would be the risk that a number of small rural schools, particularly those without kitchens, would not be able to find a suitable alternative supplier and children would therefore not be able to benefit from a school lunch. The Council would then be failing in its duty to these children.

### **4. Evidence and Reasons for Decision**

- 4.1 A full stakeholder consultation regarding the school meal provision in Norfolk was undertaken in 2008 and 2009, using external consultants Impower Limited. The recommendations included a detailed change programme, which led to the formation of a Catering Board to oversee the introduction of the group catering contract with Norse Eastern Limited and to report on the nutritional standards, quality, and value for money of the contract.

- 4.2 The Board meets half-termly and considers performance against a series of agreed key performance indicators: service-wide; financial; team development; customer service.

- 4.3 The Chair of the Board (an LA Officer) also receives and responds to any customer complaints that cannot be satisfactorily dealt with by Norse.

- 4.4 The contract was initially for a 3-year period from 1 April 2011 and was subsequently renewed for further 3-year periods from 1 April 2014 and 1 April 2017. This current contract is due to end on 31 March 2020.

### **5. Alternative Options**

- 5.1. As the number of schools in the contract have reduced over the 3-year contract periods due to schools converting to academy status, it has also reduced the attractiveness of the contract to alternative suppliers.

### **6. Financial Implications**

- 6.1 There is no explicit cost to the Council, as all costs of school meals fall to school budgets (for the management fee and for free / adult duty meals) or to parents (for pupil paid meals) or to school staff (for adult paid meals). The Council is not taking the risk relating to volume; if schools leave the contract, the council passes the reduction in income directly through to Norse.

- 6.2 Additionally, there is currently a cost to the Council for the administration and management of the group contract, which is undertaken by Educator Solutions on behalf of Children's Services Department. Norse currently pays a management fee to defray the costs incurred in managing the contract and collecting the income.

- 6.3 There is a separate agreement with Norse concerning pension liabilities. As a result of this, the Council is taking a risk regarding pension costs on redundancy if Norse loses business (although we would generally expect staff to transfer to the new provider under the Transfer of Undertakings (Protection of Employment) (TUPE) regulations.

## **7. Resource Implications**

7.1. **Staff:** N/A

7.2. **Property:** N/A

7.3. **IT:** N/A

## **8. Other Implications**

8.1. **Legal Implications** Nplaw and the Council's procurement team have been involved in the contract renewal throughout. Senior Counsel's opinion has affirmed the correctness of our procurement approach and also continued use of our current contract structure.

### **8.2. Human Rights implications**

No implications

### **8.3. Equality Impact Assessment (EqIA) (this must be included)**

The Catering Board completes the EqIA as part of the contract renewal by considering items including but not restricted to the following:

- The availability of a nutritionally balanced school meal for all children, including those who are eligible for Free School Meals
- The availability of a nutritionally balanced school meal for those children with restricted diets for any reason (e.g. medical, religious, ethical etc.)
- The employment terms & conditions for staff employed in school kitchens

### **8.4. Health and Safety implications (where appropriate)**

There are no specific implications; however, the Catering Board receive reports from Norse Eastern Limited at every meeting in relation to Health & Safety matters such as incidents and staff training.

### **8.5. Sustainability implications (where appropriate)**

There are no specific implications; however, the Catering Board consider the sustainability of the contract including impact upon the environment. Norse Eastern Limited use in the main, local suppliers to service the contract, with the majority of food being sourced from local farmers and growers.

The Catering Board also discuss such topics as the impact upon the contract of such issues as the Healthy Schools agenda and Brexit.

## **9. Risk Implications/Assessment**

9.1. There are no other issues or risks other than those listed elsewhere in this document.



# Cabinet

Item No. 16

<b>Decision making report title:</b>	<b>Plan to develop Peer Challenge Recommendations into Action Plan</b>
<b>Date of meeting:</b>	<b>02 December 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Andrew Proctor, Leader of the Council</b>
<b>Responsible Director:</b>	<b>Fiona McDiarmid, Executive Director, Strategy &amp; Governance</b>
<b>Is this a key decision?</b>	<b>No</b>

## **Introduction from Cabinet Member**

The Corporate Peer Review has come at an opportune time for Norfolk County Council - after the adoption of a new business plan and change of governance structure. The Peer Review team recognised the good work being done across the authority, how the changes were being bedded in and being more outward facing in working with partners and communities.

You would expect the team to make recommendations to help the Council in looking forward and their insight through their report has provided an excellent base from which an action plan for further and continuing improvement can be built.

One particular recommendation was to ensure we carried out the planned 6 month governance review and it is proposed to ask the LGA back in early January to undertake that.

The action plan will be a living document owned by me as Leader working with the Strategy & Governance directorate and across the whole Council.

## **Executive Summary**

The LGA Corporate Peer Challenge of Norfolk County Council (14-17 October) produced a series of recommendations. This paper provides an overview of the recommendations and proposes how an action can be developed to respond to them.

## **Recommendations**

- 1. To discuss draft findings of the Peer Challenge and the action plan to resolve their recommendations**
- 2. To commission the LGA to provide the external support to our planned governance review**

## 1. Background and Purpose

- 1.1 In October 2019, Norfolk County Council invited a Local Government Association Corporate Peer Challenge Team to complement and add value to our performance and improvement thinking. Peer Challenges act as part of sector-led improvement, in lieu of previous formalised inspections.
- 1.2 Peers use their experience and knowledge of local government to reflect on the information presented to them by people they met, things they saw and material that they read. The team provide feedback as critical friends, not as assessors, consultants or inspectors.
- 1.3 The team consisted of; Phil Norrey, Chief Executive, Devon County Council, Baroness Jane Scott, former Leader of Wiltshire Council, Kevin Foster, Chief Operating Officer, East Sussex County Council, Jon Wilson, Director of Adults and Communities, Leicestershire County Council, Laura Church, Corporate Director for Place and Infrastructure, Luton Borough Council, Liam Walsh, National Graduate Development Programme participant, Local Government Association and Chris Bowron, Programme Manager, Local Government Association.
- 1.4 The Peer Challenge Team considered a series of core and supplementary components, namely:
- Understanding of the local place and priority setting
  - Leadership of place
  - Financial planning and viability
  - Organisational leadership and governance
  - Capacity to deliver
- And
- Inclusive growth
  - Demand management
- 1.5 Full details of the Peer Challenge process can be found here:  
<https://www.local.gov.uk/our-support/peer-challenges>
- 1.6 The Final Feedback Report from the Peer Challenge is in **Annex A**.
- 1.7 Overall the Team noted that the Council is changing, at pace, there is a growing feeling of stability and confidence amongst our partners and the Executive Leader is integral to this. There is a strong 're-booting' narrative, with growing understanding and commitment of the Council's impact upon the socio-economic challenges of Norfolk.
- 1.8 The Council has successfully addressed the financial challenges to date but needs to be mindful of 'comparative performance, outcomes and spend'. The new governance arrangements have been widely welcomed, however it is recognised that there is a need for more diverse member development.
- 1.9 There needs to 'be increased corporate overview of performance and the opportunity for greater challenge – performance needs to be driven much harder in order to achieve better outcomes.'

1.10 Organisational culture is being described more positively (the new senior officer team is seen as making a fundamental difference in this) ‘however a lack of consistency in middle management practices was highlighted as a significant issue and this needs to be tackled.’

### 1.11 **Key Recommendations**

- A. The authority needs to ensure it takes partners and staff with it if the ‘re-booting’ of the council – as an organisation and a place leader – is to succeed
- B. The council needs to address issues of comparative performance and spend – with increased corporate overview of performance and the opportunity for greater challenge being required
- C. Pressure needs to be maintained in order to ensure anticipated benefits from the authority’s investments, aimed at reducing demand in social care, come to fruition and the financial sustainability of the council is protected
- D. The council needs to carefully manage the long-term budget commitments that result from significant new capital investment
- E. There should be the establishment of an approach whereby greater consistency and clarity exists with the budget, in relation to Directorates spending in line with what is made available to them year on year and their delivery against their agreed savings targets
- F. A lack of consistency in middle management practices was highlighted as a significant issue and this needs to be tackled
- G. The council should undertake the proposed review of the new governance arrangements and commission this externally
- H. We would encourage the council to diversify the approach to elected member development, with an expectation that a greater proportion of elected members participate
- I. The council should undertake a sequencing of change and improvement activities in order to make the best use of limited resource and clarify expectations
- J. The adult skills agenda in Norfolk is a theme that everybody should unite around and links strongly with the inclusive growth agenda

1.12 It is proposed that the Council develops an action plan to respond to these recommendations. A proposal for how to create the action plan is detailed below.

## **2. Proposals**

2.1 The Peer Challenge has created a fantastic opportunity to reflect on our progress and development as an organisation so far and gives key insights from a critical friend which aren’t always obvious when working within the organisations reviewed. The Council should not miss the chance to enact the recommendations.

2.2 For the development of the Action Plan It is proposed that this is co-produced with services, with Strategy & Governance taking a co-ordination approach. This provides a unique opportunity and platform to showcase a cross-

organisational approach to leading improvements in Performance, Governance and Transformation as outlined in the findings.

- 2.3 To build the Action Plan it is proposed to hold a cross-organisational workshop on each major recommendation. Wider engagement such as surveys and discussion groups with staff and partners will also be considered to ensure wide buy-in. Details of the workshops are below. Timings have not been set due to awaiting direction, however work will happen in quarter 4 if it is agreed to proceed.
- 2.4 It is proposed that a professional lead from the senior leadership community is identified who will take ownership and accountability as the “Head of Profession” for each identified theme providing thought leadership on the “what” and a collaborative approach to the “how”. It is envisaged that an upto 24-month plan will be created for each recommendation to ensure long term, sustainable change.
- 2.5 **Annex B** contains a table showing how it is proposed to develop the action plan.
- 2.6 **Specifically, under Recommendation G it is proposed to commission the LGA to provide the external support to our planned governance review**

### **3. Impact of the Proposal**

- 3.1 The Action Plan will establish clear, SMART outcomes to enable transparent understanding of progress against the recommendations.
- 3.2 Progress will be reported to the Corporate Board and Cabinet quarterly.

### **4. Evidence and Reasons for Decision**

- 4.1. The Peer Challenge Report in Annex A provides full details of the visit by the Peer team and their recommendations which would then be en-acted through the proposed action plan.

### **5. Alternative Options**

- 5.1. This proposal looks to establish the development of an action plan. It is proposed that a do-nothing option would not be suitable.

### **6. Financial Implications**

- 6.1. Through the development process of the Action Plan, it will be possible to ascertain what resource might be required to fulfil the need to respond to the recommendations

### **7. Resource Implications**

- 7.1. **Staff: existing resource**

7.2. **Property: none**

7.3. **IT: none**

**8. Other Implications**

**8.1. Legal Implications**

n/a

**8.2. Human Rights implications**

n/a

**8.3. Equality Impact Assessment (EqIA) (this must be included)**

n/a

**8.4. Health and Safety implications (where appropriate)**

n/a

**8.5. Sustainability implications (where appropriate)**

n/a

**8.6. Any other implications**

**9. Risk Implications/Assessment**

9.1. n/a

**10. Select Committee comments**

10.1. n/a

**11. Recommendations**

11.1 **To discuss draft findings of the Peer Challenge and the action plan to resolve their recommendations**

11.2 **To commission the LGA to provide the external support to our planned governance review**

**12. Background Papers**

12.1. LGA Corporate Peer Challenge Norfolk County Council Position Statement 2019

**Officer Contact**

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# Corporate Peer Challenge **Norfolk County Council**

14th to 17th October 2019

Feedback Report

## 1. Executive Summary

Norfolk County Council is an authority that is changing and is doing so at considerable pace. The culture within the council is being described more positively now and there is much greater stability. The new senior officer team is seen as making a fundamental difference, as is the Executive Leader who is clearly held in very high regard. Partners demonstrate an increasing confidence in the council.

There is a strong sense that a 're-booting' of the council is taking place, enabling the generation of a new narrative for the authority to move on from the past. Crucial to this succeeding, however, is the council ensuring it takes partners and staff with it by maximising the opportunities for them to influence agendas and be engaged and involved.

The council has successfully addressed the financial challenge to date in balancing its budget. In meeting this challenge, the authority has demonstrated both a prudent approach and a willingness to take difficult decisions. Whilst the council has consistently delivered a balanced budget year on year, there is an inconsistent understanding of how spending across different parts of the council is operating and where savings are being derived from. We would therefore encourage the authority to establish an approach whereby greater consistency and clarity is established around the budget, in relation to Directorates spending in line with what is made available to them year on year and their delivery against their agreed savings targets.

Significant new capital investment activity is taking place on the part of the council and this reflects the scale of the council's ambitions and challenges. The authority needs to ensure both that the anticipated benefits materialise, in the form of reduced demand and cost pressures, and that it manages the long-term revenue budget commitments that result from increased borrowing. This is important if the financial sustainability of the council is to be protected.

The authority needs to be mindful of the fact that there is a need to reduce per capita spending and enhance the outcomes being achieved in its three main service areas if it is to become a front runner amongst comparator councils. There needs to be increased corporate overview and the opportunity for greater challenge around the outcomes being achieved in the county and how the council performs. What has been seen with the council successfully moving children's services out of an 'Inadequate' rating demonstrates the powerful difference that can be made to outcomes, reputation and confidence through a sustained and rigorous focus on key issues.

There is widespread acknowledgement that it is 'early days' in relation to the council's new governance arrangements but they have been widely welcomed. In particular, people are valuing the greater clarity and accountability that has resulted, the opportunity for constructive challenge to be provided through the Scrutiny Committee and the potential to engage the wider elected membership through the Select Committees. To aid their further progress, we would encourage the authority to undertake the review of the new governance arrangements which it proposed when they were established.

We would encourage the council to build on the creation of its Corporate Board by generating the space for the senior-most officers to come together formally on a regular basis. In addition, we see there being benefit in creating more time and space for Cabinet and Corporate Board to meet and consider the strategic issues facing the council. Portfolio Holders are seen both to have embraced their roles with willingness and enthusiasm and to be making progress in them. This could be built upon, through further support being made available to aid their development. In relation to wider elected member development, we would encourage the council to diversify the approach.

The council can point to making a difference in relation to infrastructure within the county. People also highlighted the council's very successful track record in generating external funding to aid projects and initiatives within the county. However, we believe more needs to be done to understand 'place' across Norfolk. Achieving this would act as the basis for further increasing partners' confidence in the council. The council is being invited into the health and social care integration space by partners as a consequence of that increasing confidence. Driving forward this agenda will enhance understanding of, and working in, localities.

'Inclusive growth' has emerged as a concept for the council and its partners relatively recently and social mobility sits at the heart of this agenda. Now is a crucial time – a great deal of analysis and strategic thinking has been undertaken but some early wins soon are vital in the form of targeted interventions at the locality level. It is also timely now to look at extending the 'Inclusive Growth Coalition' to include a wider range of partners and stakeholders. Within the council, inclusive growth needs to become fully embedded within the Directorates.

There has been significant financial investment to address demand pressures across both adult and children's services. Systems re-design has been undertaken which is leading to improvements and more positive outcomes and the focus by the council appears to be on the right things. Many initiatives needing to be delivered at pace is challenging, generating issues around capacity and the ability to evidence outcomes. Initial success is being seen but given the scale of investment that has been made it is important that the confidence of stakeholders is maintained through sustained improvement.

## **2. Key recommendations**

There are a range of suggestions and observations within the main section of this report that will inform some 'quick wins' and practical actions, in addition to the conversations on-site – many of which provided ideas and examples of practice from other organisations. The following are the peer team's key recommendations to the council:

- The authority needs to ensure it takes partners and staff with it if the 're-booting' of the council – as an organisation and a place leader – is to succeed

- The council needs to address issues of comparative performance and spend – with increased corporate overview of performance and the opportunity for greater challenge being required
- Pressure needs to be maintained in order to ensure anticipated benefits from the authority’s investments, aimed at reducing demand in social care, come to fruition and the financial sustainability of the council is protected
- The council needs to carefully manage the long-term budget commitments that result from significant new capital investment
- There should be the establishment of an approach whereby greater consistency and clarity exists with the budget, in relation to Directorates spending in line with what is made available to them year on year and their delivery against their agreed savings targets
- A lack of consistency in middle management practices was highlighted as a significant issue and this needs to be tackled
- The council should undertake the proposed review of the new governance arrangements and commission this externally
- We would encourage the council to diversify the approach to elected member development, with an expectation that a greater proportion of elected members participate
- The council should undertake a sequencing of change and improvement activities in order to make the best use of limited resource and clarify expectations
- The adult skills agenda in Norfolk is a theme that everybody should unite around and links strongly with the inclusive growth agenda

### **3. Summary of the peer challenge approach**

#### **The peer team**

Peer challenges are delivered by experienced elected member and officer peers. The make-up of the peer team reflected the council’s requirements and the focus of the peer challenge. Peers were selected on the basis of their relevant experience and expertise and agreed with you. The peers who delivered the peer challenge in Norfolk were:

- Phil Norrey, Chief Executive, Devon County Council
- Baroness Jane Scott, former Leader of Wiltshire Council
- Kevin Foster, Chief Operating Officer, East Sussex County Council
- Jon Wilson, Director of Adults and Communities, Leicestershire County Council

- Laura Church, Corporate Director for Place and Infrastructure, Luton Borough Council
- Liam Walsh, National Graduate Development Programme participant, Local Government Association
- Chris Bowron, Programme Manager, Local Government Association

### **Scope and focus**

The peer team considered the following five questions which form the core components looked at by all corporate peer challenges. These are the areas we believe are critical to councils' performance and improvement:

1. Understanding of the local place and priority setting: Does the council understand its local context and place and use that to inform a clear vision and set of priorities?
2. Leadership of place: Does the council provide effective leadership of place through its elected members, officers and constructive relationships and partnerships with external stakeholders?
3. Organisational leadership and governance: Is there effective political and managerial leadership supported by good governance and decision-making arrangements that respond to key challenges and enable change and transformation to be implemented?
4. Financial planning and viability: Does the council have a financial plan in place to ensure long term viability and is there evidence that it is being implemented successfully?
5. Capacity to deliver: Is organisational capacity aligned with priorities and does the council influence, enable and leverage external capacity to focus on agreed outcomes?

Alongside these questions, the council asked the peer team to consider their ambitions and plans around:

6. Inclusive growth
7. Demand management

### **The peer challenge process**

It is important to stress that this was not an inspection. Peer challenges are improvement focused and tailored to meet individual councils' needs. They are designed to complement and add value to a council's own performance and improvement. The process is not designed to provide an in-depth or technical assessment of plans and proposals. The peer team used their experience and knowledge of local government to reflect on the information presented to them by people they met, things they saw and material that they read.

The peer team prepared for the peer challenge by reviewing a range of documents and information in order to ensure they were familiar with the council and the challenges it is facing. The team then spent four days on-site in Norfolk, during which they:

- Spoke to more than 150 people, including a range of council staff, elected members and external partners and stakeholders
- Gathered information and views from around 35 different interviews and focus groups, additional research and reading that were all kindly arranged for us
- Collectively spent more than 450 hours to determine their findings – the equivalent of one person spending around thirteen working weeks in Norfolk

This report provides a summary of the peer team's findings. It builds on the feedback presentation provided by the peer team on Thursday 17th October upon the conclusion of our visit. In presenting feedback to the council, we have done so as fellow local government officers and elected members, not professional consultants or inspectors. By its nature, the peer challenge is a snapshot in time. We appreciate that some of the feedback may be about things the council is already addressing and progressing.

## **4. Feedback**

### **4.1 Understanding of the local place and priority-setting**

The council plan, 'Together, for Norfolk', which was established in June this year, outlines the authority's strategic priorities through to 2025. It centres upon economic growth, improved social mobility, a better quality of life in the county and improved outcomes for local people. It emerged from the report of the national Social Mobility Commission last year, to which the council contributed, which identified people within the county as being amongst the least socially mobile in the country. 'Together, for Norfolk' is widely recognised both within the authority and amongst partners and is now being supplemented with the emerging theme of 'inclusive growth', which reflects a growing understanding of, and commitment around impacting upon, the socio-economic challenges in Norfolk.

The council and its partners have mechanisms in place that enable good analysis and sharing of information. Council staff highlighted to us that the authority is better now in making use of evidence, which is one of the newly established organisational values. They cited this in relation to the information required to support invest to save business cases and the planning of service delivery. 'Norfolk Insight', hosted by the council's Intelligence and Analytics team, acts as a central source of information about the county and the people it serves. This team also produces the 'Norfolk Story', an annual report on the state of the county. A few months ago, the County Intelligence Group was established to aid closer working across a range of public sector organisations in the county and the potential for creating an Office of Data and Analytics for Norfolk is now being looked into.

The council has a range of engagement mechanisms in place, including its 'Your Voice' residents' panel comprising nearly 1,400 people who have indicated a willingness to contribute to surveys and participate in focus groups and resident feedback sessions. The authority undertakes a residents' survey every two to three years, with the most recent one undertaken in July this year, which has helped to inform 'Together, for Norfolk'.

Interesting work has taken place in relation to identifying the strategic trends for Norfolk through to 2040. Having such information to call upon stands the council and its partners in good stead when it comes to determining future priorities and planning service delivery. The information that emerged through the 2040 trends work will be the subject of a 'Futures Summit' being held early next year, bringing together partner organisations from across the county.

Based on our work through the course of the peer challenge, we believe more needs to be done to understand 'place' across Norfolk. Some people that we met, both internally and externally, highlighted a sense of a Norwich or urban-centric focus at the heart of the council's thinking. An example of the importance of understanding 'place' more fully was the challenge of people within some rural communities, with aspirations to undertake vocational training, facing a three hour round trip by public transport to access their nearest training establishment. The council is seeking to address this specific issue by moving the adult learning service out to market towns whilst, more generally, the Local Service Strategy is an emerging approach to 'place'. Developing a more in-depth understanding of 'place' would act as the basis for further increasing partners' confidence in the council.

## **4.2 Leadership of Place**

This is a council that is changing and is doing so at considerable pace. There is an increased feeling of stability in the organisation, with a senior management team made up of people appointed on a permanent basis and a reduction in the number of interim roles and the use of agency staff within the council.

People also highlighted there being greater political stability now too. The Executive Leader is cited as being integral to both this stability and the change that is being delivered within the council. He is clearly held in very high regard and generating considerable goodwill towards the authority. All of this is serving to generate a growing confidence in the council amongst its partners.

The Norfolk Leaders Group, comprising the Leaders of the local authorities in the county and the Chair of the New Anglia Local Enterprise Partnership (LEP) is working in a more focused and positive way. There is both a commitment, in the form of an externally funded programme of joint development activity for the Group, and an opportunity, with the chance to develop closer links between Norfolk County Council and the LEP, to build upon the work done, and the progress made, so far.

The strategic partnerships that have been established, such as those for children and young people, adults and learning disabilities are seen to be making progress. This raised a question for us of whether these thematic forums could potentially be supplemented with a county-wide forum of strategic leaders from across all of the



sectors in Norfolk, such as the voluntary and community sector, police, business community and further and higher education, which in turn might lend itself to the development of a community strategy.

The move to a single Clinical Commissioning Group for Norfolk presents the opportunity to drive forward the health and social care integration agenda. The council is being invited into this space by partners as a consequence of their increasing confidence in the authority. Driving forward this agenda will enhance understanding of, and working in, localities. This, in turn, would enable the good examples of partnership working in localities to be built upon. We heard of variability in this at present, with those geographical areas which have progressed further undertaking regular, even weekly, cross-county council and multi-agency meetings to examine locality issues. Taking this further, and as another example, the Norwich Opportunity Area was highlighted as one where the council and partners are working well together in a locality but the development of an even more 'fine-grained' approach, focusing in on specific social groups and schools, would potentially deliver benefit.

The council can point to making a difference in relation to infrastructure within the county, including the re-development of the A47, the progressing of the Great Yarmouth third river crossing and the much-enhanced availability of Super-Fast Broadband. People also highlighted the council's very successful track record in generating external funding to aid projects and initiatives within the county, with examples being the monies secured from the 'Transforming Cities Fund' and the 'Future High Streets Fund' plus £7.5m of guaranteed European Social Fund (ESF) monies for work on skills development for the care sector in Norfolk and Suffolk.

There is a strong sense that a 're-booting' of the council is taking place, enabling the generation of a new narrative for the authority to move on from the past. Crucial to this succeeding, however, is the council ensuring it takes partners with it by maximising the opportunities for them to influence agendas and ensuring the ground work is done to 'socialise' initiatives ahead of them being launched. The recent experience in relation to the 'Growth Prospectus' is a case in point here, with some partners highlighting the perception that it suddenly materialised and was presented to them for sign-up.

An agenda which provides an opportunity to cement learning in relation to enhanced partnership working, and around which we would encourage everybody to coalesce, is that of adult skills development. This links strongly with the inclusive growth agenda and has the potential to impact significantly on people's lives within Norfolk given it is the lowest performing county council area nationally in relation to the proportion of people qualified to Level 2.

### **4.3 Financial planning and viability**

The council has successfully addressed the financial challenge to date in balancing its budget. This has entailed achieving nearly £400m of savings since 2011, in the context of a reduction of 60 per cent in Revenue Support Grant. In meeting this challenge, the council has demonstrated both a prudent approach and a willingness to take difficult decisions. Examples of the former include accepting the offer from

government of a four-year funding allocation and being willing to raise council tax and the adult social care precept, whilst examples of the latter are increased fees and charges for adult social care and the closure of children's centres, with them being replaced by the Early Childhood and Family Service (ECFS).

Significant swings in Directorate spending can be seen year on year, with significant in-year overspends in some areas and underspends in others, with these being brought into line through technical adjustments and the movement of monies both into and out of earmarked and general reserves and 'Finance General'. Whilst the council has consistently delivered a balanced budget year on year, there is an inconsistent understanding of how spending across different parts of the council is operating and where savings are being derived from. We would therefore encourage the authority to establish an approach whereby greater consistency and clarity is established around the budget, in relation to Directorates spending in line with what is made available to them year on year and their delivery against their agreed savings targets.

The outcome of the 2019 Spending Review has enhanced the council's financial position and this potentially provides the opportunity to ensure the inclusive growth ambitions for the county are adequately supported.

The authority has taken an investment approach during a time of austerity in order to impact upon demand and cost pressures. This has seen, as an example, £120m of capital funding recently being approved to establish four special schools, with bidding for government funding potentially enabling a fifth facility to be established, thus enhancing Special Educational Needs and Disabilities (SEND) provision. As another example, £29m capital funding has been approved to increase extra care housing provision. We outline in more detail later in this report, under 'Demand Management', the detail of the approach being taken but it is important to highlight here that the pressure needs to be maintained by the council in order to ensure the anticipated benefits, in the form of reduced demand for services, reduced cost and improved outcomes, materialise. This is important if the financial sustainability of the council is to be protected.

Thus it can be seen from the above that significant new capital investment activity is taking place on the part of the council. There are other areas too, including £20m for the Great Yarmouth third river crossing, investment in the Northern Distributor Road (Broadland Northway) and the Norwich Western Link road and funding of general service transformation activity. The value of the council's capital programme is now around £500m across the four years from 2019 to 2023. This reflects the scale of the council's ambitions and challenges. With around 65 per cent of the current capital programme being financed from borrowing, there are inevitably increases in long-term revenue budget commitments being generated to service the increases in financing charges. These need to be reflected in a way in the Medium Term Financial Plan that means they can be viewed in the context of the strategic priorities of, and financial challenges for, the council. They must then be managed effectively in order to ensure the financial sustainability of the council is protected.

The authority needs to be mindful of the fact that there is a need to reduce per capita spending and enhance the outcomes being achieved in its three main service areas –

adults, children's and highways – if it is to become a front runner amongst comparator councils. In looking to continue its improvement, the authority will wish to ensure it moves to a position where its relative performance and expenditure are on a par with the best.

There is a commercial appetite on the part of the council, as seen with its ownership of a number of companies providing services both locally and nationally. Hethel Innovation supports local businesses to grow and innovate, whilst Repton is the council's property company which seeks to develop housing on council-owned land. The council is also the proud owner of the largest Local Authority Trading Company nationally – Norse – which provides facilities management, property services and specialist care facilities and has forecast a turnover this year of £325m. The council deserves credit for having had the appetite and vision to establish these companies but we would encourage it to satisfy itself that sufficient benefits are being derived for the authority. This relates both to the financial aspects and in terms of contributions to outcomes and council priorities. We understand, as an example, that the annual dividend for the authority from Norse is around £600,000, although there are ambitions to increase that. Overall, there is felt to be scope to improve the council's approach to commercialisation by learning from and repeating good practice internally and externally and capturing wider opportunities.

#### **4.4 Organisational leadership and governance**

The move to the council's new governance arrangements has been widely welcomed within the organisation. The changes have seen a move away from a Committee System and the establishment of a Cabinet system, under an Executive Leader, with a single Scrutiny Committee and three Select Committees. Whilst these changes have been taking place, the council has also seen its Managing Director moving on to another role in the public sector and has not recruited a direct replacement, opting instead for an internally-appointed Head of Paid Service.

In relation to the governance changes, there is widespread acknowledgement that it is both 'early days' and a 'honeymoon period' currently, but the overall impression is one of people welcoming:

- The greater clarity and accountability that has resulted from the shift to the Cabinet system with Portfolio Holders
- The opportunity for constructive challenge to be provided through the Scrutiny Committee
- The potential to engage the wider elected membership in policy development work through the Select Committees

We would encourage the authority to undertake the review of the new governance arrangements, which it proposed to take place six months after they had been established, and to commission this externally. Useful pointers on elements that look as though they need to be adapted a few months in, based on our discussions during the course of the peer challenge, are:

- To consider refinements to the Constitution as necessary to enable wider engagement, clearer focus and things being 'slicker'
- To establish a corporate approach to 'work-programming' for Cabinet, Scrutiny and the Select Committees – enabling the widest possible contribution from stakeholders, including all of the political groups, members of the different Committees and senior officers from across the Directorates with a view to ensuring a focus on fulfilling corporate priorities
- To position Democratic Services as more of an enabler and facilitator – the feedback we received was that support for the various council forums, whilst being valued and effective, is limited in scope to the administration of the meetings themselves and we see the potential to adapt this to offer support that is broader in nature, including the undertaking of research and provision of policy support
- To reflect on the balance of responsibilities across Cabinet Portfolios – a wide range of people expressed the view that there is significant variation in the breadth of Portfolio responsibilities, with a single Portfolio Holder across all aspects of services for children being cited as a particular issue

The Corporate Board of the council comprises the Executive Leader, Deputy Leader, Executive Directors and a small number of other senior officers with primarily corporate roles. This has been in place since January and meets weekly. We would encourage the council to build on the creation of the Corporate Board by generating the space for the senior-most officers, including all of the statutory post-holders, to come together formally on a regular basis to discuss matters pertinent to the officer role and explore 'professional' matters. In addition, we see there being benefit in creating more time and space for Cabinet and Corporate Board to come together to consider the strategic issues facing the council.

It is important that the council takes all of the opportunities that emerge to 'future-proof' the arrangements in relation to the Executive Leader and Corporate Board. There were many positive things said about the people operating at this level and they are seen as having been integral to the positive developments that have been taking place in relation to organisational culture, the way the authority interfaces with partners and the increasing confidence that partners have in the council. They are making a success of the new arrangements at the top of the structure but it is important that the council doesn't overly rely on having people with the right capabilities and approaches in order to make them work. The structure needs to be underpinned with the right systems and processes, plus thinking around succession planning, to ensure things can be sustained into the future.

Portfolio Holders are seen both to have embraced their roles with willingness and enthusiasm and to be making progress in them, with some of them not having held posts at this level before. This could be built upon, through further support being made available to aid their development and we would encourage the council to look into this.

In relation to wider elected member development, we would encourage the council to diversify the approach. At present, both the nature of what is provided and the way it is made available feels quite traditional. There is a reliance upon elected members coming in to County Hall to participate in development activities and the emphasis seems largely to be on aspects such as Planning, chairing skills and IT training. Providing more of a thrust around matters such as Corporate Parenting, social media training, briefings and speaker sessions on topical issues facing local government or challenges in Norfolk would be of benefit. Combining this with more varied approaches to the way training and development is delivered, including on-line provision and sessions offered at different times of the day or weekends, would support an expectation that a greater proportion of councillors take part. The briefing that councillors had made available to them on 'County Lines' issues and training in the use of defibrillators were cited as good examples of innovative development activity that had taken place recently and which should be built upon.

There is a need for elected members to be better supported in their roles through enhanced adherence to the Local Member Protocol and the creation of a casework management system. Some parts of the organisation are clearly seen to be more effective than others at informing councillors of activities and developments within their Divisions and responding to them on casework issues. Highways was highlighted as a particularly good example. At present, many of the elected members we spoke to indicated they find things out more often through other roles they have, for example on district/borough councils or parish/town councils, or through the local media and this is a source of frustration for them. There is also frustration amongst councillors in relation to them not having a system that enables them to raise a casework issue, have it logged and then be able to monitor progress on it easily. At present, they essentially rely on e-mail to raise issues and follow-up on progress, which can be rather 'hit and miss'.

In relation to performance management, the council's 'Vital Signs' measures are being refreshed for April 2020 and Corporate Board are now collectively considering corporate performance. If it is to become a front runner amongst comparator councils, and in order to achieve better outcomes, performance needs to be driven much harder in the organisation. There needs to be increased corporate overview and the opportunity for greater challenge, including from across the wider elected membership, around the outcomes being achieved in the county and how the council performs. What has been seen with the council successfully moving children's services out of an 'Inadequate' rating demonstrates the powerful difference that can be made to outcomes, reputation and confidence through a sustained and rigorous focus on key issues.

#### **4.5 Capacity to deliver**

The organisational culture within the council is being described more positively now. The new senior officer team is seen as making a fundamental difference both in relation to this and the 're-booting' of the council more generally, all of which has happened in a short space of time.

Staff we spoke to described an organisation that is supportive, constructive, trusting and empowering. One that is more outward-focused, has the maturity now to face up

to issues and has greater 'join-up' across it. As an example of this, people highlighted the positive attitude and climate that exists in relation to 'invest to save' ideas and initiatives. For staff to be willing to develop an idea in the first place requires an environment that is trusting and empowering. In turn, the act of bringing it forward requires them to have confidence that they will be listened to and respected and that the council will be willing to face up to the issue (often an inefficiency or service performance matter) that exists. Staff very much value the attitude that now exists around these types of elements, so necessary for an organisation to be successful.

A lack of consistency in middle management practices was highlighted as a significant issue and this needs to be tackled. This is, inevitably, a challenging level at which to operate, given the 'squeeze' that results from being positioned between the strategic and operational levels of the council. It is also necessary for managers to be supported and enabled to succeed. As an example, we heard that the shift to 'self-serve' for managers in relation to HR and financial matters, whilst entirely logical and consistent with what many other councils have done, has been made difficult for them as a consequence of 'legacy' IT systems. People in the middle management levels that we met highlighted for themselves that they would be welcoming of greater opportunities to come together across the organisation to aid joint working and share experiences. We understand such cohorts of staff already exist at some of the other levels in the council.

People highlighted inconsistency and confusion in relation to the management tiers within the authority and the council may wish to consider a review of this. The situation that exists is the result of a variety of changes made to the structure of the organisation and different functions within it at various points in the past. People at the same level seem often to hold different titles, with the terms Director, Assistant Director and Head of Service seemingly almost inter-changeable. Reviewing this tiering to ensure broadly equitable spans of control and consistency would serve to remove the confusion.

It is seen as 'early days' in relation to organisational development (OD). Some positive initiatives and steps have been undertaken, including the drafting of a refreshed vision for staff, the establishment of a new set of organisational values last year, the undertaking of the council's first employee engagement survey since 2014 and revising the approach to the performance appraisal process and its ethos. There has also been a lot of work undertaken to enhance social care practice.

Both the employee engagement survey and the anecdotal evidence we have gleaned during the course of the peer challenge indicate a positive impact having been made in relation to flexible working, facilitated through ICT, and the way this is aiding people's work/life balance. However, this needs to extend further in order to ensure the whole organisation benefits. As an example, staff highlighted to us that many of those not based at County Hall, particularly frontline social care staff, experience a significant difference on a day to day basis in relation to the working environment and ways of working, including remote working. The 'Norfolk Futures' five year transformation programme – now into its second year – and 'Smarter Working', which sits within it, are key drivers for achieving this wider reach.

The council has a very strong commitment to 'growing its own' in terms of staff. Examples include the Norfolk Social Care Academy for practitioners in both adults and children's services and the council-wide apprenticeship programme which sees people at that level comprising around two per cent of the workforce (with 187 people on the programme when last reported). This should reap rewards for the council going forward, not least in terms of aiding recruitment and furthering the growing stability of the organisation through continuing to reduce the level of agency staff in frontline social care. It should also serve to boost local employment, fitting with the inclusive growth agenda.

The council is strengthening its corporate centre and there is evidence that an effective balance is being struck in terms of it operating as an 'enabler' for traditionally strong Directorates. This is being seen with the way HR and Finance operate in the authority, with 'business partners' being deployed within Directorates, and also IT, where close working is being seen around, for example, the enhancing of the overall IT infrastructure and the commissioning and rolling-out of systems and kit, such as the 'Liquidlogic' adults social care tool and systems for use by staff in Highways working out and about across the county. This balance needs to continue to be struck going forward, with areas such as communications requiring a more corporate approach and greater consistency but without undermining the aims of the Directorates.

'Re-booting' the council applies to the way it functions internally, as well as in the place leadership space, and it can only succeed if the senior leadership of the authority takes the whole organisation with it. As a key part of this, analysis and corporate strategic thinking need to translate into practical action, engage and involve staff and cement a core DNA. The council is wrestling with some extremely interesting and thought-provoking concepts at present, not least inclusive growth and further organisational development activity. It is important that these agendas translate meaningfully for people in the council – enabling them to contribute to their development, buy into them and operationalise the strategies that emerge.

The council, as we have said, is an organisation that is changing and is doing so at considerable pace. It is taking on, and committed to delivering, further change and improvement both currently and over the coming months and years. People internally and externally are questioning whether the organisation has the necessary capacity to deliver on all these fronts and we wonder whether a move to sequence change and improvement activities would aid things – both in terms of making the best use of limited resource and clarifying expectations.

#### **4.6 Inclusive growth**

'Inclusive growth' has emerged as a concept for the council and its partners relatively recently. Social mobility sits at the heart of the inclusive growth agenda in Norfolk and, fundamentally, the objective is one of positively impacting upon the socio-economic challenges in the county.

An 'Inclusive Growth Coalition', comprising the councils across Norfolk, is now in place and they have sought to define what it means, resulting in the following being determined:

- Economic growth that enables the widest range of people and places to both contribute to and benefit from economic success

Whilst this definition exists, our discussions through the course of the peer challenge identified a limited shared understanding of people across the council and partnerships of what inclusive growth entails.

The 'Growth Prospectus' launched recently for the county provides a narrative that underpins Norfolk's efforts to increase its influence and impact at regional and national level and contains a number of 'asks of Government'. This sees a heavy emphasis on seeking to enhance infrastructure provision, for example investment to fully dual the A47, improvements to the A11, Great Eastern Main Line improvements, power reinforcement in the Greater Norwich area and 5G capability.

Issues that we touched on earlier in this report re-appear here, including the council ensuring it moves forward together with partners by:

- 'Socialising' initiatives ahead of them being launched
- Doing more to better understand 'place'
- Maximising the opportunities for those partners to influence agendas

Now is a crucial time. A great deal of analysis and strategic thinking has been undertaken, which the Coalition has indicated now needs to be followed by the identification of a set of practical actions over the following three months. Some early wins are vital, in the form of targeted interventions at the locality level. It is also timely now to look at extending the Coalition to include a wider range of partners and stakeholders.

Within the council, inclusive growth needs to become fully embedded within the Directorates. For example, it is possible to see an emerging link between inclusive growth and demand management in children's services but the same is not yet evident in adult services. Linked to this, the profile and reach of Public Health within the inclusive growth agenda has the opportunity to be much greater.

The key objective of inclusive growth is ensuring local people benefit from the growth ambitions that exist for Norfolk. However, the conditions have to be right to enable this to happen and the council is central to achieving that. This takes us back to what we highlighted earlier in relation to performance needing to be driven much harder in the organisation in order to achieve better outcomes around, for example, educational attainment and the number of adults qualified to Level 2, which surely form the bed-rock of people being able to capitalise upon growing employment opportunities.

#### **4.7 Demand management**

There has been significant financial investment to address demand pressures across both adult and children's services, including the £120m to enhance SEND provision



and the £29m boost for extra care housing. Systems re-design has been undertaken which is leading to improvements and more positive outcomes, as seen with a reduction in the number of Looked After Children, the judgements following the recent Ofsted focused visit and slower growth in admissions to adult residential care. The focus by the council appears to be on the right things, including re-ablement, the 'Three Conversations' model, the 'Living Well' programme, targeted family interventions and the taking of a partnership 'whole systems' approach generally.

Strengthened and stable officer leadership across both adult and children's services is having a positive impact. Alongside this, a more stable social care workforce is emerging, deriving benefits in terms of continuity and rendering the investment being made in enhancing social care practice more worthwhile, as well as leading to a reduction in spending on agency staffing.

Many initiatives needing to be delivered at pace is challenging, generating issues around capacity, the ability to evidence outcomes and the drawing out of learning. This links to what we highlighted earlier in relation to the council potentially moving to sequence change and improvement activities. There is also a need to ensure that there are mechanisms in place to re-assure the organisation and partners that the anticipated benefits of the recent and future investment are being realised. Initial success is being seen, as touched on earlier, but given the scale of investment that has been made it is important that the confidence of stakeholders is maintained through sustained improvement, which would be aided by having clarity on what can reasonably be expected to be seen and by when.

In relation to older people, we can see a cohesive strategy for managing demand supported by those elements of council investment referred to earlier. However, the council should seek to assure itself that the high numbers of people who receive short term care as a sequel to referral are not then progressing on to long term care as a consequence. In addition, there is an over-supply of standard residential care combined with an under-supply of alternatives and a shortage of dementia care and extra care housing and the cost of council placements is high. In order to manage the market more effectively and realise the council's commissioning potential there is a need for further and continual consideration to be given to existing block contract arrangements with Norse.

We have seen less evidence of a strategy to manage demand in working age adults, which is an area of high cost and relatively low performance. A more progressive commissioning model to reduce the dependence on long-term care and provide an increased focus on independence and inclusion for working age adults is required. The issues in relation to the Norse contract are replicated in the arrangements with provision on the part of Independence Matters in relation to day care.

In relation to children's services, there is a clear strategy to manage demand and improve outcomes for young people, supported by positive partnership development. It is possible to see an emerging link between demand management and inclusive growth in children's services, including use of the 'Logic Model' and work in early years focused around impact statements and aimed at increasing social mobility. Good early progress is being made in reducing numbers of Looked After Children but, in our view, sustaining this trajectory will be challenging. The decision to move

from a universal offer through children's centres to a focused family support offer and the adoption of national best practice models such as 'No Wrong Doors' should enable a greater emphasis on a targeted approach to demand management. The council has demonstrated leadership through its commitment to SEND investment for the long-term but we suggest further consideration should be given to investment in enhancing support in mainstream school provision.

## **5. Next steps**

### **Immediate next steps**

We appreciate the senior managerial and political leadership of the council will want to reflect on these findings and suggestions in order to determine how the organisation wishes to take things forward.

As part of the peer challenge process there is an offer of further activity to support the council. The LGA is well placed to provide additional support, advice and guidance on a number of the areas for development and improvement and we would be happy to discuss this. Rachel Litherland (Principal Adviser) is the main point of contact between the authority and the Local Government Association (LGA). Her e-mail address is [rachel.litherland@local.gov.uk](mailto:rachel.litherland@local.gov.uk)

### **Follow-up visit**

We are keen to continue the relationship we have formed with the council through the course of the peer challenge.

The LGA corporate peer challenge process includes a follow-up visit. The purpose of this is to help the council assess the impact of the peer challenge and demonstrate the progress it has made against the areas of improvement and development identified by the peer team. It is a lighter-touch version of the original visit and usually involves some, rather than all, members of the original peer team. The timing of the visit is determined by the council. Our expectation is that it will occur within the next two years.

### **Next corporate peer challenge**

The current LGA sector-led improvement support offer includes an expectation that all councils will have a corporate peer challenge or finance peer review every four to five years. It is therefore anticipated that Norfolk would commission its next peer challenge by 2024.

## Annex B: Action Plan Development Proposed

Timing	Task	Executive Director	CLG Owner
<b>Overall Action plan Development ownership</b>		Fiona McDiarmid	Andrew Staines Ceri Sumner
January	<b>Communications</b> Recommendation A: The council needs to ensure it takes partners and staff with it if the 're-booting' of the council – as an organisation and a place leader – is to succeed	Leader, Cabinet and EDs	James Dunne Sarah Shirtcliff
January	<b>Budget and Performance</b> <b>Recommendation B:</b> The council needs to address issues of comparative performance and spend – with increased corporate overview of performance and the opportunity for greater challenge being required <b>Recommendation C:</b> Pressure needs to be maintained in order to ensure anticipated benefits from the authority's investments, aimed at reducing demand in social care, come to fruition and the financial sustainability of the council is protected <b>Recommendation D:</b> The council needs to carefully manage the long-term budget commitments that result from significant new capital investment <b>Recommendation E:</b> There should be the establishment of an approach whereby greater consistency and clarity exists with the budget, in relation to Directorates spending in line with what is made available to them year on year and their delivery against their agreed savings targets	Fiona McDiarmid & Simon George	Harvey Bullen & Andrew Stewart
January	<b>Organisational Effectiveness &amp; Transformation</b> <b>Recommendation F:</b> A lack of consistency in middle management practices was highlighted as a significant issue and this needs to be tackled	Fiona McDiarmid	Jason Knibbs Andrew Staines Sarah Shirtcliff

	<b>Recommendation I:</b> The council should undertake a sequencing of change and improvement activities in order to make the best use of limited resource and clarify expectations		
December/ January	<b>Governance</b> <b>Recommendation G:</b> The council should undertake the proposed review of the new governance arrangements and commission this externally <b>Recommendation H</b> We would encourage the council to diversify the approach to elected member development, with an expectation that a greater proportion of elected members participate	Fiona McDiarmid Leader Cabinet	Helen Edwards
January	<b>Inclusive Growth</b> <b>Recommendation J:</b> The adult skills agenda in Norfolk is a theme that everybody should unite around and links strongly with the inclusive growth agenda	Tom McCabe	Ceri Sumner Vince Muspratt Andrew Staines
February	<b>Bringing it all together: Overarching Workshop</b> <ul style="list-style-type: none"> <li>• Bringing plans together to understand how we operate</li> <li>• Our current state and the desired future state</li> <li>• Finalising the action plan to close the gap to our desired future state</li> </ul>	Fiona McDiarmid	Andrew Staines Ceri Sumner
March	<b>Playback to CLG (including workshop participants)</b>	Fiona McDiarmid	Andrew Staines Ceri Sumner
March	<b>Action Plan to Corporate Board &amp; Cabinet</b>	Fiona McDiarmid	Andrew Staines Ceri Sumner



Norfolk County Council

# LGA Corporate Peer Challenge

2019







# Contents

## **02 Introduction**

## **04 About Norfolk**

Governance  
Population  
Economy  
Education  
Quality of life, health and deprivation

## **07 Understanding of the local place and priority setting**

Vision and priorities  
NCC Values  
Norfolk Futures transformation programme  
Understanding local needs  
Norfolk Insights  
Engagement with our communities  
Communicating with our staff  
Further Afield – looking to the future

## **13 Leadership of place**

Working better together  
Business Rates Pool  
Inclusive Growth Coalition  
Health and Wellbeing Board  
Health and social care integration  
Waste Partnership  
Local planning

Community safety  
Police and Crime Commissioner and Fire Service  
Voluntary and Community Services

## **20 Financial planning and viability**

Financial planning and financial strategy  
Savings and efficiencies  
Capital programme spend 2019-2022  
– investing in the future

## **24 Organisational leadership and governance**

Political leadership  
Managerial leadership  
Governance & strategic risk management  
Performance management

## **29 Capacity to deliver**

Investing in our staff  
Apprenticeships  
Member development  
Investing in transformation  
Being commercial  
Digital transformation  
External Funding Strategy  
Low Carbon Innovation Fund  
Preparing to leave the European Union

## **37 Propositions**

Inclusive growth  
Demand management  
Current demand trends & impact of  
demand management strategy

# Introduction

## A warm welcome to Norfolk

The leadership of Norfolk County Council has invited this peer review to ensure that the way the Council works, and its future plans, are robust, sustainable and affordable. Over the past year the Council has changed leadership and governance, launched a new strategic plan for Norfolk and embedded a substantial transformation programme, to tackle some of the challenges it faces. The review will provide the leadership with invaluable feedback and insight at a critical point in the Council's planning cycle.

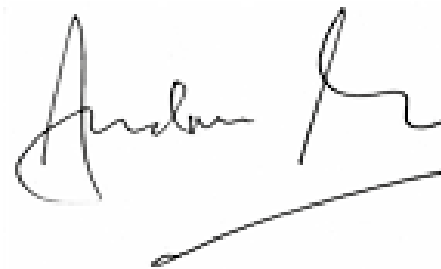
We want Norfolk County Council to be the best Council it can be for our residents, so our response to the challenges facing us is to invest in transforming the way we work to ensure our services are fit for the future, affordable and provide good outcomes for our residents. This peer review will help us to sense check a number of key questions:

- 1 Do we understand our local context and are we responding with a clear set of priorities? Do we communicate this effectively?
- 2 Do we provide effective leadership of place through our elected members, our officers and our constructive relationships and partnerships with external stakeholders?
- 3 Do we have effective political and managerial leadership supported by effective governance and decision-making systems that address key challenges and enable change and transformation? Are processes clear?
- 4 Do we have a robust financial plan in place to ensure viability and sustainability? Are we implementing it successfully?
- 5 Do we have the right organisational capacity and resources, and are these aligned with our priorities? Do we influence and leverage external capacity to focus on our agreed outcomes?

We also ask the peer review team to help us assess our new approaches around **inclusive growth** and **demand management**, as we move into delivery. More specifically:

- 1 Are we working effectively as a system leader to create inclusive growth and improved social mobility for our residents? How best should we improve inclusive growth in the County?
- 2 Are we taking the right approach to manage demand for our services? What practices exist elsewhere that we could benefit from?

This position statement provides a summary of where we have reached on our transformation journey. We welcome the challenge you will bring to our thinking so that we can continue to do our best for the people of Norfolk.



**Andrew Proctor**  
Leader, Norfolk County Council





# About Norfolk

Situated in the East of England, Norfolk is the fifth largest shire county in England. Known for its big skies, sweeping beaches, windswept marshes and meandering inland waterways, the County is home to the Broads National Park – Britain’s largest protected wetland and third largest inland waterway – and to the Norfolk Coast Area of Outstanding Natural Beauty.

But this familiar image of Norfolk tells only half the story – in fact it is a place of contrasts. Norwich, a fast growing city, is at its heart, alongside a thriving arable farming sector where more crops are grown than in any other county in the UK. Norfolk has significant assets in emerging sectors such as biotechnology, clean energy and creative digital where innovative, productive companies host thousands of well paid, knowledge-economy jobs, yet the mainstay of the economy remains in industries such as agriculture and tourism.

Though Norfolk may be a reasonably well-off part of the country, it also faces substantial challenges – not least amongst them is its demographic profile. Poor social mobility is also a challenge in Norfolk. Crime rates, on the other hand, are amongst the lowest in the country, though recently the impact of criminal exploitation of children – county lines – is increasingly evident.

**"It's as relaxed as you could want it to be... You've got the best of both worlds. Everything is there, but if you want more you can get straight on the All."  
(South Norfolk resident)**

## Governance

Norfolk is a two-tier County with 6 district/borough councils, the city council and over 500 town and parish councils. Norfolk is part of the New Anglia Local Enterprise Partnership which also covers neighbouring Suffolk. In 2017 the LEP launched an Economic Strategy for Norfolk and Suffolk, setting out ambitious plans for future growth and priorities for future investment.

There are currently 5 Clinical Commissioning Groups, and the expected to merge into one in 2020. There is one Constabulary and one Police and Crime Commissioner for the whole of Norfolk. The Fire and Rescue Service are fully integrated into the County Council.

## Population

Norfolk’s population is around 898,400 (predicted to exceed one million by 2040) with a concentration of people in King’s Lynn & West Norfolk and Norwich. Norfolk’s ethnic make-up is characterised by a predominantly White English, Welsh, Scottish, Northern Irish, British or Irish population (92.9%). There are around 160 languages spoken in Norfolk and English is not the first language of around 11,350 school children in the county.

In the main, Norfolk has an ageing population with a small net inward migration in the 21 to 25 age group. By 2040 the over 65’s are predicted to make up 30% of Norfolk’s population while in contrast the working age population remains static. The number of people over 85 is expected to double to 60,000 by 2040. Many of the problems of providing efficient care and reasonable standards of living for an elderly population are exacerbated by the County’s rurality.

## Economy

Norfolk is also one of the largest county economies ranking 15th for jobs and 10th for business numbers. Since the recession in 2009, Norfolk has grown by 19.1% - faster than the non-London UK average of 17.9% - and is now a net contributor to the UK economy, worth £18 billion. Norwich was the fourth fastest growing place in the UK in 2017 with GVA of over £6 billion.

Norfolk has a buoyant labour market with employment levels at over 76%, attracting people in almost all age groups. The main employment sectors in Norfolk are health and social care, retail, manufacturing and agriculture. This often means that employment opportunities for residents can be both seasonal and low wage, with limited scope for progression. This particularly impacts rural areas and the coast. The average weekly gross pay for full-time employee jobs during 2018 for Norfolk was £515.10, which is around 10% below national pay - the gap however is narrowing.

Norfolk County Council, on behalf of the Norfolk Leaders' Group, has produced a Norfolk Growth Plan in which we outline where we will deliver growth directly, as well as where assistance from Government is needed to facilitate and accelerate growth. Projects focus on our main growth locations, as well as those sectors where we have a nationally significant competitive advantage: clean energy, digital creative and agri-food/agri-tech.

## Education

The number of Norfolk residents qualified to BTEC or HND level and above has increased over the 5-year period from 2013 -2017. However, levels remain below both regional and national levels, with the gap increasing the higher the level.

The number of children identified and assessed as having a special educational need or disability in Norfolk is above the national average, with 4% of children with an identified special need in Norfolk, compared to 2.8% nationally. Norfolk's state funded maintained complex needs/special schools are rated good or outstanding across the county, but provision in Norfolk's mainstream schools can vary, with some schools more confidently meeting needs than others. The Council has earmarked £120 million to create new and expanded specialist provision, plus a programme to dramatically support and challenge mainstream inclusion. Investment will result in 4 new special schools, one of which is being developed under the free schools programmes and 12 new specialist resource bases.

## Quality of life, health and deprivation

Quality of life in Norfolk is generally good. Norfolk people continue to rate their life satisfaction and happiness more highly than the England average, and their anxiety levels as lower than the average.

The health of people living in Norfolk is good, with life expectancy for men being 80.1 years and for women 83.8 years - both being significantly better than the England average. Approximately 14,000 people were living with dementia in Norfolk in 2016, a number expected to rise as the population continues to age. Over the past four years, there has been an improving trend in diabetes diagnoses, although the number of people living with 4 or more chronic conditions is set to increase.

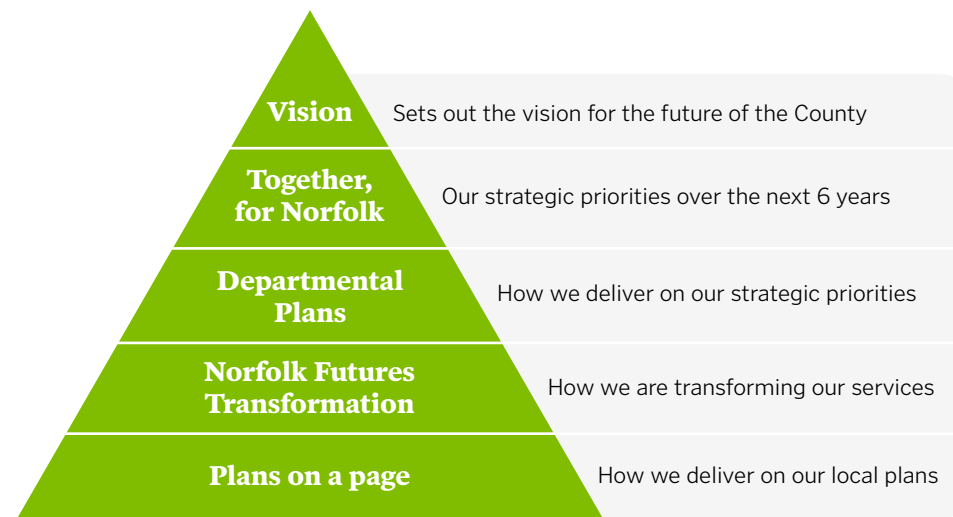
Levels of deprivation vary across the county with most concentrated in the urban areas and life expectancy is 7.0 years lower for men and 4.5 years lower for women in the most deprived areas of Norfolk than in the least deprived areas. Living a healthy life is as important as living a long life, and in Norfolk, men and women living in poor health are similar to the England averages.



# Understanding of the local place and priority setting

## Vision and priorities

The Council has an established strategic framework to ensure that activities and targets across the council are joined up.



**Caring for our County – A vision for Norfolk**, sets out NCC’s vision for Norfolk, bringing into the Council the manifesto commitments on which the administration was elected in May 2017. The Vision was approved by full Council in February 2018 and outlines the Council’s commitment to:

- Building communities to be proud of
- Installing infrastructure first
- Building new homes to help young people get on the housing ladder
- Developing the skills of local people through training and apprenticeships
- Nurturing the growing digital economy
- Making the most of Norfolk’s heritage, culture and environment

As stated in the vision, “Norfolk’s economic growth must benefit everyone, promoting social mobility by helping people who are not in work get the skills required for 21st century employment”. The Council’s overarching ambition is to help grow an inclusive economy and tackle some of the more deep rooted inequalities present in Norfolk, moving those communities where this is an issue from a cycle of deprivation to one of prosperity.

**Together, for Norfolk**, the new whole-Council plan, launched in June 2019, is an outward looking plan, focused on partnership working and collaboration, which aims to drive economic growth, improve social mobility, and lead to a better quality of life and improved outcomes for the people of Norfolk. Our plan emerged naturally from the needs assessment carried out as part of the County's deep dive into social mobility, following the publication of the report by the Social Mobility Commission in 2018. Our outcomes framework has three overriding ambitions which drive our priorities: A growing economy, thriving people, and strong communities. Our Plan also underpins and contributes to the delivery of the New Anglia Local Enterprise Partnership Norfolk and Suffolk Economic Strategy.

NCC's new values were launched in September 2018, setting out what is important about how we work and deliver high quality services to the Norfolk population. The values will be underpinned by all people management processes – recruitment, performance and development, and across all day to day work situations.

Guidance for staff has been developed, describing what the values look like in terms of the day to day behaviours of both employees, and of our leaders/managers. These values underpin our refreshed leadership and core skills learning offer within the Norfolk Development Academy.

## **NCC Values**

### **Take accountability**

Do what we say we will

### **Make strategy happen**

Take action which make Norfolk a better place

### **Be evidence-based**

Target our work to make the biggest difference

### **Be business like**

Think smarter to ensure value for money

### **Be collaborative**

Better working together

**Performance development** and goals are linked to the vision and strategy, and involve conversations between managers and employees to:

- Establish clear goals and expectations in work aligned to organisational plans
- Identify and maximise the strengths of our employees' contribution to the service and NCC as a whole
- Plan for the development of skills and experience including work-led opportunities like projects and secondments
- Meaningful, regular discussions to review performance and future development plans



## Norfolk Futures transformation programme

Norfolk County Council has an established 5 year programme of transformation, **Norfolk Futures**, currently in its second year. The programme provides the direction and vehicle for delivering against our priorities. It also encompasses the Council's approach to transformation of its organisation and services, guided by four core principles:



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



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



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



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

## Four priorities are set out in Norfolk Futures:

### 1. Safe children and resilient families

The Council aims to reduce the need for children to be in care by focussing on early intervention to keep children safely at home. When children are in care the Council aims to change its placement mix to better support children, with a preference for fostering and adoption rather than residential care.

### 2. Promoting independence for vulnerable adults

By enabling more people to live independently for longer, the Council aims to prevent, reduce and delay the need for formal care. The programme focusses on improvements to front door arrangements, early help and intervention, reablement and social work practice.

### 3. Local service strategy

Under this priority, services will be redesigned and proactively targeted in the places where they are most needed in our market towns, Norwich, Great Yarmouth and King's Lynn.

### 4. Smarter working

This priority brings together smarter information and advice, business transformation, innovation through technology, commercialisation and the property strategy, to change the way we work and enable the sustainable delivery of our strategies.



## Understanding local needs

Norfolk County Council has a strong record of working in partnership across the whole local system to understand and address the needs of local communities. Norfolk's leaders are about to start an intensive facilitation process to advance their desire to work better together. The facilitation is being organised through the East of England LGA, and will help forge stronger personal and working relationships across the 8 local authorities in Norfolk to ensure better outcomes for Norfolk's residents, as well as lead to greater efficiencies. This process has been tried and tested with success in South Essex and Hertfordshire.

**Norfolk Insight** is our central source for information about the county, communities and residents. This resource is maintained by the Council's Intelligence & Analytics team, which also supports the **Joint Strategic Needs Analysis** and produces **The Norfolk Story**, an annual report on the state of the county.

In July 2019, the Council set up the **County Intelligence Group (CIG)**, the purpose of which is to build closer relationships with County and regional partners (NCC, Districts, Norfolk Fire & Rescue Service, Police, Public Health England, Commissioning Support Unit and CCGs),

**All Party Parliamentary Group on Social Mobility. In April 2018 the County Council Network invited County Councils to submit evidence on social mobility in Counties to the All Party Parliamentary Group on Social Mobility, following the publication in late 2017 of the Social Mobility Commission.**

thereby increasing the opportunities for collaboration and cooperation on common and/or complex tasks. An improved understanding of our collective needs will allow for better data sharing, collaboration on mutually beneficial work and the exchange of knowledge, ideas and analytical methodologies. This improved way of working will allow us to provide an even better service to our respective leadership and delivery areas. The CIG offers a nil cost forum to improve the flow of knowledge across Norfolk's analytical cohorts, which will result in better intelligence support being provided to key decision makers.

Working with the Norfolk Constabulary and Public Health, NCC is investigating the need and benefits of establishing an Office of Data & Analytics (ODA) for Norfolk. This work is driven by the need to make better use of data to generate new insights into public services and the needs they serve. These insights will then be applied to improve policy and service design and delivery. The creation of an ODA will facilitate the joining up of data from multiple sources, including internal data from Norfolk's public service organisations and its partners, which will enable the application of robust analytical techniques and collaboration on complex issues, such as preventing violence.

## Engagement with our communities

The Council has an established engagement and consultation team, which sets out a consistent process for carrying out consultation activity across the council. The team work closely with the Equality and Diversity team, to better test out and understand the impact of proposed activities and interventions on communities and people.

The **Your Voice** residents' panel consists of around 1370 residents who have signed up to receive regular surveys, invitations to focus groups and resident feedback sessions. **Your Norfolk** magazine is produced twice per year and is delivered to more than 395,000 households across the County.

The Residents' Survey takes place every 2 to 3 years with the aim of measuring and understanding resident satisfaction with the County Council and whether residents think we are making the local area a better place to live. The intelligence we obtain this way helps us understand what our residents value and fear the most, what they see as the County's needs and how they want us to be spending our budget. It also helps inform our new Cabinet of how we are performing against key traditional indicators of council performance. The 2018 Residents' Survey directly informed the development of the County Plan, Together, for Norfolk, and helped us prioritise our activity to address the needs of the County. We have now built on this work by carrying out some quantitative research in June 2019. Our robust residents' survey measures sentiment at the mid-term point of the administration and gives the Council further information to help measure our performance and deliver our strategy.

### Communicating with our staff

As a large and complex organisation within an ever evolving local and national system, staff engagement remains a challenge, particularly in reaching frontline teams and staff in locality offices. There are a number of internal communications tools used to reach staff including a daily **News Digest** from the Press Office, **The Friday Take-away**, which gives weekly updates to all staff on key activities, initiatives and news, and **Norfolk Manager**, an e-zine for anyone who manages people across Norfolk County Council.

### Further Afield - looking to the future

In July 2018 the County Leadership Team commissioned the Strategy Service to carry out a piece of work to look at what the future of Norfolk might be, to allow them as senior leaders to make strategic, long term decisions, with confidence. The objective has been to make Norfolk a better place and ensure our sustainability.

Using a range of tools and methodologies including horizon scanning, driver analysis, scenario planning and the Cabinet Office Futures Toolkit, the Strategy Innovation and Performance team and the Intelligence and Analytics team, assessed the future internal and external drivers of change affecting our users, our operational sustainability and the County as a whole, and developed evidence on them out to a time horizon of 2040. Further Afield, a report on the Norfolk's Strategic Trends out to 2040 is being produced and the following 4 key themes are available in a report as a supporting document.

- Environment and Infrastructure
- The future of society
- Jobs, industry and technology
- Local democracy

A programme of engagement included events with the Royal Society of Arts, the Aviva Futures Team, the Norfolk Youth Parliament and the Cabinet Office led Heads of Horizon Scanning Network. The Council has also presented to the Norfolk Leaders Group and the Norfolk Chief Executives team, and has facilitated workshops with district councils to help shape future strategy based on anticipated needs.

The Council will be holding a Futures Summit in December 2019 the purpose of which is to present a picture of the future based on analysis of evidence and seek a commitment from all participants to:

1. Work better together and join-up our plans to tackle future issues
2. Use the themes and findings in their planning for future activity
3. Use the research to shape bids for funding or other support that may become available from the Government and other bodies

# Leadership of place

## Working better together

Local authority leaders and Chief Executives meet monthly and have agreed to work better together in order to promote Norfolk to government, business and investors, raise aspirations for the County and its residents, encourage and promote economic growth across the County, and make a more coherent service offer to Norfolk's people. Areas of particular focus currently include:

- Norfolk's growth plan, setting out clear infrastructure and housing priorities for the County
- Local service strategy to deliver a multifunction approach to services such as libraries, recycling, health and social care
- Inclusive growth and social mobility, to improve opportunity in Norfolk
- The County's response to climate change, environmental threats and waste management

## Business Rates Pool

The Business Rates Pool has allowed local authorities in Norfolk to retain the levy on business rates growth that would otherwise have been paid over to central government.

The retained income is used to support strategic economic development projects which will help with the delivery of Norfolk's priorities. All of Norfolk's 8 authorities are able to bid into the pool and projects are agreed by Norfolk Leaders. Pooling has been taking place since 2014/15 and has risen from £2.146M to £4.521M. Examples

of projects include the Norwich Western Link (£974k), West Winch Growth Area (£500k) and the New Anglia Innovation Fund (£500k).

Norfolk local authorities have successfully worked together to submit a bid for business rate pilot status in order to retain 75% of business rates in Norfolk in 2019-20.

## Inclusive growth coalition

In January 2019 the Norfolk Leaders Group endorsed the establishment of an Inclusive Growth Coalition, which works together to create the drive, ambition and momentum to achieve inclusive growth in Norfolk. Common themes and priorities emerging from the work to date include apprenticeships, career pathways, widening participation in higher education, affordable housing, educational attainment, adult skills, social value procurement, and connectivity.

The working group is focusing on joining up work that is already being done, sharing our best practice and starting to agree what research and policy evidence should be pursued further, with a view to invest in key areas in the short, medium and long term. There is a desire and commitment for a more co-ordinated approach to accelerate the impact of localised initiatives.

# Westfields Care Home

EQE rating

Outstanding ☆

15th January 2018

norse  
care

## Health and Wellbeing Board

Norfolk has an active Health and Wellbeing Board which brings together leaders across the wider health, care and wellbeing system. This includes councils, NHS partners (with providers as well as commissioners), Healthwatch Norfolk, the voluntary and community sector, Norfolk Constabulary and the Police and Crime Commissioner. The Board is chaired by Cllr Borrett, Cabinet Member for Adult Social Services and Public Health.

2018 saw the launch of the Joint Health and Wellbeing Strategy. With commitment from all Board members the Strategy stands as our single, system-wide, shared commitment to taking collective accountability for the health, care and wellbeing of our communities. It sets out a vision of a single, sustainable health and wellbeing system - prioritising prevention, tackling inequalities in communities and integrating ways of working.

Developed alongside plans for the Integrated Care System, the Strategy has brought about a renewal of purpose in the strategic direction and system leadership role of the Board. It draws on the breadth of the Board's membership and its reach across systems and into communities to deliver on its distinctive added value of the Health and Wellbeing Board to focus on simplifying systems and reducing duplication and inefficiency.

## Health and social care integration

The Norfolk and Waveney Sustainability and Transformation Partnership (STP) brings together partners from the NHS, local government and the voluntary sector.

NCC is fully engaged in the leadership of the STP, with elected members on the STP oversight group chaired by Patricia Hewitt and 4 senior officers on the STP board. Two of the workstreams, Primary Care and Community and Prevention, are led by the Executive Director of Adult Social Services and the Director for Public Health respectively. Adult social care and commissioning is integrated with the local CCGs and NCHC under a Section 75 agreement.

Following the rating of Norfolk and Suffolk Foundation Trust as inadequate and the implementation of special measures, the Norfolk & Waveney health and social care system agreed to develop a programme to transform mental health services for children and young people (CYPMH). The programme has focused on creating a new model known as 'THRIVE', which represents a fundamental shift in the way that the system views the mental health and emotional wellbeing of children and young people. To deliver this model, the programme is adopting an approach known as Alliance Contracting, a flexible, collaborative model that enables commissioners and providers to work together in partnership to deliver jointly agreed outcomes.

It has been agreed that the existing section 75 agreement will be expanded to include all relevant expenditure on CYPMH. Although this will not result in any change for NCC (as all existing spending is within an existing Section 75), it will result in a larger agreement, totalling approximately £34m.

## Waste Partnership

The eight Norfolk local authorities work together as the Norfolk Waste Partnership to establish shared priorities and areas of focus on waste services. The purpose of the Partnership is to take a total system view to drive up efficiency and recycling performance and to drive down costs and the amount of rubbish that is left over.

The Partnership is led by a Member Board meeting quarterly and is a non-decision making body without a budget. It is supported by a Senior Officer Group chaired by a district council Chief Executive and has a joint funded dedicated Communications Officer and Partnership Development Officer.

The total cost of waste services delivered by the authorities is around £50m a year, with around £40m of that cost met by the County Council, which is mainly the cost of dealing with residual waste, providing Recycling Centres and making over £9m of payments to districts for the recycling they do. The District Councils in their role as collection authorities are the main agents of change and have the largest influence on total system costs as they determine what materials to collect and how they collect them.

The Partnership is currently delivering pilots to establish methods to improve recycling quality and capture rates in different parts of the community and is overseeing a range of projects approved by the Member Board that include infrastructure, reuse and contributing to the development of national policy on resources and waste.

## Local planning

The County Council has a statutory responsibility for minerals and waste planning across the County. The seven councils and the Broads Authorities are the local planning authorities in Norfolk.

We are at the forefront of partnership activity. Since 2006 we have been a full and active partner with Broadland, Norwich and South Norfolk councils in the Greater Norwich Development Partnership, helping to develop the adopted Joint Core Strategy and currently working on its replacement; the Greater Norwich Local Plan. As a partner in the production of the plan, we take each stage through our decision making processes to provide our endorsement. Similarly, we are a full partner in delivery of planned growth through the Greater Norwich Growth Board.

For other Local Plans and for Neighbourhood Plans we are a statutory consultee and provide a co-ordinated corporate response to consultations. We have regular officer-level meetings with individual planning authorities to discuss progress and provide assistance in Plan preparation where possible (e.g. assessing any potential housing and other allocations ahead of any formal consultation). We facilitate both monthly officer level meetings and roughly quarterly Norfolk Strategic Planning Member Forum meetings, for all the county's planning authorities to come together to discuss issues of mutual interest. Established in 2016, the Member Forum is charged with developing the Norfolk Strategic Planning Framework which demonstrates active and ongoing delivery of the duty to co-operate and acts as a statement of common ground.



In 2018 Norfolk Leaders' Group approved a proposal to build joint development teams to work across County and district authorities to help drive forward housing and commercial development at pace and scale. The team sits within the County Council and is funded via NCC's capital programme for an initial two year period. It aims to unlock issues relating to roads and highways, schools provision, flooding, public transport, utilities, railways, health facilities and provision, green infrastructure and land assembly. New posts have already been created in Flood & Water Management and Children's Services to enhance NCC's role with the aim of securing greater collaboration with stakeholders to help unlock growth and speed up delivery. Work is also ongoing across a broad range of areas to further enhance these opportunities.

### **Community safety**

Norfolk County Council manages Norfolk's Countywide Community Safety Partnership (NCCSP). The NCCSP comprises the statutory partners – the County Council, all 7 councils, Norfolk Constabulary, probation, fire and CCGs – as well as the Office of the Police & Crime Commissioner, YOT and housing. These partners are all committed to working together in partnership with victims and communities to tackle crime and disorder within the county, striving to keep Norfolk one of the safest places in the country to live, work and visit.

The NCCSP has a key role to play in developing practical ways partners can work differently in localities with the ambition being to achieve:

- Greater integration of delivery across partners on the ground
- Increased prevention and reduced demand through community resilience
- Protection of the most vulnerable people

Our approach is evidence-based, and follows from a Strategic Assessment of crime and disorder issues in Norfolk. This combines police and partner data with professional knowledge from other stakeholders. Using this approach the NCCSP Plan (2018-2021) has determined three key priorities where a multi-agency response is required as the issues are complex and require collaboration to make an impact:

- Domestic Abuse & Sexual Violence – working as a beacon of best practice with national domestic abuse charity SafeLives
- Preventing Extremism & Radicalisation – ensuring we embed our response into our safeguarding approach
- County Lines – developing a public health approach to tackling violence and vulnerability.

There is a designated lead agency for each priority, with a multi-agency strategic board which coordinates delivery against action plans and holds partners to account on their individual responsibilities. These boards all report progress to the quarterly CCSP meeting.

Each district has an Operational Partnership Team which enables joint working between partners to resolve the most entrenched anti-social behaviour issues in our communities. Increasingly, these arrangements form part of Norfolk's approach to district-based Early Help hubs to identify vulnerable persons and deliver coordinated support. Education programmes, such as the multi-agency Crucial Crew, sees fire and rescue staff working with partners to raise awareness of the dangers of drugs and alcohol, the impact of anti-social behaviour, preventing and responding to bullying and safety in the home, in the street and near open water. The Fire Service is now working with Norfolk Constabulary to examine the viability of bringing together their respective community safety teams to create a cross organisational team to focus on improving outcomes.



## **Police and Crime Commissioner and Fire Service**

Norfolk Fire and Rescue Service has a strong history of working in collaboration with other blue light services. In 2018, emergency service collaboration in Norfolk was further strengthened by the signing of a formal Memorandum of Understanding between Norfolk's Police and Crime Commissioner, Norfolk County Council, Norfolk Fire and Rescue Service and Norfolk Constabulary. This MOU has established formal governance arrangements and has created a work programme to drive forward further collaboration.

In line with our council's estate strategy we are sharing premises with our partners, often utilising the One Public Estate Programme. The Fire and Rescue Service has closed its headquarters and co-located with the Norfolk Constabulary to create a joint HQ and a number of our fire stations are shared with HM Coastguard, the ambulance service, the Youth Offending Team and other organisations. Development has begun to create additional joint Police and Fire stations and planning is being prepared for another. Our collaboration is releasing land for housing, creating the opportunity to raise capital receipts and reducing estate costs.

By joining forces with our partners our emergency services are focusing on improving outcomes. Operational collaboration includes the Fire and Rescue Service responding with the ambulance service to use their equipment to make an entry into a home where someone has collapsed, responding on behalf of the Environment Agency to deliver and deploy environmental protection measures, data sharing and analysis with Norfolk Constabulary to tackle arson and co-locating our fire control operators with Norfolk Constabulary to create a joint Communication and Control Room to improve information exchange and coordination during emergencies.

## **Voluntary and Community Services**

In January 2018, Norfolk County Council, Community Action Norfolk, Voluntary Norfolk and Momentum teamed up to create 'Working Together', a new partnership, which has introduced a variety of improvements including one-stop registration to newsletters, a joint training programme covering governance, volunteering and fundraising skills and coordinated campaigns to generate volunteers and local participants. The partnership has been a significant step in strengthening the working relationships between Norfolk County Council and voluntary community and social enterprise organisations. A dedicated VCR Manager role has been created to facilitate partnership working and provide connectivity across the local system.

# Financial planning and viability

## Financial planning and financial strategy

The Council has a robust and well-established framework for strategic and financial planning which is closely aligned with the Council's Plan, Together, For Norfolk, and its Strategy, Norfolk Futures. The 2019-20 Budget saw the Council committing additional funding for its priorities and protecting social care services. The budget, complementing our plan, vision and strategy, is designed to help us to deliver on our priorities for the people of Norfolk.

Looking forward, our Medium Term Financial Strategy (MTFS) forecasts a significant gap in our resources, which is why we continue to make the case to Government for fair and adequate funding of local services. However, the Council is well aware that we cannot rely on external factors to resolve these challenges and so we continue to develop local solutions to the challenges we face.

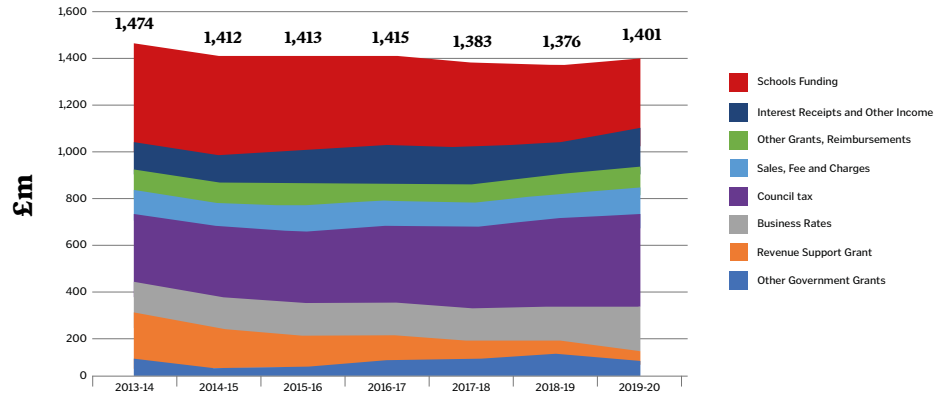
This has included:

- **Making significant savings**, with a strong focus on efficiencies, protecting the front line services which are relied on by so many;
- **Maximising local income** sources to enable the Council to protect vulnerable people and invest in vital services. As the proportion of our budget funded by council taxpayers and local ratepayers increases, we remain acutely aware of the need to ensure every penny is spent wisely delivering the essential services that local residents and businesses rely on every day.

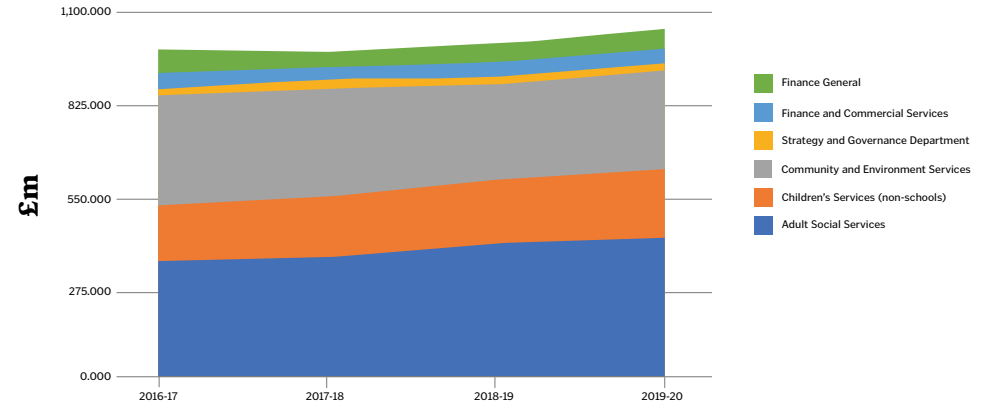
Our key actions have included:

- raising **council tax and the Adult Social Care Precept** to help contribute to a robust and sustainable financial position in future years;
- maximising **Business Rates** through the operation of a Norfolk-wide Business Rates pool since 2014-15 and a successful application to pilot 75% Business Rate retention in 2019-20;
- A **prudent use of reserves**, to smooth the transition to a reduced level of funding; and
- Accepting the Government's offer of four-year funding allocations up to 2019-20, through the development of an efficiency plan.

## Norfolk County Council total budget

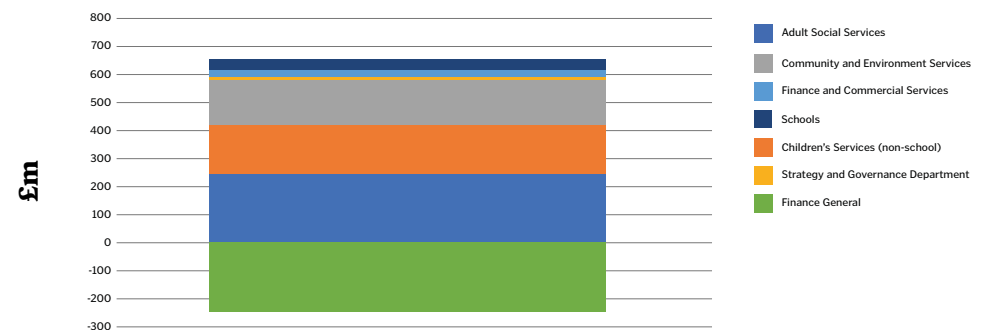


## NCC non-schools gross expenditure



The make-up of the Council's income has changed over time, with an increasing reliance on locally raised sources of income such as Council Tax and Business Rates. At the same time there have been reductions in government grant funding and reductions in school funding due to academisation. The result is that total income has remained broadly consistent around £1.4bn. Simultaneously, the council has faced significant increases in demand and increased cost from other pressures such as inflation and legislative requirements. The need to set a balanced budget has required the identification of savings and resulted in a broadly static level of gross expenditure.

## Net Budget 2019-20 £409.293m

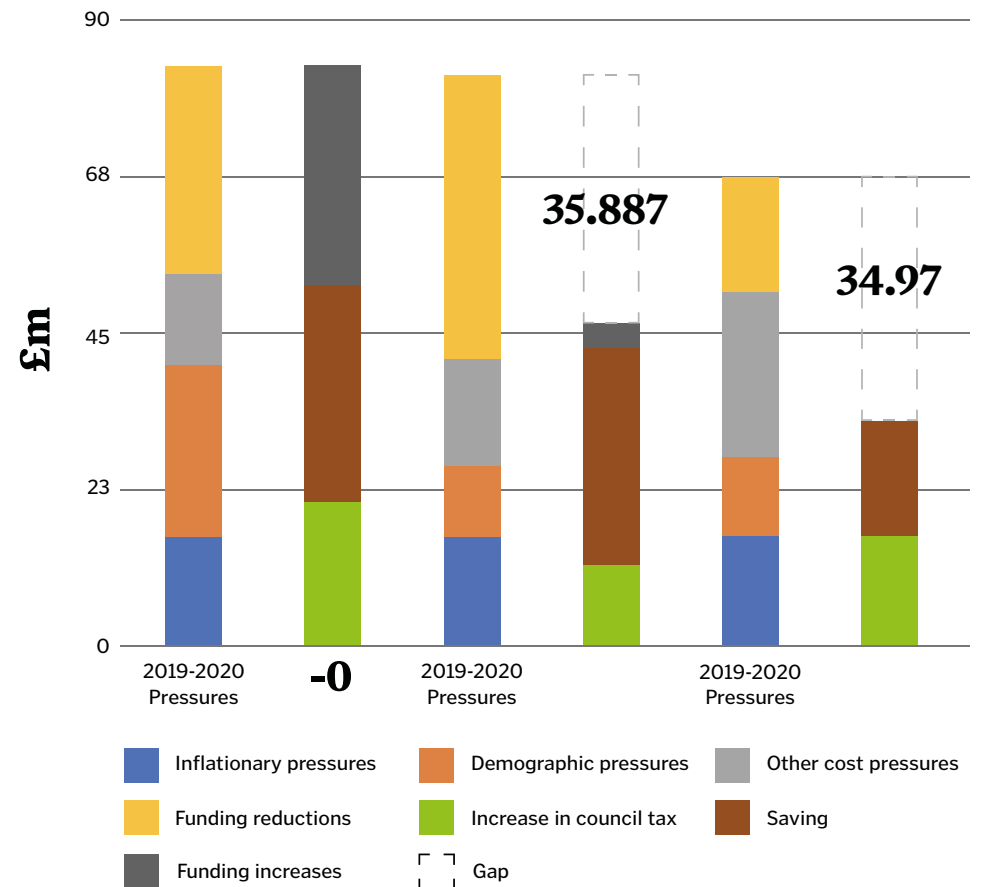


## Savings and efficiencies

The Council has a strong track record of delivering savings and providing value for money to Norfolk citizens. Between 2011-12 and 2019-20, we budgeted for £395m of savings. The External Auditor's Audit Results Report in respect of the 2018-19 Statement of Accounts found that the Council has "the flexibility to manage its financial position over the short-to-medium term, and reduce the risk that an unexpected overspend, or unexpected one-off item of expenditure, has a detrimental impact on the Authority's financial standing. [...] However, the Authority faces significant pressure and uncertainty concerning legislative and policy changes, increasing demand for services, Business Rates Localisation, and uncertainty concerning future funding levels."

The Council continues to target efficiency savings as a priority. The Medium Term Financial Strategy agreed in February 2019 identified a gap to be closed in the period 2020-21 to 2021-22 of £71m. Since this time, work has been undertaken to develop options to close the gap for 2020-21, which will be considered by Cabinet in October 2019. In the context of a one-year Spending Round announcement for 2020-21, and recognising the lack of information about funding allocations for 2021-22, the Council will seek to address the £35m budget gap for 2021-22 when there is further clarity about future year allocations.

The delivery of savings is monitored by Cabinet through the year, which enables the Council to maintain a strong focus on the achievement of those savings that will be critical to supporting the achievement of the Council's budget plans for future years.



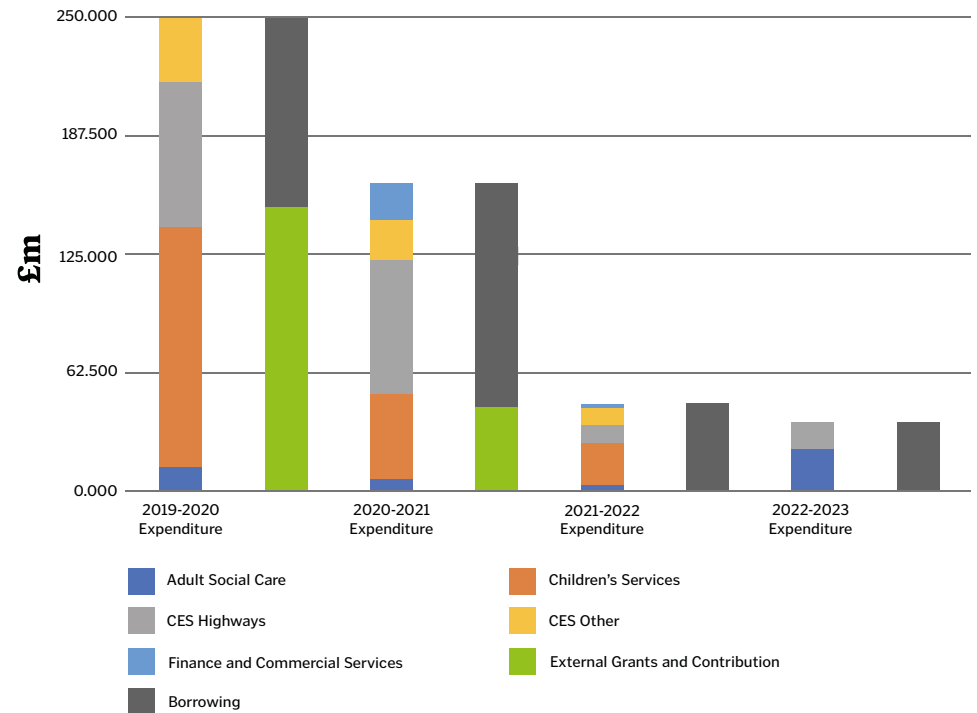
## Capital programme spend 2019-2022 Investing in the future

The Council is committed to promoting Norfolk’s growth and prosperity. Despite financial pressures, we continue to invest in key infrastructure through major capital projects such as the Northern Distributor Road (Broadland Northway), the Great Yarmouth Third River Crossing, and the Western Link. We continue to campaign for vital infrastructure projects such as the dualling of the A47, overcoming infrastructure issues in West Winch, developing homes and commercial space in Thetford and further developing the port area of Great Yarmouth.

The Council’s Capital Strategy determines the Council’s approach to capital. It is an integral aspect of the Council’s Medium Term Financial Strategy and sets the framework for all aspects of the Council’s capital expenditure over the four year period 2019-20 to 2022-23, including planning, prioritisation, management and funding.

The majority of capital spend in the Council’s agreed 2019-23 Capital Programme relates to investment within Children’s Services (schools) and Highways, largely funded through government grants, contributions from developers and borrowing. In October 2018, Policy and Resources Committee agreed significant additional capital expenditure in relation to £29m for Extra Care Housing for older people and £120m for significantly improving our Special Educational Needs and Disabilities provision.

### Approved 2019-23 Capital Schemes

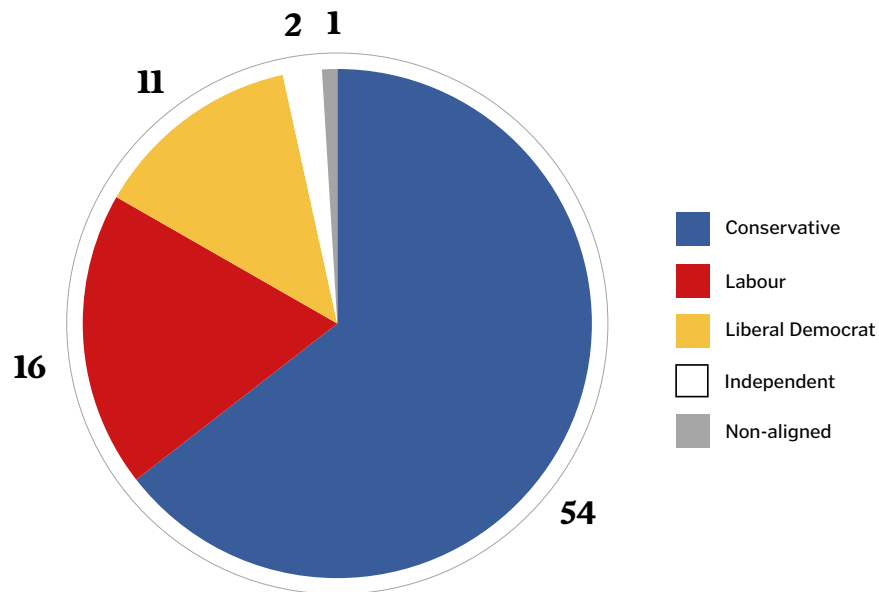


Note: The profile of capital expenditure is likely to vary as timing of projects becomes more certain.

# Organisational leadership and governance

## Political leadership

The Council has 84 divisions, each with a single County Councillor. After the 2017 elections, the political make up of the Council is:



On 7 May 2019, the Council moved from a Committees system of governance to an Executive Leader, Cabinet and Scrutiny model.

Cabinet consists of the Leader, Deputy Leader and eight further portfolio holders. Cabinet is responsible for most decisions relating to the day to day running of the Council, and key decisions.

There is one Scrutiny Committee which is made up of 13 non-executive Members, who reflect the political balance of the County Council. As well as County Council Members, Scrutiny Committee also has external representation, made up of two Parent Governors and a representative from the Church of England and Roman Catholic Diocesan Boards. External members only have voting rights on matters relating to education.

There are three Select Committees (Corporate, Infrastructure & Development, People & Communities), whose role is to assist in the development of the County Councils policy framework. The Select Committees discharge this function through reports being produced for their consideration. They can also commission further work as necessary and report to Cabinet and Full Council. Each Select Committee develops its own plan to guide its work through the year. There is flexibility in this, to enable Committees to respond to urgent needs.

Norfolk is currently undergoing a review of County Electoral arrangements (i.e. number of Councillors and boundaries of divisions) by the Local Government Boundary Commission for England. The Council submitted its business case for maintaining existing numbers of Councillors in August 2019, which has been accepted. This review will be completed by July 2020 and implemented for the 2021 County Council elections.



EXPRESS

CAFE & BAR

CAFE & BAR

## Managerial leadership

The Council's Corporate Board is chaired by the Leader or Deputy Leader and consists of 5 Executive Directors, the Director for Public Health and the Heads of Service for Human Resources, Communications and Information Management. The Board first came together in January 2019 and operated in shadow form until Full Council adopted the new governance model at its AGM on 7 May 2019. A Head of Paid Service was appointed permanently at the same meeting.

The Corporate Board meets weekly to work collaboratively as a leadership team. It takes responsibility for overseeing the implementation of the Council's vision and strategy. Collectively, the Board:

- Supports the Cabinet and the Council's Select Committees to develop NCC's strategic direction/vision. This includes the strategy, the Council-wide plan and other significant policies and risks.
- Ensures performance and financial control is monitored and mitigating actions undertaken as necessary
- Has oversight of the Council's programme of transformation and corporate risks

The Leader and the Executive Directors are also the Norfolk Futures Transformation steering group. The steering group meets on a bi-monthly basis to review progress against targets and trajectories, remove barriers and agree appropriate next steps for each of the four corporate priorities.

The organisation's top 40 managers, the County Leadership Group, consisting of Assistant Directors, Heads of Service and Business Partners, come together on a 6-week basis to discuss strategic matters with Corporate Board, contribute to the corporate business and financial planning process, and agree and take accountability of cross cutting priorities requiring more rapid progress on corporate change and improvement. Going forward, the meetings will also include members of the Cabinet, who will be invited to attend and participate, as well as provide additional insights into the administration's priorities and areas of focus.



## Governance & strategic risk management

The Council's governance framework is set out in detail in our Annual Governance Statement, which also provides assurance that these controls are operating effectively across the Council.

The Council's constitution was revised in May 2019. It is a living document and is kept under review to ensure that its structures and procedures promote the effective and transparent administration of the authority.

The Council has an established risk management approach where risks are identified and managed across different levels of the organisation. A Corporate Risk Register is owned and managed by the Corporate Board, and reflects the key strategic risks to the achievement of the Council's strategy and objectives. Departmental risk registers are managed at a local level, and are relevant to local plans and services.

Norfolk Audit Service (NAS) leads on the strategic delivery of Counter Fraud, Bribery and Anti-Corruption work across all of NCC's services. The aim is to protect the public purse, NCC, its staff and its service users from corrupt activities.

**The NAS Anti-Fraud, Bribery and Corruption Strategy** and activity plan sets out and provides information on NCC's response to the document 'Fighting Fraud and Corruption Locally (FFCL), The local government counter fraud and corruption strategy 2016 - 2019'.

To support NAS in implementing appropriate measures, a suite of anti-crime goals has been developed (that encompass the FFCL strategy) in the following areas:

**Govern:** having robust arrangements and executive support to ensure anti-fraud, bribery and corruption measures are embedded throughout NCC.

**Acknowledge:** acknowledging and understanding fraud risks and committing support and resource to tackling fraud in order to maintain a robust anti-fraud response.

**Prevent:** preventing and detecting more fraud by making better use of information and technology, enhancing fraud controls and processes and developing a more effective anti-fraud culture.

**Pursue:** punishing fraudsters and prioritising the recovery of losses via a triple track approach (Civil, Criminal or Disciplinary), developing capability and capacity to investigate fraudsters and developing a more collaborative and supportive law enforcement response.

The Chief Legal Officer and Chief Internal Auditor champion the **Council's Whistleblowing Policy**. It is their role to ensure the implementation, integrity, independence and effectiveness of the policy and procedures on whistleblowing. It is important to create a culture of confidence for employees to report those concerns, track the outcome of whistleblowing reports, provide feedback to whistleblowers and take reasonable steps to protect whistle-blowers from victimisation. Not all reported concerns will fall within whistleblowing law, but they are all taken seriously. Norfolk Audit Service is responsible for receiving and progressing all disclosures made to the Council under the Whistleblowing Policy.

## Performance management

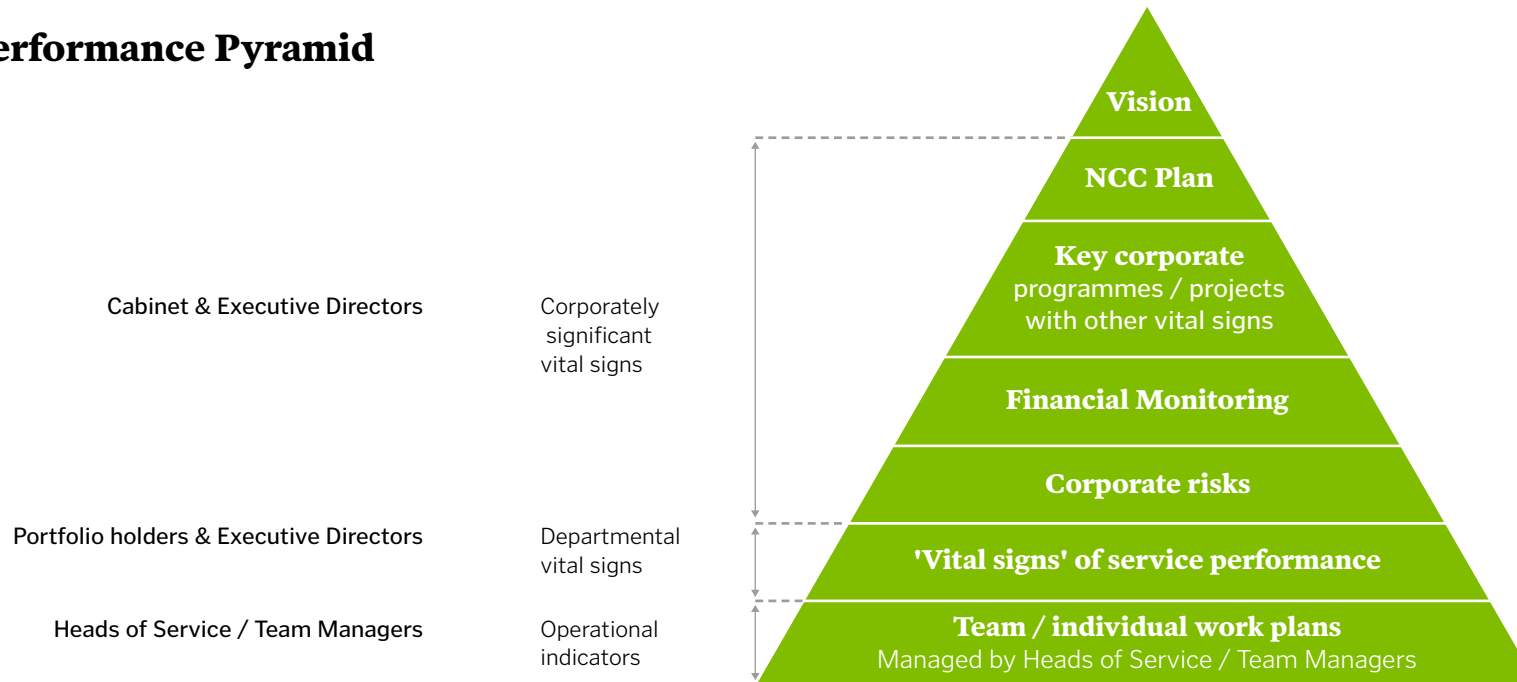
The Council's corporate planning process sets out a direction for the Council, devises objectives and identifies a range of strategies to help us achieve our objectives, within the resources available. Integral to the successful delivery of all plans, is a robust performance management system, which has been managed at three distinct levels: strategic, service and operational. Historically, these have been reported to the Policy & Resources Committee, Service Committees and departmental management teams respectively.

The move to a new Cabinet system of governance and the launch of Together, For Norfolk, provides an opportunity to review the current vital signs to align them to our revised priorities and ensure that they also provide early indicators of future operational and strategic risks.

The strategic and corporately significant vital signs will be reported to Cabinet this will also present an opportunity for Cabinet members to shape measures and ensure that they provide assurance and support decision making. Directorate vital signs will be aligned to the relevant Cabinet Member and portfolio holder. The new performance and risk management framework will be launched in December 2019 and come into force from 1st April 2020.

As there is a close link between corporate risks and vital signs, the refresh will take place at the same time as a review of the corporate risks so that key risk indicators, which signal increasing exposures, can also be considered for any significant risks. A copy of our risk and performance reports presented at Cabinet in September 2019 are provided as supporting documents.

## Performance Pyramid



# Capacity to deliver

## Investing in our staff

Our draft refreshed vision for staff was shared with Corporate Board in June 2019 following the development of the 6 year plan and seeks to align to the Council vision of Together for Norfolk as well as shaping our organisational culture aligned to our values and strategic priorities. This vision will be socialised and tested as part of our engagement programme on the 6 year plan roll-out.

We have set out a number of underpinning principles:

- Foster a positive and healthy environment
- Live our values including trust, fairness and care
- Improve our skills and diversity
- Keep people practices simple and fair with people at the centre
- Keep adapting to make work customer focussed collaborative, effective and rewarding

In April 2019, we launched our first employee engagement survey since June 2014, Our Voice, Our Council, supported by the LGA. This survey approach was used to provide an evidence base to understand what engagement looked like in NCC with a benchmark in the public sector. 3,119 (46%) of employees responded, which is in the top quartile of responses for organisations with 5,000+ employees. In June, the survey results informed discussions with Corporate Board, Departmental Management Teams, UNISON and HR with a summary of key findings sent to all staff. A practical action planning tool has been adapted to support facilitated sessions and action plans. Reporting back of action plans to Corporate Board took place in October 2019 and delivery of actions plans is expected in January 2020.

Outcomes will contribute to future decision-making on the scale and frequency of surveys. More recently we have been approached by the LGA to write a first stage case study on how the staff survey has been implemented in NCC for their Workforce Pages of their website. Our work was recognised in the annual PPMA awards where NCC was shortlisted within the evidence category.

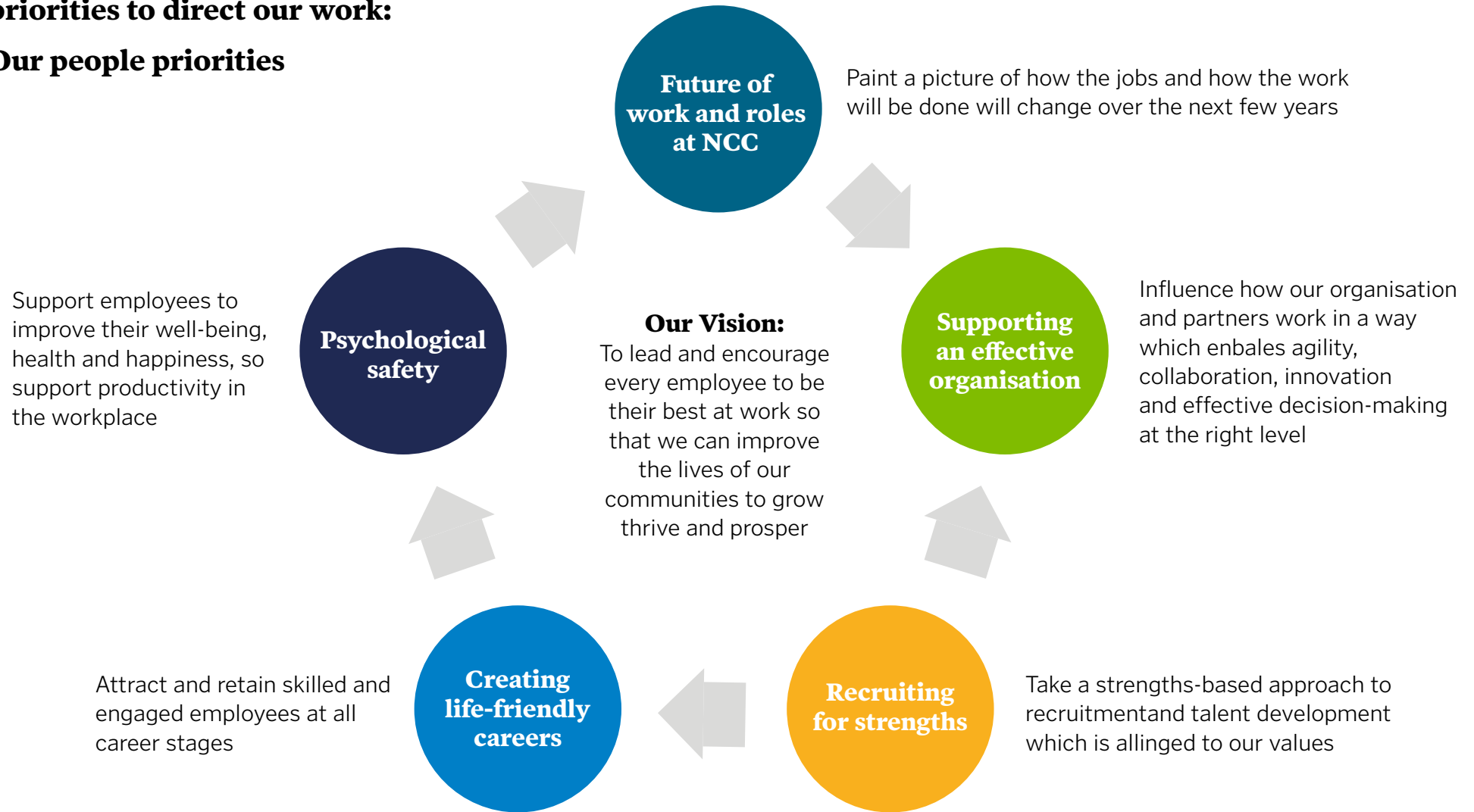
We launched the new strengths-based performance development discussions in April 2018, run programmes for new managers throughout the year and have introduced a new coaching strategy which will make high-quality coaching conversations the norm throughout the organisation. Our goal is to use people's strengths and positive mindsets and learning translated into new behaviours. Coaching skills are part of the core offer of the new Norfolk Development Academy, including:

- Coaching skills for managers, the core purpose of which is to explore how coaching can support everyday conversations to make these as effective as possible
- Additional coaching tools and techniques for existing managers to develop and enhance coaching skills
- Coaches (including external coaches) to develop individuals identified through the talent management process and senior leaders.

We are proud to be shortlisted by the PPMA in the evidence based category for our work on the performance development framework.

**We have created 5 key strategic priorities to direct our work:**

**Our people priorities**



In May 2019 we launched the **Norfolk Development Academy (NDA)** which consists of four pillars (leadership, core skills, professional leads, social care) supported by effective learning strategies, governance and learning solutions. The Leadership and management offer is designed to reflect the various stages off a manager's career, underpinned by a coaching and mentoring strategy. We are building a cohort of qualified coaches to lead and support a culture of coaching for performance. Developing core skills reflect the current and emerging strategic skills required to perform in an increasingly complex, business-like digitally led world. We have also introduced the concept of a professional lead to drive and oversee learning for their profession, supported by learning communities and collaboration. All our colleagues have access to Learning Hub, our online system for learners to view and self-enrol on a range of e-learning courses, including mandatory training and a diverse selection of workbooks, materials, videos and other development resources and to own their individual learning plan.

The **Norfolk Social Care Academy (NSCA)** supports the provision of social care specific learning solutions for practitioners in both Adult Social Services and Children's Services. The NSCA Learning and Development team is also responsible for supporting Social Work and Occupational Therapy student placements in the council and for contributing to partnership work that supports social care learning across Norfolk.

All our staff have access to Learning Hub, our online system for earners to view and self-enrol on a range of e-learning courses and a diverse selection of workbooks, materials, videos and other development resources.



We are improving our planning tools and data to support workforce planning in particular in social work and have recently reshaped our strategy to support Children's Services recruitment and retention.

Work is underway to scope the workforce requirements for a replacement HR/Payroll and Finance system and intranet providing a refreshed opportunity to improve employee and manager self-serve.

### **Apprenticeships**

In February 2019 we signed off a new apprenticeship strategy to create a step change in our approach to apprenticeships. This will help us to fully exploit the available levy in order to support organisational transformation, and skills development, including hard to fill roles.

Our key priorities are:

- Apprenticeship goals in people plans to enable staff development and meet skills gaps e.g. social workers
- Apprenticeships to be used up to masters level to form the key route for formal leadership development
- Apprenticeships centre around key skills eg digitisation, commercial, project management and other clinical/professional roles.

This strategy is designed to ensure we fully and appropriately utilise our levy. At end March we have 187 apprentices around 2% of workforce.

NCC has led the UK-wide trailblazing group to develop and launch the social work apprenticeship with Norwich City College and our first cohort starts in January 2020. The apprenticeship allows us to grow our own local workforce and support employees who would otherwise not be able to access degree level education. This is part of our Norfolk Social Care Academy offer and a long-term strategy to alleviate some of the pressures of the national market. With 20 apprentices joining the scheme each year we will be one of the major investors in the programme.

Norfolk County Council was the first organisation to make a transfer of apprenticeship service funds. This supported our current sector challenge in the social care nursing workforce in Norfolk and was designed to support the development of nurses across the wider care sector. Anne Milton, Apprenticeships and Skills Minister quoted that the work that Norfolk has led in contributing flexibly in levy transfer will change lives.

Our well-being agenda forms part of our strategic priorities to support employees physically and emotionally to be well in work. As part of our strategy this year we have trained over 300 managers to be mental health first aid champions. Managers report having at least one relevant staff conversation since, we know we are gaining traction on this critical topic.

Each department has its own people plan in place with clear priorities and measures and progress on the people plan and underpinning measures is reported to Corporate Board twice a year. We additionally report on our objectives set out in our health, safety and well-being plan twice yearly.

## Member development

Since moving to Cabinet, we have worked with a range of organisations to deliver refreshed training for our elected members. Through the LGA, we have delivered a number of training days to Cabinet and the Executive Directors, to ensure a smooth transition and a clear understanding of everyone's roles and accountabilities in the new governance system.

In partnership with the Centre for Public Scrutiny we have put in place targeted training for Scrutiny Members and Select Committee Chairs to address best practice in scrutiny and specifically questioning skills and work planning.

Specific training requirements for individual Members, including those arising from the new structures, have been captured through the Personal Development Planning process and a training plan developed in which all Members can participate.

For a number of years, all our Members have also been provided with tablets to enable them to be more connected with their constituents and to make significant savings in printing costs.

All our County Councillors have been allocated a budget of £6,000 per annum to fund minor highways work in their Divisions. This enables Members to be responsive to the needs of their communities and fulfil their community leadership role, offering funding opportunities for works that would not have otherwise been possible. It also enables them to be involved in the prioritisation of local works.

## Investing in Transformation

To deliver our transformation programme, Norfolk Futures, we have invested heavily in expert project and programme management supporting our 4 strategic priorities. Each priority has a well-

established programme board reporting into the Norfolk Futures Steering Group, overseen by the Leader and consisting of the Executive Directors. Progress against agreed targets and trajectories is monitored bi-monthly and a forensic approach to data and performance is taken. More recently, the Council has invested in a Programme Director, to lead our strategic business transformation programme, "Smarter Working" targeted on the delivery of £10m of savings, from non-front-line business processes, systems and activities, over the next 18 months.

## Being commercial

Norfolk County Council owns a number of companies, which provide services across the local community and nationally, and create additional income streams.

**Norse Group** is the largest Local Authority Trading Company in the UK with a forecaster turnover of £325m in 2019/20. It is one of the fastest growing service providers including facilities management, property services and specialist care facilities all of which have been rated as "good" by the Quality Care Commission.

**Hethel Innovation** was set up to support local businesses to grow and innovate in order to become sustainable in increasingly competitive markets. Across two sites, Hethel have facilitated over 200 start-ups, supported over 500 business to grow and contributed to the creation of over 1500 jobs.

**Repton** is the Council's property company responsible for developing much needed housing on surplus council land. Repton has recently appointed Lovell property developers to build over 400 new homes in Acle, Hopton and Attleborough, including affordable homes in line with the agreed policy.



## Digital transformation

Norfolk County Council has invested in developing a digital transformation strategy and roadmap, **Digital Norfolk**, to enable us to enhance our ways of working and deliver change across the Council and the county. Our transformation incorporates the following high level areas:

**Digital Citizen**, will ensure that Norfolk residents, businesses and visitors have access to world class digital connectivity and online transactions, as well as the awareness and skills to exploit them. We have secured £26.5m external funding for Superfast Broadband in Norfolk plus £16m more coming from Openreach due to the high level of take-up. Our latest targets are to deliver 95% broadband coverage across the county by April 2020 and 97% by October 2021. Norfolk were also successful in securing £8m of funding from DCMS to roll our Ultrafast “Full Fibre” connectivity to around 370 public sector sites. A further £500,000 was secured to roll out long range connectivity (LoRaWAN) across the whole of Norfolk and Suffolk (a first nationally).

**Digital Employee** is giving our staff access to high quality equipment, systems, and self-service transactions and helping them develop the skills to use them. We have already achieved significantly reduced costs while improving staff satisfaction levels and security, as well as savings on infrastructure through the implementation of “Bring Your Own Device”, enabling staff to use their own smartphones at work.

A programme to invest £13m to transform the County Council’s current Human Resources and Finance systems was agreed by Cabinet in June 2019. By replacing the systems, it is estimated that net 10-year savings and efficiency gains of £20m could be realised, with further potential savings and efficiencies being enabled as part of wider business transformation programmes. The new system’s



advanced analytics platform will allow for predicting trends and providing real-time analysis to answer targeted questions to make quicker business decisions and providing insights into improving business operations.

Under **Better use of Data**, we have already built an award winning data warehouse and are developing data exploitation capacity across the organisation to help us make more timely, better informed decisions. Highlights include a countywide counter fraud system and bed tracking application used across health & care organisations.

### **External Funding Strategy**

To support the delivery of our strategic and transformation priorities, a combined 'Transformation Team' from Growth & Development and Strategy & Governance has jointly developed an external funding strategy and process to enable the identification of projects for external funding.

The County Council already has a strong track record of bidding for, securing and managing funds from a range of funding programmes, including those targeting infrastructure and growth. Since 2015, the County Council has secured:

- **£48.01m of Growth Deal** funding, via New Anglia LEP, for key transport and infrastructure improvements, such as the Third River Crossing at Great Yarmouth, the Norwich Northern Distributor Road and Better Broadband for Norfolk.
- **£86.74m from other funding streams**, including RDPE, EAFRD, ERDF, ESF and various DfT funds, such as Transforming Cities.

The Council has also successfully bid to become the managing authority for the €315m France (Channel) England INTERREG programme, securing **€6.8m** of ERDF into Norfolk to date and the Programme's CobBauge project - which involves Norfolk partners -

being selected as a finalist for an award that recognises Europe's most innovative regional projects.

Our future ambitions focus on securing local contributions from the successor to Growth Deal for strategic infrastructure programmes in our County Plan, improving east-west connections to boost growth and productivity, exploring the use of special purpose vehicles and innovative funding models with our district partners to tackle barriers to growth on key housing and employment sites and using social impact bonds (on which we're a leading authority) to deliver service transformation, including in our local supply chains.

### **Low Carbon Innovation Fund**

In June 2019, Cabinet agreed to proceed with the development of a regional Low Carbon Innovation Fund over a 12-year period from 2019-2030. The Fund will be worth c. £30m, investing £10.9m in equity and convertible loans to support around 48 growing technology companies across three LEP areas (New Anglia, Hertfordshire and the Cambridgeshire and Peterborough Combined Authority) and leveraging in an estimated £22m private investment. The Fund will be going live this Autumn following completion of all the legal requirements. A number of launch events are scheduled for October and November 2019 in London and Norwich.

### **Preparing to leave the European Union**

All Norfolk Local Authorities are fully engaged at all levels with multi-agency partners within the Norfolk Resilience Forum. To ensure we consider impacts across all our services, Norfolk County Council have set up a Silver Group to coordinate our own arrangements, which includes Resilience representatives and selected other subject matter specialists. Our exit strategy and "no deal" preparation plans have been formally published.



# Propositions

## Inclusive growth

### Context and overview

Our focus on Inclusive Growth brings together our wish to strengthen and grow our economy within our local context of known areas of deprivation and poor social mobility.

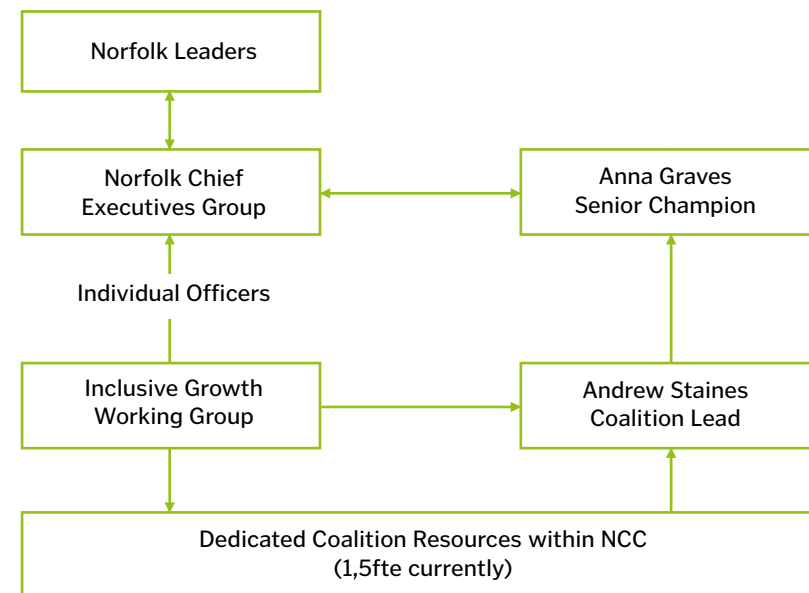
Our prioritisation of social mobility was informed by a deep analysis of findings from a report by the Social Mobility Commission “The State of the Nation 2017: Social Mobility in Great Britain”, which we took to the Norfolk Chief Executives Group for wider discussion. Our analysis showed that many people living in Norfolk are amongst the least socially mobile in the country.

The districts of Breckland, Great Yarmouth, King’s Lynn and West Norfolk, North Norfolk and Norwich are amongst the worst 10% nationally and only two (Broadland and South Norfolk) are in the best 25% in any category (Youth outcomes and Schools respectively).

Whilst not able to resolve all of the issues which influence social mobility, there is much we can do through working together on areas where we can influence the local system. Our approach is to make improvements to social mobility through an inclusive approach to economic growth.

We were also keen to ensure that our approaches to inclusive growth contribute to the delivery of the New Anglia Local Enterprise Partnership Norfolk and Suffolk Economic Strategy and the development of the Local Industrial Strategy.

In January 2019 the Norfolk Leaders' Group made up of all Norfolk's Councils agreed to a joint effort on inclusive growth, and the increased social mobility that arises from it. The purpose of the coalition is to work together to create the drive, ambition and momentum to achieve inclusive growth in Norfolk. Work is based upon the best possible evidence of need and will provide support, engagement and gearing of assets and resources to accelerate the impact of the required outcomes. This will result in a more joined up agenda across councils, communities, employers and professions with a shared vision to improve social mobility. The governance of the coalition is as follows:





Common themes and priorities emerging from initial discussions include apprenticeships, career pathways, widening participation in higher education, affordable housing, educational attainment, adult skills, social value procurement and connectivity. There is a desire and commitment for a more co-ordinated approach to accelerate the impact of localised initiatives. The working group is focusing on joining up work that is already being done, sharing best practice and pinning down what research and policy evidence should be pursued further - with a view to investing in key areas in the short, medium and long term.

To enable a common language and approach, the group has agreed definitions and is currently developing an inclusive growth framework, a suite of key performance indicators and a logic model approach to identify a potential programme of work and where we can influence wider systems.

Our plan, **Together, for Norfolk** echoes to the coalition's ambitions through 3 key strands for investing in Norfolk's future growth and prosperity:

1. Focusing on inclusive growth and improved social mobility through addressing the wider determinants of health and reducing gaps in life expectancy, promoting and assisting inclusive economic and business growth in rural Norfolk, creating social value and social value for procurement)
2. Encouraging housing, infrastructure, jobs and business growth across the County (delivering critical planned infrastructure investment across our County, supporting the growth of key business sectors, protect and enhance the quality of places)
3. Developing our workforce to meet the needs of sectors powering our local economy (creating apprenticeships across the county, supporting providers, colleges, and businesses to access funding to pilot new training qualifications and initiatives in key sectors, identifying, bidding and accessing funding for rural business and employment)

The current work programme of the coalition working group is as follows

Workstreams	Timeline									
	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Collate and assess evidence	Desktop research Collate info frm Districts	Kick off Workshop	Further research and analysis as identified in workshop	Working group meet to assess progress and agree next steps	Collate evidence, data and case studies to underpin chosen priority areas  Identify potential quick wins, medium and long-term outcome areas  Baseline agreed suite of measures as required  Provide assessment of current evidence, gaps and good practice to inform development of priorities  Engage with with players to help progress work					Working GP meet to assess progress and agree next steps
Develop definitions and measures	Identify PI's in use		Create working draft of definitions of inclusive growth and social mobility.  Identify success measures	Agree KPI's and take to coalition						
Definen and agree priorities			Agree priority areas for further work	Take proposals to coalition						
Stakeholder engagment			Identify key players, funders & fora to help us progress our priorities	Take engagement strategy to coalition						
Governance & Programme of work	Set up workshop	Working Principles	Identify goverance options	Take goverance options to coalition			Take outline prog of work and resourcing proposals to coalition	Commisnon additional research as required.		
Key Outputs		WORKING PRINCIPLES AGREED		GOVERNANCE OPTION VISIT WMCA	EVIDENCE REVEIW, AGREED MEASURES, DRAFT S, M, L WINS		STOCKTAKE. KPI's, NEXT STEPS	EXTERNAL RESEARCH		

**We would ask the peer review team the following questions;**

1. From your experiences how best should we improve inclusive growth in the County?
2. How do we best work as a system leader to create improved social mobility for our residents?

## Demand management

### Context and overview

As in most local authorities, both Adults and Children's Services in Norfolk are experiencing high and growing demand for services.

In Adults this is driven primarily by the ageing population and levels of relative deprivation which impact on the proportion of people who need state funded care.

In Children's Services the national trends of growing numbers of children with special educational needs and high pressure on safeguarding services are mirrored locally. Many of the factors known to impact on demand such as relative deprivation, the size of the 0-25 population and levels of household income are present in Norfolk and create a context of stretched resources.

To respond to this strategic challenge both Adults and Children's Services are working to reshape their respective systems of services and partnership – essentially driving **prevention at scale** as well as a **re-shaping the local markets** of care provision. Both Services have also identified the need to **put practice at the very centre** of transformation and demand management – with a core focus on the right staff teams, working in the right way as the basis on which the rest of the system is built.

The Adults strategy Promoting Independence is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to support people earlier before their ability to manage deteriorates, avoiding a retreat to statutory minimums in the face of increasing demand and financial pressure.

Promoting Independence has these three main elements:

**Prevention and early help** – connecting people in their communities; health and wellbeing information and advice

- **Staying independent for longer** – care and support through reablement and enablement
- **Living with complex needs** – no decisions about formal long-term services in a crisis; new ways for people with dementia to remain in their homes

It is underpinned by a new model of strengths based social work, drawing on the “3 conversations” model, which has been developed through co-production to provide a person centred approach. The conversations are to:

#### **Conversation 1: Listen hard and connect**

Understand what really matters to the person. Connect them with resources and support that allows them to get on with their chosen life independently.

#### **Conversation 2: Work intensively with people in crisis**

What needs to change urgently to help someone regain control of their life? “Stick to them like glue” and make the most important things happen. Put in a ‘time to think’ plan.

#### **Conversation 3: Build a good life**

What does a good life look like? What assets, strengths, resources (including people with personal budgets) does someone have to support their chosen life? How do these need to be organised?

The programme has been running since 2016 and in many areas has already established a successful track record with the overall number of people in receipt of services reducing – albeit that the scale of the demand challenge means we will need to go further and faster in the coming years.

A report from the recent Adults peer review will be available prior to the LGA visit and will provide further context for this.

The work in Children’s Services is at an earlier stage but progressing quickly and is already demonstrating a track record of impact. A business case for a major investment was agreed with members including an allocation of £12-15million of up-front investment (over 5 years). Since then we have completed an analysis, engagement and planning phase which has developed a clear vision and strategy and we are now implementing that strategy in phases from now until 2022/23.







**Whole family**  
We think about family, in the widest sense in all the work we do



**Whole system**  
We work in partnership to get the right support for children, young people and families regardless of organisational boundaries



**Norfolk's Vital Signs for Children  
Signs of Safety, Well-being & Success**

These are the **Vital Signs** we want to ensure children's happiness and health.

**We believe it is vital that children:**

- Are resilient and able to learn
- Build positive, long-lasting relationships
- Receive family-based care



**Relationship Based**  
We work to build consistent and trusted relationships with children, young people and families



**Strengths Oriented**  
We identify the strengths of children, young people and families and build on them to create positive change



**Outcome Focused**  
We do whatever it takes to achieve the best outcome for children, young people and families



Our Vital Signs for Children are

- Signs of Safety,
- Signs of Well-being
- Signs of Success

To achieve this we must have:

A whole system and whole family practice approach that is:

- Relationship based
- Strengths oriented
- Outcome focused

Success will mean that children:

- Are prepared and able to learn
- Build positive and long-lasting relationships
- Receive family-based care

Implementation of this vision is being driven-forward under a number of strategic themes;

- Inclusion – we are working with children, their families and our partners in schools to further enable more children with additional needs to be educated locally and, wherever possible and appropriate, within their mainstream school
- Prevention and Early Intervention – we are investing capacity ‘upstream’ in a range of areas to support families before their needs escalate to the point of crisis
- Effective practice – we are proposing a number of improvements to the core practice model, reducing hand-offs, focussing on family resilience and freeing up capacity within teams; enabling staff to spend more time directly with families to help them to work through their challenges and effect change

- Edge of care support and alternatives to care – Where needs have escalated to a point where consideration is being given to taking children into care, we will look to deploy a range of new approaches as alternatives and will only take children into the care system once other options have been exhausted

- Managing the Care Market – creating the capacity we need, designing creative flexible care packages and establishing needs and outcomes focussed commissioning

During 2018 and this year we have already delivered a number of substantial transformation and change projects which are already impacting positively on both outcomes for children and financial efficiency.

Key examples include;

- We have successfully implemented the new Children’s Advice and Duty Service at the Front Door to Children’s Services and can see the impact in reduced contacts, referrals and assessments and our social work teams now report that they are doing ‘the right work’ and have more time to spend directly with families, building relationships and effecting positive change
- Through the successful bid for a Social Impact Bond , we have received funding to commission a new Family Therapeutic Service (Functional Family Therapy Child Welfare) that has the expertise to support the work of frontline teams; this launched in January 2019 offering intensive support for families with complex needs and helping reduce the number of children needing to come into care

- We have introduced a new Norfolk Family Networks approach -with a new team working alongside our Family Focus and Social Work teams to ensure we engage families in our casework right from the outset and broker family-based solutions wherever this can provide a positive care arrangement for children and young people.
- We are changing the care market, notably through the Family Values Project which is vastly expanding the in-house fostering offer, a £5m investment which has created new semi-independent provision for young people moving towards adulthood, a new dedicated model for unaccompanied asylum-seeking young people and also an enhanced fostering model for children in care with complex needs as an alternative to residential provision
- We have secured an investment of over £100m pounds to improve our educational provision for children and young people with Special Educational Needs (SEN), this will help some of our most vulnerable children get the right provision that will give them the best preparation for adult life.
- We have completely redesigned our support model for families with young children – moving away from a traditional building-based Children’s Centre model to a targeted outreach offer to the families most in need of extra help – complemented by a strong community offer and realignment of the 0-5 system
- A new core operating model for our Social Work and Family Support Services – the business case for which has just been signed off for a step change investment in capacity in order to achieve a step change impact for children and families. The new model will give social workers and family practitioners the ability to call in specialists such as new domestic abuse and mental health professionals or additional intensive support teams to work with families and so succeed in the most challenging cases and further reduce the number of children who need to be accommodated in care
- We are embarking on a major system engagement and redesign to strengthen the capacity of schools to support children with more complex educational needs. Will invest in preventative and inclusion support services, will redesign financial mechanisms to support investment in mainstream inclusion and will deliver a culture change programme across all schools and settings in Norfolk.
- We have agreed with our health partners to establish an alliance model for Children’s mental health and emotional wellbeing provision. The alliance will bring together local authority, NHS provider and voluntary and community provision into a coherent model which prioritises early identification and intervention, looks to support people in the community and works with clinical and social needs together in the interests of children
- We are delighted to have been announced as one of the national early years transformation academy areas and through this will work to further strengthen the system of support for families with young children

Following these initial schemes we are now moving into detailed design and implementation of the major set-piece redesigns of our service models. Over the next 12 months we will be delivering more fundamental re-design and transformation across all the major areas of the Children’s agenda, specifically

## Current Demand Trends & Impact of Demand Management Strategy

### Adults

Through expansion of prevention work, investment in reablement, and a strong focus on strengths-based social work, there are early indications of a 'shift left' evidenced by changes to the patterns of demand;

- In Older People services we have seen an increase in people being supported in long term care setting from 5,864 in October 2017 to 6,542 in July 2019 (11.6%). However, the level of growth has slowed during the latter half of this period. During the 12 months immediately post October 2017 we experienced a 10% increase in volume, whereas we have seen growth of just 1.2% over the past 9 months.

Presently we have not seen a significant change in the proportion of people living at home rather than in residential care, but we have been experiencing a shift towards our more complex residential (enhanced) type of care. This would indicate that either the populations level of need is increasing or that we are possibly maintaining a level of support within the community for a longer proportion of time – i.e. people are requiring residential care later in their care journey.

One challenge in supporting people in their community is simply suitable accommodation. We still see a large proportion of people admitted to residential care who previously had no, or low levels of social care. We want to avoid this escalation. One step in accommodating this change is look at models of homes that can provide varying levels of support but still offer a level of independence. We have developed a business case to create 2,800 units (50+ schemes) of Extra Care Housing by working with partners and investing £29m of our capital monies over the next 10 years.

Statistically, our 2017/18 benchmarking indicates our volumes of long term care per 100,000 of our population are approximately at the 40th Percentile of the 152 other local authorities in England.

- In Learning Disability Services we have seen an increase in people being supported in long term care setting from 2,649 in October 2017 to 2,733 in July 2019 (3.2%). However, like in Older People, the level of growth has slowed during the latter half of this period. During the 12 months immediately post October 2017 we experienced a 2.3% increase in volume, whereas we have seen growth of just 0.8% over the past 9 months.

However, we have successfully impacted on the proportions in residential care which have only grown by 2.2% whilst also having to support people with extremely complex needs, discharged from hospital as part of the Transforming Care Programme.

To allow us to promote and develop individuals' skills and independence we have been developing an enablement approach to accommodation. In the last 6 months we have opened our first enablement scheme, on our Council County Hall site, that seeks to allow people to live in a supported care setting while they develop the life skills to move into universal housing. We again are taking a business case approach to consider the demand for, and benefits of such a type of scheme before expanding the offer on a countywide basis.

Statistically, our 2017/18 benchmarking indicates our volumes of long term care per 100,000 of our population are approximately at the 70th Percentile of the 152 other local authorities in England.

- For our Reablement component of our prevention strategy we have been successful in rapidly expanding our referral rate by 76% from 2014/15 to over 8,000 in 2018/19 for our home based service. This is largely due to our integrated approach with local Clinical Commissioning Groups (CCGs), whereby we have jointly contributed to funding and shaping this expansion. During this period of expansion, outcomes have remained strong. One national key performance indicator is the percentage of people still at home 91 days after completing reablement. During the period of expansion Norfolk First Support have not only maintained performance, but significantly improved: in 2010-11 79.4% of people in Norfolk were still at home after completing reablement; and this has increased to 91% in 2018-19. The English average was 82.5%.

In the past 18 months we have created sister services called accommodation based reablement. These services facilitate a planned, and long term approach, to hospital discharge for those people medically fit to leave an acute setting but not sufficiently ready to return home independently. Presently we have been piloting different approaches to delivering this care, ranging from commissioned through residential providers, being supplied in a housing with care setting and a dedicated unit staffed by our in-house reablement provider. For both In-House and Accommodation based reablement we have been taking a business case approach to consider the investment.

Another prominent component of our prevention strategy is the usage of Technology and Equipment. Over the last 12 months we have successfully doubled the capacity within our Assistive Technology team to ensure we support people through this one-off investment in equipment to minimise the immediate longer term demands for care.

- Due to past levels of demand we had previously accumulated a waiting list for assessment. As we began to prepare for the roll-out of our new social work model “Living Well” we knew one of key principles of “no waiting lists” would not be deliverable with our history. We have invested over £1m in providing a dedicated team to allow us the capacity to focus on supporting the people on these lists and from November 2017 have seen a 63% reduction in the volume. We continue to have a focus on operational capacity and productivity to embed a longer term solution to the levels of demand, alongside our “3-conversation” social care ethos. This not only means taking a supportive performance management approach but improving our way of working by investing in and utilising technology to enable our staff to optimise their contact time with vulnerable adults.

## Children's

Children's Services in Norfolk continue to operate in a challenging context. As is the case for almost all local authorities, we are experiencing high and increasing levels of need across numerous areas of service and in particular in relation to children with special educational needs and children at risk of harm. We are responding to new issues within society and the range responsibilities for the department is widening to tackle issues such child sexual and criminal exploitation and the threat of radicalisation.

Although this is a challenging context, Norfolk County Council and its Children's Services are responding in a bold, positive and ambitious way and we already have evidence that our strategy is working and the patterns of demand of demand are turning. However we do know that we are only 18 months into a 5 year programme and so we still have a long way to go before demand is managed in the optimal way and the impact in some areas of demand is still to come as the programme progresses.

### Key trends are:

- Front Door & Social Work – the position over recent years has been for high numbers of contacts and referrals – translating into high numbers of social work assessments and significant failure demand in the form of assessments which lead to no further action (over 60%). A new conversation-based model went live in October aimed at turning this pattern of demand around by creating a new team of senior social workers, who would manage a dedicated consultation line, providing advice and support to other professionals and asking key questions about the risks and strengths within families. Following the successful implementation the number of referrals and assessments into social work teams has reduced by 37% and 29% respectively ensuring our teams only work with the right families and enabling staff to have more

time to work directly with those children and families where help and intervention is needed.

- Looked After Children – Norfolk has historically had a higher rate of children in care (circa 68-70 per 10,000) than its statistical neighbours and the number of children in care had been increasing in line with national trends. However our work to transform our core operating model, increase grip on decision-making and launch new services to work with children and their families who are at high risk of coming into care has now begun to reverse this trend. Between January and September 2019 the number of children in care has reduced by 6% from a peak of 1227 to 1152. This LAC rate is still above comparators and our aspiration is to sustain this downwards trend – in particular as we fully implement our new operating model across Social Work and Family Support Services
- Placement Sufficiency – the high rate of children in care that has existed for a long time has inevitably translated into significant placement sufficiency challenges for the authority. In particular there has been a high reliance on independent fostering agencies and external (often out of county) residential care at extremely high cost. In response we are rapidly implementing new schemes to create the capacity we require and new ways to meet needs. We are already realising the benefit from our Family Values Project to re-energise the in-house Fostering Service and have significantly increased the availability of in-house carers and reduced the number of IFA placements by 65 in a year. We have plans in place to provide alternatives to residential provision including implementation of the No Wrong Door model but these are at the implementation phase and have not yet gone live – therefore at this point in time we still have around a 120 children in forms of residential care and this represents a very high level of spend on a comparatively small cohort.

- SEND – Norfolk has higher than average levels of demand at all tiers of special education need and in the last 18 months we have seen quite a rapid increase in the number of children with an EHC plan and requiring special school or other alternative provision. These trends have resulted in an inability to complete education health and care plans within expected timescales and a growing reliance on high cost out of county specialist education placements. A further linked area of demand is for specialist education transport which represents a high and growing cost across a large geographical area such as Norfolk. In response we are making a £120m capital investment in new SEN provision with new special schools and new specialist resource bases being created across Norfolk which will ,by 2022/23, give us the capacity we need where we need to it, in order to remove the reliance on independent sector provision and avoid children having to be transported very long distances to their place of education. Our strategy also recognises that this sufficiency investment must be accompanied by a corresponding transformation of the education system to support greater inclusion. If we do not reduce the demand for specialist assessments and specialist provision then even the expanded capacity will quickly be filled and the position will become unsustainable. We are therefore embarking on a major system engagement a redesign which will include work to strengthen the capacity of schools to meet more complex needs, will invest in preventative and inclusion support services, will redesign financial mechanisms to support investment in mainstream inclusion and a culture change programme across all schools and settings in Norfolk. As this strategy is implemented we are confident that the picture of high demand can be impacted and anticipate seeing these trends start to change this from early 2020 onwards.

## **We would ask the peer review team the following questions;**

### **1. Do we know ourselves?**

- Do we have the evidence base for our strategy?
- Do we understand the nature and size of the demand?

### **2. Is the Strategy and scale of ambition right?**

- Is the focus on culture and practice right – and are we progressing it in the right way?

### **3. Do we have the capacity that we need – Corporately and in the Depts?**

- Are there any major risks that we need to pay attention to?

### **4. Do we have the Buy-in and support we need?**

- From members?
- From our staff teams?
- From partners and wider stakeholders?

### **5. Are we engaging partners in the system in the right way to address demand?**

### **6. In the next phase we want to bring the Children’s and Adults programmes more closely together and look across the whole organisation**

- Where are likely to be the most fruitful joint opportunities?
- Where might children’s and adults teams learn from one another’s approaches and strategies?
- How might we link better with the capacity in Public Health or apply a public health approach to our demand management strategies?



**Norfolk** County Council



## Norfolk County Council

### Record of Cabinet Member decision

<b>Responsible Cabinet Member:</b>	
John Fisher, Cabinet Member for Children's Services	
<b>Background and Purpose:</b>	
Local Authorities have a statutory duty to ensure that working parents/carers have access to childcare should they want it. The Childcare Sufficiency Assessment is the report documenting progress in how Norfolk County Council is maintaining enough childcare places within the childcare market.	
<b>Decision:</b>	
1. Approve adoption of the report and proceed with publication on Norfolk County Council's website	
<b>Is it a key decision?</b>	<b>No</b>
<b>Is it subject to call in?</b>	<b>Yes</b>
<b>If Yes – Deadline for Call in</b>	<b>Date: 4pm Friday 1 November 2019</b>
<b>Impact of the Decision:</b>	
Becomes a public facing document showing Norfolk's childcare sufficiency assessment	
<b>Evidence and reason for the decision:</b>	
Sufficiency assessment has been conducted and detailed report produced.	
<b>Alternative options considered and rejected:</b>	
Not applicable, as statutory role for Local Authority.	
<b>Financial, Resource or other implications considered:</b>	
None.	
<b>Record of any conflict of interest:</b>	
None.	
<b>Background Documents:</b>	
Childcare Sufficiency Assessment	

<b>Date of Decision:</b>	<b>25 October 2019</b>
<b>Publication date of decision:</b>	<b>25 October 2019</b>
<b>Signed by Cabinet member:</b>	
I confirm that I have made the decision set out above, for the reasons also set out	
<b>Signed: Cllr John Fisher</b>	
<b>Print name: Cllr John Fisher</b>	
<b>Date: 25 October 2019</b>	
<b>Accompanying Documents:</b>	
Childcare Sufficiency Assessment 2019	

# Report to Cabinet Member

<b>Report title:</b>	<b>Childcare Sufficiency Assessment 2019</b>
<b>Date of report:</b>	<b>31/10/2019</b>
<b>Responsible Cabinet Member:</b>	<b>John Fisher, Cabinet Member for Children's Services</b>
<b>Responsible Director:</b>	<b>Sara Tough</b>
<b>Is this a key decision?</b>	<b>No</b>
<p><b>Executive Summary/Introduction from Cabinet Member</b></p> <p>The Childcare Sufficiency Assessment is an annual document reporting on the ability for working parents/carers to access pre-school childcare and out of school provision in Norfolk. It contains population information, childcare provision, parent/carer feedback and actions required by Norfolk County Council's Early Years and Achievement Team to maintain availability for those parents needing childcare provision</p> <p><b>Recommendations</b> Sign off the report for publishing on the Norfolk County Council website</p> <p><b>Actions required</b> Officers to publish the document.</p>	

## 1. Background and Purpose

- 1.1. Local Authorities have a statutory duty to ensure that working parents/carers have access to childcare should they want it. The Childcare Sufficiency Assessment is the report documenting progress in how Norfolk County Council is maintaining enough childcare places within the childcare market.

## 2. Proposals

- 2.1. To agree the annual Childcare Sufficiency Assessment.

## 3. Impact of the Proposal

- 3.1. Norfolk County Council fulfils its role and ensures statutory compliance.

## 4. Evidence and Reasons for Decision

- 4.1. Comprehensive assessment has been undertaken and is included in the attached report.

## 5. Alternative Options

- 5.1. Not applicable.

## 6. Financial Implications

- 6.1. There are no financial implications beyond the existing budgets and funding arrangements for the Achievement and Early Years Service. Funding distributed to providers is received by NCC via the annual government grant (Early Years' component of the Dedicated Schools Grant).

## 7. Resource Implications

### 7.1. Staff:

Met through existing resources

### 7.2. Property:

There is no separate provision of capital for early years providers – the duty is

largely met by supporting providers including schools through existing properties. There are processes in place to secure funding through developer contributions as part of S106 agreements.

7.3. **IT:**

Provision of information technology and a programme of change is in place via Synergy Management Board and other corporately agreed mechanisms.

**8. Other Implications**

8.1. **Legal Implications**

None – meeting statutory duty.

8.2. **Human Rights implications**

None

8.3. **Equality Impact Assessment (EqIA) (this must be included)**

The provision for equal opportunity and support for children of different backgrounds and with different needs is fully addressed within the paper. SEND provision includes additional funding as described in Section 12 of the attached report.

8.4. **Health and Safety implications** (where appropriate)

Safeguarding audits are addressed as part of the work described in the paper.

8.5. **Sustainability implications** (where appropriate)

Sustainability of provision is addressed within the report

8.6. **Any other implications**

none

**9. Risk Implications/Assessment**

9.1. The key risks are addressed through the paper:

- 1 – Insufficient provision
- 2 – Lack of take-up of provision
- 3 – Poor Quality provision
- 4 - Lack of affordability

**10. Select Committee comments**

10.1. n/a – no policy change

**11. Recommendation**

11.1. Sign off the report for publishing on the Norfolk County Council website

**12. Background Papers**

12.1. See attached Childcare Sufficiency Report

**Officer Contact**

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

**Officer name :** Peter Elwick

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**Email address :** peter.elwick@norfolk.gov.uk



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

# Childcare Sufficiency Assessment

## 2019

## Contents

1	Introduction	3
2	Key findings	6
3	Actions taken since the 2018 assessment	7
4	Childcare sufficiency - Areas for development	9
5	Support for parents	11
6	Population	13
7	Projected housing growth	18
8	Sufficiency of childcare places	19
9	Consultation with parents/carers	25
10	Demand for childcare	26
11	Quality	27
12	SEN&D	30
13	Looked after children	32
14	Childcare for children over 5	33

# 1. Introduction

- 1.1 The Childcare Sufficiency Assessment (CSA) is a statutory document that outlines how Norfolk County Council plans to 'secure sufficient childcare, so far as is reasonably practicable, for working parents, or parents who are studying or training for employment, for children from birth to 14 (or up to 18 for disabled children).' The compiling and publication of this Childcare Sufficiency Assessment meets Norfolk County Council's statutory duty under sections 6, and 7 of the Childcare Act 2006, and is also in line with local authority statutory guidance.
- 1.2 This report focusses on two key areas of the childcare market in Norfolk:
- measuring the demand for, and supply of, childcare within the seven districts of Norfolk
  - identifying gaps in the market and planning how to support the market to address any shortfall
- 1.3 To assess the supply and demand, current levels of provision are compared with the predicted demand based on population data, so that any shortfall can be identified. More detailed analysis on key findings, demand and supply of childcare places for two, three and four year olds can be found in the Early Years Area Sufficiency Profiles, available from: <https://www.norfolk.gov.uk/children-and-families/childcare-and-early-learning/childcare-advice-and-guidance/childcare-sufficiency>.
- 1.4 The Childcare Act 2006 gives the local authority a key role in shaping the childcare market. Norfolk County Council is committed to working with providers from the Private, Voluntary and Independent sectors (PVI) and the Maintained sector, to create a strong, sustainable and diverse childcare market that meets the needs of parents/carers and supports children's learning.
- 1.5 The Local Authority is required to report annually to elected members and publish information for parents to see how the Authority is meeting its sufficiency duty. This includes specific information about:
- the supply of and demand for early education and childcare
  - affordability, accessibility and quality of early education and childcare provision
  - details of how any gaps in this provision will be addressed.
- 1.6 Whilst Local Authorities are required by law to ensure sufficient early years places, attendance by children from birth to five at any early childhood education and care setting is voluntary. There is no requirement for a child to attend early education provision until the term after a child's fifth birthday. Attendance at any setting before this point is the choice of the parent.
- 1.7 Settings delivering the Early Years Foundation Stage (EYFS) may be private, voluntary or independent organisations or schools. All provision is funded either by government entitlements or by parents.

1.8 The Childcare Act 2006 also requires the following actions and measures which set out the strategic role local authorities play. The local authority is required by government to support (though not directly provide) the following:

- Early education places for two, three and four year olds including eligibility, flexibility and quality
- Distributing the funding for early education places
- Securing sufficient childcare so far as is practicable in a free market
- Providing information to parents
- Providing information, support and training to early childhood education and care providers.

1.9 Local authorities are required to secure fully funded places offering 570 hours a year over no fewer than 38 weeks of the year, and up to 52 weeks of the year, for every eligible child in their area, until the child reaches compulsory school age (the beginning of the term following their fifth birthday). Eligibility will depend on the child's age and whether they meet certain criteria.

**Figure 1. Early education and childcare eligibility**

Funded early education		Criteria
All 3 and 4 year olds	15 hours per week for 38 weeks a year, equivalent to 570 hours. The 570 hours can be stretched over 52 weeks at approx. 11 hours per week.	Universal entitlement for all 3 and 4 year olds until they enter Reception class at a state funded school. If parents choose not to take up their child's right to a place in a state-funded school reception class in the September following their child's fourth birthday, they can choose to continue to take up their child's free place at a private, voluntary or independent childcare provider until their child reaches compulsory school age
Eligible 3 and 4 year olds	Up to an additional 15 hours per week for 38 weeks a year, equivalent to 1140 hours. The 1140 hours can be stretched over 52 weeks at approx. 22 hours per week.	Extended entitlement - Working lone parent or both parents earning over £120 per week
Eligible 2 year olds	15 hours per week for 38 weeks a year. The 570 hours can be stretched over 52 weeks at approx. 11 hours per week.	For parents on either low income or a range of benefits; the child is looked after by the local authority; has left care through special guardianship or through an adoption or residence order; is in receipt of Disability Living Allowance (DLA) or has a current statement of Special Educational Needs (SEN) or an Education, Health and Care (EHC) plan

Statutory Guidance for local authorities DfE June 2018



- 1.10 All 3 and 4-year-olds in England are entitled to 15 hours a week, or 570 hours a year of fully funded early education. Since September 2017, 3 and 4-year-olds may be entitled to 30 hours free childcare, or an extra 570 hours of free childcare a year, so 1,140 hours in total. The additional 15 hours is available to families where both parents are working (or the sole parent is working in a lone parent family), and each parent earns a weekly minimum equivalent to 16 hours at national minimum wage or living wage, and less than £100,000 per year. This also includes self-employed parents.
- 1.11 Government funding is intended to deliver 15 or 30 hours a week of fully funded, high quality, flexible childcare. It is not intended to cover the costs of meals, other consumables, additional hours or additional activities. Parents can, therefore, expect to pay for any meals offered by the provider alongside the fully funded entitlement, as well as paying for consumables or additional activities.

DRAFT

## 2. Key findings

Some of the key findings of the Norfolk Childcare Sufficiency Assessment 2019 are summarised below. More detailed analysis on key findings, demand and supply of childcare places for two, three and four year olds can be found in Early Years Area Sufficiency Profiles, available from: <https://www.norfolk.gov.uk/children-and-families/childcare-and-early-learning/childcare-advice-and-guidance/childcare-sufficiency>.

### **Norfolk is growing and changing**

- Over the coming ten years, according to baseline forecasting figures from Cambridge Econometrics, using the 2017 East of England Forecasting Model (EEFM), the Norfolk population will increase by 68,600, 17,600 more jobs will be required for the working population and 39,300 more homes will be required <https://cambridgeshireinsight.org.uk/EEFM/>. The number of early years children however seems to be reducing.

### **Across the county there is sufficient 0-5 childcare to meet demand, but this varies by area**

- Numbers of children in any given area will fluctuate from year to year. The most recent information is provided in the Early Years Area Sufficiency profiles and this information will be used to assess current sufficiency, alongside the termly information provided to the Local Authority by existing providers.

### **The quality of early education and childcare in Norfolk is high**

- 97.9% of childminders were judged Good or Outstanding at the end of August 2019, with other settings (nurseries and playgroups) achieving 95.5% Good and Outstanding
- The percentage of Norfolk children achieving a good level of development at the end of the Foundation Stage is in line with the national average

### **The cost of childcare remains below national averages.**

- The average charge made by providers for daycare in Norfolk is £4.23 per hour. The national average according to The Family and Childcare Trust Childcare Survey 2019 for children aged three and four is £4.92 <https://www.familyandchildcaretrust.org/childcare-survey-2019>
- 23% of the Early Education hours claimed for 3 and 4 year olds in Summer 2019 were for the extended entitlement (30 hours). These hours were claimed by 587 providers (88% of those that claimed universal Early Education funding for 3 and 4 year olds).

### 3. Actions taken since the 2018 assessment

The 2018 Childcare Sufficiency Survey identified a number of key actions for the Local Authority. We have:

#### 3.1 Data/Sufficiency

- Rolled out the Sufficiency Module, part of the Provider Portal, to ensure timely collection of sufficiency data. This allows more targeted and timely support where sufficiency of places is an issue
- Developed more formal partnership between providers, to allow delivery of childcare places in areas where there is unmet need or providers are unable to meet demand due to restrictions on premises etc.
- Developed more detailed sufficiency reports in response to providers' requests for information. These reports focus on Primary school catchment areas and have supported providers and the Local Authority to decide if additional provision is needed in certain areas
- Awarded 38 individual grants to providers to support delivery of inclusive, high quality places in areas of need. This included 3 start up grants, 10 sustainability grants, 1 childcare development grant and 25 quality and inclusion grants
- Developed the information provided to parents and providers in relation to take up of funded places

#### 3.2 Family Information – Key activities

- We launched an outreach campaign using social media, three commercials and the Family Information web page to widen access to information about early education and childcare and home learning
- We developed a range of promotional childcare and home learning resources to engage parents, foster carers and families with English as an Additional Language (EAL)
- We organized a 2-day digital information event for early years providers and partner services at the Woodside Hub

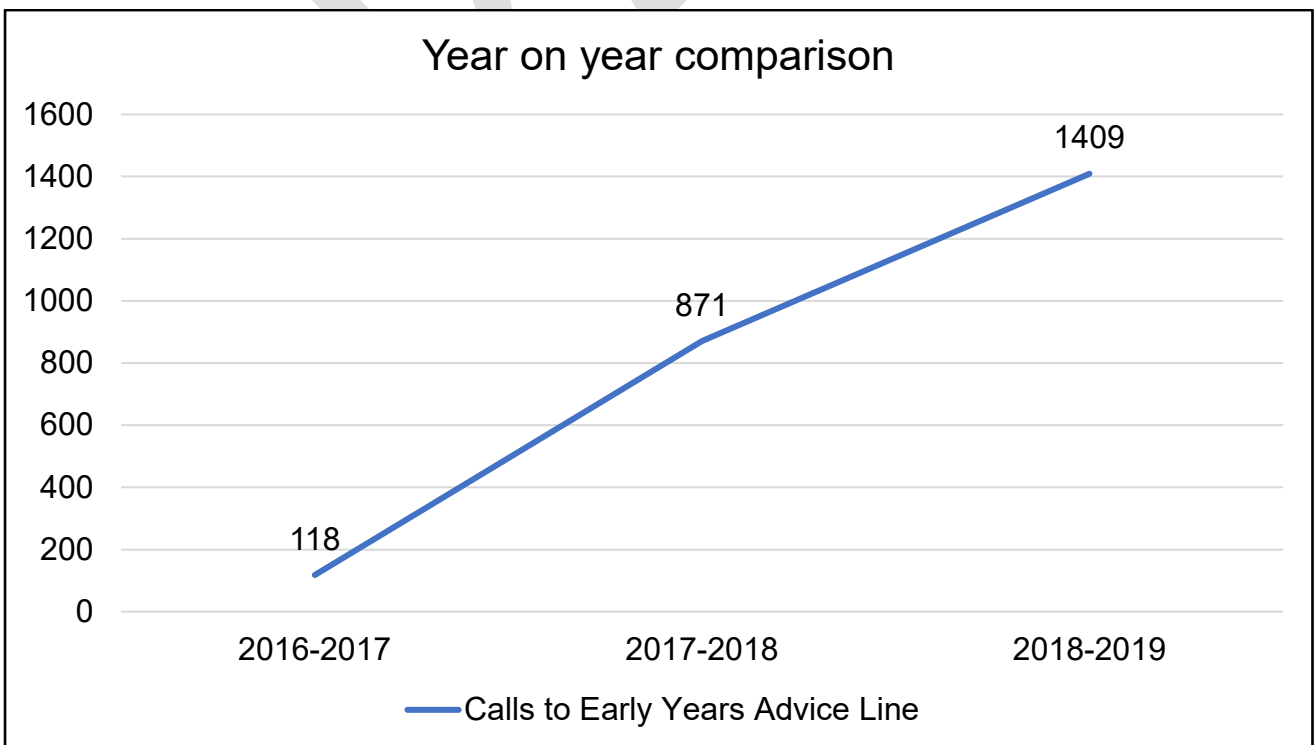
#### 3.3 Special Educational Needs and Disabilities (SEN&D)

- We have improved the quality of existing web-based information and extended the number of topics available for providers to access including Special Educational Needs, behaviour, English as an Additional Language and SEN funding
- More information continues to be added via the Norfolk County Council Schools website
- Links are now in place with health and other colleagues to utilise data from the Early Identification Notice (EIN) to ensure all children identified with Special Educational Needs and Disabilities are accessing their early education entitlement
- Skills & knowledge of the Early Years providers has improved to meet the needs of children with Special Educational Needs and Disabilities, especially through the NASEN Level 3 SENCo training

### 3.4 Quality/Workforce Development

- Developed the system leaders peer support network by providing training for system leaders. Over the past year system leaders have provided one to one support, training on specific subjects and have supported at Early Years Assessment Networks and the Early Years conference. They also helped to review and suggest improvements to the updated transition leaflets. Once the new cohort have finished training we will have 16 leaders
- Continued to provide support for all providers graded Requires Improvement or Inadequate following Ofsted inspection. As of 6<sup>th</sup> September 2019 sixty providers (pre-schools, nurseries, childminders and schools) were receiving support, advice and bespoke training from staff in the Achievement and Early Years Service and Early Years Finance Team
- Delivered 10 'Thinking of Becoming a Childminder' sessions in Thetford, Kings Lynn and Norwich. These sessions were attended by a total of 61 people. There have been 43 new childminder registrations in the past year
- Delivered 'Leading your setting successfully' training to 18 practitioners and funded 10 practitioners to undertake degree level training
- Continued to conduct safeguarding audits of all registered early years provision in the private and voluntary sector. 399 audits have been completed to date.
- Provided an all year round advice line for providers to contact the Achievement & Early Years Service or Finance Teams. We have seen an increase of 62% in the volume of calls to the advice line since it started in 2017

Figure 2. Volume of calls made to the Early Years Advice Line



NCC Achievement & Early Years Team, September 2019

## 4. Childcare sufficiency - Areas for development

To ensure sufficient high quality early years and childcare provision, Norfolk County Council will:

### 4.1 Data/sufficiency

- Provide analysis of termly sufficiency audits, with follow up from Early Years Development Workers, so that any sufficiency issues are addressed as quickly as possible
- Continue to encourage creative partnership working between registered providers to develop childcare places in areas of unmet need or where the current offer does not meet parental demand
- Target new place development in areas of housing development and community growth, aligned with school place planning
- Continue to monitor the number of providers to ascertain potential reasons for closure and identify actions to address, including active recruitment in areas of identified need
- Develop detailed analysis of sufficiency within primary school catchment areas, i.e. to understand differences in supply and demand at local level
- Ensure award of sustainability and start-up funding reflects both identified and emerging shortfall in provision
- Review processes focused on encouraging take up of funded places, particularly 2 year old places, in areas where take up rates are lowest
- Carry out a funding consultation in relation to changes to the Early Years Funding Formula and implement any agreed changes from April 2020

### 4.2 Family Information

- Market the Family Information digital channels to increase access to information, advice and guidance
- Promote Norfolk Education Online (NEO) – enabling parents/carers and providers to interact with the Early Years Service digitally for better and quicker outcomes
- Ensure NCC Services, partners and providers working with families are regularly updated about the early education and childcare entitlements
- Further develop community connections with the Early Child and Family Service (ECFS) bases and local groups working with families via outreach sessions to help support and inform parents about early/home learning and childcare
- Work in partnership with the Community Communication Champions
- Ensure information provided is accessible to all
- Ensure support available is clearly identifiable and promoted for children or families with SEND and/or where English is an additional language

### 4.3 Special educational needs and disabilities (SEN&D)

- Develop and improve the quality of the digital offer to enable providers to more easily access up to date information as well as learning and networking opportunities around inclusion and Special Educational Needs

- Further develop the use of data from the Early Identification Notice (EIN). To include the sharing of data at key points with other educational/SEN teams to ensure they are fully aware and prepared to accept children with SEND
- Work with colleagues to further develop a robust and effective transition document available for parents, early years providers and schools to ensure transparency and evidence good practice
- Through a training programme: enhance and develop the knowledge, understanding and skills of Early Years SENCOs in performing their role effectively. On completion delegates will gain the NCFE Cache Level 3 Award for Special Educational Needs Coordinator in Early Years Settings

#### 4.4 Quality/workforce development

- Continue to extend the system leaders peer support network alongside the rollout the Early Years Professional Development Fund
- Allocate an Early Years Adviser and/or Development Worker to all settings, schools and childminders with an Ofsted grade of Requires Improvement or Inadequate, who will signpost to relevant training, give advice, support with action planning and monitor improvement
- “Thinking of becoming a childminder” briefings to be delivered in areas where places are needed
- Provide focused support and/or training for providers to develop their business and financial model
- Continue to support providers with safeguarding and welfare, teaching and learning issues through advice and guidance from the Achievement & Early Years Service
- Complete outstanding safeguarding audits with all registered early years and childcare providers in the private and voluntary sector, reporting outcomes to the Norfolk Safeguarding Children Partnership
- Continue to deliver termly Leaders and Managers/Childminder briefings sessions and Finance/Portal briefings to keep providers up to date with local and national changes to policy

## 5. Support for parents

### 5.1 Affordability

For childcare to be sustainable providers need to ensure their operating costs are met by the income generated. At the same time, childcare needs to be affordable to parents and carers.

The local authority does not determine the business models of childcare providers as the childcare sector is influenced by market forces. Nevertheless, the local authority has a legal duty to ensure there is sufficient affordable childcare for parents who need it and stimulate the market where a gap is identified.

Legislation stipulates that local authorities should not intervene in providers' private businesses outside of a child's funded place.

### 5.2 Help with childcare costs

There are many systems available to parents and carers to help with childcare costs. Parents and carers must select the arrangement that is best suited to their personal circumstances as, for example, employee childcare vouchers may affect the amount of credits payable.

#### Universal credit

Universal Credit is the new benefit system that eventually replaced tax credits and other benefit schemes and was phased in between April 2013 and December 2018.

Households who are receiving tax credits continue to receive these unless and until:

- they have a significant change of circumstance triggering a new claim for UC (this is natural migration to UC), or
- their circumstances don't change but the DWP moves them across to UC (a process called managed migration, which is being piloted in Harrogate from July 2019)

Universal Credit will be paid as a single monthly payment that will include a standard allowance plus other 'elements' one of which will be childcare and managed by district, borough and city councils.

Parents/carers may be eligible for up to 85% of their childcare costs per month, which is up to £646.35 for one child and £1,108.04 for 2 or more children.

<https://www.gov.uk/universal-credit>

#### Tax free childcare scheme

The Government introduced a new tax-free childcare scheme in 2017 which is

replacing childcare voucher schemes. To qualify, parents will have to be in work, and each earning at least £131 a week and not more than £100,000 each per year.

Under this system 20% of annual childcare costs will be paid for by the Government. Parent/carers can open an online account through the gov.uk website and pay into it to cover childcare costs.

For every 80p paid into this account the Government will pay in an additional 20p, up to a maximum contribution of £2,000 a year per child (or £4,000 per year for a child with disabilities).

The scheme is open to families with children under 12 (and children with disabilities up to the age of 17) who are not already claiming Universal Credit.

<https://www.gov.uk/tax-free-childcare>

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## 6. Population

- 6.1 According to the Office for National Statistics (ONS) 2017 Mid-Year Population estimates Norfolk's population is around 898,390. This is approximately 1.6% of the population of England. The population is projected to increase by 5.9% by 2026.

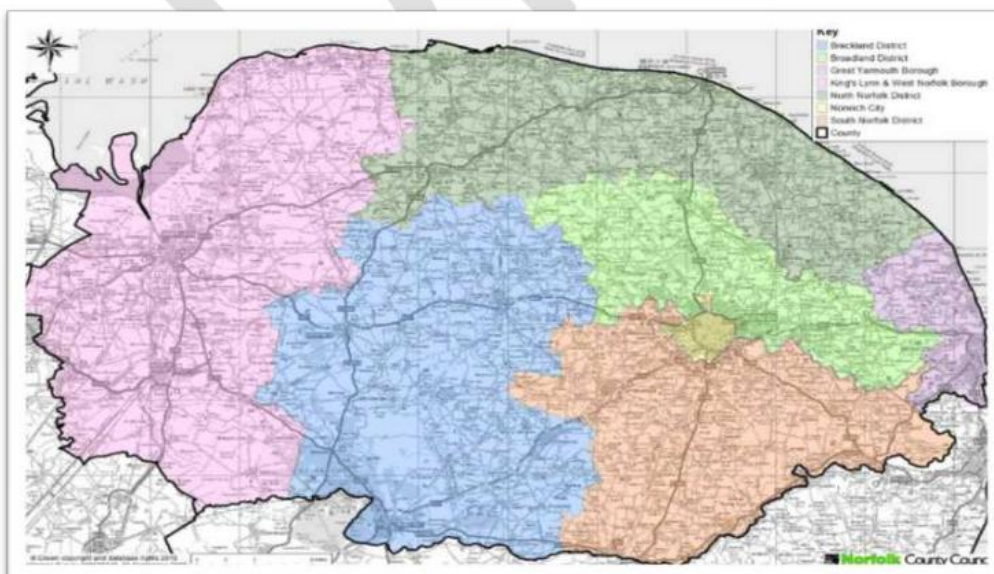
**Figure 3. Projected population increase from 2026 and 2041 from ONS 2016 sub national population projections**

District	2016	2026	2041	2016-26 increase		2016 - 41 increase	
				Number	%	Number	%
Breckland	137,100	147,900	159,400	10,800	7.9	22,300	16.3
Broadland	127,400	133,100	140,300	5,700	4.5	12,900	10.1
Great Yarmouth	99,000	101,600	104,900	2,600	2.6	5,900	6.0
King's Lynn & West Norfolk	151,800	159,000	166,800	7,200	4.7	15,000	9.9
North Norfolk	103,600	107,900	113,800	4,300	4.2	10,200	9.9
Norwich	139,900	147,400	156,500	7,500	5.4	16,600	11.9
South Norfolk	133,000	147,200	160,600	14,200	10.7	27,600	20.1
<b>Norfolk</b>	<b>891,700</b>	<b>944,100</b>	<b>1,002,300</b>	<b>52,400</b>	<b>5.9</b>	<b>110,600</b>	<b>12.4</b>

ONS sub national population projections 2016, published 24/5/18, figures may not equal due to rounding

- 6.2 Over the last five years since 2012, Norfolk's population has increased by 3.9%.
- 6.3 It is estimated that there are approximately 174,000 children aged 0-17.
- 6.4 Norfolk comprises of seven district council areas; Norwich, North Norfolk, Breckland, Kings Lynn and West Norfolk, Broadland, Great Yarmouth and South Norfolk District Councils. South Norfolk, Norwich and Breckland are projected to be the fastest growing districts in the county.

**Figure 4: Norfolk districts**



Norfolk County Council  
CS E-Publishing Team  
July 2019

6.5 The table in Figure 5 shows the breakdown of numbers of children aged 0 to 14 and 15-18 year old children with disabilities living within each of the 7 districts, shown by age.

**Figure 5 - Table of population of children age 0 - 14 and children with disabilities age 15 – 18**

Age	Breckland	Broadland	Great Yarmouth	King's Lynn and West Norfolk	North Norfolk	Norwich	South Norfolk	Norfolk
0	1,418	1,125	1,105	1,552	775	1,647	1,299	<b>8,921</b>
1	1,518	1,197	1,101	1,650	784	1,664	1,412	<b>9,326</b>
2	1,545	1,221	1,104	1,716	837	1,559	1,411	<b>9,393</b>
3	1,537	1,213	1,108	1,693	899	1,682	1,409	<b>9,541</b>
4	1,622	1,340	1,119	1,803	819	1,664	1,601	<b>9,968</b>
5	1,575	1,386	1,164	1,767	990	1,774	1,514	<b>10,170</b>
6	1,648	1,367	1,142	1,776	985	1,579	1,633	<b>10,130</b>
7	1,596	1,314	1,246	1,680	971	1,542	1,653	<b>10,002</b>
8	1,551	1,394	1,078	1,676	919	1,590	1,649	<b>9,857</b>
9	1,614	1,376	1,200	1,731	973	1,566	1,591	<b>10,051</b>
10	1,507	1,465	1,131	1,675	932	1,457	1,531	<b>9,698</b>
11	1,462	1,294	1,033	1,592	945	1,366	1,556	<b>9,248</b>
12	1,391	1,407	1,041	1,485	929	1,355	1,469	<b>9,077</b>
13	1,373	1,307	1,031	1,508	930	1,200	1,563	<b>8,912</b>
14	1,309	1,340	1,019	1,468	925	1,144	1,488	<b>8,693</b>
CWD 15-18	105	104	52	135	73	117	98	<b>684</b>
<b>Totals</b>	<b>22,771</b>	<b>19,850</b>	<b>16,674</b>	<b>24,907</b>	<b>13,686</b>	<b>22,906</b>	<b>22,877</b>	<b>143,671</b>

Estimates of the population for the UK, England and Wales, Scotland and Northern Ireland Mid 2017-ONS Revised 28/06/2018, (CWD updated 25/07/19)

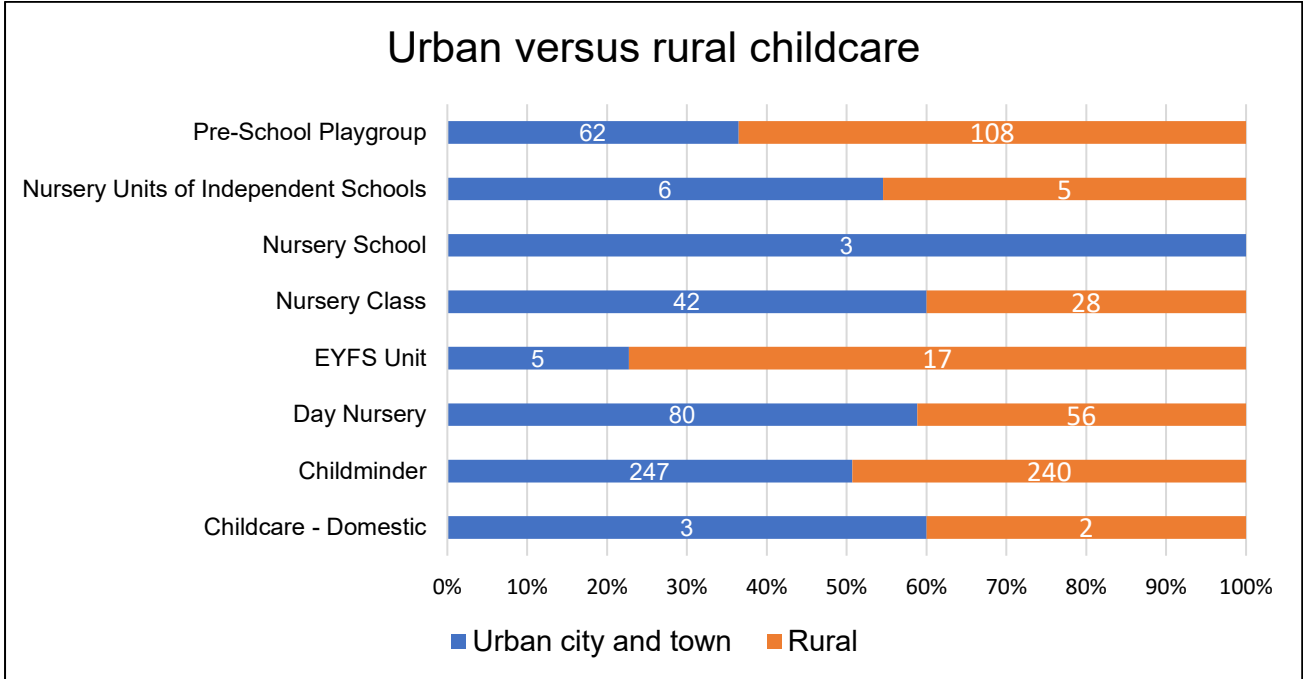
6.6 There are approximately 47,149 children aged from birth up to four years

6.7 There are 35,930 children in Norfolk age 11 – 14.

6.8 While Norfolk's land area is around 93% rural, just over half of residents live in an environment that can be classed as urban. Over the past six years, there has been a shift in where people live in Norfolk, with an increase in numbers of people living in urban settings and a corresponding reduction of people living in rural settings. All districts except North Norfolk have at least one third of their population living in urban areas and none of Norfolk's districts is wholly rural. (Norfolk Story, 2019)

6.9 Just under half of families in Norfolk live in a rural area with these children being largely served by voluntary pre-schools and childminders

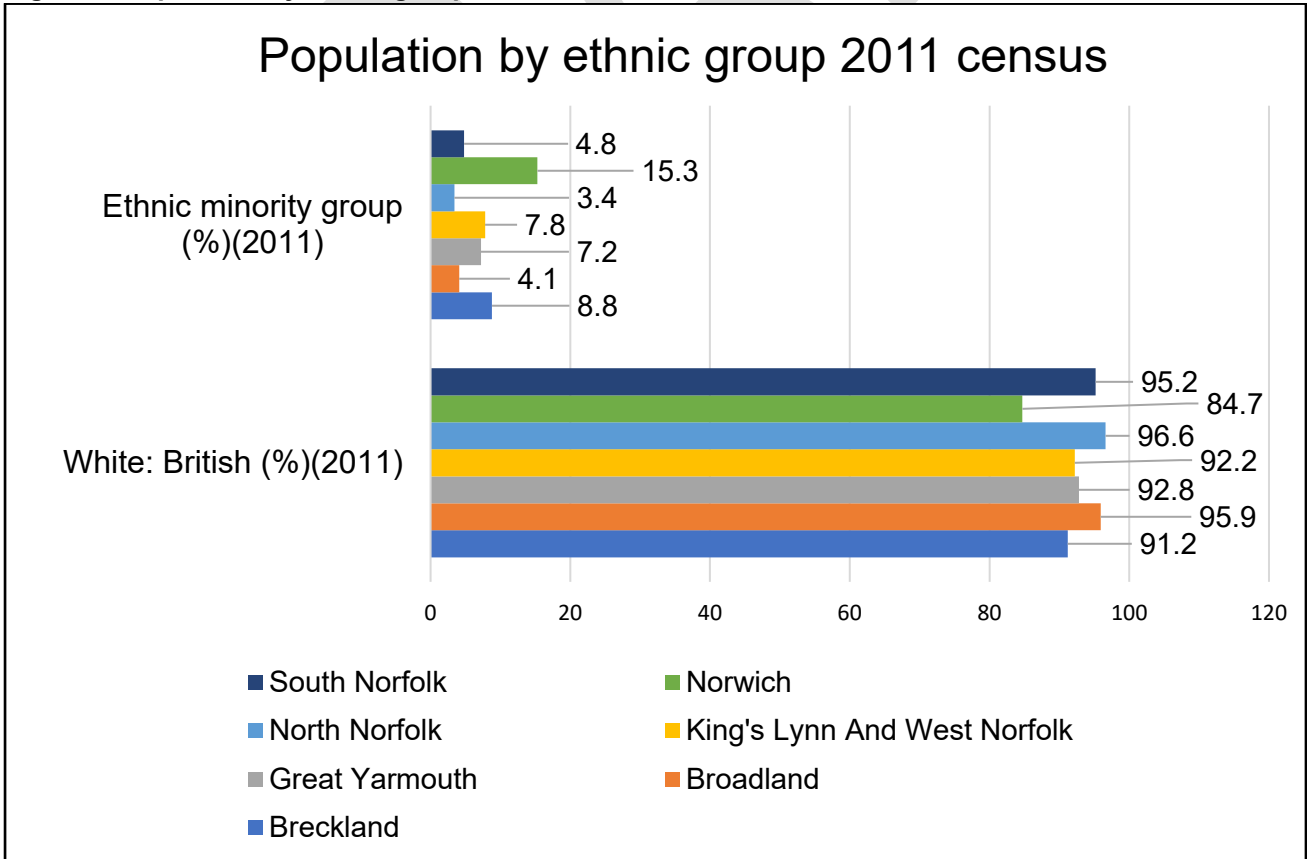
**Figure 6. Comparison of numbers of urban and rural childcare providers**



NCC Postcode Gazetteer & Synergy Education Live June 2019

6.10 Population in Norfolk is characterized as predominately White British, with Norwich having the highest levels of other ethnicities

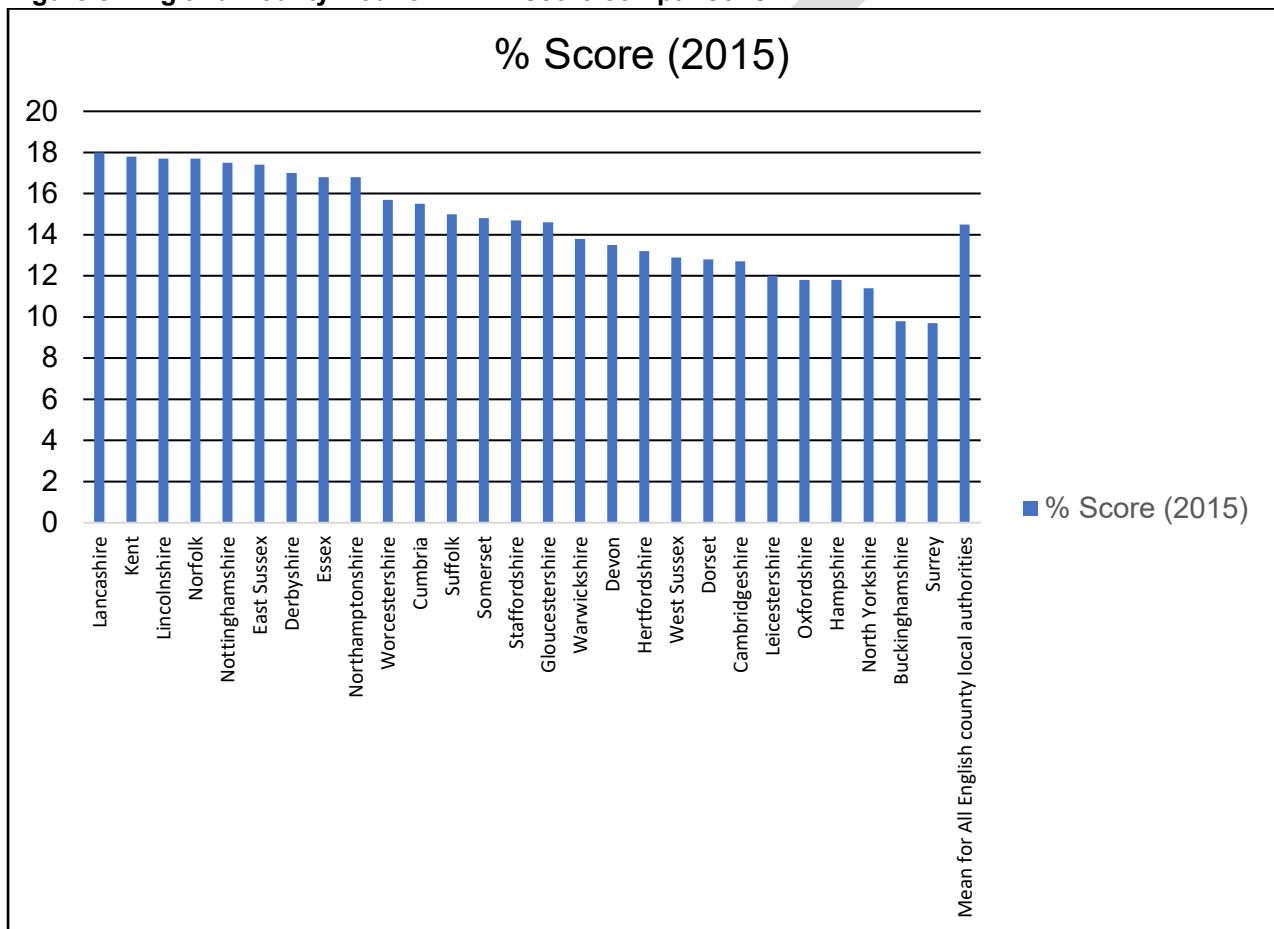
**Figure 7. Population by ethnic group 2011**



NCC Norfolk Insight, 2011 Census

- 6.11 There are around 130 languages spoken in Norfolk. English is not the first language of around 7,800 school children in the county and of these around a fifth are aged 0 to 5 years. Polish is the most widely spoken first language other than English across Norfolk’s school children, with Portuguese being the second and Lithuanian the third
- 6.12 The Indices of Deprivation 2015 show that Norfolk has experienced an increase in relative deprivation compared with 2010. The Income Deprivation Affecting Children Index (IDACI) indicates Norfolk had the fourth highest score of the county councils in England in 2015

**Figure 8. England County Council IDACI score comparisons**



Department for Communities and Local Government (DCLG), Indices of deprivation

- 6.13 Around 68,200 Norfolk residents live in areas which have been classified as being among the 10% most deprived in England. The most deprived areas in Norfolk are still concentrated in the urban areas of Great Yarmouth, Norwich, King’s Lynn and Thetford.
- 6.14 The labour market profile comparison between Norfolk, East of England and Great Britain shows Norfolk is performing as well as nationally for being economically active but falls behind the East of England average.

6.15 Norfolk has a higher percentage of unemployed people than the regional average but is lower than the national average

**Figure 9. Employment and unemployment of 16-64's and percentage of population**

<b>Area</b>	<b>Economically Active</b>	<b>In employment</b>	<b>Employees</b>	<b>Self-employed</b>	<b>Unemployed</b>
Norfolk	78.5%	75.4%	64.3%	10.9%	4.0%
East of England	80.8%	78.2%	66.3%	11.5%	3.5%
Great Britain	78.5%	75.1%	64.3%	10.6%	4.2%

NOMIS Jan 2018-Dec 2018

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## 7. Projected housing growth

- 7.1 There are several major growth areas in Norfolk which will see future economic expansion, new housing, new schools and other infrastructure planning and investment. These are detailed in NCC's 2018 Local Growth and Investment Plan (LGIP). New housing will attract the need for childcare provision that may be above the supply level of existing local provision.

**Figure 10. Number of children aged 3 and 4 living in new housing**

District	LGIP projected housing	Number of additional 3-4 year olds
Breckland	10,400	1,008
Broadland	14,700	1,426
Great Yarmouth	1,000	97
King's Lynn & West Norfolk	5,400	524
North Norfolk	600	59
Norwich	1,000	97
South Norfolk	9,850	956
<b>Total</b>	<b>42,950</b>	<b>4,167</b>

NCC LGIP 2018-19

- 7.2 The new housing is predominantly centered around the Greater Norwich Growth Triangle to the north and east of the city and growth in the urban areas along the A11 corridor towards Suffolk and Cambridgeshire
- 7.3 The NCC Place Planning Team comment weekly on infrastructure requirements for new planning applications received by the districts and county planning officers for sites over 20 mixed-bed dwellings. The area planning targets for housing growth are reported on within the listed Early Years Area Sufficiency Profiles, available at <https://www.norfolk.gov.uk/children-and-families/childcare-and-early-learning/childcare-advice-and-guidance/childcare-sufficiency>

## 8. Sufficiency of childcare places

- 8.1 Norfolk currently has 877 childcare providers across the county. Several providers operate on more than one site and more than one type of childcare, such as a school having a nursery class alongside a pre-school or EYFS Unit

Figure 11. Childcare provision in Norfolk

Childcare provider type	Sep 17	Dec 18	Jun 19	Diff. Sep 17 to Dec 18	Diff. Dec 18 to Jun 19
Day Nursery	137	135	131	-2	-4
Pre-school Playgroup	180	166	155	-14	-9
Childminder and Childcare - Domestic	534	486	465	-48	-21
Nursery Units of Independent Schools	12	12	11	0	-1
School Run (Nursery School, Nursery Class, Day Nursery, Pre-school & EYFS Unit)	110	117	115	+7	-2
<b>Total</b>	<b>973</b>	<b>916</b>	<b>877</b>	<b>-57</b>	<b>-37</b>

NCC Synergy Education Live June 2019

- 8.2 The number of early years and childcare provider types in the county continues to reduce marginally each year. In the 2018 CSA the numbers of pre-schools, childminders, nursery classes, nursery schools and day nurseries were 916, this has dropped 4.25% to 877 over the 6 month period to June 2019.
- 8.3 Not all childcare providers offer the funded early education entitlement. Figure 12 shows the number of childcare providers offering free early education entitlement in both the private, voluntary and independent (PIV) sector and those run by local authority-maintained schools and academies sector, by District Council area.

Figure 12. Number of childcare providers offering funded places by district council

District	Private, voluntary and independent				School run provision	Total
	Day nursery	Pre-school playgroup	Childminder and childcare - domestic	Nursery units of independent schools		
Breckland	22	25	45	3	16	111
Broadland	14	28	56	1	12	111
Great Yarmouth	14	7	23	0	18	62
King's Lynn & West Norfolk	24	27	57	1	21	130
North Norfolk	15	14	21	1	19	70
Norwich	17	16	26	3	17	79
South Norfolk	23	36	58	1	11	129
<b>Norfolk Total</b>	<b>129</b>	<b>153</b>	<b>286</b>	<b>10</b>	<b>114</b>	<b>692</b>

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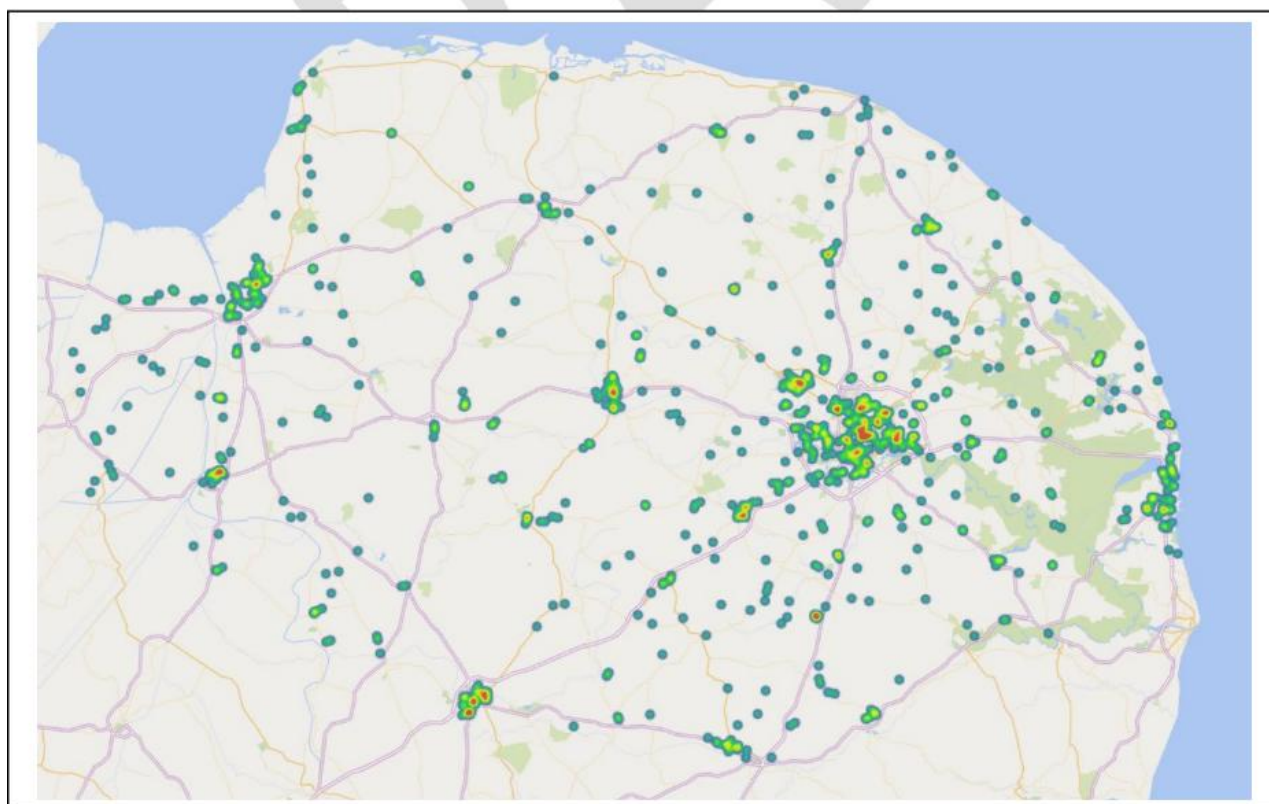
8.4 The number and distribution of funded childcare places being offered by childcare providers varies between each district, with most places located within urban areas. Whilst the overall number of places across the county meets need, for families living in rural areas the choice of type of provision is more limited.

Figure 13. Number of funded places available for 2, 3 & 4 year olds by District

District	Day nursery		Pre-school playgroup		Childminder and childcare - domestic		Nursery units of independent schools		School run provision		Total
	3 & 4's	2YO's	3 & 4's	2YO's	3 & 4's	2YO's	3 & 4's	2YO's	3 & 4's	2YO's	
Breckland	1,004	326	898	255	205	50	88	0	660	28	<b>3,514</b>
Broadland	588	232	1,094	294	265	57	45	0	449	50	<b>3,074</b>
Gt Yarmouth	722	352	336	168	128	27	-	-	684	92	<b>2,509</b>
King's Lynn & West Norfolk	1,193	412	828	387	226	50	48	12	665	68	<b>3,889</b>
North Norfolk	557	207	462	172	108	20	40	0	490	72	<b>2,128</b>
Norwich	676	245	678	223	121	32	228	0	919	98	<b>3,220</b>
South Norfolk	952	319	1,046	384	225	58	80	0	474	8	<b>3,546</b>
<b>Total</b>	<b>5,692</b>	<b>2,093</b>	<b>5,342</b>	<b>1,883</b>	<b>1,278</b>	<b>294</b>	<b>529</b>	<b>12</b>	<b>4,341</b>	<b>416</b>	<b>21,880</b>

NCC Synergy Education Live June 2019

Figure 14. Location of childcare providers offering funded places



NCC Synergy Education Live June 2019



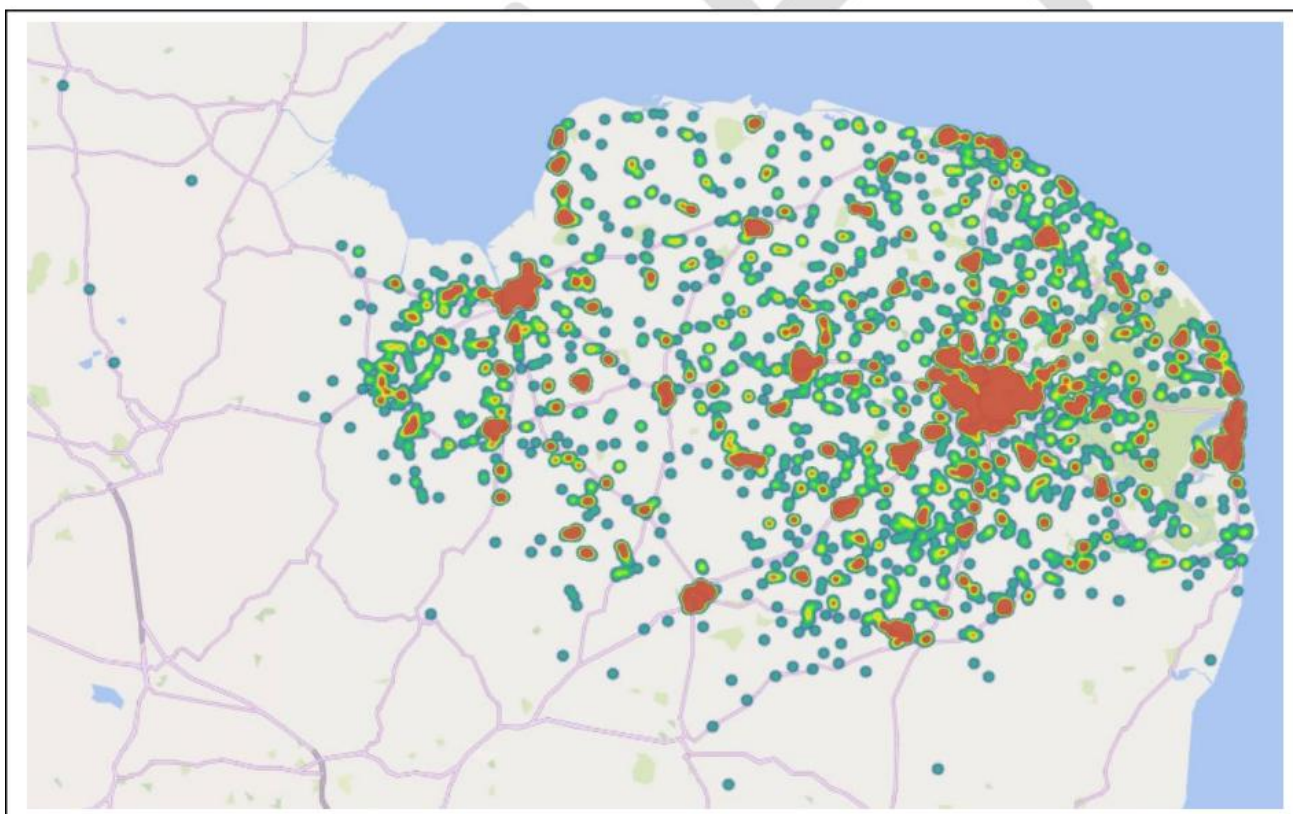
8.5 Take up of the 15 hour universal entitlement for 3 and 4 year olds is high across all areas of the county, the lowest take up being in Breckland.

**Figure 15. Take up for 15 hour funded places for 3 & 4 year olds by district for summer 2019**

District	No of 3 & 4 year old children, April 2019	Funded	Take up %
Breckland	3,026	2,700	89.2%
Broadland	2,566	2,472	96.3%
Great Yarmouth	2,204	2,053	93.1%
King's Lynn & West Norfolk	3,317	3,018	91.0%
North Norfolk	1,713	1,641	95.8%
Norwich	3,232	2,979	92.2%
South Norfolk	3,139	2,872	91.5%
<b>Total</b>	<b>19,197</b>	<b>17,735</b>	<b>92.4%</b>

NCC CHIS, eligibility and take up figures for summer claim period 2019

**Figure 16. Location of funded 3 & 4 year olds – attending summer 2019**



NCC Attendance report for summer claim period 2019

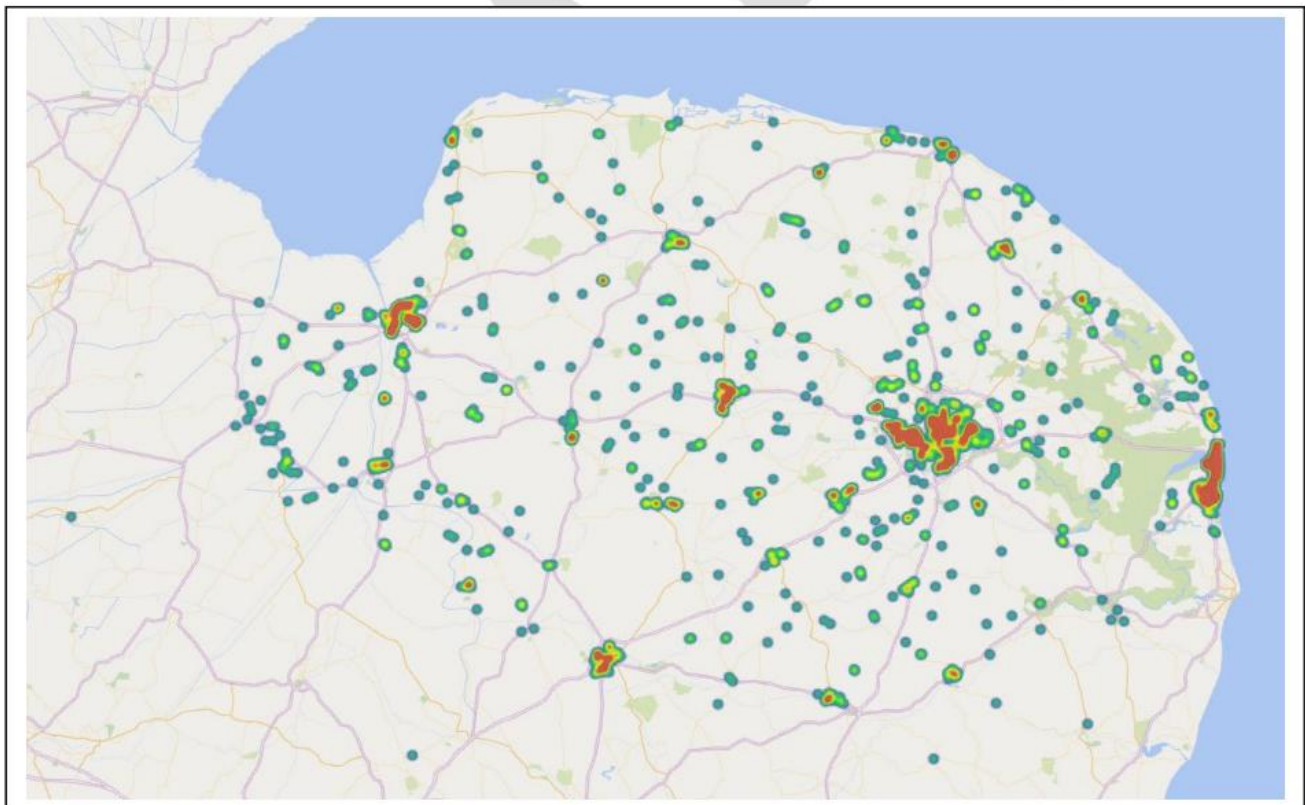
8.6 Analysis of the supply and demand of places for eligible funded 2 year olds shows that take up is lower than for the universal 3 and 4 year old entitlement. Take up rates are influenced by factors such as parental preference for keeping the child at home, which is particularly relevant for 2 year olds, not enough local childcare to meet parental preference and informal childcare being used instead.

**Figure 17. Supply and demand for 15 hour funded places for 2YOs by district for summer 2019**

District	Total 2YO's, April 2019	No of children with eligibility code	Total 2YOs accessing	% of children accessing a place	No eligible % of 2YO Population
Breckland	1,487	281	260	93%	19%
Broadland	1,222	168	152	90%	14%
Great Yarmouth	1,099	107	339	100%	10%
King's Lynn & West Norfolk	1,478	379	308	81%	26%
North Norfolk	797	153	162	100%	19%
Norwich	1,565	458	365	80%	29%
South Norfolk	1,501	232	225	97%	15%
From Out of County			21		
<b>Total</b>	<b>9,111</b>	<b>1,778</b>	<b>1,832</b>	<b>92%</b>	<b>20%</b>

NCC CHIS, eligibility and take up figures for summer claim period 2019

**Figure 18. Location of funded 2 year olds – attending summer 2019**



NCC Attendance report for summer claim period 2019

- 8.7 Nationally, the total number of children in a 30 hours place is equal to 94% of the eligibility codes issued to parents. In Norfolk, the number of children taking up the extended entitlement (30 hours) for the summer claim period 2019 is lower at 92% For the same period in 2018 the Norfolk take up was 97%, a drop of 5%

**Figure 19. Number accessing extended entitlement and take up of those eligible**

District	verified validation codes	claiming extended hours	not claiming	% of eligible children accessing extended hours
Breckland	878	813	65	93%
Broadland	864	806	58	93%
Great Yarmouth	438	405	33	92%
King's Lynn & West Norfolk	930	867	63	93%
North Norfolk	514	472	42	92%
Norwich	571	511	60	89%
South Norfolk	967	892	75	92%
District unknown	233	216	17	93%
<b>Total</b>	<b>5,395</b>	<b>4,982</b>	<b>413</b>	<b>92%</b>

NCC Early Years Finance July 2019

- 8.8 Data regarding cost of childcare to parents is gathered annually by via the Early Years Census in January and via provider portal updates. The current average charge for childcare will be a combination of these figures depending on when and if the provider updated their details with any changes. The charge per hour has risen from £4.20 to £4.23 since September 2018

**Figure 20. Average charge per hour for early years childcare by type and district July 2019**

District	Childminders and childcare -	Day nursery (full daycare)	Pre-school playgroups
Breckland	£3.79	£4.45	£3.98
Broadland	£4.15	£4.93	£4.23
Great Yarmouth	£3.84	£4.25	£3.42
King's Lynn & West Norfolk	£3.98	£4.68	£3.83
North Norfolk	£4.12	£4.76	£3.36
Norwich	£4.56	£4.86	£4.26
South Norfolk	£4.21	£5.08	£4.18
<b>Norfolk average</b>	<b>£4.09</b>	<b>£4.72</b>	<b>£3.89</b>

NCC Synergy Education Live, July 2019

- 8.9 Childcare for younger children is often the most expensive due to factors such as staff/child ratios etc. Most parents find that their childcare costs reduce as their child grows and all children are entitled to some form of funded nursery education from the age of three, meaning childcare fees for parents fall.
- 8.10 The average prices in Figure 20 have been compared to figures for September 2016 in Figure 21 below showing the percentage increase.

**Figure 21. Percentage price increase per hour across childcare types**

	<b>Childminders &amp; childcare-domestic</b>	<b>Day nursery (full daycare)</b>	<b>Pre-school playgroups (sessional)</b>
Average price September 2016	£3.93	£4.45	£3.55
Average Price July 2019	£4.09	£4.72	£3.89
<b>Average % price increase</b>	<b>3.91%</b>	<b>5.72%</b>	<b>8.74%</b>

NCC Synergy Education Live July 2019

8.11 The average UK inflation rate for the last 5 years indicate childcare prices have increased above the rate of inflation

**Figure 22. UK inflation rate**

<b>Date</b>	<b>UK inflation rate</b>
Average inflation rate May 2015	<b>0.1%</b>
Average inflation rate May 2016	<b>0.3%</b>
Average inflation rate May 2017	<b>2.9%</b>
Average inflation rate May 2018	<b>2.7%</b>
Average inflation rate May 2019	<b>2%</b>

Update 19 June 2019 <https://www.rateinflation.com/inflation-rate/uk-historical-inflation-rate>

## 9. Consultation with parents/carers pre-school children

- 9.1 Consultation with parents/carers is an important part of establishing the demand for childcare. Parents/carers were invited to complete an on line SmartSurvey during July 2019 asking about their experiences of childcare.
- 9.2 Dissemination of the survey was achieved by posting links via Norfolk County Council's Family Information social media accounts, the NCC Website and NCC employee newsletters.
- 9.3 A total of 477 questionnaires were fully completed by parents/carers with an additional 247 partially completed. For data accuracy the partially completed questionnaires have been disregarded for this analysis. Of the 477 completed questionnaires 204 are regarding pre-school children only and 273 regarding school age children aged 5+ only. 383 respondents have children within both age ranges
- 9.4 Though 477 completed questionnaires represent a very small proportion of parents with pre-school and school age children in Norfolk the following observations are drawn from the information received.
- 9.5 Pre-school age children
- Most respondents are paying for pre-school childcare, half of which are not eligible for funded entitlement whilst the remainder are paying for additional hours on top of accessing their funded early years entitlement
  - Most respondents chose their pre-school childcare provider having visited and liked the 'feel' of the place
  - Only a small number of respondents said they didn't use formal childcare when they were eligible, confirming the high take-up rate of funded entitlement in the county
  - The three hours between 9am and 12pm is the period most pre-school childcare is needed by respondents followed by 12 to 3pm. Childcare is required by respondents in equal measure for both 8am to 9am and 3pm to 5pm
  - Nearly two thirds of respondents said they required pre-school childcare during school holidays because of work commitments whilst the rest didn't need childcare as they either didn't work or that work offered flexible working conditions
- 9.6 School age children
- Nearly all respondents are accessing formal before and after school provision, either on school sites or at other formal provision during term time
  - Just over half of respondents use informal before and after school provision, most in addition to the use of formal provision
  - For those accessing before school provision, 7% of responders are accessing informal provision solely and 9% access both formal and informal provision
  - For those accessing after school provision 20% of responders are accessing informal provision solely and 20% access both formal and informal provision

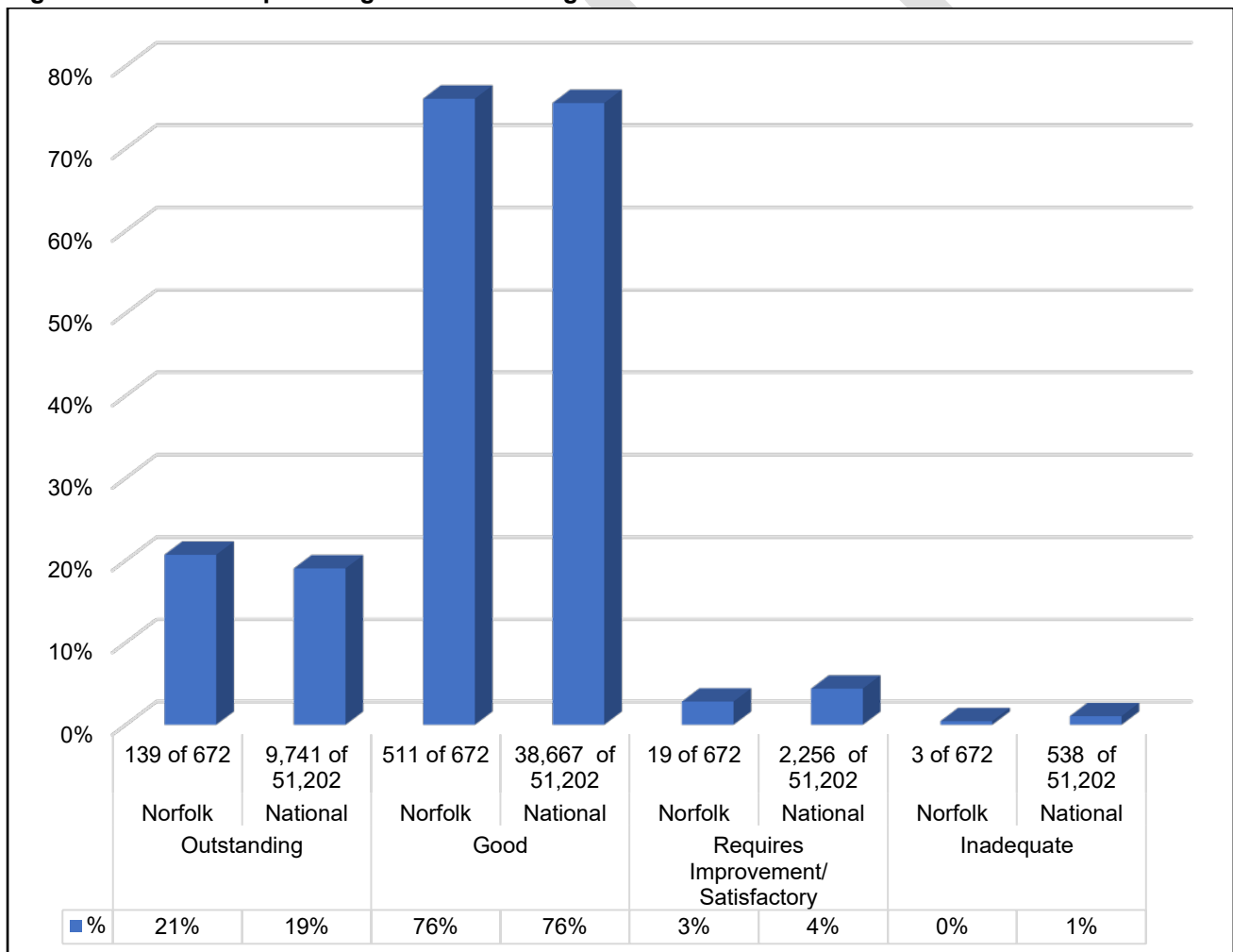
## 10. Demand for childcare

- 10.1 Norfolk County Council's Customer Service Centre (CSC) takes initial enquires and provides general information to families while more complex enquiries are passed to Family Information, which is part of the Education and Early Years Achievement Service. This Service helps parents (particularly vulnerable families) to understand the benefits of high quality childcare and early learning for their children.
- 10.2 For the period 1st September 2018 – 31st August 2019, Family Information responded to 236 enquiries handed over by CSC. The enquiry data showed that most of the customers were parents seeking clarification about funded early education and childcare, particularly 2-year-old funding.
- 10.3 Examples of handing-off from CSC to Family Information;
- R called today about the 2-year funding. She has lost code that was sent to her, are we able to send out a new code?
  - C has paid for early years child care after nursery stated that code wasn't valid. This wasn't correct, and mum wants to know what the options are regarding reclaiming the money as she was charged for childcare in error. Can someone call to discuss?
  - Client is currently receiving 15 hours of free funding and would like to know if she is entitled to any more funded hours as she is on PIP. She doesn't have access to the internet so please can someone call her?
- 10.4 Direct enquiries to CSC have decreased steadily over the last year. In August 2018, the number of enquiries handed over by CSC to Family Information was 15 and in August 2019 the number was 7.
- 10.5 Most people are now accessing information about childcare online with most enquiries being received through email and Facebook. Family Information staff use social media to promote tax credits and to provide information relating to financial assistance for childcare.
- 10.6 The number of 'hits' to the NCC web pages about funded childcare have increased in the last 12 months and includes supporting information for parents and childcare professionals working with families.
- 10.7 Family Information continue to develop innovative ways of communicating with parents to ensure up to date information is sent out to assist parents make informed choices regarding their childcare solutions.

## 11. Quality

- 11.1 Evidence shows that the quality of childcare is a significant factor affecting a child's future chances. High-quality early education improves children's school readiness and cognitive development, whilst poor-quality early education does very little to boost children's development. (2014 Joseph Roundtree Foundation, <https://www.jrf.org.uk/blog/30-hours-free-childcare-worth-fighting>.)
- 11.2 The quality of early provision is measured through inspections undertaken by Ofsted (Office for Standards in Education). Ofsted is the sole arbiter of quality and through the inspection process, each setting will receive one of four grades (outstanding, good, requires improvement or inadequate) depending on the inspection findings.
- 11.3 Data on the inspection outcomes of Norfolk based registered early years and childcare providers at their most recent inspection compared to the national picture shows the quality of provision across Norfolk is higher than the national average.

**Figure 23. Ofsted inspection grades to 31<sup>st</sup> August 2018**

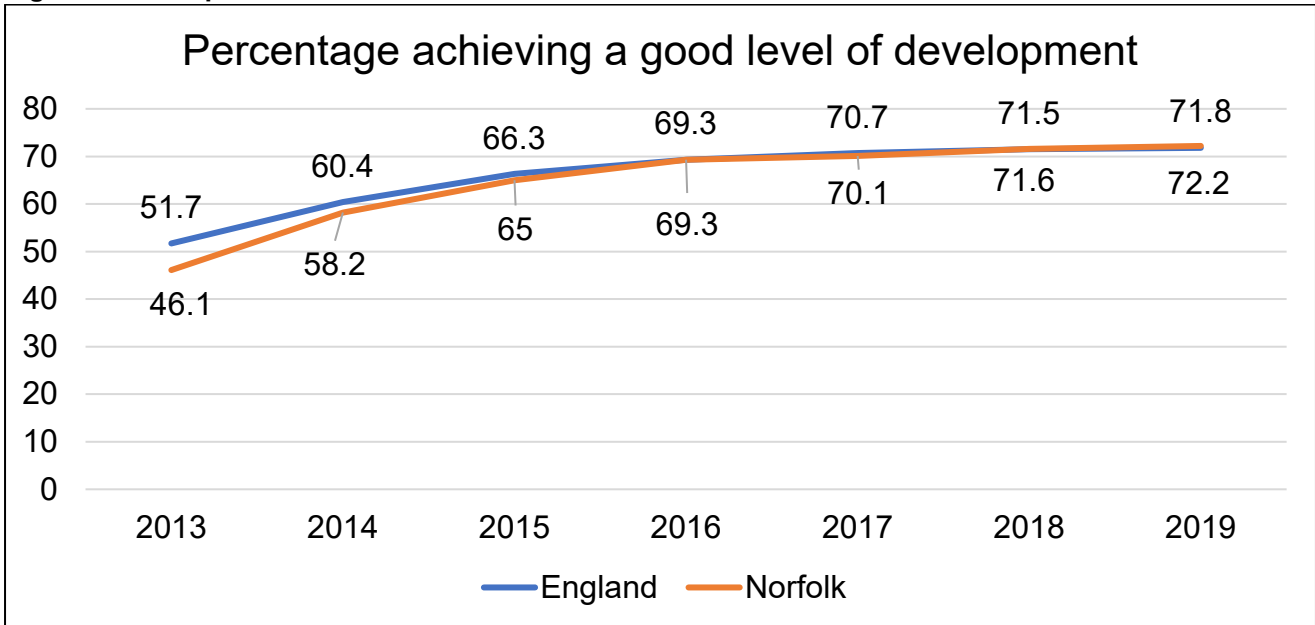


<https://www.gov.uk/government/statistics/childcare-providers-and-inspections-as-at-31-august-2018>

- 11.4 Support is available for providers to improve the quality of delivery and meet the requirements of the Early Years Foundation Stage (EYFS) and Ofsted. The quality of provision plays an important part in the sufficiency of places.

- 11.5 All new childminders are offered a subsidised place on the Professional Association for Childcare and Early Years' (PACEY) Level 3 Award in Home Based Childcare, covering every aspect of being a registered childminder. With the continued support offered through the registration process by the EAEYS most childminders and out of school providers achieve good or outstanding at their first Ofsted inspection.
- 11.6 In 2018-19, the percentage of children achieving a good level of development at the end of the Early Years Foundation Stage (EYFS) was 72.2%, an increase of 0.6% from the previous year continuing an improving trend.

**Figure 24. Comparison of children's results at the EYFSP**



NCC Education Achievement Service Annual Standards Report 2019

- 11.7 The attainment of children eligible for FSM decreased by 2 percentage points from 57% to 55% as nationally there was a decline of 1 percentage point from 57% to 56%. For non-FSM pupils there was an increase from 74% to 75% whilst nationally attainment remained the same at 75%.
- 11.8 Norfolk County Council has a statutory duty in relation to provision of childcare training. The training programme delivered by the Achievement & Early Years Service aims to improve outcomes for children through the development of a highly skilled workforce. The training is available to practitioners working in any registered provision, as well as prospective childminders. Courses are subsidised for the private and voluntary sector.
- 11.9 Feedback from providers evidences that the training is needed and valued. Priority is given to providers who have received a 'Requires Improvement' or 'Inadequate' Ofsted grade to improve practice.
- 11.10 Recruitment of qualified and experienced practitioners remains a challenge for providers across the county, and this reflects a national issue. Norfolk County Council provides a recruitment website for use by providers to support the appointment and development of their workforce



11.11 The Achievement & Early Years Service are developing a Peer Support Network, which is part of our approach to enable the variety of providers – private, voluntary, childminders, independent, maintained and academy, to work together to deliver sustained improvements. Currently there is a focus on support and development of leaders and this has been enabled through several leaders from outstanding provision accessing peer support/mentoring training. Further work to develop partnership working between settings and schools, and best practice sharing has commenced.

DRAFT

## 12. SEN&D

- 12.1 Local Authorities have a statutory duty to promote equality of opportunity for children with special educational needs and disability (SEN&D). Nationally it is recognised parents often find it difficult or challenging to access childcare, this may be due to parental confidence in the provider's ability to meet their child's individual needs.
- 12.2 All childcare settings are required to comply with the SEN&D Code of Practice and with the requirements of the Early Years Foundation Stage (EYFS). A wide range of activities and clubs for young people with a disability or additional needs across Norfolk are listed on the Norfolk Local Offer pages at [www.norfolk.gov.uk/children-and-families/send-local-offer](http://www.norfolk.gov.uk/children-and-families/send-local-offer).
- 12.3 Research suggests some childcare providers may not be as confident in their own ability to meet the needs of children with high level medical need, particularly if they are a lone worker, such as a childminder. Norfolk County Council offers providers subsidised training, specialist equipment and access to advice and guidance to support the inclusion of all children.
- 12.4 Information on childcare is available to all parents online. Additional information is available to parents of children with SEN&D via the Norfolk SEN Local Offer. Other services also offer support to parents to gain access to the free funded early years entitlement.
- 12.5 Since April 2017 there is a statutory duty for all Local Authorities to provide an SEN Inclusion Fund. This funding is for early years providers to meet the individual needs of children who are in receipt of 3 and 4-year-old free funded early years entitlement with low level or emerging SEN Eligibility is children.
- 12.6 The number of children accessing rose by 57% during the year with the number of provider increasing 74% over the same period.

**Figure 25. Number of children and childcare providers benefitting from SEN Inclusion Fund**

Term	Number of children	Number of providers
Autumn 2018	347	98
Spring 2019	501	116
Summer 2019	545	171

NCC AI Team July 2019

- 12.7 There is also funding available for children with more complex need. In Norfolk, complex need is determined by those that have an issued or agreed Education Health Care Plan. 72 children were in receipt of this funding during the summer term 2019.
- 12.8 Although there is not a statutory duty to provide additional funding for children who are in receipt of 2-year-old Early Education, Norfolk does make provision for them. Requests for additional funding can be made if a child has an identified need that is "additional to and different from".

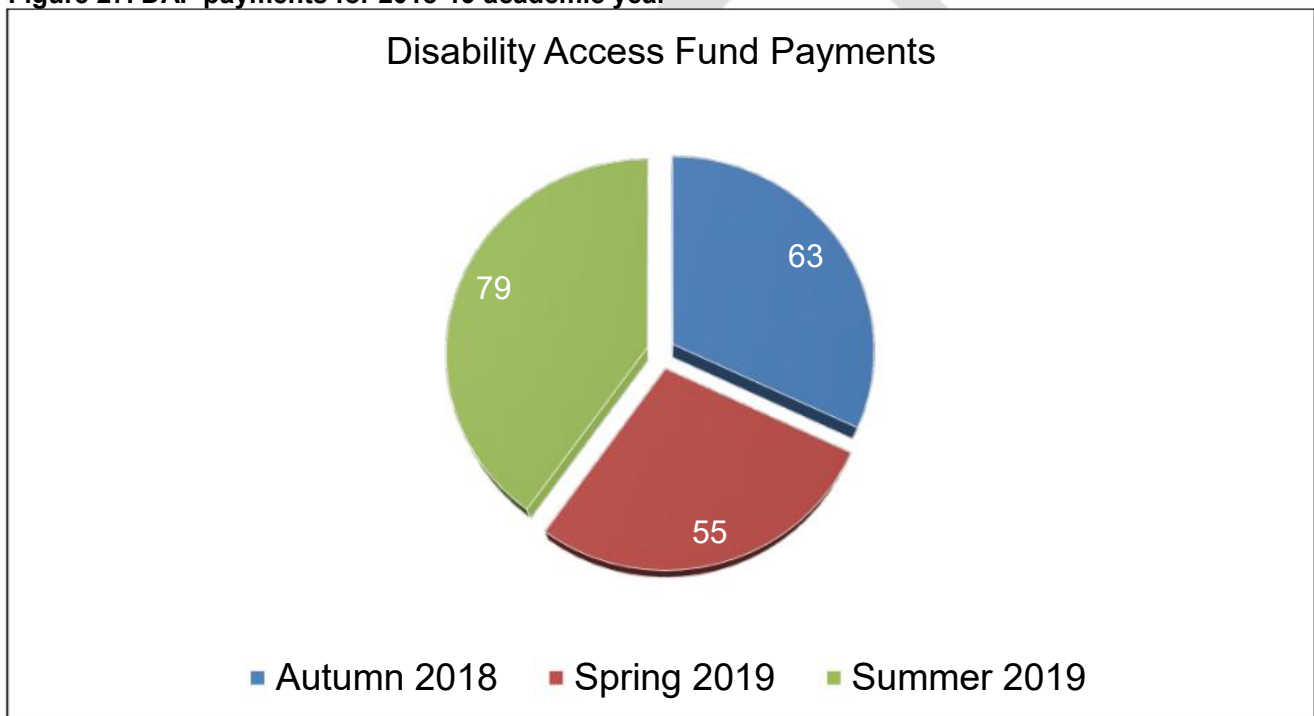
**Figure 26. Number of awards given to assist SEN 2 year olds**

Term	Number of awards
Autumn 2018	101
Spring 2019	108
Summer 2019	94

NCC Early Years Finance July 2019

12.9 In April 2017, the Disability Access Fund (DAF) was introduced for early years providers to support children with SEN&D. Its purpose is to remove ‘barriers’ which prevent children from accessing their free funded early education entitlement. To attract DAF, children must be receiving Disability Living Allowance and be in receipt of the 3 and 4 year early education entitlement. This funding of £615 is paid annually to the provider nominated by the parent/carer. In the 2018-19 academic year Norfolk made DAF payment for 197 children. Figure 28 shows the payments on a termly basis.

**Figure 27. DAF payments for 2018-19 academic year**



NCC Early Years Finance Team

12.10 During the summer 2018 term 14,109 three and four year olds claimed early education funding. Early Years Pupil Premium (EYPP) payments were made for 2,297 children to childcare providers in both the PVI and maintained sectors across Norfolk. This represents 16.28% of the number of children claiming early years education funding. This represents a good level of take up.

12.12 The identification of eligible children relies upon parents making schools and settings aware so that they can apply for the funding. To ensure as many parents as possible talk with their childcare provider about possible eligibility, publicity work through the Family Information Team will continue to raise awareness and increase the take up rate. <https://www.norfolk.gov.uk/children-and-families/childcare-and-early-learning/free-childcare-and-learning/early-years-pupil-premium>

### 13. Looked after children and early education

13.1 Looked after children are less likely than their peers to access early education.

13.2 In Norfolk 176 looked after children (0-4's) were eligible for a free funded childcare place from September 2018 to the end of June 2019. 55 children accessed their funded childcare place (31%).

**Figure 28. Take up of free funded childcare by looked after children**

Term	Number of eligible 0-4's	Number of children accessing free funded childcare	% take up
Autumn 2018	114	25	22%
Spring 2019	120	31	26%
Summer 2019	71	37	52%

NCC Early Years Finance and Virtual School, Looked After Children, Adoption and Special Guardianship Order Team  
June 2019

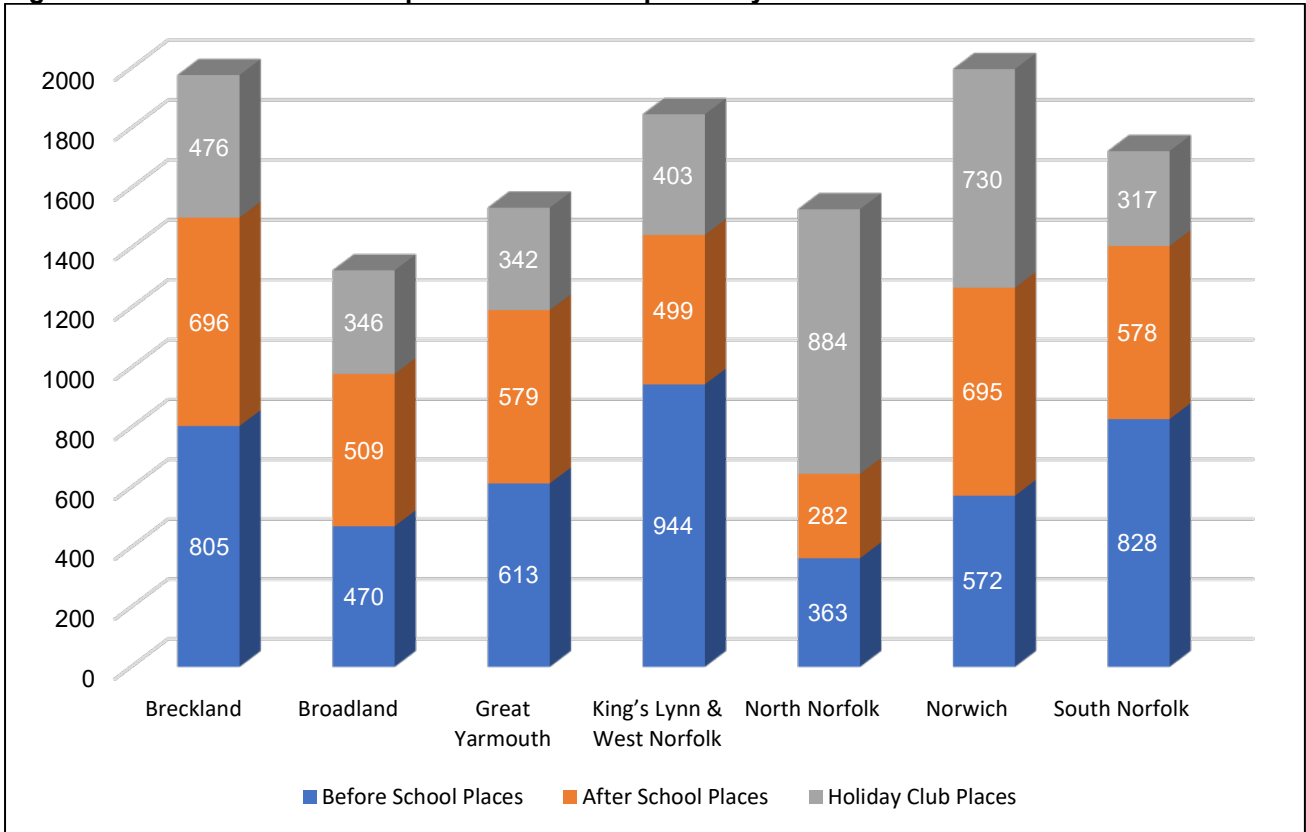
13.3 Norfolk's Virtual School, Looked After Children, Adoption and Special Guardianship Order Team is liaising closely with social workers and foster carers to promote the importance of accessing pre-school provision however it is acknowledged that childcare provision may not be suitable for all looked after young children.

13.4 From September 2018 some children in foster care have been able to be funded for the extended entitlement. In Norfolk, 10 children were funded under this criterion from 1<sup>st</sup> January to 31<sup>st</sup> August 2019

## 14. Childcare for children over 5

- 14.1 Out of School childcare includes Breakfast clubs, After School clubs and Holiday Playschemes. This form of childcare can operate either on or off a school site and may be run by the school directly or by Private, Voluntary or Independent partners (PVI).
- 14.2 In addition, many schools provide extra-curricular after school activities such as sports clubs, gardening clubs, film clubs etc. Although these may not be formally classed as childcare they still provide a safe learning environment for children whilst parents/carers are at work or studying. However, these types of clubs may not operate consistently throughout the school year or may vary from term to term and are often only an hour in duration.
- 14.3 It is recognised that good quality Out of School childcare has a positive effect upon children's outcomes. Research has shown that this type of good quality childcare can improve a child's behavioural, social and emotional skills as well as impacting upon academic performance. Children from disadvantaged backgrounds that attended After School Clubs on average achieve a two points higher score in their Key Stage 2 assessment in English, Math's and Science than those who did not take part in After School clubs. (Wraparound and holiday childcare, Parent and childcare provider 'rights to request', Guidance for local authority maintained schools, academies and free schools, May 2016, p5, paragraphs 12 – 14)  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/525135/Rights\\_to\\_request\\_guidance.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/525135/Rights_to_request_guidance.pdf)
- 14.4 Dependent upon specific criteria, not all Wraparound provision has to be Ofsted registered and there is no legal requirement to inform the local authority of operation. A provider who only delivers to children age eight or over, or who does not operate for more than two hours a day or provides two activities or less is not legally required to register with Ofsted. A setting may however, choose to join the voluntary part of the childcare register to allow parents to claim childcare vouchers. In addition, providers do not have to meet specified child/adult ratios if they are caring solely for children over the age of eight.
- 14.5 It is, therefore, difficult to determine the exact number of places. Many non-registered holiday activities are run by local leisure centres or sport centres which may also not be represented in the figures. Figure 31 shows the numbers of places reportedly available by all registered providers in Norfolk, by district.
- 14.6 It should be noted that demand for childcare will be significantly lower for young people of secondary school age (11 years and over) as many parents/carers feel their children are independent enough to not require childcare outside of school hours. Therefore, when calculating the number of places, the calculation has only considered the number of children in school aged 4 – 11 and 11 years plus with a disability.

**Figure 29. Total number of Wraparound childcare places by district**



NCC Synergy Education Live July 2019

- 14.7 Figure 29 shows the number of Wraparound childcare places across Norfolk is approximately 11,931. Norfolk has 96,552 children and young people aged 4 – 14 and children with disabilities aged 15 – 18 years, giving an overall figure of approximately 12 childcare places for every 100 children/young people.
- 14.8 Norwich has the highest number of wraparound childcare places across all Out of School provision than all other districts whilst Broadland has the fewest. Where provision in the maintained sector (schools) is high the PVI sector is generally low.
- 14.9 75% of breakfast clubs are run by schools in both the primary and secondary phase. 43% of private, voluntary or independent breakfast clubs are located on school sites. School sites account for 86% of the breakfast clubs offered to parents in Norfolk.
- 14.10 19% of after school clubs are run by schools in both the primary and secondary phase. 43% of private, voluntary or independent after school clubs are located on school sites. School sites account for 76% of the after school clubs offered to parents in Norfolk. This data refers only to Ofsted registered childcare provision and does not consider extra-curricular after school activities such as gardening clubs, film clubs etc. which many schools also run after the end of the school day.
- 14.11 21% of holiday playschemes are run by schools in both the primary and secondary phase. 26% of private, voluntary or independent holiday playschemes are located on school sites. School sites account for 42% of the Holiday Playschemes offered to parents in Norfolk.

14.12 In 2016 parents were given the ‘right to request’ that their child’s school should consider establishing wraparound childcare or allowing PVI providers to use the school facilities to deliver childcare at times when the school is not using them. Whilst it is not compulsory to offer wraparound childcare at parental request, schools should not refuse a request without reasonable justification.

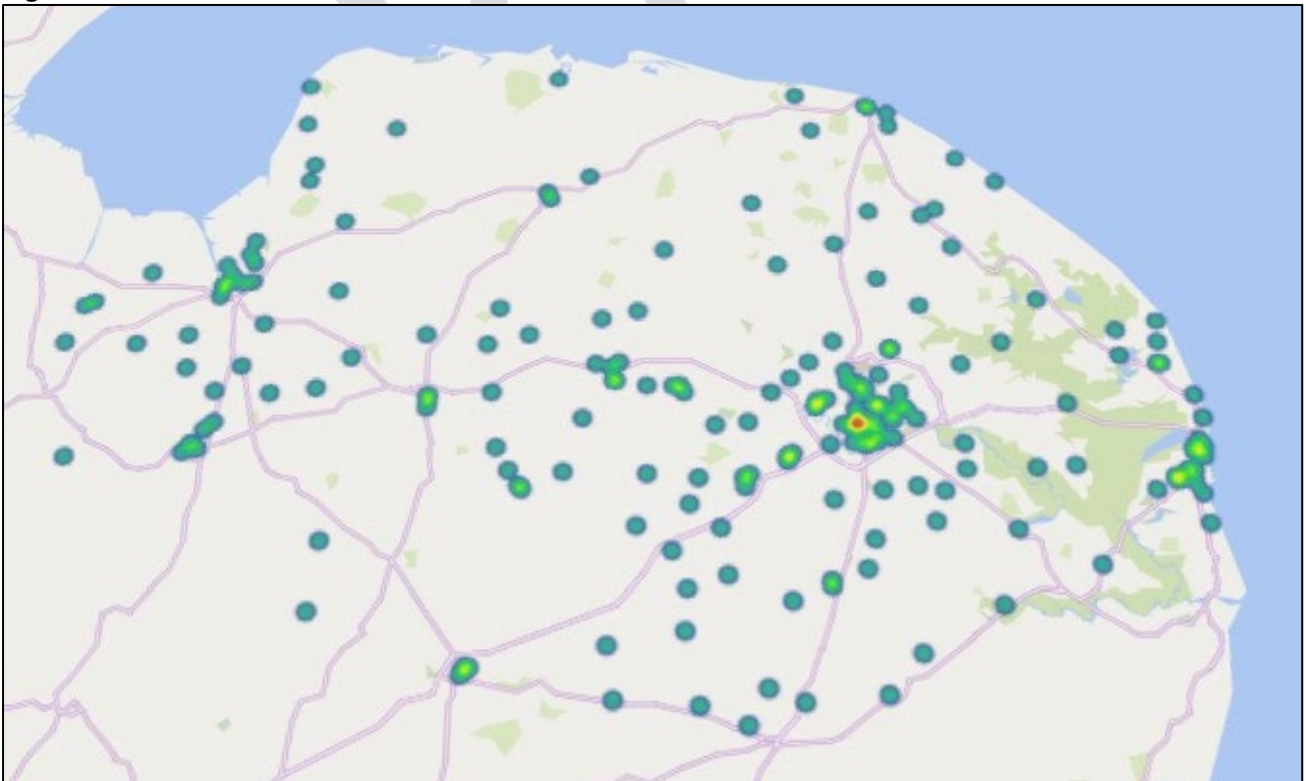
14.13 Figure 30 shows the current average costs of Out of School care for district and for the county.

**Figure 30. Average costs for Out of School childcare by provider type and district**

District	Breakfast Club Session (cost per session)	After School Session (cost per session)	Holiday Playscheme (cost per day)
Breckland	£3.43	£8.16	£26.36
Broadland	£3.38	£7.49	£23.11
Great Yarmouth	£2.57	£6.37	£28.70
King’s Lynn & West Norfolk	£2.59	£8.19	£32.87
North Norfolk	£3.00	£7.52	£26.12
Norwich	£2.29	£7.40	£27.33
South Norfolk	£3.58	£9.63	£26.11
<b>Norfolk average</b>	<b>£2.98</b>	<b>£7.82</b>	<b>£27.23</b>

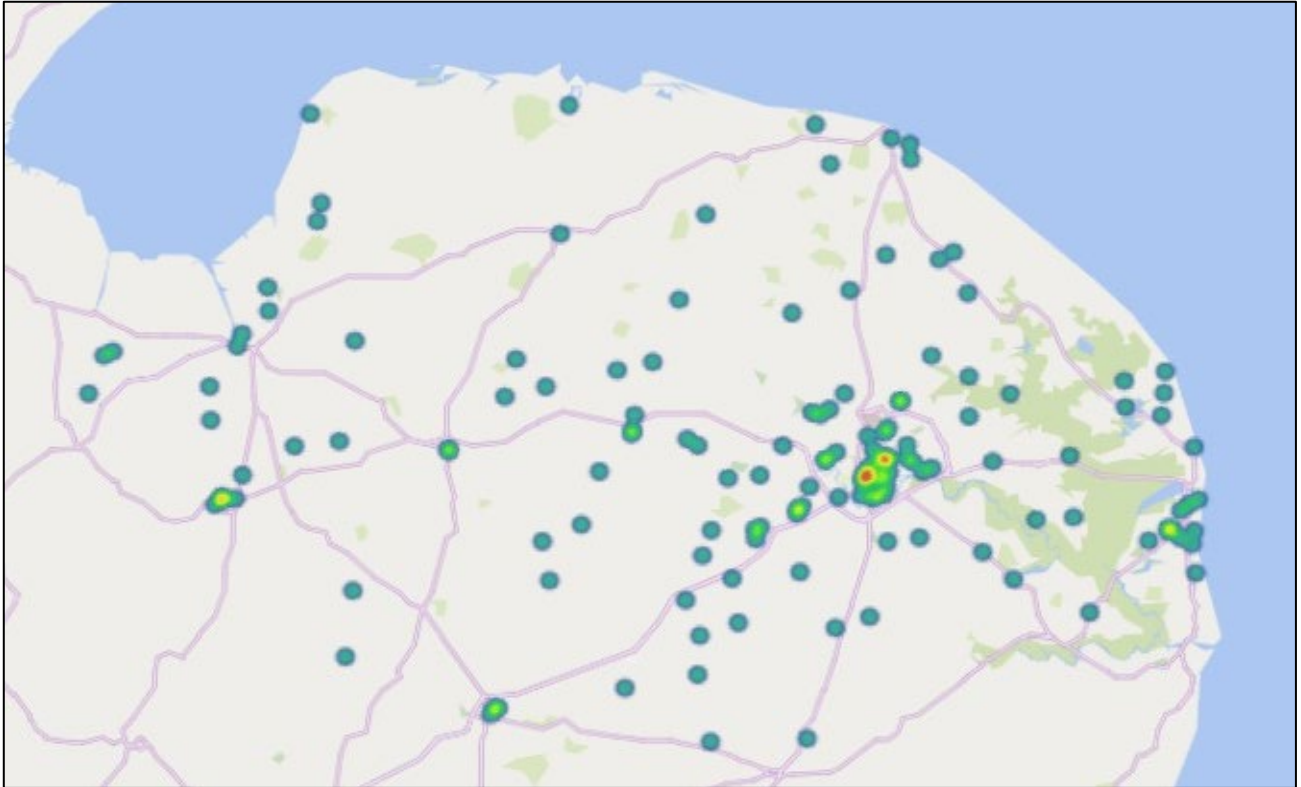
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**Figure 31. Location of Breakfast Clubs**



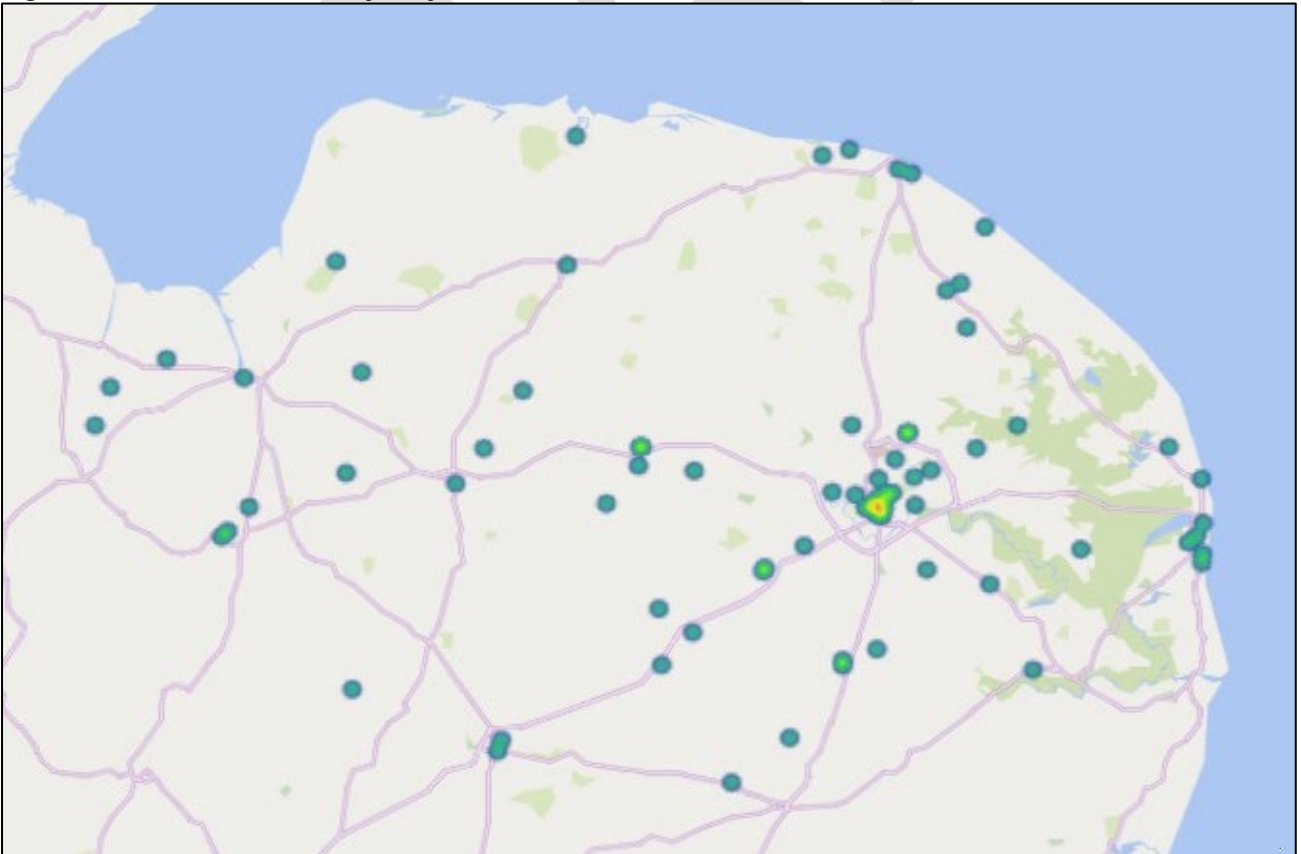
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**Figure 32. Location of After School Clubs**



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**Figure 33. Location of Holiday Playschemes**



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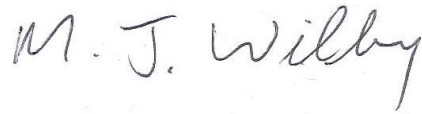


## Norfolk County Council

### Record of Individual Cabinet Member Decision

<b>Responsible Cabinet Member: Councillor Martin Wilby (Cabinet Member for Highways, Transport and Infrastructure)</b>	
<b>Background and Purpose:</b> Implementation of speed management measures, including a School 20 mph Part Time Speed Limit on Quebec Road and introduce a 40 mph buffer speed limit extending northwards along the B1146 for the safety of students.	
<b>Decision:</b>  To implement the speed management measures as proposed in THE NORFOLK COUNTY COUNCIL (DEREHAM AND HOE AND WORTHING, VARIOUS ROADS) (20MPH AND 40MPH SPEED LIMITS) ORDER 2019.	
<b>Is it a key decision?</b>	<b>No</b>
<b>Is it subject to call in? If Yes – Deadline for Call in</b>	<b>Yes</b>  <b>Date: 12 November 2019</b>
<b>Impact of the Decision:</b> Traffic speeds will be reduced on Quebec Road improving the safety of vulnerable road users.	
<b>Evidence and reason for the decision:</b> As set out in the attached report.	
<b>Alternative options considered and rejected:</b> As set out in the attached report.	
<b>Financial, Resource or other implications considered:</b> As set out in the attached report.	
<b>Record of any conflict of interest:</b>  None	
<b>Background Documents:</b> <ul style="list-style-type: none"> <li>Appendix A – Traffic Regulation Order and Plan</li> </ul>	
<b>Date of Decision:</b>	<b>01.11.2019</b>
<b>Publication date of decision:</b>	<b>5 November 2019</b>
<b>Signed by Cabinet member:</b>	

I confirm that I have made the decision set out above, for the reasons also set out



**Signed:**

**Print name: Cllr Martin Wilby**

**Date: 1 November 2019.**

**Accompanying Documents:**

- **Report - THE NORFOLK COUNTY COUNCIL (DEREHAM AND HOE AND WORTHING, VARIOUS ROADS)**

## Individual Cabinet Member Decision

<b>Decision making report title:</b>	<b>THE NORFOLK COUNTY COUNCIL (DEREHAM AND HOE AND WORTHING, VARIOUS ROADS) )20MPH AND 40MPH SPEED LIMITS) ORDER 2019</b>
<b>Date of Report:</b>	<b>23 October 2019</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Martin Wilby (Cabinet Member for Highways, Transport and Infrastructure)</b>
<b>Responsible Director:</b>	<b>Tom McCabe – Executive director, Community &amp; Environmental Services</b>
<b>Is this a key decision?</b>	<b>No</b>

### **Introduction from Cabinet Member**

A pedestrian crossing assessment was carried out in February 2019 at the request of Local Member Will Richmond due to parents concerns for the safety of students attending Northgate High School. The assessment recommended the introduction of speed management measures on Quebec Road in Dereham to lower traffic speeds. These measures have been promoted through advertised orders and are supported by Cllr Bill Borrett. Reduced speeds on Quebec Road will improve safety for vulnerable road users.

### **Executive Summary**

- Request received from Cllr Will Richmond to improve safety for students attending Northgate School.
- Norfolk County council promoting the introduction of speed management on Quebec Road to improve safety for vulnerable road users. Measures are to introduce a part time 20mph speed limit at the school and a 40mph buffer zone extending northwards along B1146.
- 1 objection received challenging the 40mph buffer zone due to potential non-compliance of drivers.
- NCC safety officer is satisfied that this section of B1146 supports a 40mph speed limit in line with criteria stated in Norfolk’s Speed Management Strategy and the extents of the 40mph zone are supported by Norfolk Constabulary.
- No alternative options available.

### **Recommendations**

1. To implement the proposals as advertised.

## **1. Background and Purpose**

- 1.1. Norfolk County Council promoted the implementation of speed management measures, including a School 20-mph Part Time Speed Limit on Quebec Road and introduce a 40-mph buffer speed limit extending northwards along the B1146.
- 1.2. This proposal was on behalf of Local Member Will Richmond due to parents concerned for the safety of 160+ students taking short cut to school and crossing into rear of school field. Two road accidents (1 serious, 1 slight) in 6 years (Sep 2012 – Aug 2018) occurred within 50m of the crossing point.
- 1.3. The proposals received support from the Police, Breckland District Council and Local Member Cllr Will Richmond and were advertised to the public between 16/08/19 and 10/09/19.

## **2. Proposals**

- 2.1. The following proposals were suggested:

- *40mph buffer speed limit extending northwards along the B1146.*
- *Enhanced conspicuity of the eastern 30mph entry sign through minor re-siting or use of a cranked pole;*
- *Introduction of a School 20mph Part Time Speed Limit.*
- *Side out encroached footways in the vicinity of the crossing point.*
- *Cut back branches from around street lighting to improve night time conspicuity of the crossing point.*
- *two yellow backed chevron signs at Gingerbread Corner.*

- 2.2. Please refer to Appendix A for advertised order and plan

## **3. Impact of the Proposal**

- 3.1. The proposal advertised between 16/08/19 and 10/09/19 received one letter of objection. Objection was due to the extent of 40 mph buffer speed limit. Please see comments in section 4 below with Officer comments.

## **4. Evidence and Reasons for Decision**

- 4.1. Comment received:

*My objection is to the second part of Schedule 2, the imposition of a 40mph speed limit on the B1146 Holt Road from its junction with Gressenhall Road northwards for 708 metres. This section of road is entirely rural and, except for Brick Kiln Farm, has no frontage access. Forward visibility is generally good, so there can be no justification for lowering the speed limit below the national limit of 60mph. While I do not have access to any speed survey data, I expect that most drivers travel along this section in the 50-60mph range. A 40mph limit could be expected, therefore, to lead to substantial non-compliance without significant police enforcement. It could also create new dangers, as those drivers observing the limit could cause frustration in others following them, leading to increased overtaking.*

*It must be remembered that this section of the B1146 is the main route northwards from Dereham to Holt and Fakenham, so its primary function is to carry interurban traffic. Its ability to do this should not be compromised by unnecessary restrictions.*

*As a retired highway, traffic and road safety engineer, I know that speed limits must be set at levels seen as reasonable by the majority of drivers, otherwise they fall into disrepute and can cause more danger, not less. I urge the council, therefore, to reject the second part of Schedule 2 and terminate the proposed 40mph speed limit at the junction with Gressenhall Road.*

4.2. Officer response:

*The proposed 40mph speed limit is intended to reduce the speed of traffic on approach to the town of Dereham, in particular the sub-standard 90 degree bend at 'Gingerbread Cottage' which has been the location of several damage only road incidents. This section of B1146 also has a long length of footway, scattered development and includes a pedestrian access to Northgate High School. We are therefore satisfied that this section of B1146 supports a 40mph speed limit in line with criteria stated in Norfolk's Speed Management Strategy.*

*North of Gingerbread Cottage B1146 is more rural, although development is present 350m to the north at Brick Kiln's Farm where personal injury accidents have been recorded by Norfolk Constabulary. Whilst the environment here is more suited to 50mph limit we would face a difficult choice about where to terminate this and having only a short length of 50mph prior to the 40mph section to the south would be confusing for drivers. It was therefore decided to continue the 40mph speed limit to just north of Brick Kilns Farm; an approach supported by Norfolk Constabulary.*

4.3. Following the officer response, the member of public refused to withdraw the objection and sent the following reply:

*Thank you for your email and explanation, however I am not convinced and will not withdraw my objection, which I trust will be reported to the committee in due course.*

**5. Alternative Options**

- 5.1. Not to implement the proposal as advertised and retain the current arrangement.

**6. Financial Implications**

- 6.1. None

**7. Resource Implications**

- 7.1. **Staff:**

None

7.2. **Property:**

None

7.3. **IT:**

None

**8. Other Implications**

8.1. **Legal Implications**

None

8.2. **Human Rights implications**

None

8.3. **Equality Impact Assessment (EqIA) (this must be included)**

Norfolk County Council has a duty to pay due regard to equality when exercising its public functions. In making this TRO, we have considered the potential impact on local people, particularly disabled and older people and parents and carers of children, and others who may have particular needs when using the highways.

Public consultation on the TRO has taken place, to enable people to highlight any issues it is important for NCC to be aware of before a decision is made.

8.4. **Health and Safety implications (where appropriate)**

None

8.5. **Sustainability implications (where appropriate)**

None

8.6. **Any other implications**

N/A

**9. Risk Implications/Assessment**

9.1. N/A

**10. Select Committee comments**

10.1. N/A

**11. Recommendations**

11.1. 1. To Implement the proposals as advertised.

**12. Background Papers**

12.1. Appendix A - Advertised Order and Plan

## **Officer Contact**

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

**Officer name:** Alex Lo

**Tel No.:** 01603 819857

**Email address:** [alex.lo@norfolk.gov.uk](mailto:alex.lo@norfolk.gov.uk)



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

**THE NORFOLK COUNTY COUNCIL  
(DEREHAM AND HOE AND WORTHING, VARIOUS ROADS)  
(20 M.P.H. AND 40 M.P.H. SPEED LIMITS) ORDER 2019**

The Norfolk County Council proposes to make an Order under the Road Traffic Regulation Act, 1984, the effect of which will be to prohibit any vehicle from exceeding – 1) 20 miles per hour along the lengths of road specified in Schedule 1 below; and 2) 40 miles per hour in Schedule 2 below.

A copy of the Order and plan may be inspected at Norfolk County Council, County Hall, Norwich, and at the offices of Breckland District Council, Elizabeth House, Walpole Loke, Dereham during normal office hours.

Any objections and representations relating to the Order must be made in writing and must specify the grounds on which they are made. All correspondence for these proposals must be received at the office of nplaw, Norfolk County Council, County Hall, Martineau Lane, Norwich, NR1 2DH, marked for the attention of Mrs Simmons by 10<sup>th</sup> September 2019. They may also be emailed to [trafficorders@norfolk.gov.uk](mailto:trafficorders@norfolk.gov.uk).

The officer dealing with public enquiries concerning the proposal is Alex Lo, telephone 01603 223977.

SCHEDULE 1  
In the Town of Dereham

Proposed 20mph Speed Limit

B1146 Quebec Road	-	From a point 28 metres north from its junction with the U32117/10 Chase Court northwards for a distance of 254 metres.
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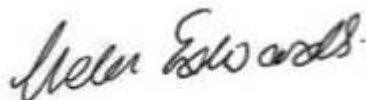
SCHEDULE 2

In the Town of Dereham and Parish of Hoe and Worthing

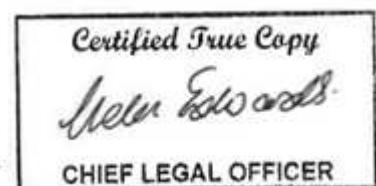
Proposed 40mph Speed Limit

B1146 Quebec Road	-	From a point 85 metres north from its junction with 30189/10 De Narde Road north-westwards for a distance of 530 metres.
B1146 Holt Road	-	From its junction with C225/2 Gressenhall Road in the Town of Dereham northwards for a distance of 708 metres into the Parish of Hoe and Worthing.

DATED this 16<sup>th</sup> day of August 2019



Helen Edwards  
Chief Legal Officer

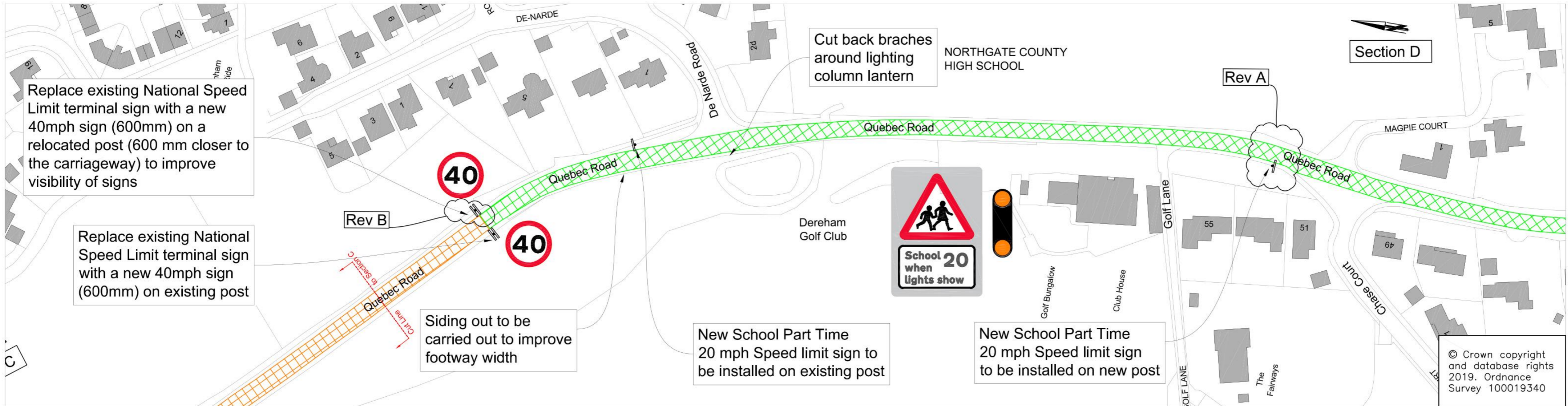
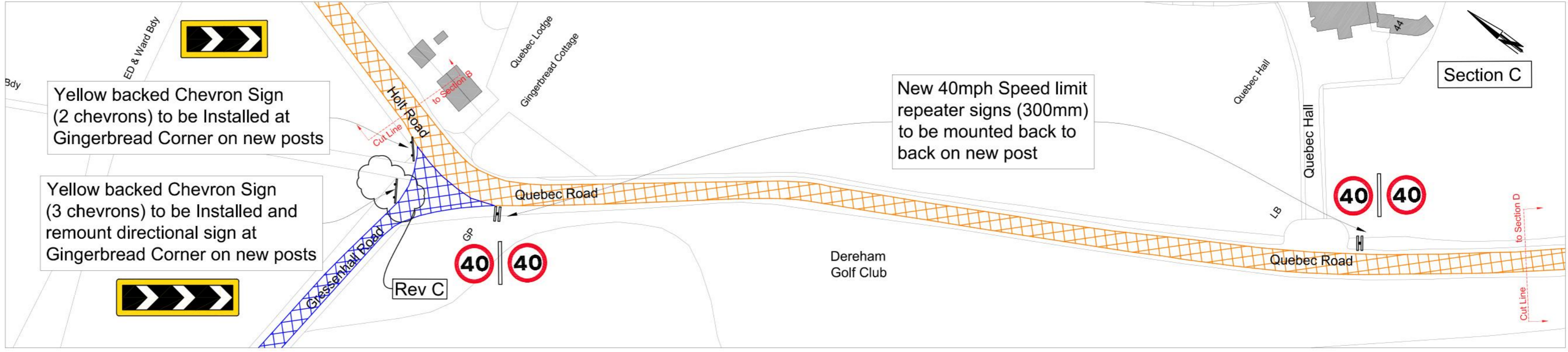
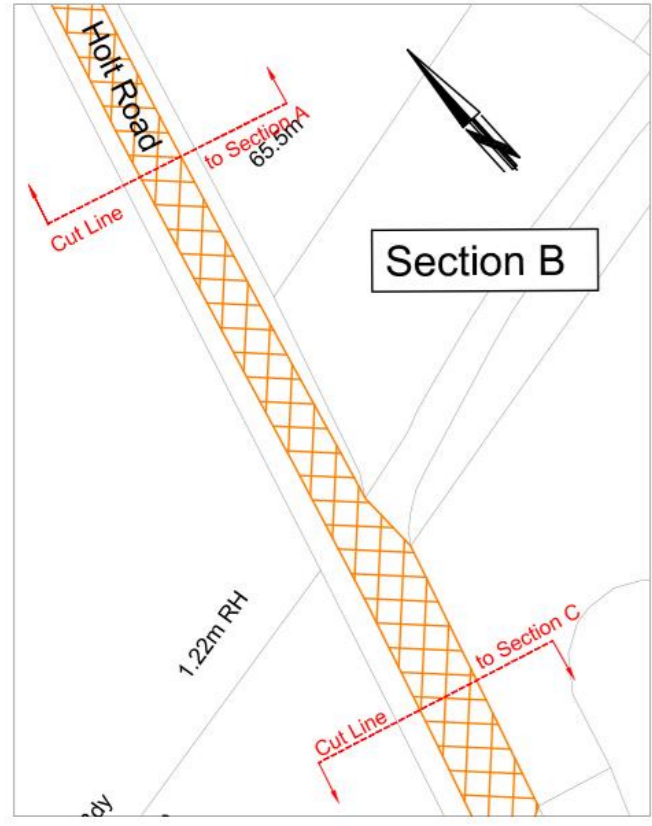
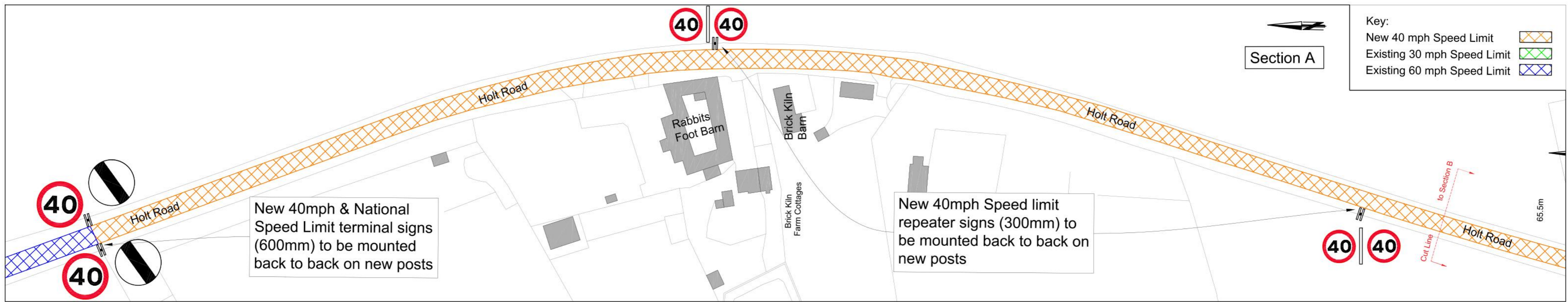


County Hall  
Martineau Lane  
Norwich  
NR1 2DH



Note: Information you send to the Council will be used for any purpose connected with the making or confirming of these Orders and will be held as long as reasonably necessary for those purposes. It may also be released to others in response to freedom of information requests.

HKS/61516(Dereham&Hoe&WorthingPHA020-20&40mphNotice1)19

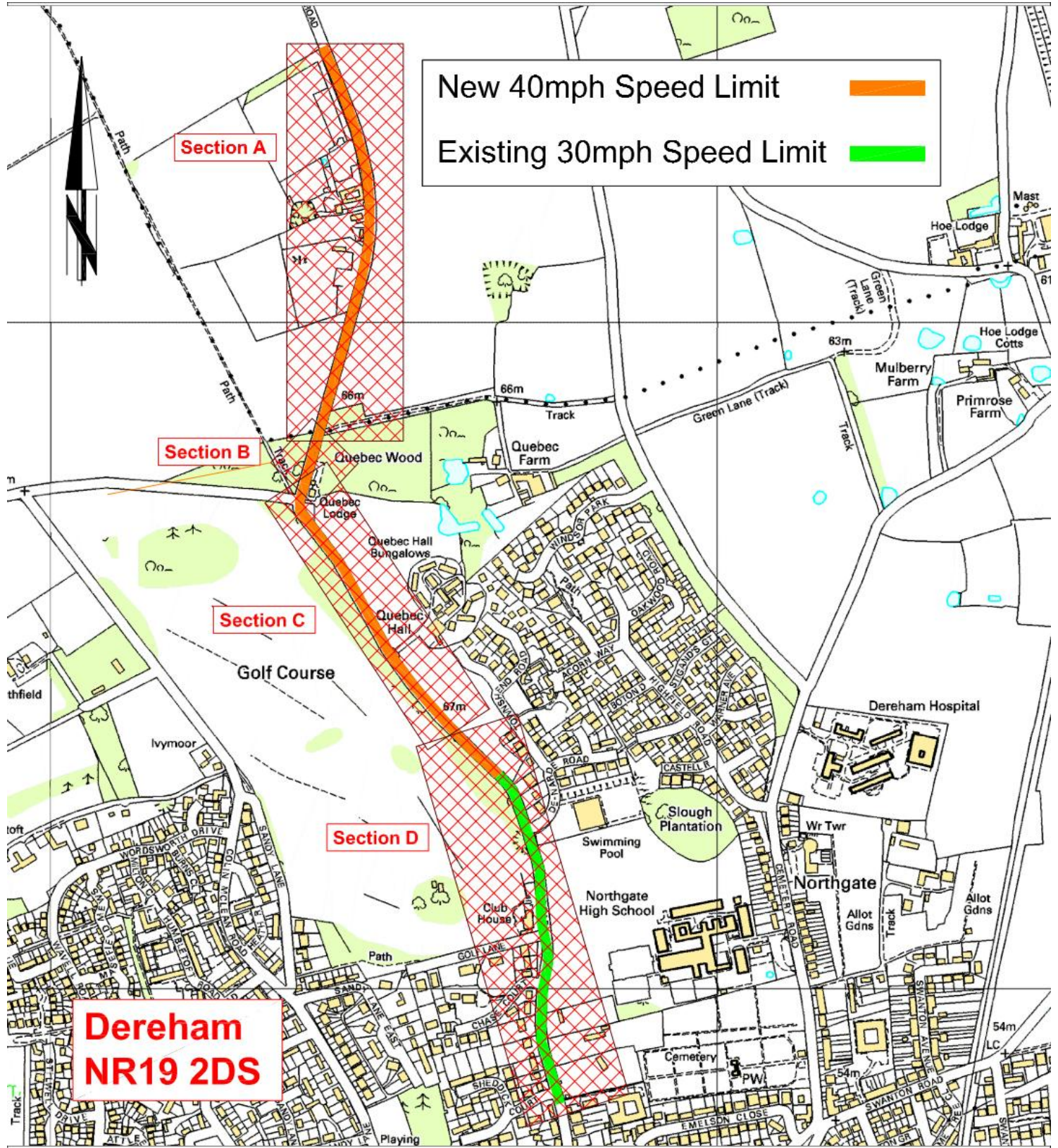


Key:

- New 40 mph Speed Limit
- Existing 30 mph Speed Limit
- Existing 60 mph Speed Limit

REV.	DESCRIPTION	DRAWN BY	CHECKED	DATE
A	Relocate southern side 20 mph part time sign to include Golf Lane	AL	JQ	06/19
B	Sign to be mounted on relocated post instead of cranked post	AL	DG	08/19
C	Chevron Sign to be installed on new posts	AL	DG	08/19

INITIALS	DATE	DRAWING No.
SURVEYED BY OS	05/19	PHA020-000-001
DESIGNED BY AL	05/19	PROJECT TITLE
DRAWN BY AL	05/19	Dereham & Hoe - Quebec Road Speed Management Design and Construction
CHECKED BY JQ	05/19	SCALE 1:1000 @ A2



New 40mph Speed Limit █  
 Existing 30mph Speed Limit █

**Dereham  
NR19 2DS**

 **Norfolk** County Council

DRAWING TITLE  
**Dereham and Hoe:  
 B1146 40mph and part time 20 mph Speed Limit**

**Tom McCabe**  
 Executive Director of  
 Community and Environmental Services  
 Norfolk County Council  
 County Hall  
 Martineau Lane  
 Norwich NR1 2SG

REV.	DESCRIPTION	DRAWN	CHECKED	DATE

INIT.	DATE	DRAWING No.
SURVEYED BY OS	05/19	PHA020-HD2-000-002
DESIGNED BY AL	05/19	PROJECT TITLE
DRAWN BY AL	05/19	Dereham & Hoe - Quebec Road Speed Management Design and Construction
CHECKED BY JQ	05/19	SCALE 1:800 @ A1
		FILE No. PHA020