

Corporate Affairs Overview & Scrutiny Panel

Date: **Wednesday 22 July 2009**
Time: **10.00am**
Venue: **Edwards Room, County Hall, Norwich**

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

Membership

Mr M Brindle	Mr C Jordan
Mr J Carswell	Mr M Langwade
Mr S Clancy	Ms J Mickleburgh
Mrs D Clarke	Mr A Proctor
Mr B Collins	Mr R Smith
Mr J Dobson	Ms J Toms
Mr S Dorrington	Mrs C Walker
Mr R Hanton	Mr A White
Mr M Hemsley	

Non Voting Cabinet Members

Mr A Williams	Corporate and Commercial Services
Mrs J Chamberlin	Performance and Partnerships

Deputy Cabinet Members (Non Voting)

Mr J Herbert
Mr B Borrett

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

Vanessa Dobson on 01603 223029
or email vanessa.dobson@norfolk.gov.uk

A g e n d a

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

2. **Election of the Chairman**

3. **Election of the Vice Chairman**

4. **Minutes**

To confirm the minutes of the meeting held on Wednesday 18 March 2009

(Page **1**)

5. **Members to Declare any Interests**

Please indicate whether the interest is a personal one only or one which is prejudicial. A declaration of a personal interest should indicate the nature of the interest and the agenda item to which it relates. In the case of a personal interest, the member may speak and vote on the matter. Please note that if you are exempt from declaring a personal interest because it arises solely from your position on a body to which you were nominated by the County Council or a body exercising functions of a public nature (e.g. another local authority), you need only declare your interest if and when you intend to speak on a matter. If a prejudicial interest is declared, the member should withdraw from the room whilst the matter is discussed unless members of the public are allowed to make representations, give evidence or answer questions about the matter, in which case you may attend the meeting for that purpose. You must immediately leave the room when you have finished or the meeting decides you have finished, if earlier.

These declarations apply to all those members present, whether the member is part of the meeting, attending to speak as a local member on an item or simply observing the meeting from the public seating area.

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

7. **Public Question Time**

15 minutes for questions from members of the public of which due notice has been given.

Please note that all questions must be received by 10am on Friday 17 July 2009. Please submit your question(s) to the person named on the front of this agenda. For guidance on submitting public questions, please view the Council Constitution, Appendix 10, Council Procedure Rules at www.norfolk.gov.uk/reviewpanelquestions

8. **Local Member Issues/Member Questions**

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

Please note that all questions must be received by 10am on Friday 17 July 2009. Please submit your question(s) to the person named on the front of this agenda.

9. **Cabinet Member Feedback on Previous Overview & Scrutiny Panel Comments (if any)**

Items for Scrutiny

10. **'Norfolk People Feel They Can Influence Things'** (Page **17**)
Report by the Director of Corporate Resources which provides Members with the Terms of Reference for this new scrutiny topic
11. **Forward Work Programme: Scrutiny** (Page **21**)
Report by the Director of Corporate Resources which summarises the Scrutiny Work programme and updates on progress made

Items for Overview

12. **Corporate Procurement Unit Annual Report** (Page **26**)
Report which provides an overview of achievements and activities completed by the Corporate Procurement Unit
13. **Performance & Resources Monitoring Report** (Page **51**)
Report by the Director of Corporate Resources which includes integrated performance and financial monitoring for the year-end 2008/09
14. **Efficiency Savings Programme** (Page **67**)
Report from the Director of Corporate Resources which provides a review of progress against the Council's 2009-2010 efficiency targets
15. **Risk Management within Norfolk County Council and the Departments of Chief Executive and Corporate Finance** (Page **81**)
Report by the Chief Executive, Director of Corporate Resources and Cultural Services, and the Head of Corporate Finance which provides an update on the approach being undertaken to formally manage risk within the services covered by the Panel, as well as corporately across the Authority
16. **Corporate Health & Safety Annual Report 2008/2009** (Page **94**)
Report by the Corporate Health & Safety Manager which provides an overview of the activities of health and safety advisers during 2008/09, along with an overview of NCC's health and safety performance
17. **Norfolk County Council Workforce Profile** (Page **121**)
Report by the Head of Human Resources and Organisational Development which provides a summary of the key performance information and statistics about staff employed by NCC for the financial year 2008/09

18. **Sickness Absence**

Report by the Director of Corporate Resources which provides Members with information in regards to the suggested new scrutiny topic looking at sickness absence

(Page **160**)

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

	Group Meetings	
Conservative	9.00am	Mezzanine 3
Green Party	9.00am	Room 532
Liberal Democrats	9.00am	Room 504

Chris Walton
Head of Democratic Services

County Hall
Martineau Lane
Norwich
NR1 2DH

Date Agenda Published: 14 July 2009



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Corporate Affairs Overview & Scrutiny Panel

Minutes of the Meeting Held on 18 March 2009

Present:

Mr A Adams	Mr C Jordan (Chairman)
Mr J Baskerville	Mr P Morse
Mr J Collop	Mr J Pitt-Pladdy
Mrs I Floering Blackman	Mr T Tomkinson
Mr P Hacon	Ms J Virgo
Mr P Harwood	Mr A White
Mrs S Hutson	

Substitute Members Present:

Mr C Joyce

Cabinet Members Present:

Mr H Humphrey Human Resources, Finance, Property and Corporate Affairs

Also Present:

Mr W Nunn The Leader of Breckland District Council (BDC)
Mr T Holden The Chief Executive of BDC

1. Apologies

Apologies were received from Mrs B Lashley (Mr C Joyce substituted), Mr C Hull, Mr M Wright, Mr S Dorrington and Mr A Williams.

Mr J Gretton also sent his apologies with regard to Item 8 'Breckland Local Strategic Partnership'.

2. Minutes

The minutes of the meeting held on 21 January 2009 were agreed as a correct record and signed by the Chairman.

3. Declarations of Interest

There were no declarations of interest.

4. Matters of Urgent Business

There were no matters of urgent business.

5. Public Question Time

There were no public questions.

6. Local Member Issues

There were no local member issues.

7. Cabinet Member Feedback on Previous Review Panel Comments

There was no Cabinet Member Feedback.

8. Breckland Local Strategic Partnership

- 8.1 The Panel received and considered the annexed report (8) which provided members with the results of the questionnaire looking at the Breckland Local Strategic Partnership (LSP).
- 8.2 The Chairman welcomed Breckland District Council's Leader, Mr W Nunn, and Chief Executive, Mr T Holden, to the meeting. Mr Nunn and Mr Holden gave a presentation on the Breckland LSP (attached as Appendix A).
- 8.3 During a discussion subsequent to the presentation, the following points were noted:
 - The value of LSPs is that they are able to deliver what the County or its partners cannot deliver on their own. Partnerships should be an alliance of the willing to collectively deliver – they must have shared outcomes from a shared agenda.
 - Mr Holden said that whilst second homes money was a useful adjunct, it was only useful if projects could be delivered on the ground and BDC, along with partners, had delivered at a local level. Next year consideration would be given to a range of targets to build on sustainable communities.
 - With regard to the current funding of £900,000 for the Thetford Healthy Towns, Mr Holden said that the matched funding of £900,000 required would come from a variety of sources such as the hours delivered through the partners and growth point funding etc. The Healthy Towns funding was a discrete amount of money for Thetford and it is concerned with delivering things that make a difference – some of which will be delivered under the PCT and will be communicated through the PCT; the LSP is made stronger by the fact that partner organisations deliver on the ground.
 - Mr Nunn said that some projects shared targets and there was collective working to deliver projects, but the concept of collective targets without clear ownership and accountability should be avoided.
 - It was noted that one priority area identified by BDC was 'improving homes' and Mr Holden said that the question to be asked was whether this was worth doing around partnerships or whether other partners who are not part of the LSP would be better placed to undertake this work.
 - The question was asked how members could be made aware of what was happening within the LSPs and whether there were mechanisms in place to report back the outcomes of LSP projects to Members and the public. Mr Nunn said that the Breckland LSP provided a forum to enable partners to deliver and it did have member involvement within the forums. The forums

ensure that the LSP and its partners are delivering and the minutes were available to anyone to view. Mr Holden confirmed that the Breckland LSP did engage with the public and in terms of the Governance arrangements, these were completely consistent with what they should be.

- Mr Holden said that the statutory guidance for LSPs was not prescriptive around what an LSP should look like and the relationship between the LSPs would be different – the statutory guidance allowed for this to happen. The LSPs were independent and where there was a cascading of targets this would happen by a process of agreement. Norfolk County Council (NCC) could not enforce a prescriptive model for LSPs in Norfolk. Statutory guidance was quite clear regarding funding – the Breckland LSP is not a statutory body and therefore BDC remains the accountable body for those elements of funding it provided, equally other accountable bodies equally retained this responsibility with regards to its funding committed to the LSP .
- Mr Nunn advised that BDC had allocated £200,000 to the Breckland LSP because they had recognised that there were targets that would be better delivered through a wider partnership and BDC hoped to act as a catalyst for projects to be delivered so that agreed political targets would be met. This money, along with money from other partners was used to deliver collective targets.
- It was suggested that elected members should be involved in LSPs rather than officers. Mr Holden said that at some point there had to be an interface between members and officers to deliver. Partners such as the PCT, voluntary sector and the Police also come together to hear from Members what they wished to happen. BDC is a member-led authority and by bringing partners together the Council is able to deliver more than the sum of the individual parts.

8.4 The Chairman expressed his thanks to the Chief Executive and Leader of BDC, on behalf of the Panel. The Chief Executive and Leader of BDC then left the meeting.

Resolved:

8.5 The Panel confirmed that the scrutiny of the Breckland LSP was now complete and whilst agreeing in principle that the next partnership to undergo the scrutiny process should be the Broadland Alliance LSP, they agreed that this decision should be deferred until after the next meeting which would follow the County Council elections. The Panel requested that the next scrutiny report should include less papers and a minimum of 12pt font size.

9. Norfolk People Feel They Can Influence Things

9.1 The Panel received and considered the annexed report and Terms of Reference (9) by the Director of Corporate Resources.

9.2 Members noted that the Cabinet Scrutiny Committee had requested the CAO&S Panel include this scrutiny topic on its forward work programme.

Resolved:

- 9.3 The Panel considered the report and Terms of Reference for the 'Norfolk people feel they can influence things' scrutiny and agreed that these should be deferred until the next meeting of the Panel which would follow the June County Council elections.

10. Efficiency Savings Programme

- 10.1 Members received the annexed report (10) by the Director of Corporate Resources which provided a progress review of the Efficiency Programme and achievement against the Council's 2009-2009 efficiency targets.
- 10.2 Members heard that the North Elmham integration pilot was going well but there had been problems with reconciling baseline data.
- 10.3 Members were advised that the informal Member Steering Group met regularly and if the Group did not remain informal then County Council rules would apply which would mean the Group would have to be proportionally represented. It was suggested that the informal Member Steering Group should be renamed the Leaders Efficiency Steering Group.
- 10.4 The increased energy costs during 2008 had reduced substantially since January 2009 and it was suggested that the report should indicate this reduction.
- 10.5 It was noted that the savings target of £382,852 appeared to relate to school transport whilst the Home to School Transport efficiency savings showed a forecast of £250,000. It was further noted that there appeared to be no fleet savings. The question of whether 14 – 19 year old delivery was being factored into these transport savings as some children were being offered taxis to attend schools as part of the school admissions procedures. The Head of Efficiency agreed to provide further information concerning these queries.

Resolved:

- 10.6 To note the progress of the Council against its efficiency targets as set out in the report.

11. Planning, Performance & Resources Monitoring Report

- 11.1 Members received the annexed report (11) by the Director of Corporate Resources which included an update of planning and performance issues.
- 11.2 Members were advised that the score for the value of orders processed through iProc should show a red triangle.
- 11.3 It was noted that there had been a refresh of the sickness absence figures for the third quarter and this now showed an average of 6.67 average numbers of days employee sickness rather than 6.05. However, this is not a deteriorating picture.

Resolved:

- 11.4 To note the report and agree that no actions needed to be taken.

12. Forward Work Programme: Scrutiny

- 12.1 Members considered the outline programme for scrutiny.
- 12.2 It was suggested that there needed to be a refocus of scrutiny items to be considered by this Panel following the County Council elections and that the 'Effective Use of County Buildings' should be considered again by the Panel following the outcome of the LGR as well as continually being reviewed by NPS. Members noted that NPS had found the review very useful and would continue the process of review on an area and service basis.
- 12.3 As part of the refocus of scrutiny items consideration could also be given to removing those scrutiny reports received by the Panel on a regular basis and placing them in the overview section.

13. Corporate Property Asset Management Plan

- 13.1 Members received and considered the annexed report (13) by the Cabinet Member for Human Resources, Finance, Property and Corporate Affairs and the Managing Director of NPS Property Consultants Ltd which provided a summary of key findings and future actions to be undertaken in the context of the NCC property estate.
- 13.2 With reference to the rationalisation of office accommodation in King's Lynn and the move to Priory House, members heard that Cabinet had approved the acquisition of Priory House and it would be available from September. This would enable a rationalisation of County Council properties in King's Lynn.
- 13.3 Members suggested the following amendments to the report:
- that the initiatives 'Rationalise office accommodation in King's Lynn with move to Priory House', 'Pilot the creation of managed office workspace', 'Review and update office accommodation standards' and 'Publication of office space utilisation and unit cost statistics' should form one priority;
 - remove the comment 'School buildings have been excluded because they already receive DCSF grants that can address a significant proportion of backlog' as this is inaccurate.
- 13.4 As NPS are paid agents of the Council a member suggested that higher level member involvement was required. In response, the Cabinet Member for Human Resources, Finance, Property and Corporate Affairs said that there was a scheme of hierarchy for disposals. The Director of Corporate Resources and Cultural Services confirmed that the capital programmes were received twice yearly by this Panel.

Resolved:

- 13.5 Subject to the above amendments, members agreed to endorse the updated Corporate Property Asset Management Plan.

14. Financial Management Improvement Programme

- 14.1 Members received and considered the annexed report (14) by the Director of Corporate Resources which provided an update on the progress of activities within the Financial Management Improvement Programme.

Resolved:

- 14.2 Members confirmed that the original actions had been completed and that the Financial Management Improvement Plan was closed. Members agreed that a report setting out improvements to meet the requirements of the new Use of Resources framework be presented to a future meeting, following completion of the current self assessment and initial feedback from the Audit Commission.

15. Compliments and Complaints during 2008/09

- 15.1 Members received and considered the annexed report (15), by the Head of Democratic Services which presented the number and spread of Corporate Compliments and Complaints dealt with by the Council in the period April to September 2008.

Resolved:

- 15.2 To note the report and the figures relating to complaints for the period April to September 2008.

16. Chief Executive's Department Service Plans 2009-12

- 16.1 Members received the annexed report (16), by the Director of Corporate Resources which summarised how the Chief Executive's Department would contribute to delivering the Council's Corporate Objectives during 2009-12.

Resolved:

- 16.2 To note the report and the draft key activities for 2009-12.

17. Interim Report on Evaluation of Impact Leadership Programme

- 17.1 Members received the annexed report (17), by the Head of HR which provided an interim update on the evaluation of the investment and effectiveness of the Leadership Development Programme (Impact).
- 17.2 Members offered their congratulations to the facilitators, participants and managers involved in this programme and noted that a key factor in the success of the programme was the support of managers across the organisation.

The meeting closed at 12.04pm.

Chairman




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APPENDIX A – Breckland LSP Presentation

Presentation to
NCC
Overview and Scrutiny Panel
18 March 2009


Councillor William Nunn – Leader
Trevor Holden – Chief Executive
Breckland Council



William Nunn and Trevor Holden
Breckland Council

Scope

- Why Partnerships?
- Statutory Guidance
- Breckland – A Case Study
- Added Value
- Conclusions\Results
- Questions



William Nunn and Trevor Holden
Breckland Council

Why Partnerships?

“Our success has really been based on partnership from the beginning”

Bill Gates



William Nunn and Trevor Holden
Breckland Council

Statutory Guidance



William Nunn and Trevor Holden
Breckland Council

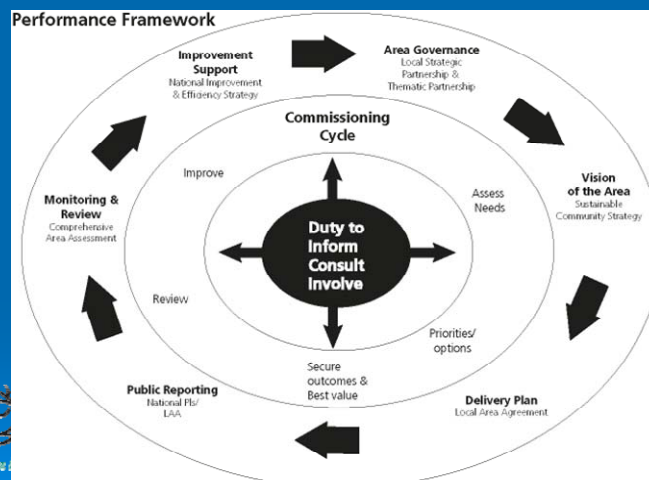
Governance and Engagement

- LSPs are not statutory bodies
- Voluntary partnership
- Sustainable Community Strategy
- LAA
- Representation
- County and District LSPs
- Duty to involve



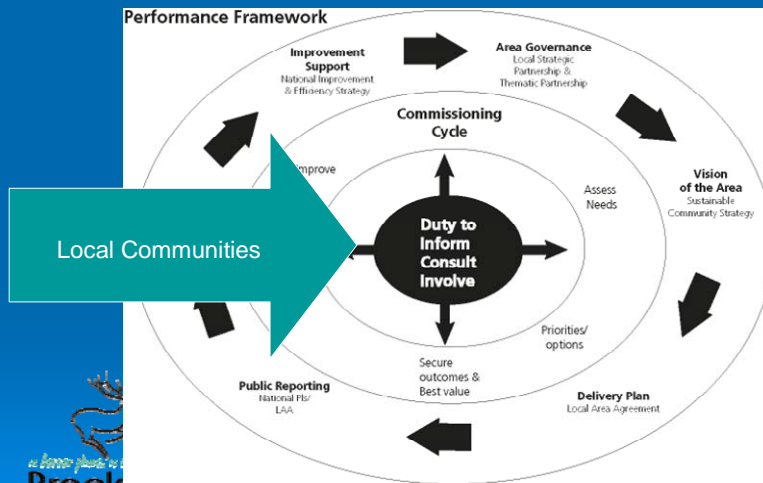
William Nunn and Trevor Holden
Breckland Council

Community Leadership



William Nunn and Trevor Holden
Breckland Council

Community Leadership



William Nunn and Trevor Holden
Breckland Council

Breckland LSP A Case Study



William Nunn and Trevor Holden
Breckland Council

Current Funding

- Breckland £200,000
- Second Homes Council Tax £ 77,547
- Fire Service £ 15,000
- Thetford Healthy Towns £900,000
- (Match funding required) £900,000

- Partnership Total £2,092,547



William Nunn and Trevor Holden
Breckland Council

Recent Projects

- BELA 2 grants (£15,000) – ICT grants up to £500 match funded for small businesses
- Pre- ESOL (£5,000) – community based to develop language skills to empower the migrant community to access services etc
- Train the Trainer (£2,000) – developing community champions within migrant communities to ensure professional & consistent advice to the communities
- ICT Training (£2,000) – Introduction to ICT & bespoke 1-1 training at workplace



William Nunn and Trevor Holden
Breckland Council

Recent Projects

Falls Prevention – preventing falls on vulnerable adults using health connectors trained by Voluntary Norfolk

Healthy Town Status – Thetford £900,000 investment



William Nunn and Trevor Holden
Breckland Council

Recent Projects

Pride Project Group

Cleaner, Safer, Greener Charter (1st in Country to be district wide) Endorsed by ENCAMS

Pride Awards (200 + nominations)

Breckland's Got Talent contest

BLISS (Breckland Local Independent Shop Stars) initiative 80+ business signed up



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Breckland Council

Does it Add Value?



William Nunn and Trevor Holden
Breckland Council

Added Value

- ✓ Significant inward investment
- ✓ Delivery at very local level
- ✓ Contributes to LAA targets
- ✓ CAA



William Nunn and Trevor Holden
Breckland Council

Breckland LSP

Any Questions?



William Nunn and Trevor Holden
Breckland Council

Norfolk People Feel they can Influence Things

Report by the Director of Corporate Resources

Summary

This report provides Members with the Terms of Reference for the new scrutiny topic 'Norfolk people feel they can influence things'.

1. Background

- 1.1. At the Cabinet Scrutiny away day in September 2008 the following scrutiny subject was raised as an area that the committee believes would make a difference to the people of Norfolk:

'Norfolk People Feel They Can Influence Things' (To examine the ways that residents can have their say about the services provided by the County Council and how those views and opinions are used).

- 1.2 This area of scrutiny was scored using the scrutiny scoring scheme. The total score awarded was endorsed by the Scrutiny Group Leads and resulted in this subject becoming a priority.
- 1.3 Cabinet Scrutiny subsequently felt that this subject was more appropriate to be added to the Corporate Affairs Overview & Scrutiny Panel forward programme because of the links with Compliments/Complaints processes and work managed by the Communications Unit such as the Norfolk Citizens Panel/Customer Service Centre/Residents Surveys and Consultations.

2 Terms of Reference

- 2.1 The Corporate Affairs Overview & Scrutiny Panel Scrutiny Group met on 23rd February 2009 to consider the Terms of Reference for this area of scrutiny; the Terms of Reference can be found at Appendix A.

3. Section 17 – Crime and Disorder Act

- 3.1 The crime and disorder implications of the scrutiny topic will be considered when the scrutiny takes place.

4 Equality Impact Assessment

4.1 There are no impacts arising from this report. Equality implications of the scrutiny topic will be considered when the scrutiny takes place.

Action Required

- (i) The Overview & Scrutiny Panel is asked to consider and agree the attached Terms of Reference for the 'Norfolk people Feel they can Influence Things' scrutiny and offer any amendments to the scope.
- (ii) The Overview & Scrutiny Panel is asked to consider the method for scrutiny required, for example a report to the Panel or the formation of a Working Group.
- (iii) If the formation of a working group is the preferred method of scrutiny the Panel to agree its membership.

Officer Contact

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

Name	Telephone Number	Email address
Paul Adams	01603 222609	Paul.adams@norfolk.gov.uk
Jessica Reeve	01603 224424	Jessica.reeve@norfolk.gov.uk



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- Looking at the challenges/opportunities ahead what are the priorities that need to be addressed?

Planned Outcomes:

- To shape the Community Engagement Strategy
- To improve communication of outcomes
- To identify recommendations/focus for action

Deadlines and timetable:

**Terms of Reference agreed
by:**

Date:

Forward Work Programme: Scrutiny
Report by the Director of Corporate Resources

Summary

This report summarises the Scrutiny Work programme and updates the Panel on progress made

1. The Scrutiny Work Programme

1.1 The existing scrutiny work programme and its current status is attached at Appendix A.

1.2 There are currently 4 ongoing areas of scrutiny:

- Partnership Reviews
- Review of the Councils Constitution
- Effective use of Council Buildings
- Norfolk People Feel They Can influence Things

2. Scrutiny Meetings

2.1 Scrutiny meetings are held between the Chairman of the Panel and Opposition spokespeople together with relevant officers to give consideration to the scrutiny work programme.

2.2 The scrutiny meetings for the remainder of 2009 are as follows:

- 1st September 2009 (10am)
- 26th October 2009 (10am)

3. Section 17 – Crime and Disorder Act

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

4. Equality Impact Assessment

4.1 This report is not directly relevant to equality, in that it is not making proposals that will have a direct impact on equality of access or outcomes for diverse groups.

5 **Action Required**

5.1 The Overview and Scrutiny Panel is invited to:

- Note the dates of future scrutiny meetings.
- Agree that the scrutiny Work Programme will be prioritised and rescheduled at the next scrutiny meeting.

6. **Officer Contact**

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

Name	Telephone Number	Email Address
Jessica Reeve	01603 224424	Jessica.reeve@norfolk.gov.uk
Paul Adams	01603 222635	Paul.adams@norfolk.gov.uk



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Scrutiny Topic	Objective/Description	Stage/Progress
<p>Partnership Reviews</p>	<p>To review all partnerships within the Corporate Affairs remit using the Partnership Questionnaire Tool.</p> <p>The partnership questionnaire is a 'health-check' tool which is used to identify areas of strength and areas for improvement or development in the partnership.</p>	<p>This area of scrutiny was referred to the Panel in September 2008 by Cabinet Scrutiny.</p> <p>Corporate Affairs Overview and Scrutiny (CAOS) Panel has so far reviewed the following partnerships:</p> <ul style="list-style-type: none"> • Breckland LSP <p>(the completed questionnaire and associated papers for the above partnership is available on the Intranet (Committee Papers))</p> <p>The remaining partnerships will form part of the scrutiny forward work programme and include:</p> <ul style="list-style-type: none"> • Broadland Alliance (LSP) • Great Yarmouth LSP • Norfolk Connect Partnership • Norwich LSP • South Norfolk Alliance (LSP) • West Norfolk Partnership (LSP)

Scrutiny Topic	Objective/Description	Stage/Progress
<p>Review of the Councils Constitution</p>	<p>To examine and review the Councils Constitution, taking into account Member views, current and upcoming legislation, ongoing areas of work and Local Government Review.</p>	<p>This item of scrutiny was initiated by CAOS in November 2008. A working group was set up and so far there have been two meetings of the group.</p> <p>The working groups' first task was to canvass Members opinion in regards to the existing Constitution. The results were then reported to the most recent meeting of the group in April 09.</p> <p>At the April 09 meeting Members decided that this item of scrutiny should be deferred until after the June elections and the outcome of Local Government Review is known. In addition, membership of this group needs to be reviewed and agreed.</p>
<p>Norfolk People Feel they can Influence Things</p>	<p>To examine the ways that residents can have their say about the services provided by the County Council and how those views and opinions are used.</p>	<p>This item of scrutiny was referred to the Panel by Cabinet Scrutiny in September 2008. In March 2009 the Panel considered the Terms of Reference for this item of scrutiny.</p> <p>Agreement of the Terms of Reference and the decision in regards to membership of the working group was deferred to this meeting of the panel and is included on this Panel agenda.</p>

<p>Effective use of Council Buildings</p>	<p>Review existing policies and processes in relation to properties occupied by the County Council to ensure that the Corporate Property Portfolio is being managed in the most effective way</p>	<p>The outcome of this scrutiny review was reported to CAOS in January 2009, the papers are available on the Intranet Committee Papers.</p> <p>The Panel found that the ‘Effective Use of County Buildings’ Scrutiny had identified a number of important issues in the Council’s estate in King’s Lynn. It was recognised that similar issues occur across the County and the Working Group’s work on the King’s Lynn area could be used as a template for the rest of the County. Once the outcome of the Local Government Review was known the Panel agreed that they may wish to commission a further piece of work to be undertaken to identify options for addressing the issues the Working Group had identified in the report.</p>
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Completed Scrutiny Items

Item of scrutiny	Date Completed
Pay & Grading – Equality Impact Assessment	Nov 2007
2 nd Homes council Tax	Nov 2007
Work Experience	Dec 2007
Risk Management Presentation	Mar 2008
Invest to Improve/Save Reserve	Jul 2008
Partnership Working (North Norfolk LSP)	Sep 2008
Strategic Ambitions Reserve	Jan 2009
Lone Working	Jan 2009

Corporate Procurement Unit

Annual Report

Part 1

This report for 2008/9 provides an overview of achievements and activities completed by the Corporate Procurement Unit (CPU).

Presented by:

Tony Williams - Cabinet Member for Corporate and Commercial Services
Jane Waring – Head of Corporate Procurement Unit, Corporate Finance

1. Summary

This year the CPU has again continued to deliver procurement improvements by raising the profile and linking the importance of procurement as being key to efficient service delivery.

Working closely with CPU are:

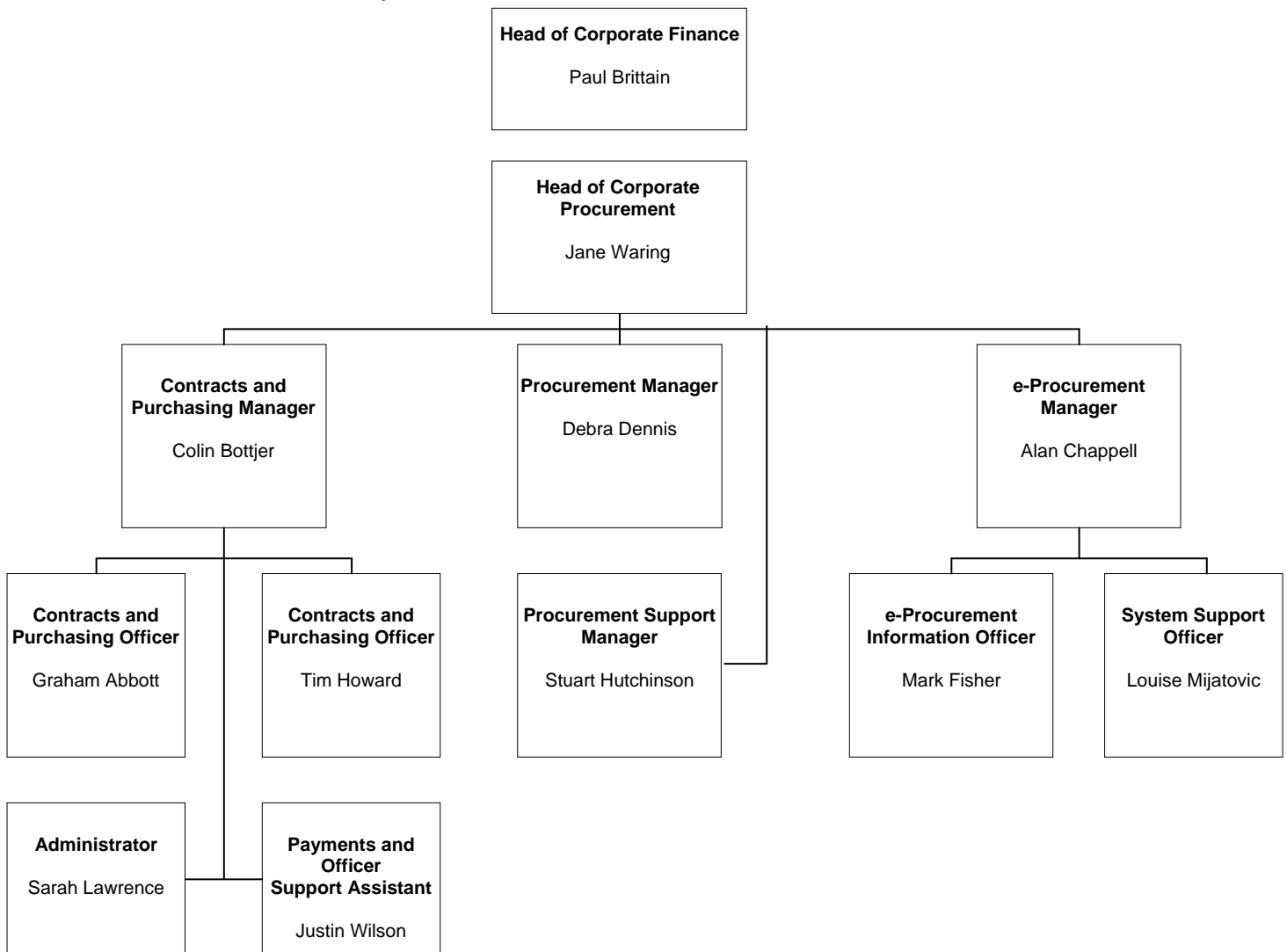
- a) The Procurement Performance Group (PPG), this group oversees improvement action plans in departments and raises professionalism in procurement, giving a more joined up approach.
- b) Departmental Purchasers Forum (DPF) that deal with day to day operational matters and
- c) Short-term Focus Groups that are established to review specific areas of spend, specifications and to establish Best Value contracts.

The CPU reports procurement progress quarterly to the Member / Officer Corporate Procurement Panel.

The procurement activity plan forms an important element of the efficiency programme and a key performance indicator is to achieve maximum possible procurement savings. These contribute towards the council's efficiency targets and £3.5m cumulative savings that were targeted over the 5 years to 31/03/09. Cabinet agreed this target in May 2004.

2. Resources

The CPU team comprises:



Head of CPU – is responsible for Council Procurement Strategy, policy, performance, planning and reporting to Members and Chief Officers, together with leading the procurement engagement with external agencies and government bodies and the operational management of ESPO.

Procurement Managers – provide support and guidance to departments on procurement matters, complex procurement projects and the mixed economy toolkit.

Contracts & Purchasing Manager and Officers – providing support & guidance, responsible for corporate contracts, supplier management, supply chain management, NVQ's, procurement training, co-ordination with Eastern Shire Purchasing Organisation (ESPO) and their buyers.

e-Procurement Manager and System Support– responsible for the development of e-commerce, procedures, training, communication and management information.

3. Achievements

3.i) Contract Savings

The CPU is pleased to report that the savings target of £1.015 million has been overachieved and a £1.609 million benefit for the council for 2008/09 has been realised through corporate procurement arrangements. Savings have been achieved by reviewing specifications against changing needs, aggregating demand across departments, collaborating with other local government authorities, minimising off-contract spend, benchmarking and the rigorous application of competition. Some of the key areas in which savings have been achieved are; specialist vehicle hire, temporary care staff, computer consumables and plant hire. Many of these have been achieved through working closely with ESPO.

The Corporate Procurement Panel has agreed the savings target for 2009/10 of £1 million and the scope for the achievement of procurement savings could be greatly enhanced through the reconfiguration of support services following the review. A highlight of this year has been the delivery of the County's first contract for "Temporary Care Staff". The team has also provided valuable procurement support to various council projects throughout the year such as: ICT voice & data project.

Norfolk LINK project

NCC Printer Rationalisation Project

Young people's integrated substance misuse service.

Supporting people ICT software system.

Norwich Distributor Road

3.ii) E-procurement

CPU have continued to develop the use of electronic procurement systems. The main focus of which has been the extensive rollout of the Oracle iProcurement (iProc) module and Core Purchasing. Significant progress has been made this year to ensure full usage of iProc, moving away from paper orders and raising electronic orders to send to suppliers enabling payments to be made in the most efficient means possible. The effectiveness of this system helps ensure that NCC pays suppliers promptly within BVPI08 performance measures & guidelines.

This improvement has introduced NCC to three way matching, ensuring online "commitment accounting" approval takes place at the earliest stage within the process, thus providing better budgetary information.

Key Achievements

- value of requisitions raised through iProc in 08/09 reached **£103.95m** breaking the £100m mark for the first time (increase of 16.8% from 07/08)
- number of iProc requisitioners – now exceeds **2000**
- number of Dept Buyers - **60+**
- number of requisitions raised in 08/09 - **47,834** (increase of 11.8% from 07/08)
- number of PO's created in 08/09 stands at **44,815** (increase of 10.3% from 07/08)

- process efficiencies through using iProc for 08/09 stands at **£80,903**

Key Benefits

- tighter financial control at earliest point through commitment accounting
- electronic despatch of purchase orders
- three way matching-tighter controls on NCC spend
- invoice hold resolution-which helps improves payment performance indicators
- improved supplier setup process
- improved lead time in PO's reaching suppliers
- audit trail of purchase to payment process
- management info
 - supplier spend & volume analysis
 - supplier & commodity activity analysis
 - contract spend analysis
- departmental collaboration
 - iProc focus groups
 - iProc smart form ordering templates
 - iProc shared catalogue ordering
 - identifying contract opportunities

3.iii) Training & Development

a) Basic Purchasing Awareness

CPU continues to deliver short awareness sessions across the county on procedures for purchasing as requested by departments. This training raises awareness of legal requirements and Council procedures and promotes the benefits of existing contractual arrangements.

b) Procurement Training

CPU have developed and delivered specialist training in taking equality issues into account in our procurement activity. Members of the CPU have also undergone training in the developments in EU procurement regulations which will equip the Council with the skills necessary to ensure compliance for future EU procurement activity. The CPU are currently planning a series of training sessions to enhance the procurement community's knowledge and understanding of current issues.

The council currently has eight members of staff with professional membership of the Chartered Institute of Purchasing and Supply (CIPS).

4) Working with/for others

4.i) Small & medium enterprises

The CPU has continued to work closely with NPS on the “Build Norfolk” project; this project is providing our main construction partners with a shared pool of sub contractors and together with our business development partners will help raise the skill of individuals within the pool and local construction capacity.

The CPU has also been working closely with the District Councils in supporting various “meet the buyer” events and recently took part in an event in Great Yarmouth. The CPU has been working closely with Economic Development and is running a Norfolk wide “Meet the Buyer” event at Sprowston Manor in April 09 in association with the Norfolk Chamber of Commerce, Business Link and Shaping Norfolk’s Future.

4.ii) ESPO

The Eastern Shires Purchasing Organisation (ESPO) provides the buying conduit through which a large proportion of the Council’s procurement and contracting is managed. The use of ESPO’s professional procurement capacity significantly increases the involvement of skilled procurement professionals. This provides several benefits to NCC including savings and access to collaborative arrangements, but also ensuring compliance with European legislation. 3 members of the Council represent the Council’s interests on ESPO’s management committee, which meets 3 times per annum.

CPU and ESPO managers continue to meet every 2-3 months to discuss areas of potential continuous improvement. These meetings are valuable and enable the CPU to continue to develop arrangements that are beneficial to the Council and help ESPO to plan for our ongoing requirements.

Every year the CPU benchmark the ESPO catalogue prices against a range of public and private sector alternative providers and in this year’s exercise ESPO again proved to provide best value with results ranging between 6% and 19% better value than competitors.

4.iii) Norfolk Countywide Procurement Group

The CPU continues to support the Norfolk Countywide Procurement Group who continue to meet and work together to share information, best practice and identify areas of common interest for further revue / action. One of the benefits of this joint working is that many district councils are now sourcing their supply of temporary staff through the County Council arrangement. In addition to this joint working, the districts are very supportive of the procurement training arranged by the Council.

4.iv) The Chartered Institute of Purchasing & Supply (CIPS)

The CIPS is the professional body covering procurement, they set professional standards, provide training and qualifications to ensure people are equipped with the skills required for the future. Members of the CPU are involved with the institute in providing guidance and advice for policies and have been actively involved in providing best practice advice for the development of Corporate and Social Responsibility within their portfolio.

5) Support Services Review – Procurement

As one of the four review work-streams, considerable progress has been made in developing an approach to enhancing procurement activity within the Council to create a shared service, using category management methodology. A great deal of activity mapping and expenditure analysis has been undertaken and it is anticipated that this will come to fruition in 2009/10.

6) Sustainable Procurement

The Head of Corporate Procurement has been chairing the National Sustainable Procurement Stakeholder Group and the Whole Life Costing sub-group. This work ensures that the Council are involved in National developments such as the Local Government Sustainable Procurement Strategy, November 2007¹ and the development of Sustainability requirements within the CAA with the Audit Commission.

7) Conclusion

2008/9 has seen the consolidation of a number of improvements and we are in a strong position to continue to raise the profile of good professional procurement.

Support has been an important factor throughout the year, with active involvement of Members and officers in departments and we acknowledge this support as being crucial to the overall success of the improvement programme for procurement.

8) Further areas for review

Part 2 of this paper sets out the procurement plan for the coming year and the Corporate Procurement Unit will be working hard to deliver the programme of improvements and efficiency savings highlighted in the report.

¹ **Local Government Sustainable Procurement Strategy**, IDeA and LGA, Centre of Excellence North East, November 2007 <http://www.lga.gov.uk/lga/publications/publication-display.do?id=22157>

Part 2

Procurement Activity Forward Plan 2009/10

This part of the report provides an overview of activities programmed by the Corporate Procurement Unit for 2009/10

1. Introduction

This paper sets out the proposed procurement projects to be undertaken in 2009/10 to further develop our procurement activity and contribute to our achievement of efficiency gains and value for money through contracting arrangements innovative approaches and optimising new opportunities.

The objectives of this workplan are to ensure compliance with the European Procurement Directive and UK Legislation requirements, contribute to the Council's objectives, ensure value for money and make efficiency savings where possible.

The Council's Value for Money strategy, agreed in April 2006, sets out our approach to value for money and highlights key corporate activities, which help secure the most beneficial relationship between economy, efficiency and effectiveness. Effective procurement is recognised as an important strand of the Council's approach alongside other activities, including the efficiency programme, challenge and scrutiny, and sound financial planning.

2. Savings

Increasingly the achievement of financial savings is an important out to our procurement activity and despite there being fewer opportunities as more of our expenditure is covered by good value contracts we are confident that our target for 2009/10 is achievable. The targeted savings for 2009/10 are £1,000,000.

3. Contracting

The Corporate Procurement Unit has carried out their annual analysis of the Council's expenditure and this information together with ongoing and known requirements has been used to draw up the contracting workplan below. Some of these projects are to replace existing contracts incorporating any potential for market development or new strategies; others are to address gaps in the current coverage of contracts available or importantly where greater collaboration would be beneficial. It is anticipated that this contract activity will release savings to meet the target and the work-plan is being further developed with the ESPO consortium to maximise the added value this will provide.

The contract areas in which work will be undertaken and savings opportunities have been identified are detailed below:

No	Type of contract/service
1	Small Vehicle Transport
2	Legal Services
3	Fuel & Fuel cards
4	Marketing / Design Consultants
5	Print & Design
6	Self Drive Vehicle Hire
7	Leasing Arrangements
8	Air travel
9	Protective Clothing
10	Rail travel
11	Removal Services
12	Purchase of (non-car) vehicles
13	Training Framework
14	National hotel bookings
15	Computer Software
16	Vehicle Accident Repairs
17	Domestic White Goods
18	Venues & Hire
19	Fire Training
20	Norfolk Support Line
21	Musculoskeletal Rehabilitation Pilot
22	Occupational Health
23	Investigation Services

As work progresses the savings achieved will be agreed with departments and reported to the Corporate Procurement Panel on a quarterly basis.

4. Procurement Objectives

A large proportion of the Corporate Procurement Unit's work this year will be focused on the Support Services Review, the further development of e-procurement and corporate contracts and projects, there is a wider range of activity and objectives, which contribute to the Council's objectives.

Service Objective: Lead on strategic economic issues, including sustainable growth and regeneration.

- 4.1 To hold supplier events, workshops and provide electronic information access to help build capacity among local organisations to compete for Norfolk's public sector business in line with sustainable procurement policies. To be achieved through supplier events, workshops and electronic information access
- 4.2 Identification, selection and implementation of an evaluation tool to guide purchases embedding sustainable procurement into normal procurement processes, including training and rolled out within the Support Services Review.
- 4.3 Review and develop the Council's Procurement Strategy embedding our sustainable procurement objectives. Provide policy and guidance on further developing whole life costing and provide training as required.

Service Objective: Maximise our efficiency through a culture of value for money and continuous performance improvement

- 4.4 Implement new functionality within procurement software and improve procurement processes, increasing the use of electronic systems and reducing the process cost of 'low value' orders.
- 4.5 Maximise engagement with the Regional Improvement & Efficiency Partnership (Improvement East) and develop strategy
- 4.6 The Corporate Procurement unit will continue support the professional development of procurement staff, including provision of the NVQ programme, which leads to professional qualification and membership of CIPS (Chartered Institute of Purchasing & Supply).
- 4.7 Lastly work will continue in identifying areas of expenditure not covered by existing contracts or where contracts we have no longer meet the needs of service departments.

5. Support Services Review

The council has invested significant time and resources in progressing the Support Services Review, of which Procurement is one stream. The Target Operating Model for Procurement agreed by Cabinet continues to be developed in detail. This has been achieved through significant departmental engagement and is supported by the efficiency team. The Business Case for the new approach to procurement is awaiting approval by the Support Services Programme Board and it is further anticipated that the detailed implementation plan will be agreed in the next few months. This will enable the Council to adopt a Category Management approach to all its procurement activity.

This approach is designed to allow better specialisation in particular markets and increase the coordination of expenditure for similar groups of products and services.

6. Collaboration

Working together provides significant benefits to Norfolk County Council and this is as important internally as it is with external bodies. The Corporate Procurement Unit works closely with the procurement officers in departments to jointly raise standards of procurement professionalism and implement innovative procurement solutions.

The Unit also leads the Council's collaboration with the other six members of ESPO, Norfolk district authorities and the Regional Improvement and Efficiency Partnership (Improvement East) and will continue to endeavour to further these relationships in 2009/10.

During 2008/09 the ESPO business plan has been updated and developed and the joint 2009/10 NCC/ESPO Action plan is soon to be agreed. This collaborative work through the Council's consortium will further support the progress of procurement within the organisation. ESPO are committed to contributing to the Support Services Review of Procurement and there is a significant opportunity to further increase the benefit the Council achieves through this collaboration.

Norfolk is a national lead in the sustainable procurement field working with Central Government departments and agencies and leading the Regional programme. This work will be further enhanced by the development of a National training programme building on and adapting the work undertaken by the Marrakech Task Force.

All departments also have their own procurement improvement plans which contribute to the overall achievement of the Council the forward plans for 2009/10 are set out in **Appendix A** of this report.

7. Equality Impact

The Council's Purchasing Policy has been assessed for impact on equalities and individual procurement projects are subject to assessment as appropriate. Therefore there is no direct impact of this report.

8. Section 17 Crime And Disorder Act Implications

There are no implications

9. Conclusion

There has been a great deal of progress in procurement over 2008/09 and there are ambitious objectives and targets for 2009/10.

10. Action Required

The Corporate Affairs Overview and Scrutiny Panel is requested to:

- consider this annual report and especially the efforts of the Corporate Procurement Unit and purchasing managers across the Council in support of the achievement of the 2008/09 objectives.
- endorse the forward procurement programme and the Council-wide savings target for 2009/10.

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 Jane Waring on 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

Appendix A - Procurement Improvement Plans 2009-2010

Adult Social Services Procurement Improvement for 09/10

- Take forward and review the annual fee increase for Residential and Nursing homes being based on Quality Standards and give support to providers rated as poor
- Develop a stronger focus on provider performance and accreditation and quality management
- Continue to improve existing partnerships with Housing Associations, other Authorities and the Voluntary Sector to provide new and improved services
- Review the effectiveness of service agreements with the voluntary and community sectors, whilst moving to the personalisation agenda, meeting users needs at the right price and providing value for money
- Support initiatives designed to maximise savings from contracts with the independent, voluntary and public sectors, while maintaining a focus on high quality service provision
- Implement the forthcoming decision on the remaining Domiciliary Care Services contracts that were not included in re-tender of 2008
- Work with Regional Collaboration on outcome focussed Contract Standards and efficiency projects for the East of England, including the Streamlining Social Care Procurement programme
- Implement the Joint Commissioning Strategy for People with Physical and Sensory Impairments in Norfolk
- Support and advise the Learning Disability Panel, the Mental Health Panel and the County Panel in making purchasing decisions

- Work closely with commissioning colleagues to develop and deliver strategies for procuring the right services for service users under the Transformation Programme
- Ensure that the Equality Impact Assessment is fully embedded in the preparation and drafting of all contracts and agreements
- Support and advise senior management on procurement processes and procedures, especially in the area of the development of care homes and housing with care
- Ensure communication channels between The Purchasing & Quality Assurance Unit and the rest of the Department are improved and enhanced

Maureen Dewath
Head of Purchasing & Quality Assurance
Adult Social Services
April 2009

Children's Services - Procurement Improvement for 09/10

Development & Enforcement of CS Procurement Policy <i>Safeguard and make the most economical use of our financial resources and assets</i>	Development of CS procurement policies and procedures including contract standing orders. To ensure that all of CS staff are aware and compliant with the policies and procedures.	That through the audit process all orders are compliant.	- to produce and agree the policies and procedures - production of a Children's Services procurement handbook.	30-Sep-09
CS Priority Focused SLA/Contracts <i>Safeguard and make the most economical use of our financial resources and assets</i>	That all SLA/Contracts includes the focus on Children's Services Outcomes, educational needs, robust QA and performance monitoring. To ensure that all new and renewed SLA/Contracts include these changes.	That all new and reviewed SLA/Contracts comply.	- develop required changes with the involvement of Commissioning - review existing SLA/Contracts	31-Mar-10
Provider QA Monitoring <i>Deliver effective services that continually meet user needs</i>	To improve the level QA monitoring and reporting of providers. To ensure that QA monitoring takes place as agreed and to carry problem resolution monitoring when required.	That the 100% of required monitoring and reporting has taken place.	- agree monitoring programme - is there sufficient resource available - ensure reports are accessible to all that require access.	30-Sep-09
Procurement Advice & Support <i>Provide consistently good standards of customer care (both internal and external customers)</i>	To improve the level of procurement advice and support to Norfolk schools. To ensure that schools have access and to investigate other procurement options such as trade fairs.	The number of schools using the service.	- agree level of service to be provided - determine best method communicate service provided	On hold
Customer Service Centre SLA <i>Transform delivery of services through a programme of change and support to achieve efficiencies and value for money</i>	To ensure that the Customer Service Centre provides efficient access to Children's Services . To ensure that the CSC Service Level Agreement is enforced and reviewed.	That the CSC monitoring against the SLA is carried out	- monthly service improvement meetings with CSC	31-Mar-10
Ensure Value for Money	Deliver the right quality services as efficiently as possible, keeping council tax rises to a minimum Safeguard and make the most economical use of our financial resources and assets Maximise the efficiency of our services and ensure that key business processes and activities are as productive as possible Deliver effective services that continually meet user needs Embed a culture of VFM and continuous performance improvement			

Planning & Transportation Department Procurement Improvement for 09/10

Action/objective	Activity	PIS/reporting milestones	Tasks	Date	% Achieved
Deliver excellence and good Value for money	Meeting Service and efficiency targets	Procurement involved with all significant service projects Strategic sourcing focus for procurement resources/use ESPO and feed into their business plan	Significant procurement projects as set out in the Dept. Service Plan or otherwise to be assessed and discussed with ESPO as appropriate to agree resource requirements.	31 st May 2009	
	Undertake robust option appraisal	Procurement efficiencies reported to CPU	Assessment of procurement potential savings/efficiencies against actual are to be reported to CPU	At time of Contract Award	
		Corporate option appraisal and partnership guidance and the mixed economy toolkit applied	To be used as appropriate at commencement of procurement process	As requested	
Making sure our services meet the needs of all Norfolk's diverse communities	Equality impact assessments undertaken for all significant procurements	% contracts with equality impact assessments	Assess tender documents by carrying out an impact assessments.	As necessary	

Sustainability	Improve against the flexible framework	Complete departmental flexible framework action plan	Assist CPU with this task	As requested	
	Support the development of a more vibrant and dynamic Norfolk economy	Consider suppliers from potential suppliers database Include in contracts additional help from suppliers to meet our social aims, e.g. reduce unemployment and increase training opportunities in deprived areas	Check potential supplier database for likely suppliers to be included on tender lists. Advise Service users to scope potential local suppliers, remaining within procurement rules.	With each procurement	
	Reduce our impact on climate change	Reduce waste and improve recycling	Assess tender documentation for any potential for the reduction in waste and impact on climate change. Include within tender documents and evaluation of submissions.	With each procurement. Actual results to be monitored through Contract Management	

Member involvement in procurement fostered	<p>Procurement Assessment Tests</p> <p>Stage-end Member briefing for significant projects</p> <p>Contracts database maintained</p>	<p>Procurement Assessment Tests produced for all projects > £30K</p> <p>Review Panel champion on-side and giving good feedback</p> <p>Up to date contract information available to Members on time.</p>	<p>Ensure Procurement Assessment Tests are produced and sent to CPU for all projects > £30K</p> <p>Assist CPU in provide brief to members</p> <p>Assist CPU in maintaining the main contract database.</p>	<p>With each procurement</p> <p>As requested</p> <p>As requested</p>	
Service users early involvement in procurement	<p>Engage service users and stakeholders to Improve customer focus</p> <p>As appropriate, ensure local suppliers are aware of business opportunities</p>	<p>Service users involved with setting Contract specifications and evaluation of tenders</p> <p>Satisfaction surveys</p> <p>Engage at pre-tender stage to ascertain contract requirements are workable and provide value for money.</p> <p>Meet the buyer/awareness sessions</p>	<p>Active consultation for service delivery.</p> <p>Circulate to Service Groups</p> <p>Procurement procedure to be applied.</p> <p>Actively participate in such sessions</p>	<p>As realised</p> <p>October 2009</p> <p>As requested</p> <p>As requested (First arranged for 16/04/2009)</p>	

Develop and support workforce	Training and development Build capacity for procurement Project management development		Subject to completion of Staff Appraisals.	June 2009	
Health and Safety	H&S in Contracts		Ensure tender documents include relative Health & Safety contract conditions (contract specific) in accordance with the current Code of Practise		
Business Continuity	Assessment of supplier criticality and apply requirements for business continuity planning to critical suppliers		Tender Risk Management impact to be carried out as necessary, as part of the Procurement Assessment Test. Supplier qualifications and evaluation.		
Completion of CAR Form i-Proc. users queries i-Proc. catalogue	Meeting Departmental service needs		Requests are to be dealt with, within 5 working Days. Requests are to be dealt within 24 hours. Requests are to be progressed	As Required	

requests			within 10 working Days.		
i-Proc. Ad- hoc training.			Urgent requests are to be dealt with immediately, otherwise within 5 working Days.		

Passenger Transport Group

Action	Milestones – 6 months	Milestones – 12 months	Owner
Introduce a new flexibus service, by March 2010, to increase public transport availability and accessibility (contributes to NI 175 – access to services).	Public meetings held. Services tendered and contracts awarded.	Promotion and marketing. Services fully operational.	Dee Jackson
Re-tender the Norwich Park & Ride bus services, by March 2010.	Tender package out and contract awards made.	New contracts in place.	Ian Hydes
Submit a Kickstart bid to the DfT, by July 2009, to try to get pump-priming funding for new or improved transport services.	Initial ideas formulated. Review panel members given chance to comment. Ideas shortlisted. Submission made by 3 July 2009.	n/a	Ian Hydes
Continue with the efficiency project, and achieve the savings identified, by March 2010.	Revised procurement arrangements for taxi contracts implemented. NCS fully using Cleric.	Unit costs for fleet transport identified. Fully integrated health, social care and wellbeing journey planning service in place.	Tracy Jessop

Cultural Services Procurement Improvement for 09/10

Objectives	Activities – we aim to:	Achievements and Outcomes expected:
<p>Deliver excellent services and good Value for money</p>	<p>Meet service and efficiency targets</p> <p>Include Procurement in Service Plans</p> <p>Undertake robust option appraisal to ensure the best procurement route is taken</p> <p>Improve our purchasing and payment processes</p>	<ul style="list-style-type: none"> • Procurement staff will have been involved with all significant service projects • Our purchasing requirements will have been identified to enable a strategic approach • Procurement efficiencies will have been reported to Corporate Procurement Unit to contribute to overall NCC savings • Progress with significant procurements will have been reported in service plan updates • Corporate option appraisal and partnership guidance and the mixed economy toolkit used routinely to support procurement appraisal processes • Key Performance Indicators reported against target: <ul style="list-style-type: none"> ○ 100 % of invoices paid within 30 days ○ 100% of purchasing through I-procurement, purchasing cards or other electronic means (e.g. EDI) ○ Spending off-contract on day to day items is kept to a minimum ○ Continuous improvement of processes to keep paper invoices to a minimum ○ Work with suppliers to provide invoices electronically • The number of exemptions from Contract Standing Orders to Review Panel will have been monitored and

	<p>Ensure compliance with Financial Regulations and Contract Standing Orders</p> <p>Reduce financial and probity risk through effective procurement</p>	<p>reported</p> <ul style="list-style-type: none"> • All business developments and projects risk assessed using our Outline Business Case Approval process before commencing • The corporate procurement assessment test will have been used routinely in order to highlight high-risk procurements.
<p>Ensure our services meet the needs of Norfolk's diverse communities</p>	<p>Undertake Equality Impact Assessments for all significant procurements</p>	<ul style="list-style-type: none"> • Equality Impact Assessments will have been undertaken for all procurements to judge the impact on users and stakeholders and to identify any necessary requirements that must be built into procurements. This will promote equity, social inclusion and non-discrimination on the basis of race, gender, age, religion, disability or sexual preference in procurement.
<p>Ensure Norfolk People are able to influence services and decision making</p>	<p>Engage service users and stakeholders in order to understand and improve customer focus</p> <p>Promote the services offered by the 3rd sector</p>	<ul style="list-style-type: none"> • Service users will have fed into the specifications of requirements for goods and services required • Customer satisfaction surveys of the effectiveness of goods and services procured will have been undertaken and evaluated • Grants to support and build capacity will have been made, e.g. Arts grants and Renaissance grants for independent museums

<p>To increase Member involvement and awareness of procurement</p>	<p>Report progress with procurement plans to Review Panel and Joint Committees</p> <p>Maintain the Cultural Services contracts database</p>	<ul style="list-style-type: none"> • The Cultural Services Procurement Plan will have been signed off by Review Panel and procurement progress reported in Financial Monitoring reports • Up to date contract information will have been reported to CPU and made available to Members on the Intranet
<p>Cultural Services staff are skilled, knowledgeable and confident with procurement processes</p>	<p>Train Cultural Services staff to improve procurement practice</p> <p>Good project governance supports effective procurement</p>	<ul style="list-style-type: none"> • Procurement training included in CSD training plans will have been delivered and targeted at areas where improvement is required • Project management skills will have been developed to deliver better managed projects
<p>Goods and services procured are of <i>sustainable</i> standard</p>	<p>Ensure that sustainability issues are taken into account when procuring goods and services</p> <p>Support the development of a more vibrant and dynamic Norfolk economy</p> <p>Reduce our impact on climate change</p>	<ul style="list-style-type: none"> • The suppliers' environmental policies will have been scored and weighted for effectiveness and contribution to sustainability • We will have directed suppliers for inclusion in a NCC supplier 'portal' being developed to promote their business. • Through the tendering process we will have provided additional help to suppliers to meet our social aims, e.g. reduce unemployment and increase training opportunities in deprived areas • We will have reduced waste and improved recycling
<p>Suppliers have adequate <i>Health and Safety</i> arrangements in place to ensure the safety of employees and others</p>	<p>Promote health and safety in the workplace for all</p>	<ul style="list-style-type: none"> • Supplier's H&S assessments will have been evaluated and scored as part of the criteria (including ESPO) in selecting successful suppliers • Health and Safety matters raised in audit recommendations relating to procurement will have been implemented

<p>Suppliers have adequate <i>Business Continuity</i> arrangements in place to ensure continuity of service</p>	<p>Ensure our suppliers have adequate business continuity arrangements in place to safeguard continuity of provision of goods and services to the NCC</p>	<ul style="list-style-type: none">• Our suppliers will have completed Business Continuity assessments as part of the evaluation criteria of tenders (including ESPO) to help guarantee the NCC supply chain.
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Adult Social Services – Premises & Support - Procurement Improvement for 09/10

Leadership and building capacity

The departments contribution to ensuring procurement excellence and that the benefits of improved procurement are delivered

For example: ensuring the necessary people, processes and technology are in place, improved project management, following the Mixed Economy Toolkit, regional collaboration, measurement of social, economic, environmental and community benefit, ethical and sustainable supply chain management, benchmarking and whole life costing,

- Review staff resources to ensure that the necessary people are in place to enable improved procurement to take place.

Partnership and collaboration

The departments contribution to ensuring services are provided collaboratively through sharing best practice, joint commissioning or shared services and that Rethinking Construction tenets are adopted

For example: involve stakeholders with design and evaluation of contracts, working with neighbouring authorities to adopt common contract and evaluation procedures and shared services, use of trading and charging powers.

- Work with and initiate ESPO and Corporate Focus Groups to arrange shared contracts. I.e. Floor Coverings.

Stimulate markets and community benefits

The departments contribution to increasing competition and diversity in the supply chain

For example: working with SMEs, BEM businesses and the VCS, good supplier management, stakeholder involvement, working corporately on improving equality issues in procurement.

- Continue to negotiate new and improve existing partnerships with Housing Associations, other Authorities and the Voluntary Sector to provide new and improved services to Social Services Clients.
- Survey the 8 centrally controlled service contractors to establish how we are perceived and how we can improve.

Capacity, skills and best practice

The department's contribution to procurement training and development and adopting best practice

For example: a dedicated budget for procurement training and project and risk management awareness, adopting effective contract management, working with other authorities to share best practice

- Put in place and complete a programme to give all RBO's in our establishments an overview of Procurement by the end of 2009.
- Conduct an in house customer satisfaction survey, analyse replies and develop an improvement strategy where appropriate.

E Procurement

The department's contribution to the success of electronic procurement

For example: purchasing procedures rationalised, all users on I Proc, all contracts identified and catalogued, contributing to a corporate e tendering project, ensuring procurement savings and efficiencies are identified, captured and measured

- All appropriate personnel involved in procurement to be issued with purchasing cards.

**Performance and Resources
Monitoring Report**

Report by the Director of Corporate Resources

Summary

This report includes integrated performance and financial monitoring for the year-end 2008/09. It provides end of year performance for 2008/09 for the performance indicators relating to this Panel together with information on key areas for improvement.

This report builds on previous quarterly reports during the year and aims to provide a look back at progress and performance across the year. It also includes a final update on the 2008/09 revenue and capital budget out-turns and on the final reserves and provisions balances.

1. Introduction

- 1.1 Integrated monitoring reports are made to each Overview and Scrutiny Panel meeting. The monitoring reports to this Overview and Scrutiny Panel focus primarily on how we are performing against the Council's three Organisational Objectives.
- 1.2 This report provides the year-end position together with information on key areas for improvement or for sustained good progress. Performance data for the 4th Quarter is set out in Appendix A and in some cases discussed in more detail below.

2. Performance update

Objective A – Improving Customer focus

2.1 Ensuring that services meet the needs of diverse communities

- 2.1.1 Strong progress has been made and continues to be made in developing fair and accessible services. During 2008 the Council met its target of achieving Level 3 of the Equality Standard, which is a significant recognition of how we are delivering fair and accessible public services which meet the distinctive needs and aspirations of each individual, family and community in Norfolk.
- 2.1.2 As part of the Council's ongoing work on the new Equality Framework (which has now replaced the Equality Standard), a comprehensive action planning and consultation process is underway with religious and belief groups and lesbian, gay

and bisexual people in Norfolk. The findings will be reported in detail to the Council's Strategic Equality Group later in the year, and will be key to helping the Council better understand the views and experiences of these diverse groups and inform development of the Equality Strategy for Norfolk. The Bishop of Norwich, the Norfolk diversity champion, and local residents and community groups have been involved in developing our approach to engagement. Both initiatives are being taken forward with key partners including Norfolk Constabulary and NHS Norfolk, to maximise use of the data across all service improvement areas and achieve efficiencies.

2.2 Customer access

- 2.2.1 Over the past year the Council has developed and implemented a new face-to-face access tier with our Council @ Your Library service, which is now available in all libraries where there is not already a Council Information Centre. This has made significant impact on the availability and consistency of face-to-face access for customers.
- 2.2.2 In July, in response to customer feedback, we changed our main public phone numbers from 0844 to 0344. This means that calls will cost no more than calling an 01 or 02 number and callers are able to make use of "free" minutes in their landline and mobile phone bill packages when they call us. In addition, a change to our BT contract will provide a saving of £30k per year on our telephone costs.

2.3 Complaints

- 2.3.1 We have implemented an action plan aimed at improving our handling of formal complaints and, for example, a new feedback system has been introduced to ensure that customers' views on how their complaint was handled is collected consistently and used to make improvements. Information about complaints is now routinely included in monthly customer access reports which are reviewed by Chief Officers and the Customer Service Member Reference Group. Reporting timescales have been tightened up to minimise delays and our response rates have improved significantly with an average response time of 28 days, compared to the previous average of 37.2 days.
- 2.3.2 Satisfaction with complaints handling has improved and the results of our recent customer satisfaction tracker survey shows that, among those who made a complaint, 37% were satisfied with the way it was handled. This means we exceeded our target of 35% for 2008/09 and we continue the improvement trend from 34% in 2007/08 and 30% the year before.

2.4 Customer Satisfaction

- 2.4.1 The Audit Commission has recently published the results of the Government's new 'Place Survey' which provides information on some key performance indicators including residents' satisfaction levels. 51.4% of residents were satisfied, overall, with the way their local council runs things is, placing Norfolk top of all counties and higher than both the England average (45.4%) and the average for the East of England (46.7%).

2.4.2 The Place Survey also provides information on the percentage of residents who feel they have been treated with respect and consideration by local services (NI 140). This is a new indicator and therefore no target had been set but, at 77.6%, the Norfolk result is better than both England average (72.4%) and the average for the East of England (75.5%).

2.4.3 Another new indicator is the percentage of residents who feel they can influence decisions (NI 4). The result for Norfolk is 32.3%, placing us top of all Counties and this figure is again higher than England average (28.9%) and the average for the East of England (28.6%). This indicator is the subject of specific scrutiny by this Panel and this is reported elsewhere on the agenda.

2.4.4 We carry out a customer satisfaction tracker survey which provides valuable local data that is used by the Council and by individual services to target improvements. The results of our recent survey have been analysed and showed improvements in customers perceptions about how easy it is to contact us:

- 71% of people who contacted us found it easy to get hold of the right person at the County Council, which is a 4% increase on 67% in the 2006/07 BV General Survey
- 72% were satisfied with the length of time it took to deal with the person they contacted, compared to 69%
- 71% were satisfied with the information they were given, compared to 68%
- 75% were satisfied with how competent our staff were, compared to 72%
- 76% were satisfied with how helpful our staff were, compared to 73%

2.4.5 One of the key measures we will be using in future to help track our progress with improving customer satisfaction is reducing the percentage of contacts that are of low or no value to the customer - a new indicator in the National Indicator Set (NI 14). During last year we have put systems in place to measure performance and our baseline figure of 22.6% has been established for 2008-09. The data has also been submitted to central government.

2.4.6 The value of this measure will be in the Council using it to identify and deliver service improvements to reduce avoidable contact for our customers and we are currently reviewing our findings and identifying actions that can be taken. It is less useful to compare with other authorities as the figures vary widely, for example, for the 350 councils who submitted data the results range from 0.4% to 88%, with 63% of councils reporting between 10% and 30%.

2.5 **Culture of good practice in customer service**

2.5.1 A culture of good practice in customer service continues to be embedded with customer focus included in the Competency Framework for employees and, for example, with 22 staff working towards Institute of Customer Service (ICS) Professional Awards in Customer Services. A highly successful Customer Service Week was held in October 2008, as part of the ICS National Customer Week, which raised the profile of customer focus across the whole organisation.

2.5.2 Norfolk's Registration Service recently received a rating of "Good" for Service Delivery and Customer Care following an inspection by the Registrar General's

Local Government Delivery Partnership Unit. Inspectors went on to state that the results “reflect that Norfolk is performing to a good standard with a good level of technical competence across the County and good customer care by staff at point of delivery”. This is “commendable given the difficulties associated with servicing a large geographical area with outlying communities”.

- 2.5.3 Systems have been put in place for monitoring customer care standards across the organisation. The Council has four core customer care standards which cover response times to telephone calls, emails, letters and visitors' appointments. Collection and monitoring systems have been trialled and went 'live' in April 2009. We will start reporting performance information from the first quarter of 2009-10 and performance against the four core customer care standards will then be reported to this Panel each quarter.

Objective B – Deliver value for money

2.6 Meet efficiency targets

- 2.6.1 The efficiency process continues to work well and is becoming more innovative now that many of the early achievable benefits are being realised. The Council has achieved efficiency savings of £14.65m in 2008-09, against a target of £14m (NI 179).
- 2.6.2 The challenge is now to implement further efficiency initiatives that will support the achievement of the 2009-10 target of £14m and these initiatives will be focused in assisting at both the organisational and departmental levels. As outlined in the 2009/10 budget proposals a total of £10.1m of efficiencies have been identified as part of the budget process, and these form a significant part of the target for 2009/10. Information about the Efficiency Programme is reported elsewhere on this agenda.

2.7 Improve efficiency of financial processes

- 2.7.1 The end of year data shows that 96.5% of invoices paid by authority in 2008/09 were within 30 days, which exceeds our target of 90% and improves on 89.6% at the same time last year.
- 2.7.2 However, we have not met our target for the total value of orders raised through i-procurement. Our end of year figure was £103m compared to the target of £130m, despite the number of i-proc orders increasing significantly. A total of 44,815 orders were raised in 08/09 compared to 40,621 in 2007/08 and values of orders increased from £89.5m to £103.9m. The fact that we have missed the target for the total value of orders raised through i-procurement in 2008/09 is due to a combination of a reduction in the rate of spend towards the end of the year compared to previous years, and a change in the way contract periods are managed.

2.8 General progress on delivering value for money objective

- 2.8.1 The Audit Commission's annual Use of Resources Assessment provides the County Council with evidence of its performance in relation to value for money and resource management. The Council's Use of Resources score for 2008 is Level 3 –

consistently above minimum standards – performing well (with 4 being the highest level). This is the final assessment year within the CPA framework and the next Use of Resources judgement, under the new Comprehensive Area Assessment performance framework, will be known in Autumn 2009.

- 2.8.2 We have met our target of compliance with the Good Governance standard - the Annual Governance Statement (AGS) was introduced last year to provide assurance that the organisation's governance framework is adequate and effective. In September 2008, the Audit Commission issued a Governance Report covering the 2007-08 Accounting Statements (including the AGS) with the conclusion that action is satisfactory and completed in respect of 2007-08.
- 2.8.3 In terms of public perception, according to the data from the new Place Survey, 40.2% of residents feel that their local council provides good value for money, placing Norfolk top of all counties and higher than both the England average (33.2 %) and the average for the East of England (34.7%).

Objective C – Developing and Supporting Our Workforce

2.9 Improve employee health and well being

- 2.9.1 The following provides information on the end of year position for the performance indicators that this Panel is monitoring. Detailed information about a wide range of workforce issues is provided in NCC's annual Workforce Profile, which is reported elsewhere on this agenda.
- 2.9.2 The Council has retained staff during a difficult year in terms of change and uncertainty. The employee turnover rate has decreased to 12.19% at the end of the 4th quarter compared to 13.2% at the same time last year and is better than our target (13.2%). This decrease is likely to be due, in part, to the worsening economic climate although we remain well below the average for the sector - the Chartered Institute of Personnel and Development (CIPD) Recruitment and Retention Survey 2008 reports a Local Government turnover rate of 15.2% and a public sector turnover rate of 13.5%.
- 2.9.3 There has been a slight increase in sickness absence with 9.18 average working days lost over the past year compared to 9.11 the year before, and we have not met our target of 8.50 working days. Sickness absence is a major issue for employers and NCC's figure is not out of step with current trends. The CIPD Report 2008 shows that the local government average absence is 10.1 days and the overall public sector average is 10.7 days. Detailed analysis is provided in the annual Workforce Profile (item 17).
- 2.9.4 We have continued our focus on the overall well-being of our staff and have appointed a Worklife Support Officer who is undertaking a wide range of activities to promote health and well-being. This includes undertaking a physical activity survey at County Hall and, as a result of the findings, a range of taster sessions have been developed in many different activities from archery and fencing to trampolining and self-defence. A range of promotional activity has been undertaken such as Mental Health Action Week, national no smoking day, adult learners week etc. A work life support strategy is currently being developed with management teams and

departmental well-being teams and a 'new look' well-being programme that is more flexible to better suit teams' needs.

2.9.5 The initial results of the Employee Survey 2009 have just been received and overall are very positive. The percentage of employees who are advocates of the council as an employer is 59%, which is a significant improvement on 46% in 2007, well exceeds our target of 50% and is 26% above the Ipsos Mori norm data. The percentage of employees who have had a formal appraisal is 77%, which is a significant improvement on 64% in 2007, although misses our target of 100%. The percentage of employees who think change is well managed has also improved significantly from 16% in 2007 to 24% in 2009, although we have missed our target of 35%. Further information is provided in the annual Workforce Profile.

2.9.6 The Council has recognised and rewarded its staff through Outstanding Contribution Awards. These awards were launched in 2008 and are based on our organisational wide values. They have proved to be a positive and highly successful way of recognising the ways staff are making a difference. The County Council has also celebrated Outstanding Achievement by naming an overall winner representing each of our six staff values at a ceremony in April 2009. A special Chief Executives prize was also awarded, as was an overall Council Employee of the Year award.

2.10 Increase diversity in the workforce

2.10.1 The proportion of employees from Black and minority ethnic (BME) communities has increased to 1.41% (from 1.23% the same time last year) and means we have exceeded our target by 0.10% - around 45 full time equivalents. We have also changed our recruitment practices in response to issues highlighted by equality impact assessment and have gone on to hold a highly successful recruitment event (Your Council, Your Career) where over 9% of people attending were Black or minority ethnic - far higher than the 6% BME census figure for Norfolk.

2.10.2 There has been a strong focus on encouraging younger people into the workforce during the course of the last year resulting in an increase in requests for work experience. A total of 114 recorded requests were received in the last year and of those requests, 69 placements have been offered so far – with 47 offered in quarter 4, compared to 9 in the 1st quarter of the year. In addition, we achieved good representation of younger groups at the key recruitment fair with 8.16% of people attending the “Your Council, Your Career” event were aged 20 years old or below.

2.10.3 However, our end of year data shows that the number of employees declaring a disability under the DDA definition is 2.13%, which means we have not met our target of 2.54%. In real terms the actual number of disabled employees has increased over the course of 2008/09 however more work needs to be done in this area and we have set up a working group to look at disability issues across the organisation involving various stakeholders including managers, disabled employees, Access to Work, NPS and CHS.

2.10.4 In October 2008 we carried out a staff diversity survey on equality in the workplace and we have taken action in response to issues raised. For example, we have made changes to include diversity in our employee Competency Framework, have

introduced a new e-learning & development package on equality and have become a Stonewall Diversity Champion to better support lesbian, gay and bisexual employees.

3 Revenue Budget 2008/09 final out-turn

3.1 The overall Revenue Budget for this panel for 2008/09 was a net expenditure budget of £27.832M. The overall budget comprised of spending on a number of service departments amounting to £35.667M. This was offset by the Finance General net income budget of (£7.835M). Details are set out in the table below which shows the final adjusted budget, as at the end of March 2009, and the final outturn for the year for each department.

3.2 Revenue Budget Outturn 2008-2009

	Adjusted Budget £M	Outturn £M	Variation From Adjusted Budget (Under)/Over £M
Chief Executive's	33.074	33.057	(0.017)
Property Services	2.593	2.593	0.000
Total excluding Fin.Gen.	35.667	35.650	(0.017)
Finance General (net income)	(7.835)	(8.841)	(1.006)
Total	<u>27.832</u>	<u>26.809</u>	<u>(1.023)</u>

3.3 Chief Executives – (£0.017M)

3.3.1 The Chief Executive's total budget included £5.737M net expenditure budget for Corporate Finance and £1.459M net expenditure budget that related to Coroners, Elections and Registrars.

3.3.2 To date, the expenditure on Local Government Review, some £0.425M, has been contained within existing departmental budgets. In 2007/08, the Council allocated an additional £0.250M for LGR work but activity was managed such that there was no need to draw on this sum and, it contributed to the overall Council underspend in 2007/08.

3.3.3 The focus on important Council priorities such as performance improvement has been maintained by utilising some extra capacity and specialist expertise, for example, in helping to produce the seven affordability workbooks.

3.3.4 Unavoidable expenditure to date has supported activity including responding to the Boundary Committee's invitation to develop unitary concepts, responding to

concepts submitted by the District and City Councils and, developing further a shared services business case, which can also be used to support work for an improved status quo. Following the Boundary Committee's draft proposal, additional questions were responded to, extensive consultation was undertaken with stakeholders and, seven affordability workbooks were prepared in order to cover the various potential alternative authorities.

3.3.5 Expenditure also includes preliminary planning for change, should it occur. This is necessary given the limited implementation period should unitary government be established. At this stage, it is hoped that any further necessary expenditure can also be contained within existing budgets.

3.3.6 Overall, there was an underspend of (£0.017M) for the component elements of the Chief Executive's budget; this related to savings on staff vacancies within the department.

3.4 **Property Services** – £0.000M

3.4.1 At Cabinet on the 10th November, it was agreed that £0.196M of the County Hall rates refund could be utilised to offset overspends within Property Services. An overspend of £0.126M arose as a result of additional costs to remove asbestos and demolish a property which is part of the airport industrial estate in which the County Council has a 60% interest. The remaining £0.070M overspend related to increased energy costs for Office Accommodation due to the increased costs of gas and electricity in 2008/09. This resulted in an overall breakeven out-turn.

3.5 **Finance General**– (£1.006M)

3.5.1 The Finance General budget showed a net overall underspending of (£1.006M). This comprised of the following main variations:

3.5.2 Interest rates are monitored continually to determine advantageous borrowing and investment opportunities. Additional income was received due to higher interest rates earlier in the year and due to the level of cash balances being higher than that assumed in the budget (mostly due to slippage in the capital programme). In addition, the draw down of borrowing was different to that assumed when the budget was set and generated a saving. The interest receipts of £1.914M reflect recent reductions in the base rate and the fact that the outstanding 2008/09 interest due on the Icelandic banks' investments will not be paid and will need to be written off.

3.5.3 Slippage in the 2007/08 capital programme resulted in a revenue saving of (£0.564M) due to a revised debt repayment calculation after the 2008/09 budget was approved.

3.5.4 As approved by Cabinet on the 14th April 2008, the 2007/08 building maintenance overspend of £0.332M was recovered from the additional £0.500M allowed for building maintenance in the 2008/09 budget.

3.5.5 On the 11th August 2008, Cabinet approved the virement to Children's Services of £1.000M to fund the implementation of a full cost recovery approach to Public Law Family Fees, which was not included in the 2008/09 budget.

- 3.5.6 On the 11th August 2008, Cabinet also approved the virement of £1.229M to Adult Social Services to fund a shortfall on the Learning Difficulties Pooled Fund, which was not known about when the 2008/09 budget was approved.
- 3.5.7 On the 13th October 2008, Cabinet approved the virement of £0.250M to Planning and Transportation to fund one-off costs to support the King's Lynn Community Infrastructure bid.
- 3.5.8 A rates refund of (£0.600M) was received in respect of County Hall. On the 10th November 2008, Cabinet approved the use of £0.300M of this for building maintenance, £0.070M to meet additional energy costs on office accommodation and, £0.126M for asbestos removal and demolition costs at Hurricane Way.
- 3.5.9 There was a saving of (£0.585M) on the Second Homes budget due to a reduced Second Homes Collection Fund surplus.
- 3.5.10 The County Council also received £0.627M of Local Authority Business Growth Incentive Scheme (LABGI) funding for 2008/09. At County Council on the 16th February 2009, it was proposed that £0.280M of this be spent on building maintenance schemes, £0.200M be allocated to Norfolk Guidance Service to support a two-year programme for individuals who are made redundant but are ineligible for other government support projects, £0.125M be given to Citizens Advice Bureaux for additional debt advisors and £0.020M be used to help further promote the services and advice available in Norfolk to help Norfolk businesses.
- 3.5.11 Additional income of (£0.332M) was received from the NORSE Group.
- 3.5.12 Additional costs of £0.350M relating to Carrow House were also met from the Finance General budget. Following the asbestos release at Carrow House, additional costs were incurred for file scanning which were not covered by insurance or reclaimable from the contractor.
- 3.5.13 Other miscellaneous savings accounted for additional net income of (£0.002M).

3.6 Icelandic Banks

- 3.6.1 In October 2008, the County Council, alongside a number of other local authorities, had deposits in various Icelandic banks with a range of payment due dates. In the week beginning 6th October 2008, a number of Icelandic banks went into administration.
- 3.6.2 Based on the current information and advice available, the County Council will be making claims to the Icelandic bank administrators of £33.884M (£32.5M principal plus interest to the date of the claims) and is due, on the basis of current information, to recover an estimated £27.898M, i.e. a potential loss of £5.986M. The interest element of the claim of £1.384M has already been accounted for and written off in

the 2008/09 accounts in accordance with government legislation and accounting standards. There is a potential further cash loss of £4.602M.

- 3.6.3 In accordance with the guidance, the Council has made an appropriate level of impairment for each bank within the 2008/09 Statement of Accounts. Affected local authorities are not required to charge their impairment loss to the General Fund balance in 2008/09 or 2009/10. The Council has taken advantage of the regulations to defer the impact of the impairment on the General Fund until 2010/11.
- 3.6.4 When more information becomes available from the administrators regarding the amounts to be recovered, it is likely that the assumptions used to calculate the above figures will change and the estimated loss will need to be revised. This may decrease or increase the estimated loss. The accounting treatment relating to the loss was detailed in the covering report to the Statement of Accounts presented to the County Council's Audit Committee on the 29th June 2009.

4. Reserves and Provisions

- 4.1 For Reserves and Provisions (as reported monthly to Cabinet in Annex A), a final statement is set out below, followed by an explanation of movements on the reserves and provisions.

Reserve / Provision

	Balance 31.03.08 £M	Balance 31.03.09 £M	Movement £M
Building Maintenance	0.341	0.550	0.209
Insurance Provision	6.360	6.173	(0.187)
Insurance Reserve	0.013	0.000	(0.013)
IT Earmarked Reserve	5.838	5.059	(0.779)
Repairs and Renewals Fund	0.040	0.252	0.212
Usable Capital Receipts	1.140	1.222	0.082
Industrial Estate	0.076	0.044	(0.032)
Interest Equalisation	3.072	0.000	(3.072)
Capital Funding Reserve	4.363	3.846	(0.517)
Affordable Housing & County Strategic Partnership	1.790	1.283	(0.507)
LPSA Pump Priming	0.332	0.000	(0.332)
Redundancy & Pension Reserve	1.559	0.984	(0.575)
Modern Reward Strategy Reserve	6.588	6.210	(0.378)
Strategic Ambitions Reserve	3.905	2.902	(1.003)
Modern Reward Strategy Provision (for 2007/08 & 2008/09)	7.708	17.219	9.511
Organisational Change Reserve	0.000	3.442	3.442
Total	<u>43.125</u>	<u>49.186</u>	<u>6.061</u>

- 4.2 **Building Maintenance Fund**
During 2008/09, £0.300M of the County Hall rates refund and £0.280M of LABGI funding was transferred into the Fund for additional building maintenance works; the balance of this funding will be spent in 2009/10.
- 4.3 **Information Technology Reserve**
£4.444M of the balance is held in respect of e-services and relates to the delivery of the ICT Medium Term Plan, the Efficiency Programme and Customer Services initiatives in 2009/10 and beyond.
- 4.4 **Usable Capital Receipts**
The level of money held is dependent on the level of receipts used in the funding of the Capital Programme.
- 4.5 **Industrial Estate**
The balance reflects the anticipated restoration costs that will need to be met when the North Walsham industrial estate lease expires in 2009.
- 4.6 **Interest Equalisation Reserve**
New accounting requirements mean that this reserve is no longer required and the movement reflects the use of the reserve as approved by County Council on the 16th February 2009.
- 4.7 **Capital Funding Reserve**
The reduction reflects funding of the 2008/09 Capital Programme and the balance will be used to fund future Capital Programmes.
- 4.8 **Affordable Housing & County Strategic Partnership Reserve**
This represents monies not yet spent in accordance with the agreement reached through the Norfolk Local Government Association.
- 4.9 **LPSA Pump Priming Reserve**
The balance on this reserve is no longer required and the movement reflects the use of the reserve as approved by County Council on the 16th February 2009.
- 4.10 **Redundancy & Pension Reserve**
This relates to funding for anticipated costs arising from the restructuring of services.
- 4.11 **Modern Reward Strategy Reserve**
The reserve is to assist with the implementation of the Single Status Agreement and includes funds set aside for additional Modern Reward Strategy project team costs, which may arise in 2009/10.
- 4.12 **Strategic Ambitions Reserve**
Formerly the "Invest to Save/ Invest to Improve Reserve", this was renamed the Strategic Ambitions Reserve during 2008/09 to reflect that the reserve is to be used to promote and progress the Council's strategic ambitions. Consideration will also be given to drawing down funds from the reserve on an invest to save basis where such investment supports delivery of the strategic ambitions. Proposals for the use of the reserve were presented in a detailed report to Cabinet in April 2009.

4.13 **Modern Reward Strategy Provision**

The payments relating to the Modern Reward Strategy were not made during 2008/09 so, the forecast reflects the funding set aside for both 2007/08 and 2008/09.

4.14 **Organisational Change Reserve**

At its meeting on the 16th February 2009, County Council approved the use of the remaining balances on the LPSA Pump Priming and Interest Equalisation Reserves for other purposes. The combined balances were placed in a new "Organisational Change Reserve" and it was agreed that £0.605M will be used to fund the one-off cost of the June 2009 elections. The remaining balance will be used to provide one-off funding to support and invest in the transformational change e.g. shared services, which the Council faces from 2010 onwards. Such change will be necessary to meet the expected very tight squeeze on our finances irrespective of whether or not Local Government Review happens.

5. **Capital Budget 2008/09 final out-turn**

5.1 The final 2008/09 capital out-turn is summarised in the table below.

Capital Budget Outturn 2008/09

Department	Budget	2008/09 Final Out-turn	Movement to future years/ underspend
	£M	£M	£M
Chief Executive's (ICT)	2.089	0.030	(2.059)
Chief Executive's (Corporate HR)	0.005	0.004	(0.001)
Corporate Finance	3.222	3.130	(0.092)
Offices	2.607	1.145	(1.462)
Property Management	2.280	1.989	(0.291)
Corporate Minor Works	0.906	0.866	(0.040)
Total	<u>11.109</u>	<u>7.164</u>	<u>(3.945)</u>

5.2 The budget for 2008/09 is the approved budget adjusted for 2007/08 slippage.

5.3 **Chief Executive's (ICT):** (£1.732M) of the movement to future years relates to the Modern Social Care project and (£0.327M) relates to the IHRIS project. In both cases, phase 2 of the projects has not yet started.

5.4 **Chief Executive's (Corporate HR):** the (£0.001M) underspend relates to the fact that all requested units in respect of the Safety for Lone-workers scheme have now been issued.

5.5 **Corporate Finance:** the (£0.092M) underspend relates to the Great Yarmouth Outer Harbour project which has been completed within budget.

- 5.6 **Offices:** of the total (£1.454M) movement to future years, (£0.315M) relates to alterations to offices to comply with the Disability Discrimination Act and (£1.061M) relates to Fire Safety requirements. Due to the ad-hoc nature of works funded from these budgets, the residual funding will now be spent in 2009/10 with work already scheduled at various properties. A further (£0.075M) relates to work on temperature control in the Data Centre at County Hall which will now be funded in 2009/10. The completion of modifications at a number of other offices will now take place in 2009/10 with a total balance of (£0.042M) being carried forward to 2009/10. There was also an overspend of £0.039M relating to modifications to the 7th floor at County Hall which will be carried forward and funded in 2009/10. This movement to future years is offset by minor underspends totalling £0.008M.
- 5.7 **Property Management:** of the total (£0.291M) movement to future years, (£0.112M) relates to the Norwich Bus Station Site and (£0.157M) to the Corporate Asset Management Development Five Year Programme for both of which further work will be financed in 2009/10. The remaining (£0.022M) relates to work on adopting roads to the Highways network that serviced a number of Police houses, this is being carried forward until discussions between NPS Estates and Planning & Transportation have been finalised.
- 5.8 **Corporate Minor Works:** of the total Corporate Minor Works budget, (£0.040M) was not allocated out to specific projects in departments during the course of the year and will be carried forward to 2009/10.

6. Equality Impact Assessment (EqIA)

- 6.1 This report is not directly relevant to equality, in that it is not making proposals that will have a direct impact on equality of access or outcomes for diverse groups.

7. Section 17 Crime and Disorder Act

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

8. Action required

- 8.1 The Overview and Scrutiny Panel is asked to comment on the report and consider any actions that may be needed.

Officer Contacts:

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 Harvey Bullen or Linda Bainton on 0344 800 8020 or 0344 800 8011 (textphone) and we will do our best to help.

*** Score Key (Prism)**

- ★ Performance is at or better than target
- Performance is within 5% of target
- ▲ Performance is more than 5% worse than target

A. Customer Focus					
	Actual 07/08	Target 08/09	Year End (Mar -09)	Score*	Comment
Level of compliance with the Equality Standard (Levels 1 to 5)	-	3	3	★	See paragraph 2.1.1
% of residents who feel they can influence decisions (NI 4)	-	Baseline to be established	32.3	★	See paragraph 2.4.3
% of people who feel they have been treated with respect and consideration by local services (NI 140)	-	Baseline to be established	77.6	★	See paragraph 2.4.2
% of customer contacts that are of low or no value to the customer avoidable contact (NI 14)	-	Baseline to be established	22.6	★	See paragraph 2.4.5
% of residents who are satisfied with the way their local council runs things	60	Top quartile	51.4	★	See paragraph 2.4.1
% of people who have complained who are satisfied with the way the complaint was dealt with	34	35	37	★	See paragraph 2.3.2
Achievement against customer care standards	-	Systems to be established	Systems in place	★	See paragraph 2.5.3

*** Score Key (Prism)**

★ Performance is at or better than target

● Performance is within 5% of target

▲ Performance is more than 5% worse than target

B. Value for Money					
	Actual 07/08	Target 08/09	Year End (Mar -09)	Score*	Comment
Level of Use of resources judgement in the Comprehensive Area Assessment (Levels 1 to 4)	3	3	3	★	See paragraph 2.8.1
% of residents who agree or strongly agree that their local council delivers value for money	-	Top quartile	Top quartile	★	See paragraph 2.8.3
Compliance with the Good Governance Standard (Yes/No)	Yes	Yes	Yes	★	See paragraph 2.8.2
% invoices paid by authority within 30 days	94	90	96.50	★	See paragraph 2.7.1
Value of orders processed through iProc (£)	89.5m	130m	103m	▲	See paragraph 2.7.2
Value for Money - total net value of on-going cash-releasing value for money gains that have impacted since the start of the 2008-09 financial year (£m) (NI179)	£10.82m	£14.00m	£14,65m	★	See paragraph 2.6.1
Forecast budget spend against Revenue budget (£)	-£2.226m (-0.46%)	0 to -0.5%	-£0.459m (-0.09%)	★	-
Forecast budget spend against adjusted Capital budget (£)	£40.467m (-18.2%)	0 to -10%	-£34.485m (-18.3%)	▲	-

*** Score Key (Prism)**

★ Performance is at or better than target

● Performance is within 5% of target

▲ Performance is more than 5% worse than target

C. Workforce					
	Actual 07/08	Target 08/09	Year End (Mar -09)	Score*	Comment
Average number of days employee sickness	9.11	8.5	9.18	▲	See paragraph 2.9.3
% Employee turnover	13.20	13.20	12.19	★	See paragraph 2.9.2
% Employees with a disability	2.16	2.54	2.13	▲	See paragraph 2.10.3
% Employees from black and minority ethnic communities	1.23	1.3	1.41	★	See paragraph 2.10.1
% Employees who think change is well managed	16	35	24	▲	See paragraph 2.9.5
% Employees who have had an appraisal	64	100	77	▲	See paragraph 2.9.5
% Employees who are advocates of the Council as an employer	46	50	59	★	See paragraph 2.9.5

Efficiency Savings Programme

This report provides a review of progress against the Council's 2009-2010 efficiency targets

Report by the Director of Corporate Resources

1 Introduction

- 1.1 Norfolk County Council (NCC) is realising efficiencies through projects in an Efficiency Programme and other initiatives, in order to balance its budget without the need for cuts to frontline services.
- 1.2 To ensure services do not need to be cut, efficiencies in addition to those planned through the efficiency programme need to be realised. A target of £14m per annum in capital and revenue efficiencies has been set in 2009-2010
- 1.3 Efficiency is achieved when more service is provided for the same cost, the same service is provided for less cost, or a combination of the two.
- 1.4 Details of current progress against the annual target 2009-2010 are shown in the Annual Efficiency Statement (AES) at Appendix A.
- 1.5 The 2008-2009 target of £14m was exceeded with end of year achievement of £14.651m details of which are shown at Appendix B

2 The Efficiency Programme

2.1 The Efficiency Programme includes the following projects:-

- Adult Social Services (ASSD) Assessment & Care Management Review
- Capital Programme Efficiencies
- Carbon Management Programme
- Modern Social Care
- Strategic Planning and Transportation (P&T)
- Passenger Transport Planning
- Procurement
- Support Services Review

3 Efficiency Programme Projects – Progress Update

3.1 Progress of the eight projects currently in the Programme is summarised below.

3.2 Assessment & Care Management Review

3.2.1 Summary

The aim of the review is to develop a more effective approach to Assessment and Care Management that will deliver a more enabling service, promoting independence, choice and control and to roll-out Individual Budgets to our service users.

3.2.2 Progress

- Recruitment to the new Target Operating Model (TOM) structure commenced at the beginning of June. Heads of service and locality managers have been appointed. Team manager interviews commenced 29th June and the overall process is due to complete at the end of September
- The Efficiency Team are supporting the creation of a benefits realisation plan to ensure that efficiencies delivered from the restructure are tracked and understood.
- The development of a customer pathway to support an improved, efficient way of working in respect of the traditional pathway and one that facilitates Self-Directed Support is 80% complete.
- Financial processes to support the new arrangements and the delivery of personal budgets are currently being designed
- The locations for the central and satellite 'front door' services have been agreed – Vantage House will be the hub with Ferry side at Great Yarmouth and Priory House in Kings Lynn being the satellites
- Planning and design activities are currently underway in readiness for the next phase of implementing the target operating model.

3.3 Capital programme efficiencies

3.3.1 Summary

The aim of this initiative is to maximise and demonstrate efficiency savings in the capital construction programme by a reduction in costs or an increase in added value.

3.3.2 Progress

- The current capital programme will not have many projects on site this year and hence the opportunity to deliver significant efficiencies is limited
- However the existence of a framework of constructors based on partnership does enhance the ability for identifying partnering benefits that provide 'added value' or efficiencies in construction approaches and methods.
- A senior manager has the responsibility to ensure regular knowledge sharing and review activities are undertaken and to create a forum of best practice exchange within the practice. Information sharing is also being undertaken across the 'four counties' network. These initiatives will assist in identifying further efficiency opportunities.

3.4 Carbon Management Programme

3.4.1 Summary

The Carbon Management Programme (CMP) aims to reduce the carbon emissions generated by the Authority and those with whom we trade, with the intention of reducing cost and environmental impact.

3.4.2 Progress

- The carbon reduction commitment (CRC) is an escalating agenda and actions are currently underway to position the organisation to meet the challenges and maximise efficiency opportunities.
- The governance structure for the CMP is now in place and both the Programme Board and the Carbon Management Group (CMG) meet regularly.
- Four key areas (initially) have been identified - Buildings, Schools, Communications and Street lighting for support by the Carbon and Energy Reduction Fund (CERF) which has been launched to allow technical improvements to buildings to be funded. These improvements will contribute to the yielding of future cost savings over various timescales.
- NCC will take part in "Small Changes Big Difference" week commencing 13 July and a series of events will be held to raise awareness. 'Talk Freely' scheme under construction, which will allow staff to comment on and suggest improvements for our carbon management work.
- The target set in conjunction with the carbon trust of 25% reduction in CO₂ emissions from County Council operations by 2013 is likely to be revisited following the data analysis currently being undertaken to support NI185 (organisational carbon footprint performance framework)

- The Climate Change Programme Board agreed cross-department business mileage reduction target of 10% be introduced in 2009-10. The Carbon Management Group will devise the implementation plan and early thoughts are to launch during July, to coincide with Climate Change week.

3.5 Modern Social Care (MSC)

3.5.1 Summary

The MSC programme is a series of projects to implement a replacement social care system to standardise business processes using modern technology in both adults' and children's services. It provides a long term capability for social care to meet changing government requirements. The core system for case management including the receipt, provision and review of care went live in November 2007.

3.5.2 Progress

- Phase two is the finance element of the programme and the finance project plan was presented to the programme board on 2nd July and the board agreed to Launch phase two. The initial programme mobilisation will commence with recruitment in August and the first package 'go live' date is planned for April 2010, subsequent packages will be delivered thereafter to an agreed timetable.
- It has been agreed by the gateway review team that the Electronic Document Management Records System (EDMRS) project would go forward and work is progressing on the set-up of a project under a recently appointed project manager
- The mobile and flexible working pilot commenced on 1st April 2009 for 32 staff in the Northern Locality. Social workers are utilising mobile technology to allow access to systems from home, a GP's surgery, their office and a library. The trial is due to end in August and a review report will be prepared in September.

3.6 Passenger Transport Network Planning

3.6.1 Summary

The Passenger Transport Network Planning project aims to deliver transport efficiencies by improved utilisation of vehicle resources whilst meeting client needs.

The project has four work-streams:

- Integration of transport with Health and the voluntary sector.
- Norfolk County Services (NCS) Fleet – to ensure efficient use of the fleet including school journeys.

- Small vehicles – improvements to the planning and tendering of small vehicle services.
- Procurement of transport, both spot and long term contracts.

3.6.2 Progress

- The co-location of transport planners has been undertaken as part of the integration activity. A shared call centre has also been created with the East of England Ambulance Trust. This is the first such initiative in the UK.
- An action plan has been produced for further integration between Health (Ambulance Trust) and Social Care (NCC).
- NCS fleet opportunities are now being explored with regard to day services reviews.
- Investigations are underway into more efficient ways to procure small vehicle contracts. E-procurement and contract paperwork has been reviewed. This work links with the procurement teams activities and the Support Services Review procurement workstream.
- Investigations are underway into unavailable school routes / walking routes and the opportunities of saving transport costs through the implementation of infrastructure improvements.
- Savings in the region of £383k were made in 08-09 and are included within Adults and Children's Services reported figures.
- There have been some non-financial benefits realisation in that staff time is being saved through procurement changes and customer service is being improved through an integrated adult care team.

3.7 Planning and Transportation (P&T) Strategic Partnership Efficiencies

3.7.1 Summary

This includes a staff suggestion scheme based initiative programme which is designed to realise efficiencies. Both P&T Partners and NCC staff participate with shared benefits.

3.7.2 Progress

- Improved partnership working is seen and demonstrated by the recent Partnership Review. Following several workshops, supported by the Efficiency Team, improvement priorities have been identified across the partnership, which should lead to cashable and non-cashable efficiencies. Key priorities are focused on the improvement of processes, engagement and delivery.

- The proposed programme of work, supported in part by the Efficiency Team will include internal process reviews, investigation of procurement and supply chain processes across the partnership, further simplification of the initiative process, improved communication and cross partnership learning.
- Partners have demonstrated their commitment to the innovation programme by investing some of their share in efficiency gains in officer time to help deliver efficiencies within the P&T Partnership. They have targets to exceed that investment for 2009/10.

3.8 Procurement

3.8.1 Summary

The procurement project is designed to deliver efficiencies in terms of financial savings and in improving the effectiveness and professionalism of procurement within the Council.

3.8.2 Progress

- The review of 2008/09 has been agreed by the Corporate Procurement Panel and an efficiency amounting to £1.609 m is being reported to CAOSP in July.
- New Savings Target of £1m for 2009/2010 Workplan has been agreed by Corporate Procurement Panel to go to CAOSP meeting in July.
- The procurement project of the Support Services Review programme will constitute a major element of this years work, together with improvements in sustainable Procurement and the further embedding of e-procurement technology
- Procurement related savings to date for 2009/2010 are £97,750.
- An i-procurement target of £130m throughput has been set for this year. An improvement action plan is in draft and being discussed with departments
- The development of an e-tendering solution to deliver process improvements is progressing to plan. The invitation to tender for the platform has been completed and tender evaluation is underway

3.9 Support Services Review

3.9.1 Summary

The Support Services Review (SSR) considered options for how Finance, Procurement, Information and Communication Technology (ICT), and Human Resources (HR) could be delivered in the future and Cabinet made the decision to move to a shared services model. This programme aims to implement the foundations of that model.

3.9.2 Progress

- Individual Project Boards for the ICT and Procurement projects have now been established to provide tighter governance of the implementations. Work is commencing with Finance to scope the next phase of development
- A dedicated communications resource is being recruited to support the implementation and a change management strategy is currently being developed to assist the implementation of all SSR projects.

3.9.3 **ICT** - The ICT Project aims to bring together the currently separate, departmental ICT teams and the central ICT service ("Charles House Services") into a single function to provide ICT services to the whole of the authority.

- The benefits of this are improved alignment of the ICT service to emerging business needs, improved management of existing resource and reduced need for external support as well as some reduction in staff costs.
- There are currently two key streams of activity; the first is the development of the detailed structure for the new ICT service including job profiles for new/changed posts and an overall structure in line with the Target Operating Model. This proposed new structure will be submitted for moderation by the MRS panel at the end of July in order to ensure the grading etc is in line with other parts of the organisation.
- The second stream of activity is agreeing with departments which staff are in scope for the new ICT services. The majority of staff have now been identified and it is intended that this activity will be complete by the end of July.
- The next stage in the project is to bring the two streams together and undertake a selection and assessment process to fill the roles in the new structure. It is planned that this will be complete by the end of the calendar year with the new service launching April 2010.

3.9.4 **Procurement** – The SSR procurement project board has endorsed option 3 of the business case detailing the implementation of a new approach to procurement. At the time of writing, the business case was due to be submitted for approval at the SSR programme Board on the 13th July. Subject to approval the next step will be to proceed to a detailed design of new processes and controls, including the implementation of a category management approach to procurement

3.9.5 **HR** - The new HR@Norfolk (PeopleNet) web-based information will be more user friendly and reduce the need to consult HR advisors over day to day matters. The final checks are being made for a planned launch at the end of July

- **HR** -The organisational charting software (ORG +) to automatically produce organisational charts from electronic records, is now installed and data cleansing has started to ensure charts accurately reflect team structures and complement.
- **HR** -Work has commenced on scoping the next phase of development leading towards a self service provision
- Each of the above HR activities will bring operational efficiencies in terms of saving managers time, HR professionals' time and opportunities to focus professional HR resource onto higher value work.

3.10 Other areas of efficiency

- Efficiencies continue to be realised and identified in addition to those targeted within the efficiency programme.
- For example ICT efficiencies have been realised in 2008 –2009 amounting to £1.958m. These savings have been re-invested and support ICT initiatives such as the desktop refresh programme.
- The 2009 - 2010 Efficiency Team Service Plan has been developed with key activities and initiatives identified to further assist the organisation to achieve the required efficiency targets.
- Support is also planned to enable service heads, team managers and all colleagues to identify and deliver efficiency improvements within their areas. This support will be provided in a number of ways -
 - The Efficiency Team will deliver three value for money training courses during the year. These courses provide access to the efficiency vfm 'toolkit' and ongoing support and development through action learning sets
 - Project managers within the Efficiency Team will deliver corporate project management training & development courses. This then helps create a strong link between operationally based project managers and their peers in the Efficiency Team leading to greater opportunities for skills transfer and to implement the efficiency agenda

4 Financial savings

The provisional capital and revenue savings targets for the three years are as follows.

Norfolk County Council AES Provisional targets				
Total '000	2008/09	2009/10	2010/11	Total
CLG Target 2008/09	13,770			13,770
CLG Target 2009/10		14,229		14,229
CLG Target 2010/11			19,532	19,532
CLG Target Total	13,770	14,229	19,532	47,531
AES Target	14,000	14,000	19,500	47,500
Projected 2008/09	14,651			14,651
Projected 2009/10		14,892		14,892
Projected 2010/11			0	0
Achieved Total	14,651	14,892	0	29,543

5 Risk Management

- 5.1 Strong governance and reporting arrangements that have been commended by the Audit Commission remain in place. A key element of this is the monthly review meeting of Chief Officers (COG) when they, as project sponsors, lead the discussion using efficiency programme project status reports and the change programme status reports detailing progress by activity and outcome.
- 5.2 An informal Member steering group, comprising the Council Leader, Deputy Leader, Leader of the Liberal Democratic Party, Leader of the Labour Party, and the Cabinet Member for Corporate and Commercial Services oversee the Programme.

6 Financial Implications

- 6.1 Failure to meet the 2009/2010 targets may require the Council to find alternative efficiencies or make reductions in services.

7 Section 17 Crime and Disorder Implications

- 7.1 There are no direct implications arising from this report.

8 Equality Impact Assessment

- 8.1 Equality Impact Assessments are carried out within the individual projects.

9 Action Required

- 9.1 Members are asked to comment on the progress of the Council against its efficiency targets as set out in this report.

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Appendix A - Progress to date 2009-2010

Efficiency Projects & AES Savings 09/10		
Detail	Within 09/10 Budget	Latest Forecast
	£	£
CHILDRENS SERVICES		
Home to School Transport Efficiency Savings	780,000	780,000
CAMHS Savings	30,000	30,000
Childrens Fund non-filling of vacant posts	120,000	120,000
Reduce LAC adolescent numbers	935,000	935,000
2008/09 Slippage		923,000
Staff Savings - 20 FTEs	305,000	305,000
Other Budget Savings	100,000	100,000
SEN Transport Expenditure	340,000	340,000
MSC Scanning Cost savings	150,000	150,000
Primary School Computing	70,000	70,000
TOTAL	2,830,000	3,753,000
ADULT SOCIAL SERVICES		
MSC and Care Management Review	1,500,000	1,500,000
LD Savings from Priority Based Budgeting	940,000	940,000
Externalisation of home support services	821,000	821,000
Day Opportunities savings	500,000	500,000
TOTAL	3,761,000	3,761,000
PLANNING & TRANSPORTATION		
Economic Development savings	4,000	4,000
Street Lighting PFI	-	-
Partnership savings	-	500,000
TOTAL	4,000	504,000
TRADING STANDARDS		
Other Consumer Services Vacancy Management	20,000	20,000
TOTAL	20,000	20,000
CULTURE		
Library Admin efficiencies - Electronic Processing	100,000	100,000
Library delivery vehicle savings	30,000	30,000
Library Lease Funding no longer required	20,000	20,000
Museum Efficiencies	10,000	10,000
Gressenhall Rates Reduction	35,000	35,000
Castle Security Savings	10,000	10,000
Leasing Great Yarmouth Museums	11,000	11,000
Adult Education Service Efficiency Programme	83,000	83,000
TOTAL	299,000	299,000
OTHER		

Review of IT Contracts	225,000	225,000
Various Chief Executives post savings	51,000	51,000
Various Chief Executives service savings	23,000	23,000
Corporate Finance Insurance Premium savings	400,000	400,000
Corporate Finance Restructuring savings	100,000	100,000
IT Strategy Savings		2,360,000
Procurement Savings		1,000,000
Capital Savings from NPS	-	-
Rates Savings	150,000	150,000
Finance General Review of Income	86,000	86,000
Contribution to General Balances no longer required	2,160,000	2,160,000
TOTAL	3,195,000	6,555,000
GRAND TOTAL	10,109,000	14,892,000

Efficiency Projects & AES Savings 08/09

Detail	Within 08/09 Budget	Outurn
	£	£
CHILDRENS SERVICES		
Home to School Transport Efficiency Savings	250,000	250,000
Social Care Transport Savings	50,000	50,000
LAC - Additional Foster Carers	267,000	-
Reduce LAC adolescent numbers	656,000	-
LAC Family Group Conferences	370,000	110,000
Review of Placements for LAC		2,304,000
Special Guardianship	38,000	38,000
SEN Transport Expenditure	340,000	340,000
MSC Admin Staff saving	437,000	237,000
MSC Social Service Staff saving	800,000	800,000
Connexions Service efficiency	150,000	150,000
TOTAL	3,358,000	4,279,000
ADULT SOCIAL SERVICES		
Remodelling of Home Support Services	940,000	800,000
Modern Social Care and Management of Staff Vacancies	266,000	-
Increased joint working with PCT	200,000	200,000
LD Savings	1,536,000	-
Remodelling of Day Care	500,000	-
Supported Living Externalisation	300,000	-
Procurement savings on Residential Homes		386,555
County Panel Negotiation savings		86,133
Occupational Therapy Stores		321,634
TOTAL	3,742,000	1,794,322
PLANNING & TRANSPORTATION		
NATS/NDR Staff reductions & Equipment	97,000	92,000
Additional Savings on using less expensive waste sites	233,000	233,000
Saving on moving waste to less expensive sites	670,000	670,000
Savings on WEEE at HWRC sites	30,000	-
Savings on Waste Mgmt	240,000	240,000
Abandoned vehicles	40,000	40,000
Housekeeping savings in S&P	51,000	-
Transport Strategy	100,000	-
Street Lighting PFI	346,000	346,000
Partnership savings		315,000
Fleet Savings		
Frictional vacancies removed	550,000	550,000
TOTAL	2,357,000	2,486,000
TRADING STANDARDS		
Other Consumer Services Vacancy Management	8,000	8,000

TOTAL	8,000	8,000
CULTURE		
Library Admin efficiencies	101,000	115,000
Museum Admin staffing efficiencies	15,000	9,000
RBO efficiencies	10,000	-
Security Review Norwich Museums	9,000	-
Record Office savings from natural wastage	15,000	15,000
Procurement Savings		26,622
Adult Education Service Efficiency Programme	53,000	53,000
TOTAL	203,000	218,622
OTHER		
Vacant Posts - Chief Executives	51,000	51,000
Various Chief Executives savings	7,000	7,000
Vacant Posts - Finance	38,000	38,000
Corporate Finance IT budget reduction	25,000	25,000
Reduction in FIMS development Budget	50,000	50,000
Capital Savings from NPS		1,180,008
IT Strategy Savings		1,958,585
Inflation withstanding on BT Contract		500,000
ICT - Adult Ed and QA savings		310,000
Procurement process savings		81,115
Finance General Review of Income	55,000	55,000
Procurement		1,609,300
TOTAL	226,000	5,865,008
GRAND TOTAL 2008 –2009 outturn	9,894,000	14,650,952

Report to Corporate Affairs Overview and Scrutiny Panel

22 July 2009

Item No 15

Risk Management within Norfolk County Council and the Departments of Chief Executives and Corporate Finance

Report by the Chief Executive, Director of Corporate Resources
and Cultural Services, and Head of Corporate Finance

This report updates the Panel on the approach being undertaken to formally manage risk within the services covered by this Panel, as well as corporately across the authority. It includes each service's risk register for consideration, together with the corporate risk register.

1 Background

- 1.1 This report is in accordance with the authority's Risk Management Framework, which requires all departments to report six monthly to their relevant Panel. The aim of these reports is to improve the understanding and governance of risk management activities by Members.
- 1.2 This report provides information on the key risks faced by the departments and the controls in place to manage them.
- 1.3 In addition, we also present the corporate risk register and commentary to enable members of this panel to understand how risks are managed across the authority, whether at departmental or corporate levels.

2 Risk review

- 2.1 The risk registers reflect those key business risks that, if not managed appropriately, could result in the services failing to achieve one or more of their key objectives. The risks that could impact on service delivery have been taken into account in the service planning process for 2009/10.
- 2.2 It is important to note that the register wording is an assessment of events that might occur. If an identified risk did materialise it would then lead to a particular impact/s resulting in a particular consequence/s. The identification of the risk does not mean the event has occurred but it shows consideration has been given to the event and that with the listed

controls in place, the risk is being managed. It should not be seen as an indicator that the service has 'failed' to manage its risks.

- 2.3 The registers are live documents utilising the authority's Performance and Risk Management System (PRISM). They are reviewed regularly by the Risk Owners and reported to and considered by departmental management teams. With the registers being kept as live documents and reviewed regularly, they do change over time – the level of some risks will change, some risks will be removed and new ones will be added.
- 2.4 As an example, the Corporate Finance register contained 3 High and 7 Medium risks at November 2006 whereas now it shows 4 Very High / High, 2 Medium and 2 Low. Certain risks have been removed from the register because the controls that have been put in place mean the risks are now being managed by routine processes and so management no longer need to take a specific interest. Appendices 1 and 2 provide details of the risks of both services as at June 2009.
- 2.5 Any risks deemed to be of corporate significance or that require management at a corporate level are escalated to the Corporate Risk Register where they are monitored by the Chief Officers Group. For the services that report to this Panel these are risk numbers 1, 3 and 8 on Appendix 2 (Deterioration of economic situation, Investments fail to be repaid and Failure to consistently manage financial resources).
- 2.6 The registers show that most of the risks have good or improving prospects of being managed sufficiently to meet the targets (called the "aspiration risk scores"). There are, however, some risks where the prospects of reducing the risk to the target are judged as uncertain or weakening. This is more clearly shown on the Spread of Risk pages at Appendix 4 and 5.
- 2.7 The risks where the prospects are assessed as uncertain or weakening mainly relate to those arising out of the recession or those arising from uncertainties around the outcomes of the Local Government Review for Norfolk.

3 Corporate risk register

- 3.1 As mentioned above in 2.5 the corporate risk register contains those key risks that could impact on the achievement of County Council objectives. Most risks sit at the departmental or service level but those significant ones that are cross cutting, could directly affect key objectives or need to have corporate management are included on the corporate risk register.
- 3.2 The Chief Officer Group reviews the corporate risk register on a quarterly basis. New risks arising, either escalated from departmental registers or new emerging risks, are considered by COG and included

on the corporate register or referred back to a department where relevant.

- 3.3 The corporate risk register is reported to the Audit Committee on a quarterly basis with the last report being on 23 April 2009.
- 3.4 The latest corporate risk register is included at Appendix 3 and reflects the situation at the end of March 2009. A further review by COG is due in the near future.

4 Spread of risk

- 4.1 It is appreciated that sometimes it can be difficult to identify the overall picture from the risk registers due to the significant amount of information contained within them. Attached at Appendices 4 to 6 are graphical representations of the current spread of risk for the services that report to this panel and the authority's corporate risks. The aim is to present a clearer indication of the risks and how they are being managed.
- 4.2 The first image on each page shows the spread of risks by risk classification, from very high to low. The second image shows the spread of risk by prospect of reaching the aspiration target, from good or met target to weakening or poor; in effect how well the risks are being managed.
- 4.3 **Chief Executives risks (App 4)** – The risks are rated as either medium or high. The prospects show that while four of the risks are showing good or improving prospects of meeting the targets, the other three are uncertain or weakening. These reflect the issues mentioned in para 2.7 above.
- 4.4 **Corporate Finance risks (App 5)** – The risks range from two at very high to two at low. The prospects are also mixed with five being at the target score but three showing uncertain positions (see para 2.7 above)
- 4.5 **Corporate risks (App 6)** - This shows that twelve out of the sixteen risks on the register are assessed as high or very high. This is not unexpected as only those risks that are key to delivering our corporate objectives and business need to be managed at this level. The overall assessment of prospects of achieving the target risk levels has deteriorated since we last reported to this Panel with four risks showing a worsening position compared with just two showing a better one. Those risks assessed as worsening are numbers RM0200, RM0207, RM3389 and RM5207. Those showing better prospects are numbers RM0199 and RM0214.

5 Resource implications

- 5.1 **Finance:** There are no direct financial implications arising from this report. However, continuing improvement in the application of risk management within the services will contribute to improving the use of resources, including financial resources, across the services.

6 Section 17 Crime and Disorder implications

- 6.1 While there are no direct implications, the risk management activities within Corporate Finance and other areas do contribute towards maintaining robust controls against the risk of fraud, loss of information and loss of assets.

7 Equalities Impact assessment

- 7.1 This paper does not require a decision or recommendation on a strategy or policy and therefore an equality impact assessment is not considered necessary.

8 Conclusion

- 8.1 Risk Management is now an active and embedded process within the County Council and the services that report to this Panel. The risk registers demonstrate that key strategic and operational risks are being identified and effectively managed.

9 Recommendations

- 9.1 This Panel is asked to consider this report and appendices, and provide any comments in relation to the risks reported and actions identified for the continued embedding of risk management across Chief Executive's and Corporate Finance.
- 9.2 Also advise if the spread of risk appendices provide sufficient clear information on the authority's (and the Chief Executives and Corporate Finance departments) cumulative positions on risk to enable a view to be taken on the overall position.

Officer Contacts













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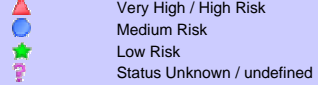



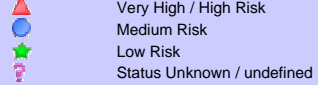




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  Very High / High Risk  Medium Risk  Low Risk  Status Unknown / undefined 											
Risk Report		View Date: 30/06/2009									
Risk No.	Risk Name	Risk Description	Actual Risk Score	Risk Class	Associated Tasks	Progress Description	Aspiration Risk Score	Aspiration Date	Prospect of reducing risk to aspiration score	Relevant Corporate/Service Objective	Risk Owner
1	RM CEX Failure of ICT	The risk of failure of ICT, as a result of a major incident, infrastructure failure or other breakdowns. As NCC is now very ICT dependent in the delivery of services, any prolonged failure would lead to significant disruption.	Likelihood: Possible Impact: Extreme Rating: High 15		<ul style="list-style-type: none"> RM CEX Implement ICT Medium Term Plan RM CEX Improve risk management processes RM CEX Maintain overall ICT Risk Register RM CEX Maintain risk registers for all major ICT projects 	ICT Security Forum meets regularly and areas of high risk are prioritised for action. Implementation of the Medium Term Plan is progressing well, incorporating actions to improve disaster recovery and business continuity	Likelihood: Unlikely Impact: Extreme Rating: High 10	on going	Good	• CP OOA Customer Focus	Paul Adams
2	RM CEX Reduced capacity at Corporate centre	Failure to ensure that there is sufficient capacity at the Corporate Centre as resources are switched to front line services as a result of funding constraints. Leading to key staff becoming overloaded and a failure to drive the organisation forward in key areas, such as performance management and partnership development.	Likelihood: Likely Impact: Moderate Rating: High 12		<ul style="list-style-type: none"> RM CEX Demonstrate value of capacity at centre RM CEX Engage wider group in activities RM CEX Implementation of Leadership Programme RM CEX Prioritising work 	LGR continues to cause some uncertainties and impacts on workload capacity	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	on going	Weakening	• CP OOA Customer Focus	Paul Adams
3	RM CEX Failure to deliver MRS	Failure to successfully deliver and implement an acceptable proposal for the Modern Reward Strategy. Leads to not meeting a national agreement and employee relations issues.	Likelihood: Unlikely Impact: Extreme Rating: High 10		<ul style="list-style-type: none"> RM CEX Project risk log RM CEX Increase project resources RM CEX Re-prioritise HR resources RM CEX Rigorous project management 	The risks around the management of the process have been reduced. The overall package of proposals has been agreed at local level but national unions will not provide ratification or approval due to potential legal challenges and ongoing court cases. Now NCC intends to consult with staff directly. Timetable for ultimate implementation is therefore not certain	Likelihood: Unlikely Impact: Major Rating: Medium 8	uncertain	uncertain	• CP OOC Develop & Support Workforce	Anne Gibson
4	RM CEX Failure to recruit and retain key staff	Failure to recruit and retain key staff could lead to a lack of leadership and possible deterioration of services	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RM CEX Develop key staff RM CEX Implement MRS RM CEX Make NCC an attractive place to work 	The implementation of MRS should address this in the longer term but uncertainties caused by LGR are causing difficulties in the shorter term future. The current economic downturn is actually making recruitment easier in certain categories	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	on going	uncertain	• CP OOC Develop & Support Workforce	Anne Gibson
5	RM CEX Failure to manage sickness absence	Failure to manage sickness absence will lead to reduced levels of productivity and raised costs in covering front-line staff.	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RM CEX Implement IHRIS RM CEX Implement sickness absence policy RM CEX Implement well-being programme RM CEX Introduce managing stress policy RM CEX Sickness management training 	The well-being programme is being refreshed. The implementation of IHRIS will provide more effective management information. New bite-sized training courses for managers are emphasising responsibility for managing absence. However, HR resources are stretched as priority is currently to deliver MRS. HR have sent round guidelines for managing sickness	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	on going	Improving	• CP OOC Develop & Support Workforce	Paul Adams
6	RM CEX Financial deficits	Financial deficits for the trading units (eg CTD, Legal Services) or loss of external income for unforeseen reasons (eg Registrars, Coroners) will lead to budget overspends and reductions in services.	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RM CEX Business planning/monitoring approach RM CEX Reduce exposure 	Regular monitoring keeps this risk under control	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	on going to 31 March each year	Good	• CP OOB Value for Money	Paul Adams
7	RM CEX Failure of Coroners Service to come within budget	The Coroner's Service is demand driven and Coroners are not subject to local authority control or accountabilities in how they carry out their functions. There is the risk that the demands of the service could lead to an overspend on the allocated budget	Likelihood: Likely Impact: Minor Rating: Medium 8		<ul style="list-style-type: none"> RM CEX Better Ways of Working project RM CEX Regular meetings with Coroners 	Regular meetings are held with Coroners service to review ways of working and to identify ways of managing risks. Current projections indicate reduced overspend for the current financial year, but demand can always increase unexpectedly	Likelihood: Unlikely Impact: Minor Rating: Low 4	on going	Improving	• CP OOB Value for Money	Chris Walton

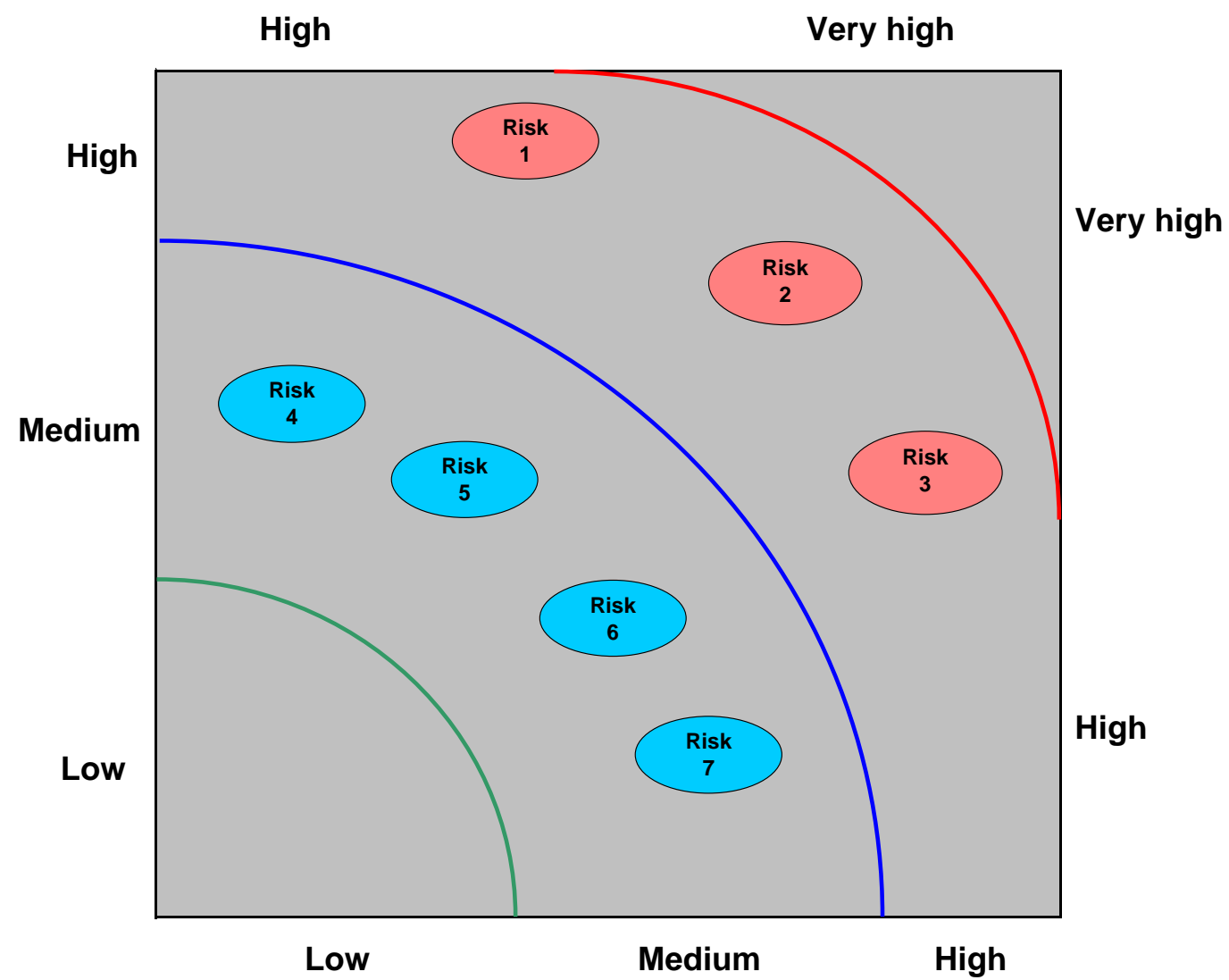
  Very High / High Risk  Medium Risk  Low Risk  Status Unknown / undefined 											
Risk Report		View Date: 30/06/2009									
Risk No.	Risk Name	Risk Description	Actual Risk Score	Risk Class	Associated Tasks	Progress Description	Aspiration Risk Score	Aspiration Date	Prospect of reducing risk to aspiration score	Relevant Corporate/Service Objective	Risk Owner
1	RMCP DF Deterioration of economic situation	Risk that the national and regional economic situation continues to deteriorate. This could lead to an increased likelihood of bad debts and fraud, a reduction in the number of key suppliers and potentially inflated prices for goods and services. It could also lead to increased demand for some services	Likelihood: Likely Impact: Major Rating: Very High 16		<ul style="list-style-type: none"> RMCP DF Monitoring by Chief Officers of the impact on service levels and key suppliers RMCP DF Ongoing monitoring of economic situation and of the level of outstanding debts 	Much of this risk is beyond our control meaning that even with regular monitoring of the general situation and across-the-board planning for adverse impacts, national and international government actions will still be the key influence.	Likelihood: Likely Impact: Moderate Rating: High 12	March 2010	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money CP08 Build vibrant, confident and cohesive communities 	Paul Brittain
2	RM DF Failure to recruit and retain key staff	Risk of failure to recruit and retain key staff across the finance service. Could lead to services (including statutory services) not being delivered at an adequate level, which could impact upon the achievement of key corporate priorities.	Likelihood: Likely Impact: Major Rating: Very High 16		<ul style="list-style-type: none"> RM DF Consider identifying critical posts/staff RM DF Consider successor planning RM DF Implement MRS RM DF Operate People Management Strategy 	Slippage in implementing MRS and the LGR review are leading to increased levels of uncertainty over outcomes. These two issues are also having a significant impact on the ability to recruit suitable candidates for professional posts.	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	annually to 31 March	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money 	Paul Brittain
3	RMCP DF NCC investments fail to be repaid	The risk that NCC investments in financial institutions fail to be fully repaid in accordance with contract terms, leading to loss of interest, loss of investments and potential damage to our reputation	Likelihood: Possible Impact: Extreme Rating: High 15		<ul style="list-style-type: none"> RMCP DF Monitor money markets RMCP DF Ongoing consideration of budgetary implications of any loss of investment RMCP DF Regular reporting to treasury management panel and Cabinet RMCP DF Revision of investment strategy to reflect the current market and risk 	This is a risk that will potentially impact on NCC as a whole, affecting future years budgets and service planning/delivery. It is also highly political. It therefore needs to be closely monitored at the corporate level. The investment strategy has been changed to use overnight facilities with UK institutions and counterparty credit ratings are based on a "lowest common denominator" approach. Efforts continue to recover funds from Icelandic banks	Likelihood: Rare Impact: Extreme Rating: Medium 5	March 2010	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money 	Paul Brittain
4	RM DF Failure to deliver during change	Failure to deliver services effectively while managing, delivering or supporting change programmes. Leads to either change programmes not being delivered appropriately, such as efficiency savings, support services review, etc, or adverse effects on regular service delivery	Likelihood: Possible Impact: Major Rating: High 12		<ul style="list-style-type: none"> RM DF Agree resource plan for projects RM DF Dept to contrib to major projects RM DF Use formal PM guidelines 	Being kept under review by regular scrutiny by Exec board. Corporately there is a more robust approach to all project management - "Gateway 0"	Likelihood: Possible Impact: Major Rating: High 12	annually to 31 March	Met target	<ul style="list-style-type: none"> CP OOB Value for Money 	Paul Brittain
5	RM DF Failure to perform daily TM process	Failure to perform daily Treasury Management process (or part there of) due to system failure, disaster scenario, or unavailability of relevant staff. Leads to: Liquidity Risk - inability to manage cash or insufficient cash to achieve business objectives. Credit/ Counterparty Risk - unable to perform and monitor investment transactions. Risk of financial loss - through error, or inability to invest/manage overdrafts. Impact on business reputation.	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RM DF Create risk register for TM function RM DF Develop Disaster recovery plans RM DF Facilitate TM/Banking seminar RM DF Maintain current controls 	A temporary member of staff has been recruited to restore the numbers of staff to the desired level. Now looking to make this appointment permanent.	Likelihood: Possible Impact: Moderate Rating: Medium 9	annually to 31 March	Met target	<ul style="list-style-type: none"> CP OOB Value for Money 	Nicola Mark
6	RM DF Prevent fraud in the TM area	Failure to prevent fraud in the Treasury Management area	Likelihood: Rare Impact: Extreme Rating: Medium 5		<ul style="list-style-type: none"> RM DF Maintain robust TM systems 	Risk is at target and is being monitored only. The recruitment of a temporary member of staff has corrected the previously identified shortfall, allowing full controls to be in place. The aim is to make this extra person a permanent post	Likelihood: Rare Impact: Extreme Rating: Medium 5	quarterly	Met target	<ul style="list-style-type: none"> CP OOB Value for Money 	Nicola Mark
7	RM DF Failure of fin regs monitoring	The risk that the monitoring and supervision systems for financial regulations could fail. Leading to breaches of legislation, fines, loss of grants, poor audit opinions or poor publicity, whether caused by third party contractors or NCC staff.	Likelihood: Rare Impact: Major Rating: Low 4		<ul style="list-style-type: none"> RM DF Develop Fin Man guidance RM DF Implement Fin Man strategy 	Procedures and any revisions to practices or control mechanisms are now available on the intranet site and all relevant staff are encouraged to check them regularly. There is regular monitoring of the financial systems	Likelihood: Rare Impact: Major Rating: Low 4	annually to 31 March	Met target	<ul style="list-style-type: none"> CP OOB Value for Money 	Harvey Bullen
8	RMCP DF Failure to consistently manage financial resources	Risk of failure to consistently manage financial resources. Effective financial management is an intrinsic element of strong and effective service management. Failures in financial management can impact on delivery of the Council's service priorities. Unplanned overspending results in the need to redirect resources and may require mid year cuts in planned services. Poor financial management also affects the Audit Commission's judgements, particularly 'CPA Use of Resources.'	Likelihood: Rare Impact: Minor Rating: Low 2		<ul style="list-style-type: none"> RMCP Implement Financial Management Improvement Plan RMCP Ongoing review of financial management arrangements RMCP Regular financial monitoring reports to Cabinet and review by COG 	The financial management improvement plan is subject to review by the corporate affairs overview and scrutiny panel. The council has been awarded an overall level 3 for CPA use of resources 2008, including level 3 for financial management. This is categorised as 'performing well', consistently above minimum requirements.	Likelihood: Rare Impact: Minor Rating: Low 2	March 2010	Met target	<ul style="list-style-type: none"> CP OOB Value for Money CP01 Lead a strategic approach to the development of the Norfolk economy CP08 Build vibrant, confident and cohesive communities 	Paul Brittain

 											
Risk Report		View Date: 31/03/2009									
Risk No.	Risk Name	Risk Description	Actual Risk Score	Risk Class	Associated Tasks	Progress Description	Aspiration Risk Score	Aspiration Date	Prospect of reducing risk to aspiration score	Relevant Corporate/Service Objective	Risk Owner
#RM6561	RMCP ASSD CMG Failure to Reduce Delayed Transfers of Care	Failure to reduce delayed transfers of care in Norfolk could result in increased costs, poorer outcomes for people and a worsened performance score for Norfolk	Likelihood: Likely Impact: Major Rating: Very High 16		<ul style="list-style-type: none"> RM ASSD Short and Medium Term Plans for additional capacity RM ASSD Development of Intermediate Care Strategy RM ASSD Intergrated approach to discharge arrangements RM ASSD Introduction of Reablement Model of Home Care RM ASSD Joint Demand and Supply Capacity Review 	Joint Planning team in place. On-going weekly meetings within ASSD and between NAAASD, PCT and Hospitals to manage performance. Additional purchasing and assessment capacity in place. Reablement service focused on hospitals. Award of new home care contracts.	Likelihood: Possible Impact: Minor Rating: Medium 6	Apr 09	Improving	<ul style="list-style-type: none"> CP05 Improve the health and well-being of Norfolk's residents 	Harold Bodmer
#RM8679	RMCP DF Deterioration of economic situation	Risk that the national and regional economic situation continues to deteriorate. This could lead to an increased likelihood of bad debts and fraud, a reduction in the number of key suppliers and potentially inflated prices for goods and services. It could also lead to increased demand for some services	Likelihood: Likely Impact: Major Rating: Very High 16		<ul style="list-style-type: none"> RMCP DF Monitoring by Chief Officers of the impact on service levels and key suppliers RMCP DF Ongoing monitoring of economic situation and of the level of outstanding debts 	Much of this risk is beyond our control meaning that even with regular monitoring of the general situation and across-the-board planning for adverse impacts, national and international government actions will still be the key influence.	Likelihood: Likely Impact: Moderate Rating: High 12	Apr 09	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money CP08 Build vibrant, confident and cohesive communities 	Paul Brittain
#RM8680	RMCP DF NCC investments fail to be repaid	The risk that NCC investments in financial institutions fail to be fully repaid in accordance with contract terms, leading to loss of interest, loss of investments and loss of reputation	Likelihood: Possible Impact: Extreme Rating: High 15		<ul style="list-style-type: none"> RMCP DF Monitor money markets RMCP DF Ongoing consideration of budgetary implications of any loss of investment RMCP DF Regular reporting to treasury management panel and Cabinet RMCP DF Short term revision to investment strategy to reflect the current market and risk 	This is risk that will potentially impact on NCC as a whole, affecting future years budgets and service planning/delivery. It is also highly political. It therefore needs to be closely monitored at the corporate level.	Likelihood: Rare Impact: Extreme Rating: Medium 5	Apr 10	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money 	Paul Brittain
#RM0199	RMCP P&T Failure to divert biodegradable waste	Risk of failing to divert biodegradable municipal waste from landfill. Leads to the authority being unable to meet the landfill directive targets resulting in significant fines, other penalties and increased landfill costs and adversely impacting on NCC's reputation.	Likelihood: Possible Impact: Extreme Rating: High 15		<ul style="list-style-type: none"> RMCP Contract A: Conclude negotiations with preferred bidder RMCP Contract A: Contract Award RMCP Contract A: Financial Close RMCP Contract B: Develop Business Case for next phase RMCP Contract close for preferred bidder RMCP Develop EOI for PFI Credits RMCP Develop expression of interest RMCP Develop OBC for PFI credits RMCP Undertake Gateway Reviews 	Contract A: Key elements of the financial close process are becoming protracted. Contract A will not be concluded before June 2009. Contract B: revised OBC submitted to Defra Dec 08, approval is expected in March 2009 allowing OJEU in April 09. Any further delays may lead to loss of PFI credits.	Likelihood: Unlikely Impact: Extreme Rating: High 10	Apr 09	Improving	<ul style="list-style-type: none"> CP07 Protect and sustain the environment CP12 Waste and Recycling ORG Norfolk County Council 	Mike Jackson
#RM0201	RMCP P&T Failure to implement NDR	Failure to implement the NDR. This would result in the inability to implement the remainder of the NATS Strategy including pedestrian enhancements in the city centre, public transport improvements, traffic management in the suburbs, reductions in accidents and would result in an increase in congestion affecting public transport reliability. It would also result in a reduction in our capacity for economic development and negatively impact on the reputation of Norfolk County Council.	Likelihood: Possible Impact: Major Rating: High 12		<ul style="list-style-type: none"> RMCP Ensure adherence to project plan RMCP Introduce new project plan RMCP Maintain strong project management arrangements 	Birse Civils Limited appointed as Contractor for Stage 1 of the scheme through early Contractor Involvement (ECI). Regional Assembly has adopted revised RFA. Funding delayed but increased in line with inflation. The proposed start of works has been revised to Autumn 2012 with an opening date of end 2014/early 2015. Planning application for scheme to be submitted in 2010. Orders to be published in 2010.	Likelihood: Unlikely Impact: Major Rating: Medium 8	Submission of planning application 2010. Orders to be published in 2010.	Good	<ul style="list-style-type: none"> CP01 Lead a strategic approach to the development of the Norfolk economy CP02 Improve travel and transport CP08 Build vibrant, confident and cohesive communities CP14 Economy and Infrastructure ORG Norfolk County Council 	Mike Jackson
#RM0207	RMCP ASSD Failure to meet increased demand for ASS against available budgets	Failing to match supply to the increased demand for Adult Social Services as a result of demographic change and lack of available budgets. Leads to an inability to meet the need for home care and residential services (in particular for the growing number of people with dementia and vulnerable people at home) through direct provision, third party provision and direct payments.	Likelihood: Possible Impact: Major Rating: High 12		<ul style="list-style-type: none"> RMCP ASSD Project Management Structure for new Model of Home Care RMCP ASSD Transformation Programme RMCP Introduce new terms and conditions for Dom Carers RMCP New Commissioning Plans within Districts 	Transformation Programme established - New model of home care implemented in February 08. Member Working Group set up on Quality in Home Support. Assessment and Care Management Project - Project management structure and Project Board in place - Roles & Skills Paper to Cabinet in November 08, recommendations approved and staff consultation commenced. Strategic Model of Care - recommendations to Cabinet in October: Preparation of detailed plan for the new services, and the process for commissioning	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	Apr 09	Uncertain	<ul style="list-style-type: none"> CP05 Improve the health and well-being of Norfolk's residents CP05 Support Older People 	Harold Bodmer

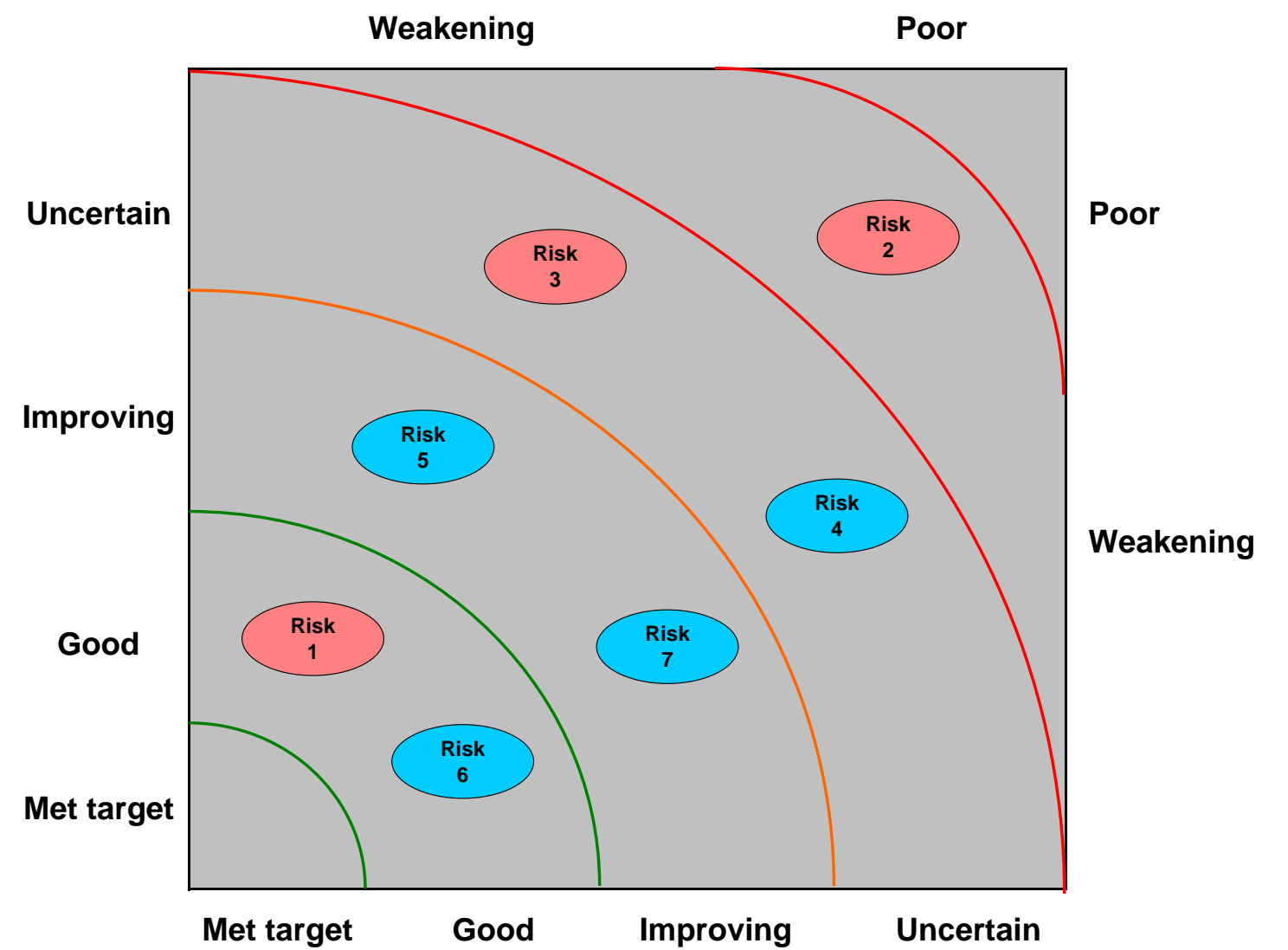
 											
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#RM0202	RMCP Failure to invest in early intervention and prevention	Failure to achieve an investment of resources into early intervention and prevention and more formalised multi-agency working. Results in a delay to establishing new ways of working in line with Every Child Matters and the Older People's Strategy. In turn this links to the following risks: 'Insufficient Government Funding', leading to reduction in services provided; 'Failure to keep to LAC budgets', resulting in budget overspends and funds having to be diverted from other areas; and 'Failure to deliver the efficiency programme' leading to efficiency savings not being delivered	Likelihood: Possible Impact: Major Rating: High 12	▲	<ul style="list-style-type: none"> RM CP ASSD Evaluate At Home Not Alone Project RMCP ASSD Prevention Board 	At Home Not Alone Project Board has been reconstituted as a Prevention Board and as a Sub-Group of the Older Peoples Strategic Partnership Board. Funding rolled over from 07/08 for 08/09 projects. Proposals for 09/10 funding for the Partnership being considered.	Likelihood: Possible Impact: Moderate Rating: Medium 9	Apr 09	Uncertain	<ul style="list-style-type: none"> CP04 Improve educational attainment & help children and young people achieve their ambitions CP04 Protect Children & Support Families CP05 Improve the health and well-being of Norfolk's residents CP05 Support Older People 	Harold Bodmer
#RM0214	RMCP Increased costs due to inflation & the increasing demand for services	Increased costs due to inflation and the increasing demand for services, including demand for infrastructure development from which to deliver those services, could lead to cost and demand exceeding available financial resources. This in turn could lead to reductions to services.	Likelihood: Possible Impact: Major Rating: High 12	▲	<ul style="list-style-type: none"> RMCP Early agreement to service and financial planning RMCP Focus on identification of efficiencies RMCP Resource allocation to reflect Council priorities RMCP Undertake 09/10 budget & MTP process 	The council has well defined strategic ambitions and corporate objectives. It also has a sound service and financial planning framework which ensures that its resources are deployed in support of the council's service priorities. Service and financial planning for 2009/10 onwards commenced in early summer 2008 and is now underway in respect of 2010/11. Costs pressures are kept under review through our financial monitoring as is the level of Government support to Norfolk.	Likelihood: Likely Impact: Minor Rating: Medium 8	Apr 09	Good	<ul style="list-style-type: none"> CP OOB Value for Money CP08 Build vibrant, confident and cohesive communities 	Paul Brittain
#RM3390	RMCP Risk of influenza pandemic affecting service delivery	Risk of influenza pandemic affecting service delivery could lead to critical services unable to function with severely curtailed resources	Likelihood: Possible Impact: Major Rating: High 12	▲	<ul style="list-style-type: none"> RMCP COG to make key corporate decisions commensurate with strategy RMCP Review HR policies RMCP Strategic & Tactical BC Plans RMCP Strategic BIA RMCP Testing of strategic plan 	Work being progressed via the Corporate Steering Group. Strategic level BIA to be completed which will provide details of NCCs functions and those that are critical. This will provide a framework for decision making for any major incident including an Influenza Pandemic. Exercise Morbus a multi-agency exercise took place at the end of 2008. Health have completed an Exercise Debrief report, and a report specific to NCC has been written and actions documented, ready for review and agreement at the next Steering Group meeting.	Likelihood: Possible Impact: Moderate Rating: Medium 9	Sep 09	Improving	<ul style="list-style-type: none"> CP OOA Customer Focus CP03 Help make Norfolk a safe place to live and work CP05 Improve the health and well-being of Norfolk's residents 	Richard Elliott
#RM5207	RMCP Strategic & Operational Planning affected by Unitary Proposition	Strategic & Operational plans could be delayed due to uncertainty around the outcome of the current Unitary proposals. This could impact upon partnership developments and proposals for future service developments.	Likelihood: Likely Impact: Moderate Rating: High 12	▲		Continued delay is beginning to impact.	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	Apr 09	Poor	<ul style="list-style-type: none"> CP OOB Value for Money CP01 Lead a strategic approach to the development of the Norfolk economy CP08 Build vibrant, confident and cohesive communities 	Paul Adams
#RM3389	RMCP ASSD Financial contributions from commissioning partners to services provided by ASSD	The level of commissioning partners contributions to services, through the LD Pooled Fund and Continuing Care System, fail to match the assumptions in the ASSD budget plan. This could expose the authority to financial risk leading to service fragmentation and ultimately an inability to provide some services	Likelihood: Possible Impact: Major Rating: High 12	▲	<ul style="list-style-type: none"> RM ASSD Closer working of provider teams RMCP ASSD 3 Year Funding Plan for LD Pooled Fund RMCP ASSD Agree System for Eligibility for Continuing Care RMCP ASSD Change Plan following PCT proposals RMCP ASSD Pooled Fund Negotiations RMCP ASSD Require PCTS to adhere to contractual arrangements RMCP ASSD Respond to PCT Consultation 	Project to assess all clients who are likely to be eligible for continuing care has begun. The Pooled Fund contributions for 2008/09 were concluded. Additional contributions were made by the partners to enable a balanced budget to be set. This was agreed on the proviso that contributions for the next 3 years would not exceed 5%. ASSD signed up for NCC pilot project with PWC to use Priority Based Budgeting to keep to this target. This project has now developed a strategy to keep contributions within the 5%. There are significant risks with the delivery of this strategy, these will be fully explored during January 09.	Likelihood: Unlikely Impact: Minor Rating: Low 4	Apr 09	Uncertain	<ul style="list-style-type: none"> CP05 Improve the health and well-being of Norfolk's residents CP05 Support Older People CP06 Further develop integrated health and social teams 	Harold Bodmer
#RM0215	RMCP Major incident at County Hall	Risk of major disruption to services delivered from County Hall following a major incident (e.g. fire, flood, explosion or loss of power). Leads to County Hall being unavailable for use, which impacts on delivery of IT and communications and how they support service delivery.	Likelihood: Unlikely Impact: Extreme Rating: High 10	▲	<ul style="list-style-type: none"> RMCP Analysis of BIA Agreement RMCP Implement Disaster Recovery Site at Carrow House RMCP Strategic BIA 	Action has been taken to ensure the resilience of the power supply to the data centre through upgrades to Emergency services panel, dedicated UPS systems and generators. DR site at Carrow House has been enlarged. Server migration project currently being implemented will result in increased resilience for many business applications. Analysis of corporate BIA will identify further work and investment required to restore corporately defined 'critical activities' within agreed targets, this should be complete by Oct 09 and approved recommendations will feed into development of 2010/11 ICT MTP. Implementation of the Desktop Refresh Project during 2009 will increase the ease and ability for staff to relocate in event of unavailability of County Hall. Improved resilience of corporate data & voice network will be delivered with the re-let of the Corporate Data & Voice contract in April 09. The Work Area Recovery strategy for County Hall will be revisited with NPS once the BIA has been analysed.	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	Oct 09	Improving	<ul style="list-style-type: none"> CP OOA Customer Focus CP03 Help make Norfolk a safe place to live and work 	Richard Elliott

 											
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#RM0200	RMCP Failure to ensure sufficient capacity within the organisation to effect change	Failure to ensure sufficient capacity within the organisation to effect change and secure investment opportunities.	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RMCP Undertake capacity assessments 	Programme management developments are assisting in structuring change, but the economic downturn will place further pressures on the authority	Likelihood: Unlikely Impact: Moderate Rating: Medium 6	Apr 09	Uncertain	<ul style="list-style-type: none"> CP OOB Value for Money CP01 Lead a strategic approach to the development of the Norfolk economy CP08 Build vibrant, confident and cohesive communities 	Paul Adams
#RM8064	RMCP ASSD CST Inability to secure sufficient home care capacity in independent sector	Inability to secure sufficient home care capacity in the independent and third sector to enable the implementation of the New Model of Home Care (to facilitate a transfer of capacity from direct provision to the independent sector, and to develop capacity for the provision on the Norfolk First Support reablement service), may result in a lack of availability of home care services	Likelihood: Possible Impact: Moderate Rating: Medium 9		<ul style="list-style-type: none"> RM ASSD CMG Increase capacity of independent sector RM ASSD CMG New Model of Home Care Project 	The new model of homecare has been implemented and is known as 'Norfolk First Support'. 250 staff involved with the new service have undergone training in assessment and reablement skills. Service users are now receiving a 6 week intensive service which will enable them to regain their skills and achieve maximum independence (44% of service users no longer require services after six weeks). The service is now available throughout Norfolk and has reduced long term pressures for care. New block contracts for Home Care were implemented in Feb 09 and are providing increased hours.	Likelihood: Possible Impact: Moderate Rating: Medium 9	Apr 09	Met target	<ul style="list-style-type: none"> CP05 Improve the health and well-being of Norfolk's residents 	Harold Bodmer
#RM0208	RMCP Failure to recruit and retain key staff	Risk of failure to recruit and retain key staff across the organisation. Leads to services (including statutory services) not being delivered at an adequate level, which would impact upon the achievement of key corporate priorities	Likelihood: Unlikely Impact: Major Rating: Medium 8		<ul style="list-style-type: none"> RMCP Implement Modern Reward Strategy RMCP Internal succession planning for Head Teachers 	Economic downturn may assist retention, but this is countered by delays on implementing MRS and continued uncertainty of Boundary Committee Review	Likelihood: Unlikely Impact: Major Rating: Medium 8	Apr 09	Met target	<ul style="list-style-type: none"> CP OOC Develop & Support Workforce 	Paul Adams
#RM0197	RMCP DF Failure to consistently manage financial resources	Risk of failure to consistently manage financial resources. Effective financial management is an intrinsic element of strong and effective service management. Failures in financial management can impact on delivery of the Council's service priorities. Unplanned overspending results in the need to redirect resources and may require mid year cuts in planned services. Poor financial management also affects the Audit Commission's judgements, particularly 'CPA Use of Resources.'	Likelihood: Rare Impact: Minor Rating: Low 2		<ul style="list-style-type: none"> RMCP Implement Financial Management Improvement Plan RMCP Ongoing review of financial management arrangements RMCP Regular financial monitoring reports to Cabinet and review by COG 	The financial management improvement plan is subject to review by the corporate affairs overview and scrutiny panel. The council has been awarded an overall level 3 for CPA use of resources 2008, including level 3 for financial management. This is categorised as 'performing well', consistently above minimum requirements.	Likelihood: Rare Impact: Minor Rating: Low 2	Mar 10	Met Target	<ul style="list-style-type: none"> CP OOB Value for Money CP01 Lead a strategic approach to the development of the Norfolk economy CP08 Build vibrant, confident and cohesive communities 	Paul Brittain

Risk scores by class



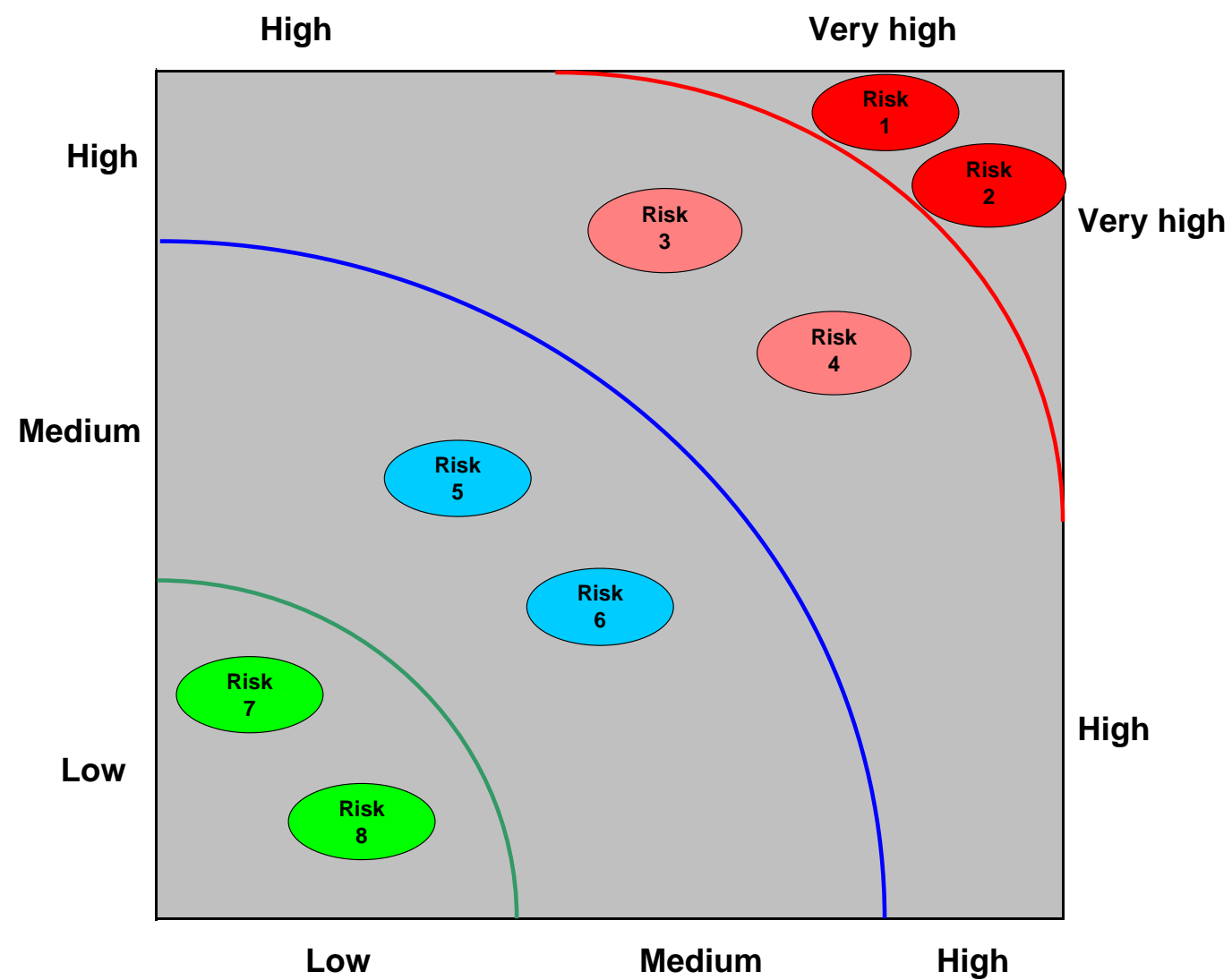
Risks by prospect of reaching/sustaining target



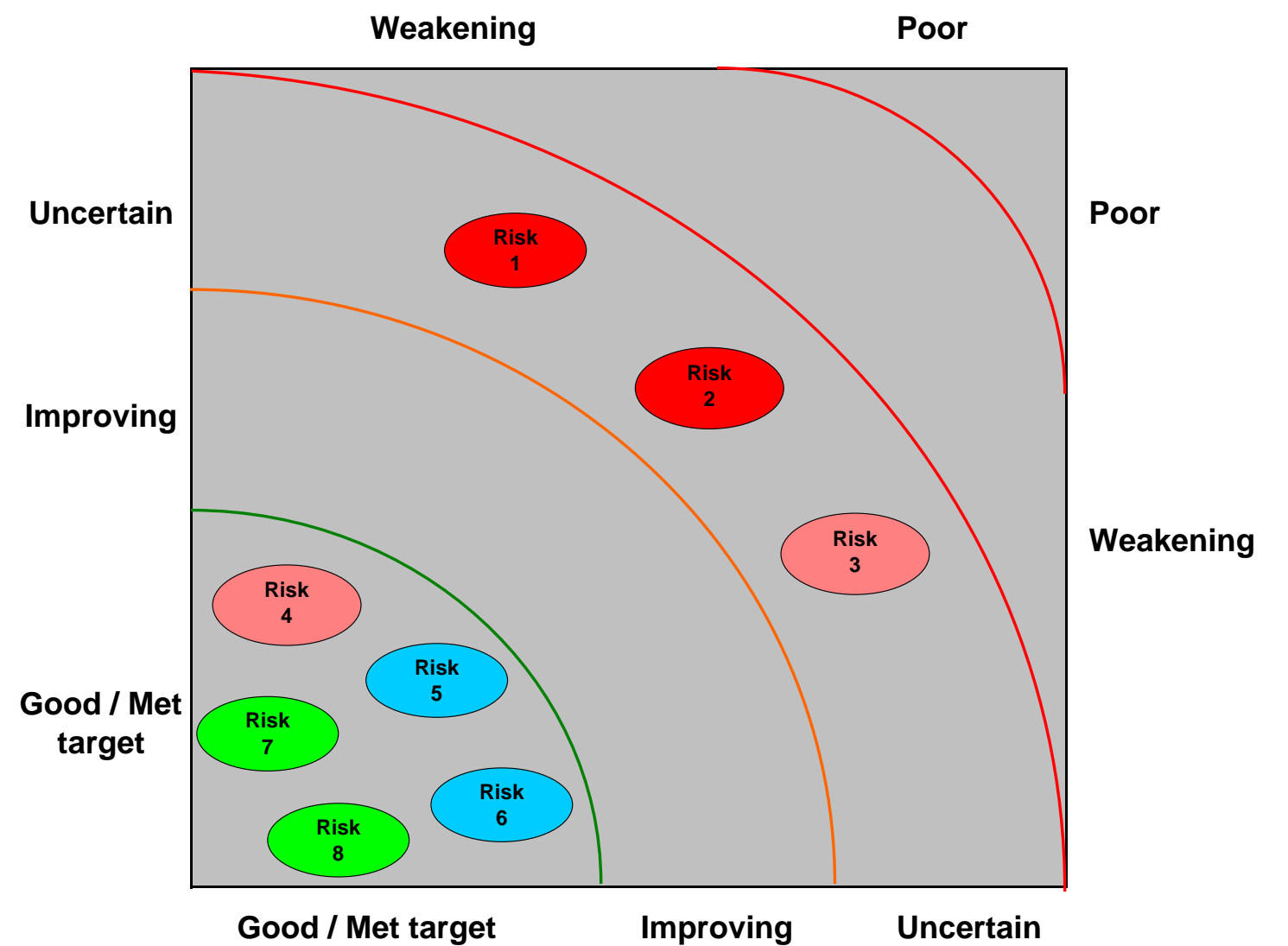
RISKS

- 1 RM CEX Failure of ICT
- 2 RM CEX Reduced capacity at Corporate centre
- 3 RM CEX Failure to deliver MRS
- 4 RM CEX Failure to recruit and retain key staff
- 5 RM CEX Failure to manage sickness absence
- 6 RM CEX Financial deficits
- 7 RM CEX Failure of Coroners Service to come within budget

Risk scores by class



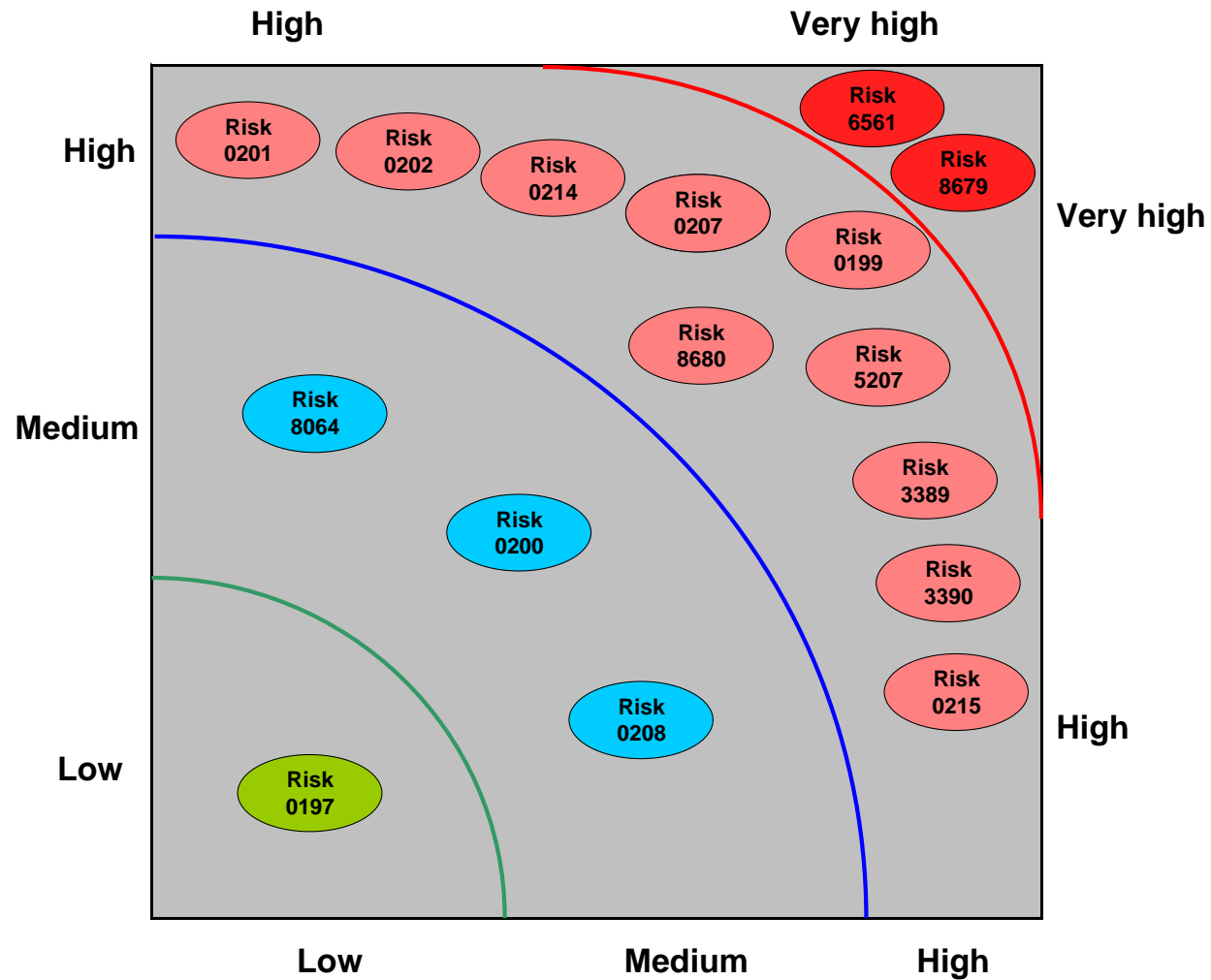
Risks by prospect of reaching/sustaining target



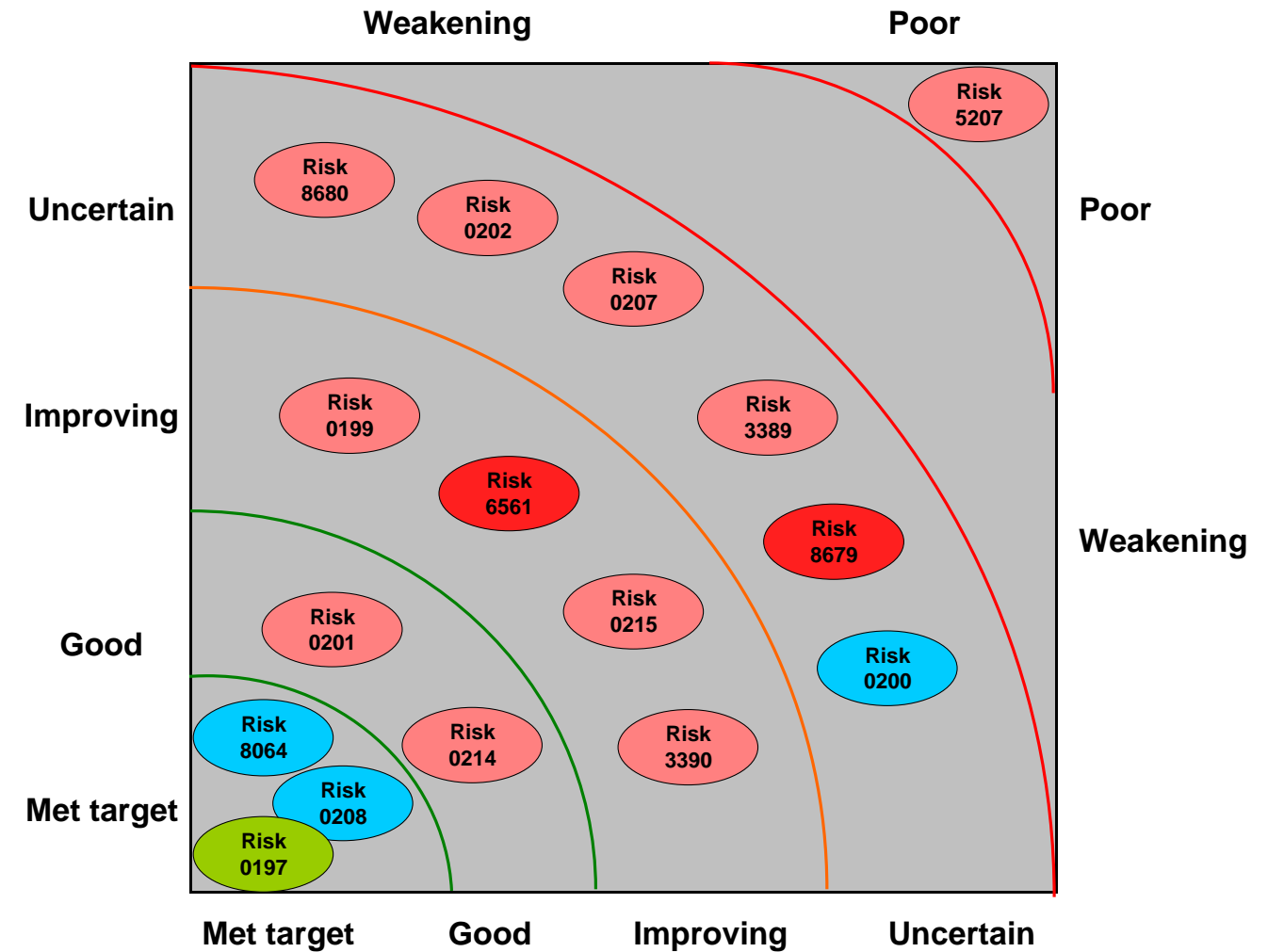
RISKS

- 1 RMCP DF Deterioration of economic situation
- 2 RM DF Failure to recruit and retain key staff
- 3 RMCP DF NCC investments fail to be repaid
- 4 RM DF Failure to deliver during change
- 5 RM DF Failure to perform daily TM process
- 6 RM DF Prevent fraud in the TM area
- 7 RM DF Failure of fin regs monitoring
- 8 RMCP DF Failure to consistently manage financial resources

Risk scores by class



Risks by prospect of reaching/sustaining target



RISKS

- #RM0197 RMCP DF Failure to consistently manage financial resources
- #RM8679 RMCP DF Deterioration of economic situation
- #RM0199 RMCP P&T Failure to divert biodegradable waste
- #RM8680 RMCP DF NCC investments fail to be repaid
- #RM0200 RMCP Failure to ensure sufficient capacity for change
- #RM0201 RMCP P&T Failure to implement NDR
- #RM0202 RMCP Failure to invest in early intervention and prevention
- #RM0207 RMCP ASSD Failure to meet increased demand for ASS against available budgets
- #RM0208 RMCP Failure to recruit and retain key staff
- #RM0214 RMCP Increased costs due to inflation and increasing demand for services could lead to cost and demand exceeding financial resources.
- #RM0215 RMCP Major incident at County Hall
- #RM3389 RMCP ASSD Financial contributions from commissioning partners to services provided by ASSD
- #RM3390 RMCP Risk of influenza pandemic affecting service delivery
- #RM5207 RMCP Strategic & Operational Planning affected by Unitary Proposition
- #RM6561 RMCP ASSD CMG Failure to reduce delayed transfers of care
- #RM8064 RMCP ASSD CST Inability to secure sufficient home care capacity in independent sector

Corporate Health & Safety Annual Report 2008/2009

Report by the Corporate Health & Safety Manager

Summary

This report provides an overview of the activities of health and safety advisers during 2008/09, along with an overview of Norfolk County Council's (NCC) health and safety performance.

An action plan for 2009/10 for corporate improvements concerning health and safety performance is provided. Departmental action plans are also produced separately. These are not provided in this report but are agreed with the corporate health & safety manager (CHSM) and reflect the corporate improvement programme.

1. Background

- 1.1 NCC's policy on Health and Safety Management Monitoring, Auditing and Reviewing requires the CHSM to report to the Chief Officers Group and the Corporate Affairs Overview and Scrutiny Panel annually on NCC's progress with meeting the stated health and safety objectives and to provide an overall summary of health and safety management within the organisation.
- 1.2 The purpose of this report is to ensure that senior officers and relevant members have an overview of the health and safety activities and issues from the last year, an indication of the plan for next year and the information necessary to satisfy themselves of the effectiveness of NCC's health and safety management system.

2. Points of Significance for 2008/09 by Department

2.1 Adult Social Services

There are 3675 employees (2885 f.t.e.) in Adult Social Services, with 147 premises. These are all served by 1 health and safety adviser

- 2.1.1 Health & safety is now firmly embedded in the Adult Social Services HR & Organisational Development Service Plan. The aim is to work towards a healthier organisation, with reduced levels of absence from work due to sickness, accident or injury. The department's Well Being Team have made significant contributions to this aim, delivering workshops for employees concentrating on issues such as physical activity, nutrition, drug and alcohol use, stress management and relaxation.
- 2.1.2 The increase in the use of computers within the department resulted in an increase in the number of employees experiencing neck and shoulder pain. It was identified that the assessments to ensure ergonomic systems of working

with computers were not being carried out in line with NCC policy. The Well Being Team visited many employees and carried out assessments with them, resulting in changes to improve their work environment reducing the health problems experienced and giving employees the confidence to monitor and complete future assessments on their own.

2.1.3 Partnership working is crucial to continuing service delivery. In 2008/09 the department worked closely with NHS and another County Council for flu pandemic preparations (pre the recent outbreak of Swine Flu). This partnership working will continue to strengthen their ability to manage infections which have the potential to affect service delivery.

2.2 Chief Executives, Connexions, Trading Standards & Youth Offending Team

There are 1039 employees (912 f.t.e.) in the above departments and teams, with 43 premises. These are all served by 1 health and safety adviser

2.2.1 There have been some significant improvements in health and safety management this year, examples include:

- The health and safety adviser has received an increase in requests for their involvement. For example Registration Services and Finance have separately been involving the adviser in and actively considering health and safety during planning for relocation.
- The quality and detail of incident investigations by managers has also improved.
- The corporate personal safety survey this year highlighted the good work undertaken by both NYOT and Trading Standards over the implementation of lone working control measures.

2.2.2 The Health and Safety Adviser will be working towards improvements in the completion of risk assessments this year in line with the corporate improvement objectives.

2.3 Children's Services

There are 16320 (11119 f.t.e.) employees in schools and 2543 (2177 f.t.e.) non school employees in Children's Services, with 436 schools and 62 non school premises. These are all served by 2 health and safety advisers

2.3.1 In line with the corporate improvement work regarding lone workers, Children's Services commissioned and coordinated training in personal safety awareness for lone working teams. Work in this area will continue this year, but work done so far is a firm foundation for further activity and has raised the awareness amongst lone workers of the risks they face, alongside implementation of practical measures to combat those risks.

2.3.2 The team have been working in partnership with the Regional Consultant in Communicable Disease Control to combat norovirus following a significant outbreak in the county in Autumn 08. Advice and guidance was provided to schools and pre-school settings aimed at achieving earlier identification and reporting and improved physical controls to combat the virus.

2.3.3 Further work has been undertaken to improve management of health issues by Design and Technology staff through arranging for safety training for heads of department and implementation of measures to carry out health surveillance (for noise and respiratory problems) for D&T technicians.

2.3.4 Children's Services in partnership with Norfolk Fire & Rescue Service contributed to 5 'Crucial Crew' (hazard awareness raising) events attended by 3,475 children from 105 schools.

2.4 Cultural Services

There are 1402 (680 f.t.e.) employees in Cultural Services, with 69 premises. These are all served by 1 health and safety adviser

2.4.1 Library services have prioritised improvements in the management of Display Screen Equipment (DSE) assessment this year. DSE assessors have now been trained across the service and a programme is under way to ensure that DSE assessments are carried out for all library employees and the findings reviewed by a trained assessor.

2.4.2 Museum services have invested in improvements to means of escape and fire precautions in the Castle museum in particular in relation to the lifts and smoke detection in some of the enclosed exhibits.

2.5 Norfolk Fire and Rescue Service

There 328 (326 f.t.e.) uniformed employees, 134 (121 f.t.e.) non-uniformed employees and 518 Retained Duty System employees within Norfolk Fire and Rescue Service (NFRS), with 42 premises. These are all served by 1.5 f.t.e. health and safety advisers

2.5.1 A number of activities have been undertaken by the health and safety team for NFRS this year including:

- An audit of the management of asbestos within its premises.
- A comparison study of its policies against those corporately agreed for NCC.
- Initiation of the development of a policy regarding our procedures related to a death or serious injury in service, good progress is being made however other priorities are competing for our capacity.

2.5.2 An internal review of health & safety management has identified that NFRS need to improve overall risk management throughout the service. An action plan has been put in place and good progress is being made in working with senior managers to identify, address and escalate risks.

2.5.3 Continuing last year's progress on producing a range of improved Standard Operating Procedures (SOP). 9 new policies are now in place, adhering to national Generic Risk Assessments. The health & safety team in partnership with Operational Assurance/Technical Services have undertaken local risk assessments resulting in a new and improved format which aligns to the national template. This work moves NFRS closer to complying with the requirements of a nationally approved standard of risk critical information for fire-fighters.

- 2.5.4 In preparation for the development of further SOPs the health & safety team have undertaken 23 local risk assessments that will contribute to the services priority of developing risk critical information for operational crews. The project is likely to continue for at least another 2 years although NFRS are trying to reduce this timescale by participating in a regional collaborative project to ensure that the organisation has safe systems of work in place for operational activities. They have also recently appointed a dedicated officer to oversee and manage the development of SOPs.
- 2.5.5 Following on from the introduction last year of a safe system of work for working at height, including the introduction of policies, procedures and specialist equipment, the service has produced a national generic risk assessment on working at height.
- 2.5.6 Internal audit & review remains a priority and this includes health & safety. The NFRS health & safety adviser undertook a comprehensive audit of the fleet workshop. This has resulted in a report and action plan, working with the appropriate manager we are progress is being made with the relevant actions.
- 2.5.7 Following information received regarding a potential asbestos issue on a former training area at RAF Neatishead, the health & safety team undertook sampling of the site, notified past and present personnel and took responsibility of providing support and information to any request. The site has been fully examined with a full report produced indicating the risk to health was very small.
- 2.5.8 A full internal review of our health & safety management system was undertaken in early 2009 resulting in a dedicated department plan, aligned to our service safety plan and including key themes from NCC corporate health & safety. The plan identifies priorities, individual tasks and responsibilities. It has been communicated throughout the service and is available via the intranet. The health & safety section of the intranet has been redesigned and further work is in progress to make this site more accessible and informative.
- 2.5.9 Fire-fighter safety remains NFRS's top priority and a range of work has been carried out to improve the health, safety & welfare of employees. Incident command training has been reviewed and as an outcome a dedicated manager has been appointed to improve training, support and assessment throughout the service. A recent audit on Breathing Apparatus has resulted in 1.5 f.t.e. additional trainers to implement an improvement plan. Health & safety training has also been reviewed with the strategy and training matrix updated to reflect the training required in some of the key themes identified from statistical analysis. Manual handling refresher training will be undertaken by employees this year and by the end of 2010 all of NFRS's supervisory managers will be qualified to an agreed minimum level.
- 2.5.10 Although NFRS have achieved a lot in 2008/09 their capacity and the effect of reactive work has prevented them from completing some planned work, such as noise and vibration monitoring, development of a first aid policy and the production of a formal escalation policy. However these areas remain a target for 2009/10.

2.6 Planning and Transportation

There are 866 (817 f.t.e.) employees in Planning and Transportation, with 45 premises. These are all served by 1 health and safety adviser

- 2.6.1 A detailed audit of Hand Arm Vibration (HAV) equipment was carried out this year by the health and safety adviser. This identified a number of areas for improvement particularly in relation to identifying and reporting symptoms. As a result of the audit a number of cases of HAV related health conditions were identified that fulfilled the criteria for reporting to the Health and Safety Executive (HSE). Consequently a number of retrospective reports have been made in 2008/09 which has caused an unrepresentative peak in the figures. A more robust system for reporting any further cases is now in place, and a working group is looking at systems to better monitor usage of equipment.
- 2.6.2 To contribute to the corporate objective of continuous improvement on managing the risks associated with lone working the department has produced generic lone working risk assessments and a departmental 'Buddy' System based on the corporate template.
- 2.6.3 This year saw the first reportable Leptospirosis case for the department. A Roadworker was hospitalised after contracting the infection cleaning out ditches. The processes that were in place to warn workers of the risks and be able to identify systems proved to be effective as the worker sought and received treatment promptly. Cards and departmental guidance were updated as a result of investigative learning about this incident.
- 2.6.4 Highway Operations have developed Risk Assessment Cards for all Road workers; the system has been rolled out to managers and road workers. Risk Assessments will also now be logged on the Incident report form and a trends analysis will be compiled monthly.
- 2.6.5 A departmental health and safety induction session was developed and piloted. The session has been well received and will now be run regularly (monthly).

3. Summary of Corporate Activity

- 3.1 Chief Officers Group agreed a range of measures aimed at improving the health and safety culture of NCC which the CHSM has been implementing throughout the year. This has placed additional pressure on the planned objectives for the year, but significant inroads have been made both into the recommendations in the report and the improvement plan agreed at the beginning of the year.
- 3.2 The implementation plan is detailed below:

Recommendation	Progress
Better integration of health and safety management into the Council's key management processes	H&S has been included in appraisal process, competencies and the 'NCC leader' document
Develop the role of health and safety champions at key levels within the organisation	Planned for 2009/10

Develop a more flexible approach to the health and safety function	New approach has been agreed and is being taken forward
Improve the level of health and safety monitoring visits carried out	Funding for a corporate monitoring officer to support health and safety advisers has been established. Recruitment will take place in May 2009
Sign up to the HSE's sensible risk campaign	Completed
Review auditing and monitoring strategy	Planned for 2009/10
Develop performance indicators to benchmark against other organisations	PI's have been agreed with other authorities, information is currently being collated.
Include health and safety risks into risk element of chief officer and member reports	Planned for 2009/10
Develop ways of celebrating and sharing best practice	Health and safety message of the month has been developed, along with a dedicated H&S email address
Develop a clear method of communicating H&S issues	Message of the month is sent to all NCC managers
Develop a H&S training strategy that identifies the core training requirements for all levels within the organisation	New H&S Training officer post has been created, that will take this forward.
Develop a suite of corporate training courses to meet competency requirements identified in strategy	New H&S Training officer post has been created, that will take this forward.
Report on training undertaken in annual health and safety report	Corporately provided training is reported in plan. Departmentally provided training is not currently reported. New H&S Training officer will take this forward.
Update and refresh all health and safety policies and procedures	<p>Policies refreshed this year are:</p> <ul style="list-style-type: none"> Legionella management Asbestos management Risk Assessment Noise at Work Hot works Personal Safety guidance Display Screen Equipment Laptop guidance Fire risk assessment Home working Management of Contractors Violence at Work <p>This work is ongoing and time has been allocated in the 09/10 improvement plan to review and refresh more policies and guidance</p>

3.3 One of the key objectives for 2008/09 was to undertake monitoring of the implementation of management controls for lone worker safety. A personal

safety survey was undertaken in 2008 and the results reported to CAOS Panel in January 2009. Personal safety continues to be a priority for continuous improvement. This year the plan is to build on the information from the personal safety survey and review risk assessments with team managers to ensure they remain valid.

3.4 An overview of the objectives set for 2008/09 and the end of year position can be found in appendix 1.

3.5 Norfolk Audit Services has audited the following areas this year:

- Waste treatment, transfer and recycling
- Work at Heights
- Educational visits
- Pre School placements
- Contractor arrangements – approval and monitoring
- Project management
- Road Traffic Accidents
- Emergency and fleet repair

Some of these audits are ongoing or in draft. Work will therefore continue in 2009/10 to implement the recommended improvements coming out of the audits.

3.6 The audit programme for 2009/10 has not yet been set, however potential areas for audit include:

- Risk assessment
- H&S training
- Leadership and management monitoring
- Incident Forms
- Manual Handling

3.7 In May 2008 refurbishment works occurring at Carrow House in Norwich caused an accidental release of asbestos in employee areas of the building. A thorough investigation into the incident took place and resulted in an action plan being drawn up from the learning points identified out of the investigation. A summary of these actions are provided below:

Action	Progress
Produce standard information for restricted area notice, staff letter, letter suitable for members of the public exposed and advice sheet, including the information requested at the review meetings.	Completed
Ensure that Business Continuity planning arrangements for corporate buildings are reviewed to include appropriate communication and investigation processes to include departmental health and safety advisers.	Work ongoing, lead officer Emma Tipple Corporate Business Continuity Manager
Ensure swipe card use is appropriately controlled, through clear procedures.	Not complete, lead officer Graham Wray Facilities Manager
NPS management of contractors needs to be tightened up	Completed

through improved procedures and monitoring.	
In the case of future inadvertent releases NPS must have in place more robust procedures to deal with the inadvertent release of asbestos.	Procedures have been written into NPS procedure documents.
Consideration of whether buildings should be occupied during renovations at the beginning of any project is needed. There needs to be serious consideration of the cost of not moving people (morale, well-being, increased project time etc.)	Requirement has been written into asbestos management strategy
During construction and redevelopment work generally there must be a clear NCC project manager who has an understanding of the requirements of NCC as the client in such works. Where work involves multiple departments it is important to ensure co-ordination and communication between each departmental lead and NPS project management.	Corporate guidance and training on client role currently being developed.

- 3.8 In January 2009 the HSE undertook an inspection of NCC looking at how we manage the risks of stress, violence and musculoskeletal disorders in Children's Services and Adult Social Services Departments. They spent 2 days interviewing managers and union representatives as well as visiting one of our day care centres.
- 3.9 We received some very positive comments generally. The Inspectors felt that our approach to managing health and safety is sound. However as responsibility is devolved to managers they felt that we need to ensure we have a robust monitoring system in place to ensure managers are carrying out their duties. Our monitoring will be improved by the introduction of the monitoring officer post this year.
- 3.10 The Inspectors expressed concern that our incident reporting figures, in particular for minor incidents and near misses are lower than their estimate. They also received feedback from the union representatives concerning the injured parties' perceived lack of involvement in investigations. They have therefore asked for two things to happen. They would like an audit to be undertaken on incident reporting where a percentage of reports are followed up with the employee involved in the incident to see whether they were aware of the investigation that had occurred and if they were comfortable with the outcomes. In addition they would like improved communications from managers about what has happened as a result of incident reports. The majority of incidents will only be investigated at management level and increased awareness of outcomes will lead to improved understanding and acceptance of the need to report, leading to improved reporting. This action is reflected in this year's objectives, as an audit of incident reporting and investigation is planned. Changes have also been made to the incident report form to make the requirement to involve the injured party more explicit.
- 3.11 Overall the inspectors were very complimentary about our approach to stress, although they did note that stress absence levels continue to rise gradually. They acknowledged that this may occur because we are working on improving the accuracy of reporting and recording ill health absence. They were particularly complimentary about the use of redeployment, and our low levels of health based retirements.

- 3.12 Concerns were raised about the voluntary nature of team based assessments. We need to make sure that where schools and teams do not undertake these assessments they have an alternative system in place to undertake a stress risk assessment. We need to have evidence that this is happening. The new work life support strategy will help to address these concerns. It clearly outlines the different routes to assessing and identifying stress and wellbeing issues. All wellbeing services across NCC are committed to contributing towards the strategy and ensuring issues are actively managed within teams.
- 3.13 Although our policies and procedures concerning violence and how it is managed are sound. The inspectors spent some time probing whether we have evidence that all staff that requires a level of training regarding personal safety have received it, and continue to do so, on a regular basis. This is an area they feel we need to strengthen, ensuring we have systems in place to clearly identify who needs training, at what level, when they received initial training, and when they last received refresher training.
- 3.14 In addition they expressed particular interest in the management of lone working for social workers because they see this as a particularly vulnerable group nationally. We have undertaken to provide them with reassurance that suitable preventative procedures are in place when interacting with unknown persons or potential difficult circumstances. Personal safety of all our employees continues to be a key focus of our work.
- 3.15 The feedback on the work being carried out concerning musculoskeletal injury prevention in Adult Social Services was extremely positive. The Inspectors felt that the approach is very comprehensive.

3.16 Occupational Health Activity

- 3.16.1 A major health promotion activity took place around psychological health in October 2008. A road show visited various NCC sites over 5 days. 350 employees attended. They were given information regarding exercise, nutrition, and the benefits of continued learning in relation to psychological health. Employees were also given the opportunity to have taster sessions of complimentary therapies to aid relaxation. The road show was also used to promote Norfolk Support Line (NSL), the employee assistance programme for NCC employees.
- 3.16.2 An audit of occupational health referrals sought the opinion of employees, managers and HR staff regarding their level of satisfaction and exceptions with the service. The audit found the majority of employees, managers and HR staff were satisfied with the service and felt it met their expectations. The audit also provided clear areas that could be developed and improved. The Occupational Health Adviser will be taking these areas forward in 2009/10.
- 3.16.3 Use of the musculoskeletal injury rehabilitation scheme (MIRS) increased in the past year, primarily because of an increase in awareness, and subsequent usage, by schools. In addition the providers continued to undertake DSE workstation assessments, where an employee's injury was thought to be linked to their work with computers. Despite the increased usage of the

service, they continue to exceed the contracts Key Performance Indicators in relation to appointment times etc.

	2007-8	2008-9
Adult Social Services Department	563	548
Children's Services – Schools	177	241
Children's Services – Others	150	158
Cultural Services	55	69
Chief Executives et al	104	88
Planning & Transportation	80	78
TOTAL	1129	1182
Workstation Assessments	26	64

TABLE 1. NUMBER OF EMPLOYEES REFERRED FOR TREATMENT THROUGH THE MIRS

3.16.4 Following a noted increase in musculoskeletal injury amongst Cultural Services employees the providers of MIRS visited seven Cultural Services premises arranged by Cultural Services Health and Safety Adviser and the Occupational Health Adviser. The visits provided employees with the opportunity to have a 20 minute mini-assessment with a physiotherapist. The aim was to allow employees to discuss any injuries they have had, or that have reoccurred, as well as having a physical assessment. 56 employees from libraries, museums and adult education were seen over the seven visits. The majority were given advice and/or advice and exercises to resolve the injury, or reduce the risk of an injury reoccurring. 7 of the employees had injuries that required a course of treatment and were therefore referred through to the MIRS scheme before it had an impact on their work, or caused them to go absent. A further 7 employees were given exercises and advised to be referred to the MIRS scheme if the symptoms persist. The visits not only enabled employees to address their health, but provided information to NCC regarding reducing the risk of injury in the future. To this end recommendations were passed to Cultural Services SMT around Manual Handling Training, DSE assessment, incident reporting and increasing awareness of the MIRS scheme.

3.16.5 Occupational Health Service usage increased in 2008 primarily because of an increase in required health surveillance, and an increase in the number of review appointments. The Occupational Health provider has been able to accommodate the increase in service, although there was an effect on delivery times. The Occupational Health Adviser continues to monitor and review how our Occupational Health Service is used to ensure best use of the service.

3.16.6 The use of NSL, NCC's employee assistance scheme continues to increase slightly. Personal rather than work related issues continue to be the prime cause of concerns being discussed with the advisers, however NCC recognises that personal issues can impact on work. 59% of employees were offered further face to face counselling as a result of their call.

	2007-8	2008-9
Employees referring	796	791
Partners/dependents referring	20	41
Total referrals	816	832

TABLE 2. NUMBER OF PERSONS USING NSL SERVICES

	2007-8	2008-9
Number where work prime issue	210	190
Number where personal prime issue	586	597
Number seeking financial advice	33	38
Number seeking legal advice	166	188
Number seeking management advice	3	4
Number offered face-to-face counselling	495	464

TABLE 3. USE OF NSL BY EMPLOYEES – SOURCE OF PRIME ISSUE AND REASON FOR CALLING

3.17 Work Life Support

3.17.1 In November 2008 a new role of worklife support officer was appointed to co-ordinate NCC's approach to employee wellbeing. The aims of the role are to:

- To make well-being services available to all employees across the Authority
- To reduce stress-related sickness absence within teams that are actively involved in a well-being programme
- To improve results of the Employee Survey in key areas relating to workforce resilience and well-being
- To improve results of team-based assessments, year on year
- To promote the role and responsibility of the manager and of individual employees in managing well-being and workforce resilience
- To support and provide a joined-up approach to all existing well-being related services, policies and procedures

To this end a work life support strategy is being developed with management teams and departmental wellbeing teams to ensure the approach is customer focused and is flexible to suite teams needs.

This year they have taken part in several different promotional days and weeks such as mental health action week, national no smoking day, adult learner's week etc. The officer has also undertaken a physical activity survey at County Hall and as a result of the findings from this has developed a range of taster sessions in many different activities from archery to trampolining and yoga. A similar survey has also been conducted across the rest of our service buildings and taster sessions in different locations across the county are being developed with Adult Education.

4. New Legislation and Forthcoming Challenges

4.1 There is one key health and safety legislation change that has occurred during the past year that has implications for NCC:

4.1.1 **Health and Safety Offences Act 2008** - The Act raises the maximum penalties that can be imposed for breaching health and safety regulations in the lower courts from £5,000 to £20,000 per offence. The range of offences for which an individual can be imprisoned has also been broadened.

4.2 The key health and safety legislation changes that are programmed for implementation in 2009/10 that have implications for NCC are:

- 4.2.1 **The Health and Safety Information for Employees (Amendment) Regulations 2009** – The regulations update existing legislation that requires employers to provide health and safety information, including the contact details for the local health and safety enforcing authority office and Employment Medical Advisory Service (EMAS) office, to their employees by displaying in the workplace the approved poster or giving each employee the approved leaflet. The amendments allow HSE to approve and publish new posters and leaflets. The HSE have already utilised this new legislation and produced new posters to replace the current format. NCC will need to plan how these new posters will be rolled out across all 800+ different locations where our employees are based.
- 4.2.2 **Chemical (Hazard Information and Packaging for Supply) Regulations (CHIP) 2009** - The current CHIP Regulations have been amended as a consequence of the adoption and entry into force of the European Regulation on the Classification, Labelling and Packaging of Substances and Mixtures, known as the CLP Regulation. The CLP Regulation adopts in the European Union, the internationally agreed Global Harmonised System on the classification and labelling of chemicals, known as the 'GHS'.
- 4.2.3 **Health and Safety (First-Aid) Regulations 1981** – These regulations have been reviewed and updated in relation to the training requirements for first aid including the introduction of refresher training. This will mean our policy on first-aider provision and training will need reviewing and updating in line with the new requirements. We will also need to ensure our first aid training providers are ready and able to supply the necessary training requirements.

5. Health & Safety Performance for 2008/09

Incident Type	Year					
	03/04	04/05	05/06	06/07	07/08	08/09
Over 3 day injury	125	106	98	105	90 (110)	93 (121)
Major	27	22	22	16	18 (21)	21 (24)
Fatality	0	0	0	0	0	0
Non employee taken to hospital	Not reported	Not reported	Not reported	Not reported	86	157*
Reportable Ill health	1	1	0	0	1	10
Reportable Dangerous Occurrence	9	23	14	10	20 (25)	12 (13)
Incidence of RIDDOR to employees per 1000 f.t.e. employees	10.15	8.41	6.07	6.51	5.72 (6.77)	6.13 (7.41)

TABLE 4. INCIDENTS RECORDED FOR NCC BY YEAR

N.B. The figures provided in brackets include NFRS, these were not reported prior to 2007/08 so have been kept separate to enable comparison.

* 2 of which were fatalities

- 5.1 The decrease in reportable incidents to employees that was seen last year has remained stable this year which is very encouraging. Furthermore the number of dangerous occurrences has now also seen a downturn from 20(25) in 2007/08 to 12(13) in 2008/09. The health and safety team in Planning and Transportation and Highway Operations management have worked hard to affect these figures.
- 5.2 However there were 2 fatal accidents at NCC managed facilities last year, and the number of incidents of reportable ill health has increased significantly.
- 5.3 The fatal accidents both involved members of the public. The first occurred at Whitlingham Country Park when a young man drowned in little broad. The HSE investigation into this matter is ongoing. The second fatal accident occurred when an adult day care client choked. This incident was not investigated by the HSE. Both incidents were terrible tragedies and our thoughts remain with the families of the deceased.
- 5.4 The majority of the reported ill health cases relate to Hand Arm Vibration (HAV) following an audit in Planning and Transportation of the procedures relating to this area. The cases did not all occur in the last year but had not been notified upon first occurrence, meaning they needed to be notified as soon as this was discovered. A number of steps have now been taken, and continue to be taken to improve the processes involved in managing equipment with a vibration risk.
- 5.5 The top 5 causes of reportable incidents to employees are:
 - Manual handling injuries (2)
 - Slips and trips (1)
 - Work related ill health (4)
 - Dangerous Occurrences (3)
 - Physical Assault (5)

The figures in brackets represent the ranking from 2007/08. As can be seen the top 5 cause are still the same although not in the same order. The corporate health and safety improvement plan for 2009/10 includes work on the top 2 areas on the list.

- 5.6 The table below shows the same information as the final column of table 4 but by each service or department area. Adult Social Services and Planning & Transportation have had a sharp increase in the number of over 3 day injuries this year. These increases may simply be due to the ongoing work both departments have undertaken to promote the proper and accurate reporting of incidents. In comparison Children's Services have seen a real downturn in the overall number of incidents reported, which has had a significant effect on the number of incidents per 1000 employees.

Incident Type	Department						
	ADSSD	CEX et al	Children's	Cultural	NFRS	P&T	TOTAL 08/09
Over 3 day injury	38 (19)	0 (4)	35 (48)	2 (4)	28 (20)	18 (9)	93 (104)
Major	2 (1)	3 (1)	15 (15)	0 (0)	3 (3)	1(1)	21 (21)
Fatality	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)
Non employee taken to hospital	1 (0)	0 (0)	154 (82)	2 (4)	0 (0)	0 (0)	157 (86)
Reportable Ill health	0 (0)	0 (0)	0 (1)	0 (0)	0 (0)	10 (0)	10 (1)
Reportable Dangerous Occurrence	0 (0)	0 (0)	1 (1)	0 (0)	1 (5)	11 (19)	12 (25)
Incidence of RIDDOR to employees per 1000 f.t.e employees	13.86 (6.53)	3.29 (5.06)	3.76 (4.71)	2.94 (6.07)	32.12 (49.54)	23.26 (12.19)	7.41 (6.77)

TABLE 5. INCIDENTS REPORTED FOR NCC FOR 2008/09 BY DEPARTMENT

N.B. the numbers in brackets are the figures for 2007/08

- 5.7 The high number of non employee injuries in Children's Services is mainly due to PE injuries to pupils. HSE requires all such injuries to be reported.
- 5.8 It is worth noting that these figures do not take into account the number of incidents that occur in general, only those that are reported to the HSE. Nor do they consider the number of incidents occurring to members of the public that do not need hospital treatment. Some services such as Cultural Services, Children's Services and Adult Social Services have a direct involvement with large numbers of members of the public.
- 5.9 Table 6 identifies the number of days sickness absence that have been identified via the SA1 sickness absence forms as being work related. For all departments this is a low percentage of the total number of days. How accurate a picture this is, is unclear. Work to ensure the accuracy of sickness absence reports is ongoing, in particular relating to an electronic report form. This will require managers to complete the question about work related illness before progressing, where as at present the question could be missed out and therefore taken to mean the absence was not work related.

Department	Work Related Days Lost	Non Work Related Days Lost	(blank)	Grand Total	work related days lost as a % of total
CEx	186.3	5526.0	1.0	5713.3	3.3
Comm Safety	3.5	738.5		742.0	0.5
Cultural Services	155.0	4486.0		4641.0	3.3
Ch Servs - Non Schools	209.2	22093.9	18.0	22321.0	0.9
Ch Servs - Schools	575.0	83801.2	10.2	84386.5	0.7
P & T	755.5	5749.6		6505.1	11.6
ASSD	356.8	44087.6	3.3	44447.7	0.8
Grand Total	2241.3	166482.8	32.5	168756.6	1.3

TABLE 6. SICKNESS ABSENCE IDENTIFIED AS BEING RELATED TO WORK BY DEPARTMENT 2008/09

- 5.10 Table 7 shows the number of work related days absence by the reason for the absence. Stress remains the single biggest reason most frequently given by employees as the cause of work related sickness absence. It may in fact be greater than identified by these figures as some of the identified absences such as 'heart' and 'stomach' are somewhat confusing. It is possible that the symptoms of stress such as palpitations or upset stomach have been recorded in this way. However stress related symptoms are rarely caused by one event or issue, symptoms are often triggered by a number of contributory factors the sources of which may be both home and work. The figures below cannot give an indication of how much of a part work has played in employees' sickness absence, only that it has played some part.
- 5.11 The second largest category is 'other sickness', the majority of which are identified as industrial injury. These 'injuries' could range in causes and severity, but should always have an incident report form completed which will mean some level of investigation into the cause will take place. Further work into the incident investigation process will take place this year as part of the audit programme to ensure incidents are being adequately investigated and preventative actions identified.

Sick description	Sickness Reason	Work Related	% work related days lost
Stress		1097.0	48.9
Back		213.5	9.5
Chest		125.1	5.6
Eye		0.3	0.01
Heart		7.2	0.3
Infections		2.0	0.1
Musculoskeletal		125.9	5.6
Neurological		8.4	0.4
Other Medical Appointments			
Other Sickness	Industrial injury	567.3	25.3
	RTA	44.3	2.0
	Unknown cause	40.3	1.8
	Burns	4.0	0.2
Other Sickness Total		655.9	29.3
Stomach		6.0	0.3
Grand Total		2241.3	

TABLE 7. WORK RELATED SICKNESS ABSENCE BY DESCRIPTION 2008/09

5.12 Table 8 shows that there was no enforcement action taken against NCC last year. There has been a considerable amount of work conducted to improve the fire risk assessment process this year following the number of improvement notices we received for this area last year and general feedback from the fire service. These figures are a positive confirmation of that work.

Enforcement Action	Department						TOTAL 08/09
	ADSSD	CEX et al	Children's	Cultural	NFRS	P&T	
Improvement Notice	0(8)	0(0)	0(1)	0(0)	0(0)	0(0)	0(9)
Prohibition Notice	0(0)	0(0)	0(0)	0(0)	0(0)	0(0)	0(0)
Convictions	0(0)	0(0)	0(0)	0(0)	0(0)	0(0)	0(0)

TABLE 8. ENFORCEMENT ACTION TAKEN IN 2008/2009

N.B. the numbers in brackets are the figures for 2007/08

Department	No of Premises	Inspection Target 08/09	Inspections Achieved	Target for 08/09
ASSD	147	35	10	20
CEX et al	43	10	13	11
Children's	498	65	53	65
Cultural	69	30	30	30
P&T	45	25	27	30
TOTAL	844	169	133	156

TABLE 9. HEALTH AND SAFETY INSPECTIONS BY DEPARTMENT/SERVICE

- 5.13 NFRS advisers do not undertake inspections of premises as the premise managers are required and trained to do this. Instead they will undertake thematic audits of work areas or specific health and safety topics.
- 5.14 Adult Social Services had planned to do the major bulk of visits in 2008/09 to Homes for Elderly to review their progress with the new fire risk assessment requirements. However due to delays in rolling this programme out the visits were not completed.
- 5.15 Work in 2008/09 identified that on the basis of the number of inspections targeted for that year it would take the advisers the following lengths of time to inspect all their premises if different premises were inspected each year:

Department	Number of years
ADSSD	4
CEX et al	2 ½
Children's	8
Cultural	2 ½
NFRS	N/A
P&T	2

TABLE 10. POSSIBLE INSPECTION FREQUENCY PER DEPARTMENT

- 5.16 As a result of this the CHSM reviewed how an improved number of monitoring visits could be undertaken within the current resource. Agreement was made with Norfolk Audit Services which was endorsed by Chief Officers to utilise the Health and Safety Audit Manager funding in a different way to achieve a continuation of the audit role along with an increase in monitoring visits. This has led to the creation of a Monitoring Officer role based in the Corporate Health and Safety Team. In January 2009 a temporary contractor was appointed to this post until it had been formalised. In the period from January to March 2009, 57 monitoring visits were conducted bringing the total for the year to 190. This is very encouraging and it is hoped that the post can be permanently filled very soon. On the basis of this additional role the prediction is that all premises will now be able to be visited within a minimum frequency of 4 ½ years, almost halving the time without the resource.
- 5.17 There has been a significant increase in the number of corporately provided courses being attended this year. This is in the main due to the new Fire Risk Assessment course that was introduced alongside new policy and procedures relating to this area which requires premises managers to attend the training in order to competently complete their fire risk assessments. The training has been very positively received.

Training Course	No. trained	
	2007/08	2008/09
Premises Managers Pt 1	81	84
Premises Managers Pt 2	41	103
Risk Assessment	11	6
Kinetic Handling	46	84
Manual Handling Risk Assessment	5	
Line Managers	56	50
Personal Safety	5	23
Display Screen Equipment Assessment	28	23
Dealing with Stress	not reported	49
Fire Risk Assessment	N/A	217 (new training)
Risk Assessment for Managers		18 (pilot course)
Total	273	657

TABLE 11. NUMBER OF CORPORATELY PROVIDED TRAINING COURSE ATTENDED

5.18 A review of health and safety training provision took place in 2008/09 and as a result a new post of health and safety training officer has been established. The key roles of this new post will be to:

- Develop a corporate training strategy that clearly outlines the minimum requirements of different roles across NCC to ensure health and safety competence, and requirements such as frequency of refresher training.
- Develop corporate suite of training utilising blended learning to help departments deliver the training strategy.
- Work with departments to source externally provided training for bespoke courses to deliver specific and specialist training needs.

This work will form part of the corporate improvement plan for this year.

6. Plan for 2009/10

6.1 Appendix 2 outlines the proposed objectives for 2009/10. Some of the objectives are carried forward from last year and others are new objectives considered to be the priority actions for the year to improve and maintain health and safety performance for NCC. The reasons for the objectives being given priority are as follows:

6.2 Slips & Trips

6.2.1 Last year 316 slip or trip incidents were reported across NCC resulting in 13 major injuries and 24 injuries that caused people to be unable to undertake their duties for over 3 days.

6.2.2 Slips and trips are one of the largest causes of incidents across the whole of NCC and for some departments they are the largest single reported incident cause.

6.2.3 Slip and trip accidents can happen for a number of reasons, but all too frequently we jump to conclusions about why they happen, rather than really looking for the true cause or, we often decide that it is just one of those things and do nothing.

6.2.4 In order to try and understand the root cause of the incidents that are occurring in NCC we are going to undertake a detailed analysis of all reported incidents to identify the underlying causes to enable targeted promotion and solution identification.

6.2.5 This will be a 2 year project with analysis occurring in 2009/10 and promotional work being planned for 2010/11

6.3 Lone Working

6.3.1 Lone Working continues to be a priority for NCC. In 2008/09 we undertook a survey of staff perceptions concerning lone working. This has highlighted a number of areas across the authority for advisers to work on. In 2009/10 safety advisers will take these actions forward for their service areas in advance of a further survey being conducted in 2010/11.

6.4 Updating Policy & Procedure formats

6.4.1 As part of the updating process for HR@Norfolk a standard format has been agreed for policies and procedures. As a result, all of the health and safety policies and procedures will need revising to meet this new format.

6.5 Stress

6.5.1 The stress policy was produced several years ago. This policy is now out of date and needs to reflect new guidance from the HSE along with our new worklife support strategy.

6.6 Monitoring

6.6.1 Following the creation of a new post to support health and safety advisers by undertaking monitoring visits to premises, a corporate plan of such visits will be drawn up. The results of these visits will be used to identify corporate trends and issues. Premises will be risk rated to identify the length of time between inspections.

6.7 Training

6.7.1 Following the creation of a new training officer post; work will commence this year to develop a health and safety training strategy that clearly identifies the type of training that is required in different posts, the frequency of refresher training etc. A corporate suite of training solutions will then be developed which will include e-learning options.

6.8 Risk Assessment

6.8.1 Good risk assessment is the foundation stone of good health and safety management. In 2008/09 we launched new corporate guidance on risk assessment. This guidance now needs rolling out throughout the organisation to ensure meaningful risk assessments are produced in all areas they are needed. Safety Advisers will review the production of risk assessments during

monitoring visits, and a risk assessment course for managers will be developed.

6.9 Near Miss reporting

6.9.1 Near miss reporting throughout the organisation is currently patchy and by no means representative of the whole picture. Consideration will be given into how near misses can be more easily reported in a format that will encourage reporting but provide meaningful information.

6.10 Audit on incident reporting (including violent incidents)

6.10.1 Feedback from the HSE inspection suggests that staff perceptions around incident reporting (including violent incidents) are not favourable, and may be leading to under-reporting. An audit of incident reports (including a percentage of violent reports) will be conducted this year to look at how managers are investigating incidents and what the injured person's involvement is in this process.

6.11 Analysis of health & safety perceptions

6.11.1 As part of our programme to improve the health and safety culture of the organisation a staff survey will be conducted using survey monkey to analyse staff perceptions about health and safety management in NCC. The results of the survey will be used to inform our future improvement programme.

6.12 Occupational Health Objectives

6.12.1 Re-tendering Occupational Health Managed Contracts

Occupational Health, MIRS and NSL contracts all need to be re-tendered this year. The Occupational Health Adviser will be managing this process to ensure the winning contracts add value to organisation and deliver excellence in service.

6.12.2 Undertake a Review of the Occupational Health Referral process through comparing the direct and 'via HR' routes

2008/09 has seen a pilot of referral to Occupational Health being undertaken directly by managers in some areas of the organisation. The Occupational Health Adviser will compare this process route to the existing 'through HR' mechanism and make recommendations regarding the most effective method for the future.

6.12.3 Undertake a Review of Long Term Sickness Absence and Occupational Health

The Occupational Health Adviser will undertake an audit of the management of long term sickness absence cases from the Occupational Health perspective in order to inform departmental and corporate improvement programmes in respect of this key people management area.

6.12.4 Undertake a Health Promotion Activity

Following on from last year's very successful Bee Happy Roadshow the Occupational Health Adviser, in conjunction with the Worklife Support Officer, will develop and deliver a health promotion initiative on physical activity to support the National Indicator in this area.

6.12.5 Undertake a review of Manual Handling Risk assessment Guidance

Manual Handling incidents continue to be in the top 5 causes of reportable incidents to NCC employees.

The current guidance will be reviewed this year to ensure it continues to be appropriate to NCC ways of working and activities. Following the review and refresh the new procedures will be promoted across NCC to ensure risk assessments are taking place and appropriate controls are in use.

7. Recommendations or Action Required

7.1 The panel are asked to consider and comment on the Corporate Health and Safety Report for 2008/09 and action plan for 2009/10

8. Section 17 – Crime and Disorder Act

8.1 There are no implications in this report.

9. Risk Implications/Assessment

9.1 If the Authority does not have a robust and proactive health and safety management system there is a risk that the Authority will be exposed to enforcement action and ultimately prosecution.

10.0 Equality Impact Assessment

10.1 An EqIA is undertaken when developing all new and updated health and safety strategies and policies.

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 Derryth Wright, Tel No: 01603 222912 or minicom 01603 223833 and we will do our best to help.

Progress Report on Corporate Health and Safety Plan 2008/2009

Corporate Health and Safety Objectives

Item	Action	Projected Outcome	Timescale	Lead	End of Year Position
1.1	Improve the integration of health & safety management into daily practices throughout the organisation through utilisation of current management processes to include health & safety considerations	All major corporate management systems will include references and signposts to health and safety management issues and guidance e.g. appraisal form, service planning, competency framework, leadership values	March 2009	CHSM	The following documents now include references to/areas for health and safety: <ul style="list-style-type: none"> • Service planning guidance and template • Appraisal form and guidance • Competency framework • 'the NCC leader role profile' Corporate H&S have also been involved in corporate improvement groups e.g. project managers forum, induction working group, management development group.
1.2	Develop a corporate health and safety training strategy	<ul style="list-style-type: none"> • A review of the current training provided across the organisation will be completed. • A proposal for a corporate training strategy including funding and delivery options for agreement by COG will be developed 	May 2008 June 2008	CHSM	Review was conducted and reported to HRLT, Chief Officers and the L&D Board along with a proposal for the development of a corporate training officer. All recommendations were approved and will be progressed in 2009/10
1.3	Contribute to European Health & Safety Week through promotional activities throughout NCC (this years topic is risk assessment)	<ul style="list-style-type: none"> • Our approach to risk assessment will be reviewed and guidance refreshed • the promotional activity that could be undertaken will be agreed by HSSG • promotional activity will be delivered and evaluated 	July 2008 August 2008 October 2008	CHSM and H&S Advisers	Refreshed guidance was launched during European week of health and safety. In addition a pilot bite size course on risk assessment for managers was delivered and positively received. Further action in relation to this area is programmed into the 2009/10 plan.
1.4	Produce a protocol and guidance to ensure consistency in approach of key adviser activity	<ul style="list-style-type: none"> • Protocol will be produced in consultation with advisers • Protocol will be communicated and implemented 	November 2008	CHSM and H&S Advisers	The protocol is still being drafted. Significant reactive work has meant this area has been delayed, but will be completed in 2009.

1.5	Review the lone worker safety systems in place across NCC	<ul style="list-style-type: none"> Corporate lone worker policy will be reviewed to ensure guidance is provided for risks other than violence. Risk assessments will be reviewed to ensure risks other than violence are being considered. Monitoring of systems in place within departments will be undertaken to ensure they are being used and working to protect staff. 	<p>August 2008</p> <p>September 2008</p> <p>October 2008</p>	<p>CHSM H&S Advisers</p> <p>CHSM with H&S Advisers</p>	An employee perception survey was conducted in 2008 and the results reported to all management teams and CAOS Panel. Further improvement actions are planned for 2009/10
1.6	Review of the Smoking Policy for NCC	Smoking Policy will be reviewed and changes made as appropriate.	March 2009	CHSM	Following a number of complaints about smoking at County Hall and as a precursor to a wholesale review of policy changes for County Hall, smoking locations were considered and consulted upon through Chief Officers and County Hall Users Group. The proposals will be used as a pilot for rolling out across NCC
1.7	Review Corporate approach to Fire Safety Risk Assessment	<ul style="list-style-type: none"> A new corporate fire risk assessment form will be produced Form will be agreed with Norfolk Fire and Rescue Service A proposal will be taken to COG on implementation of new form 	<p>May 2008</p> <p>May 2008</p> <p>June 2008</p>	CHSM	A new risk assessment form and guidance was produced and agreed with NFRS and COG. Free training on Fire Risk Assessment was organised and delivered to over 200 managers and premises managers as part of the roll out of the new guidance. This training will continue into 2009/10
1.8	Review CDM Guidance and Implementation	New Corporate Guidance produced and implemented	September 2008	CHSM	The guidance has been drafted and is due to be consulted on in early 2009/10
1.9	Review of Alcohol & Drugs Policy for NCC	Drug and alcohol policy reviewed and changes made as appropriate.	July 2008	CHSM and Corporate Occupational Health Adviser	The policy has been reviewed and a new draft produced. It is currently out for consultation with departmental management teams.

Occupational Health Objectives

Item	Action	Outcome	Timescale	Lead	End of Year Position
2.1	Review of the Occupational Health Provision	Review undertaken and proposals produced	June 2008	Corporate Occupational Health Adviser	Initial review taken place further analysis of activity required before proposals are taken forward
2.2	Review of the corporate approach to DSE workstation assessment	Review undertaken and proposals produced	September 2008	Corporate Occupational Health Adviser	Review undertaken and a paper with recommended actions was taken to HRLT in May 2009
2.3	Review the interaction between the people management strategy and occupational health	Review undertaken and findings report produced including recommendations where appropriate	March 2009	Corporate Occupational Health Adviser	Report taken to HRLT following audit referrals. Actions identified from results and implemented.
2.4	Review the need for a corporate infection control and management strategy	Review undertaken and findings report produced including recommendations where appropriate	November 2008	Corporate Occupational Health Adviser	Not completed. To be reviewed in 2009/10
2.5	Review the corporate approach to managing stress absence	Review undertaken and proposals produced	May 2008	CHSM	A review was undertaken and proposals for a new worklife support strategy and post were approved by COG

Corporate Health and Safety Plan 2009/2010

Corporate Health and Safety Objectives

Item	Objective	End of Year Projected Position	Timescale	Lead
1.1	Undertake a review of reported slip and trip incidents in order to understand the main causes of such incidents and undertake promotional and other activities to reduce the number of incidents over time	This will be a 2 year project with the analysis of incidents occurring in 2009/10 leading to the drafting of plans and objectives for improvement activity for 2010/11	March 2010	CHSM
1.2	Implement improvement activities as a result of personal safety survey undertaken in 2008	Departmental Advisers will have reviewed the findings for their department and undertaken detailed investigations as a result. Any improvement activity coming out of this will be programmed into the work plan for 2009/10	March 2010	Departmental Safety Advisers
1.3	Update Policy and Procedure Formats	A schedule for reviewing and updating all current policies and procedures will be produced and followed. All new policies and procedures will be produced in the agreed format.	March 2010	CHSM
1.4	Review and refresh the Stress management Policy	To ensure it reflects the new worklife support strategy the stress management policy will be reviewed and refreshed.	September 2009	Worklife Support Officer
1.5	Development of the new Corporate Monitoring Officer role	<ul style="list-style-type: none"> ▪ Appoint to the role ▪ Develop a corporate plan of visits with departmental advisers ▪ Risk rate all premises visited 	June 2009 June 2009 Ongoing	CHSM with Departmental Advisers
1.6	Develop and deliver a H&S training strategy and corporate training programme	<ul style="list-style-type: none"> ▪ Appoint to the role ▪ Develop and agree strategy ▪ Develop and deliver corporate training programme 	June 2009 August 2009 Ongoing	CHSM
1.7	Improve the approach to risk assessment	<ul style="list-style-type: none"> ▪ Review the production of risk assessments in line with corporate guidance ▪ Develop and deliver risk assessment course for 	March 2010 December 2009	Departmental Advisers H&S Training

Item	Objective	End of Year Projected Position	Timescale	Lead
		managers		Officer
1.8	Near Miss Reporting	Review current near miss reporting procedure and make recommendations for improvement	December 2009	CHSM with Departmental Advisers
1.9	Audit on Incident Reporting including violent incidents	NAS will undertake an audit on incident reporting and in particular management actions and investigations following reports being made.	March 2010	NAS
1.10	Analysis on H&S Perceptions	<ul style="list-style-type: none"> ▪ Survey monkey questionnaire on perceptions about H&S management developed ▪ Survey undertaken ▪ Results analysed and reports produced for management teams ▪ Overall results and recommendations reported to HRLT 	November 2009 January 2010 February 2010 March 2010	CHSM

Occupational Health Objectives

Item	Objective	End of Year Projected Position	Timescale	Lead
2.1	Re-tendering Occupational Health management Contracts	All contracts successfully re-tendered prior to current contract expiry	March 2010	Corporate Occupational Health Adviser
2.2	Undertake a review of the Occupational Health referral process through comparing the direct and 'via HR' Routes	Review undertaken and recommendations on the way forward made	January 2010	Corporate Occupational Health Adviser
2.3	Undertake a Review of Long Term Sickness Absence and Occupational Health	<ul style="list-style-type: none"> • Review undertaken • Learning points fed into tender process • Learning points fed into departmental and corporate improvement processes 	June 2009 July 2009 December 2009	Corporate Occupational Health Adviser
2.4	Undertake a Health Promotion initiative on physical activity to support the National Indicator in this area.	Activity successfully undertaken	March 2010	Corporate Occupational Health Adviser and Worklife Support Officer
2.5	Undertake a review of Manual Handling Risk Assessment Guidance	<ul style="list-style-type: none"> • Undertake review • Develop new procedures • Promote across NCC to ensure risk assessments are taking place and appropriate controls are in use. 	May 2009 June 2009 August 2009	Corporate Occupational Health Adviser

Norfolk County Council
Workforce Profile

This report provides a summary of the key performance information and statistics about staff employed by Norfolk County Council for the financial year 2008/09.

**Report by the Head of Human Resources and
Organisational Development
For note by the Panel**

Summary of Key Issues

Effective people management is critical to the successful performance of an organisation. This is recognised by the County Council in its Plan 2008 – 2011, with a key organisational objective of Developing and Supporting our Workforce.

A key factor in improving people management, particularly in a large and complex organisation such as the County Council is the effective management and analysis of workforce performance data and trends. Workforce data from the HR/Payroll system (IHRIS) has been developed to support service planning and performance management processes (including effective deployment and development of the workforce). The information in this report underpins our corporate workforce development planning.

This report summarises key performance management information and statistics about Norfolk County Council's workforce. Benchmarking performance data is provided alongside trend information on the workforce in Norfolk County Council (where this is available). The other benchmark data is provided from the Chartered Institute for Personnel and Development (CIPD), Norfolk Data Observatory and the Office for National Statistics

The workforce data provided is reported on the basis of financial years (i.e. April to March) and also supports other reporting timetables e.g. BVPI's, budget planning.

Employee Engagement

The level of employee engagement is an important factor for performance. Research through the Improvement and Development Agenda for Local Government (IdEA) and Mori continues to show a conclusive relationship between performance improvement and how staff are engaged and led.

NCC has undertaken two full employee surveys in 2007 and June 2009 in partnership with Ipsos Mori an independent research agency (a short survey was undertaken in 2008 for staff on line only). The 2009 survey excludes staff in schools who will be surveyed in the Autumn of 2009. Overall NCC has some high levels of employee engagement, when compared to the Ipsos Mori norm data. We have also made some significant improvements in key areas following targeted actions across the organisation.

Workforce Profile

Whilst overall there has been a increase in staff numbers this year with a total fte increase of 658 (excluding casual and supply staff) (401.91fte), staffing changes within schools accounts for the majority of the increase (592 employees or 347.81fte), due to them having allocated cash provisions for staffing. Elsewhere, as a result of improvements to the SureStart service and increases in externally funded posts, there has been an increase in Children's Services non-schools of 121 employees (105.48fte). Adult Social Services has seen a reduction in staffing numbers of 141 employees (115fte) due to the transfer of mental health services.

Turnover

Turnover has decreased in the last 12 months from 13.20% to 12.19%, this is likely to be linked to the uncertain economic climate. The Local Government turnover rate in 2008 remained unchanged from the previous year at 13.7%. NCC remains below the average for the sector.

The average number of applicants per vacancy has increased across the year from 8.32 in quarter 2, to 15.35 in quarter 4, most likely as a result of the effect of the economic climate on the labour market.

Work Placements

Work placements which include all work experience and apprenticeships have also been included for the first time. Work in this area has been supported by funding from the Strategic Ambitions reserve to support a temporary post until March 2010 that is working to improve data collection, promote placements and to increase their numbers.

Redeployment

Redeployment activity avoids redundancy costs by redeploying staff across the Council. The numbers being redeployed has increased significantly and the process and policy is currently under review to make further improvements and savings over the coming year.

Early Retirement

There has been a decrease of 11 in the number of early retirements compared to last year. This is a good outcome given the ongoing schools reorganisation activity.

Sickness absence

There was a downward trend in sickness absence until last year and this year there has been a slight increase from 9.11 to 9.18 days.

The data tells us that:

- **Short-term sickness absence has increased** from 14.36% in 07/08 to 14.72% in 08/09. The most common reason for sickness of up to 5 days was infection and this is now in the top three reasons for absence replacing musculoskeletal.
- **Absence due to infection illness has increased** from 10% in 2007/08 to 12% in 2008/09. We are still investigating this, but this does follow general trends and infection rates are reportedly higher nationally. This can affect certain sectors more than others for example health care.
- **Absence due to musculoskeletal related conditions has remained fairly static** from 8% in 2007/08 to 9% in 2008/09, work has been undertaken over the last year to tackle key areas where there were particular issues.
- **Long-term sickness absence of 21+ days has continued to decrease** from 64.87% in 06/07 to 59.33% in 2007/08 to 58.13% in

2008/09. The number of dismissals due to ill health has increased slightly as the organisation works to manage absence more effectively.

At the Cabinet meeting on 23 June 2009, a decision was made that it should ask the Corporate Affairs Overview and Scrutiny Panel to consider detailed analysis of sickness absence to establish whether any action could be taken to reduce the average number of working days lost.

Equality Data

In order to deliver high quality services, we need to attract and recruit the best talent. To do this we need to be confident that all sections of the population are considered equally on merit and their ability to do the job, and our diversity targets help us evidence progress towards our objective of a workforce that is representative of the Norfolk population.

Broadly the Council is comparable with external local government data when it comes to gender profiles with 79% of the workforce being female. In Senior Management we exceeded our target and showed an increase of 5.76fte.

Disabled employees is still the biggest area of challenge and we missed our target by 16%. This remains a key area for improvement over the coming year. Our target for the number of disabled employees in Senior Management was exceeded by almost 10%.

Our race profile continues with its upward trend and we exceeded our target by 8.5%. We are making steady progress given the local BME population is only 4% (2007 data). During 2008/9 reporting on the level of White Other employees was commenced to better reflect the Norfolk population, and data shows this increased by 7% across the year from 1.86% to 1.99%. We did not maintain our position of 3 BME senior managers, falling to 0.53% or 2 BME.

Our age profile continues to move toward the national government profile. The main area for concern is the 16-24 bracket, which comprises only 5% (an increase of 0.3% on the previous year) of the workforce and is a key area of focus for the Equality and Diversity Strategy.

Norfolk County Council participates in a range of careers events throughout the year, aimed at increasing awareness of the range of available careers and the benefits of working for the organisation. In particular, work has been undertaken over the last year to target local Black and Minority Ethnic (BME) groups and school leavers/graduates.

Headline Summary of Workforce Data

Workforce Indicator	Target 08/09	2009	2008	2007	2006	2005
FTE total (Primary and secondary job)	n/a	19,736	19,334	18,965	18,439	17,931
Sickness Absence (BV12)	8.5	9.18	9.11	8.19	8.77	8.50
Turnover	13.20	12.19%	13.20%	11.85%	12.84%	12.99%
Ill Health Retirements (BV15)	0.19%	0.25%	0.21%	0.37%	0.30%	0.53%
Early Retirements, (excluding ill health) (BV14)	0.60%	0.61%	0.67%	0.66%	0.52%	0.52%
Employees with a Disability (BV16a)	2.54%	2.13%	2.16%	2.06%	1.94%	2.28%
Employees from Minority Ethnic Groups (Bv17a)	1.30%	1.41%	1.23%	1.07%	1.00%	0.94%
Top 5% of women Earners (BV11a)	44.67%	45.15%	43.43%	41.50%	41.15%	40.44%
Top 5% of Earners from BME groups (BV11b)	0.85%	0.56%	0.84%	0.86%	0.57%	0.30%
Top 5% earners with a Disability (BV11c)	2.83%	3.11%	2.54%	2.28%	2.55%	new
% of employees who are advocates of the council as an employer	50%	59%	57%	46%	n/a	n/a

Recommendation

Members are asked to review and comment on the strategic issues relating to the workforce profile and performance data.

Contents of Document

Subject	Page
Section One - Introduction	8
Section Two - Employee Engagement in NCC - Data to Measure	8
Section Three – Key Workforce statistics	10
Employee Numbers/ Staff Turnover/ Work placements Redeployment Early Retirements	
Section Four – Sickness Absence	19
Section Five - Equality Data	
Gender profile and women in senior management, Age distribution, Black & Minority Ethnic Groups Representation and Disability	28
Summary of Tables and Graph	Page
Table 1 Total Number of Employees in each Department as at March 09	10
Table 2 Staffing Numbers – Extract from the Statement of Accounts 2009	11
Table 3 Overview of Voluntary v Non Voluntary Turnover 2008/09	12
Table 4 Turnover Figures for the Council and Departments 2008/09	13
Table 5a Overview of Work Experience Placement Outcomes 2008/09	14
Table 5b Graph of Work Experience outcomes	14
Table 6 Source of Work Experience Requests	15
Table 7 BVPI 14 The %age of Employees Retiring Early (Exc Ill Health)	17
Table 8 BVPI 15 The %age of Employees Retiring on Grounds of Ill Health	18
Table 9 BVPI 12 Number of Working Days Lost due to Sickness Absence	19
Table 10 Analysis of Short and Long Term Absence	20
Table 11a Average Days sickness per FTE trend data	21
Table 11b Average Days sickness per FTE comparison of 2007/08 & 2008/09	22
Table 12a Benchmarking information on sickness absence	23
Table 12b Average days lost per employee by sector	23
Table 12c Average days lost per employee by region	23
Table 12d Average days lost per employee by employer size	23
Table 12e Comparator Councils average sick days	24
Table 13 Days Lost by Reason April 08 – Mar 09 (including schools)	25
Table 14 Pay Band Analysis – Male/Female Split March 2009	30
Table 15 Male/Female distribution across Occupation Groups	30
Table 16 BVPI 11a Top 5% Earners who are women	31
Table 17 Full Time/Part Time, Male/Female Analysis March 2009	32
Table 18 BVPI 16 %age of Employees with a Disability	33
Table 19 BVPI11c Top 5% of Earners with a Disability	33
Table 20 Payband Analysis of Disabled Employees	34
Table 21 Comparison of Ethnic Profile in NCC and Norfolk	35
Table 22 Analysis of BME employees by pay band March 09	36

Table 23	BVPI 11b Top 5% of Earners from BME Groups	36
Table 24	BVPI 17 %age of Employees from BME Groups	37
Table 25	NCC Age Profile March 2009	38
Table 26	Age Profile comparator	38

Section One

Introduction

This Workforce report is provided annually to Members. For each of the areas of workforce data information is provided on: -

- **A Quantitative basis as to the present position** (including both corporate and departmental positions). There is data on an occupational basis were appropriate.
- **Performance targets or benchmark data** where available.
- The **trend** over recent years (where historical information is available).
- **Analysis of the information** and a summary of the actions and activities to **improve** our performance or profile.

Section Two

Employee Engagement in NCC

Introduction

Employees who are engaged are more productive, more willing to 'go the extra mile' and to apply discretionary effort in the interests of NCC; and more likely to be 'advocates' who will recommend the County Council to others. Additionally, engaged employees take less sick leave and are less likely to leave the organisation.

Numerous factors can influence employee engagement, including the way they are managed, their perceptions on leadership in the organisation and how they are communicated with. In fact the whole employee proposition - which encompasses everything from reward and development to organisational reputation and work life balance will impact employee engagement.

NCC Employee Survey and Our Results

Following our 2007 Employee survey a range of targeted actions and improvements have been implemented over the last two years. This has included implementing a leadership development programme "Impact", a new set of behavioural values, our new Outstanding Contribution Awards Scheme, our new Ambitions which enabled our priorities to be sharper for employees, strengthening our Performance Appraisal process.

The initial results of the 2009 survey (published on the 16th July) show some significant improvements across nearly all of the response from employees. These improvements show up to 14% increases in positive responses from NCC employees.

Key results include 59% of employees speak positively to others outside the County Council (an increase of 13% from 2007) and 26% above the Ipsos Mori norm data.

Employees' views on the way change is managed and employees involved has improved. Also 85% of employees stated they were committed to working

differently to improve the services we provide to customers. 72% support the need to improve (an increase of 8%) and 9% above the Ipsos Mori norm data.

77% of employees have received their appraisals. This is a recognised area for further improvement. 40% of employees rated cross organisational communication as good (an increase of 14%).

41% believed that there is good co-operation between their service area and other service areas in the council (increased by 13%).

We are currently exploring a range of areas for further improvement, alongside ensuring we spread the areas of good practice across the organisation.

Key areas of improvement from the 2007 survey	2007 Baseline	Pulse check 2008/09 *	2009 Employee Survey	Mori Benchmark (Local Authority)	Target 2008/09	Target 2009/10	Target 2010/11
% employees who feel change is well managed	16%	26%	24%	18%	35%	35%	35%
% Employees who have had a formal appraisal	64%	83%	77%	No data	100%	100%	100%
% Employees who are advocates of the Council as an employer	46%	57%	59%	33%	50%	50%	50%

* note the 2008 pulse check (a short on line survey) was only targeted at a limited number of employees and excluded the “hard to reach” groups

Section Three - Key workforce Statistics

Employee Numbers

As can be seen from table 1 below NCC currently employs 27,808 staff (in 19,736 FTE posts) an increase from last year of 650 staff and 402 FTE. Table 2 (page 11) replicates the information we are required to provide in the County Council's Statement of Accounts. This shows staff numbers (by fte) paid in March and includes supply and casual staff. 17,362 employees (11,703.22 fte) are employed within schools.

Table 1 Total Numbers of Employees in each Department as at March 2009

	March 2009			March 2008		
	Primary Job	Sec Job	FTE (inc. Prim & Sec)	Primary Job	Sec Job	FTE (inc. Prim & Sec)
Chief Execs	885	30	779.9	889	32	783.76
SUMMARY	885	30	779.9	889	32	783.76
Children's Services						
Schools - Teaching	6640	224	5983.96	6631	237	6014.18
Schools - Non Teaching	10722	2756	5719.26	10139	2623	5341.23
Non-Schools Staff	2745	134	2345.79	2624	137	2240.31
SUMMARY	20107	3104	14049.01	19394	2997	13595.72
Fire Service (exc. Retained)						
Uniformed	281	50	328.32	309	43	331.04
Non-uniformed	120	14	119.60	114	15	118.37
SUMMARY	401	64	447.92	423	58	449.41
Planning & Transport						
	882	8	827.36	830	9	784.82
SUMMARY	882	8	827.36	830	9	784.82
Cultural Services						
	1484	289	685.45	1424	228	659.16
SUMMARY	1484	289	685.45	1424	228	659.16
Adult Social Services						
	4049	416	2946.32	4190	378	3061.18
SUMMARY	4049	416	2946.32	4190	378	3061.18
TOTAL	27808	3911	19735.96	27150	3702	19334.05

Figures exclude supply and Casual staff in who are paid via claims schools casuals and Supply Teachers 3121 (500fte). Figures also exclude a small number of schools not on NCC payroll.

Table 2 Staffing Numbers - Extract from Statement of Accounts 2009:

The table below shows details of the number of people directly employed by the County Council shown as full time equivalent (FTE) numbers. The FTE calculations include secondary and tertiary jobs.

Service	As at March 2009	As at March 2008	Net Change
Children's Services	14288	13,900	388
Adult Social Services	2946	3,061	-115
Planning and Transportation	827	820	7
Fire	447	450	-3
Cultural Services	685	663	22
Chief Executives and Finance	670	639	29
Other Services (Connexions, Trading Standards, Registrars, Youth Offending Team)	345	341	4
TOTAL	20211	19,874	337

The main increases in staffing levels can be summarised as follows:

- Children's Services – The major increase has been with school based staff. Schools determine their own staffing levels within allocated cash provision, so numbers will vary. Within Non Schools, recruiting restrictions were lifted and a number of vacant posts have been filled. Additionally, the establishment of SureStart Centres in Thorpe Hamlet and Woodside nurseries accounted for an additional 26fte, ICT Solutions saw an increase in demand from schools accounting for an additional 12.6fte, as well as increases in externally funded posts across the Department.
- Adult Social Services – Reduction due to TUPE transfer of Mental Health staff and reduced Home support hours.
- Planning and Transportation; there has been an overall net increase of +7 fte:
 - Implementation of Traffic Management Act
 - Growth Point development and implementation (externally funded)
 - Shaping Norfolk's Future (SNF)(externally funded)
- Cultural Services;
 - Adult Education has seen an increase due to extra LSC external funding
- Central Departments; There has been an overall net increase of +29fte variations including
 - Customer Service Centre has increased +9fte due to increased service provision.

- Employee Service Centre has increased +7.0fte due to increased workload which has been funded through additional income from traded services including schools.
- Legal Services filling of vacant posts.
- Other Services;
 - Youth Offending Team – increase in externally funded posts.

Turnover

Turnover has decreased in the last 12 months from 13.20% to 12.19%, this is likely to be as a result of the uncertain economic climate. As can be seen from table 3 below, turnover varies considerably across Departments.

The majority of turnover is voluntary (83% of schools based leavers, 74% of non-schools leavers). Data from the exit questionnaire process supports this, as the top 2 reasons for leaving the Authority were to take up new employment or take retirement. Of the non-voluntary leavers, the majority of these result from the expiry of fixed term or temporary contracts (51%) e.g. to cover for periods of maternity leave or sickness, or where funding for a role is time limited.

Additionally, the TUPE transfer of mental health services from Adult Social Services to the NHS in October 2008 accounted for a further 21% of non-voluntary leavers.

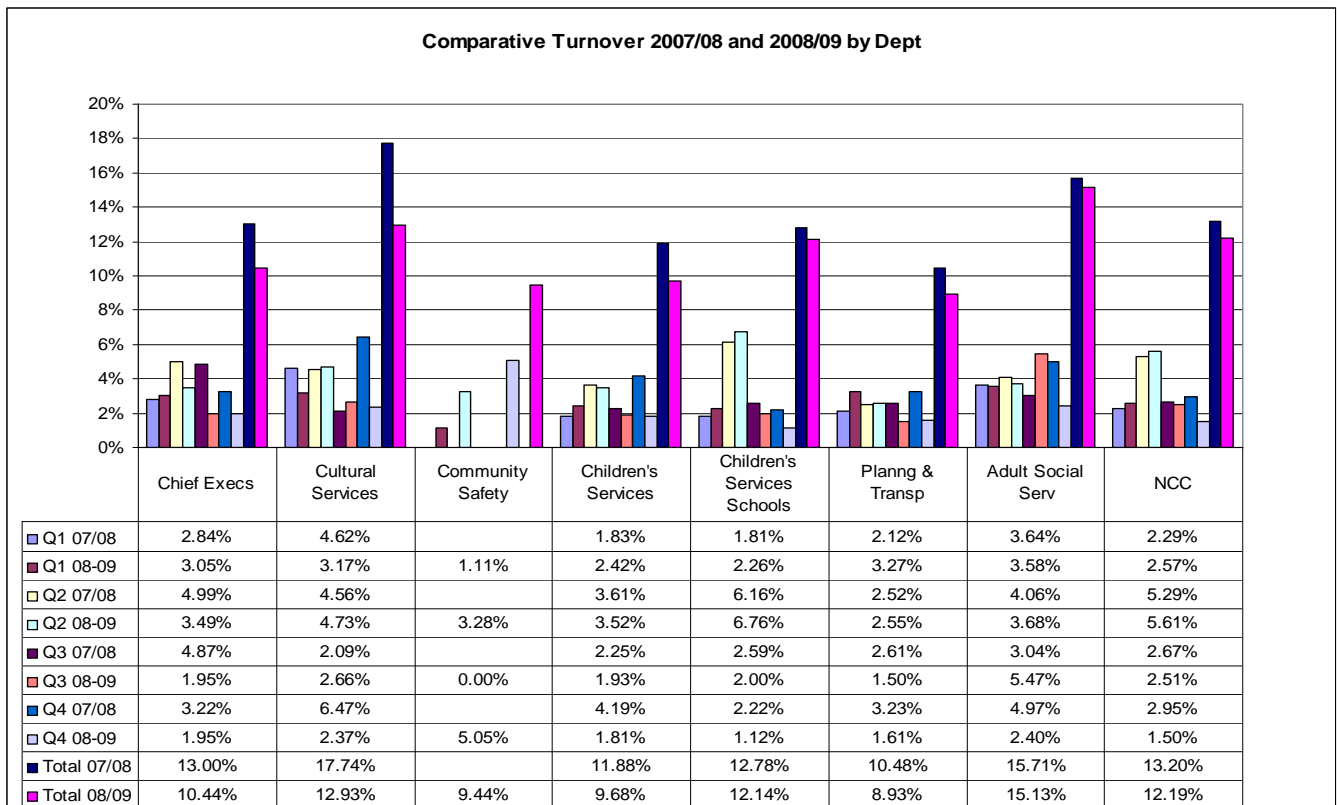
Table 3 – Overview of Voluntary v Non Voluntary Turnover 2008/09

NCC (Non Schools)	Q1		Q2		Q3		Q4		Total
Total Non Voluntary	158	28%	81	23%	126	42%	116	26%	481
Total Voluntary	403	72%	356	81%	174	58%	435	74%	1368
Total Leavers	561		437		300		551		1849

Schools	Q1		Q2		Q3		Q4		Total
Total Non Voluntary	81	23%	12	44%	36	12%	24	17%	153
Total Voluntary	276	77%	15	56%	263	88%	193	83%	747
Total Leavers	357		27		299		217		900

The Chartered Institute of Personnel and Development (CIPD) Recruitment and Retention Survey in 2009 reported both the headline public sector turnover rate and the Local Government turnover rate in 2008 remained unchanged from the previous year at 13.7%. NCC is still below the average for the sector

Table 4 – Turnover Figures for the County Council by Departments



Work placements

Over the last year work has been undertaken to improve the numbers of work placements which includes work experience of all types and apprenticeships, and also an investment to improve our data capture around this key area.

Work experience is a learning opportunity for an individual to carry out a range of activities within a team which is unpaid. Work experience can be relevant for a range of individuals and varies in terms of content and duration.

The most common type is providing 1 to 2 week work experience placements for school children whilst they are studying for their GCSE's and the new Diplomas. However, requests are received from undergraduates, unemployed people, people returning to work and graduates. These placements vary greatly in length and content but all provide valuable experience to the individual to develop knowledge, skills, an understanding of working practices, an opportunity to work as part of a team and to relate what they learn at school, college, university or when retraining, to the workplace.

Work experience placements have been increasing continuously since April 2008. Between 1 April 2008 and 31 March 2009 there were 114 recorded requests. 66 of these requests have been provided with placements.

Promotional work has been conducted internally and externally to promote work experience placements. The aim of the internal promotional work is to raise managers' awareness to increase manager participation and externally to raise the profile of NCC as a good employer.

Table 5a and b below shows a break down of work experience placements between April 2008 and March 2009:

Table 5a – Overview of Work Experience Placement Outcomes 2008/09

Requests date	No of requests	Placements offered	No longer required	Referred elsewhere	Unable to offer
Apr 08 – Jun 08	16	9	6	1	0
Jul 08 – Sept 08	9	3	6	0	
Oct 08 – Dec 08	22	10	10	1	1
Jan 09 – Mar 09	67	47	8	10	2
Total for financial year	114	69	30	12	3

Table 5b

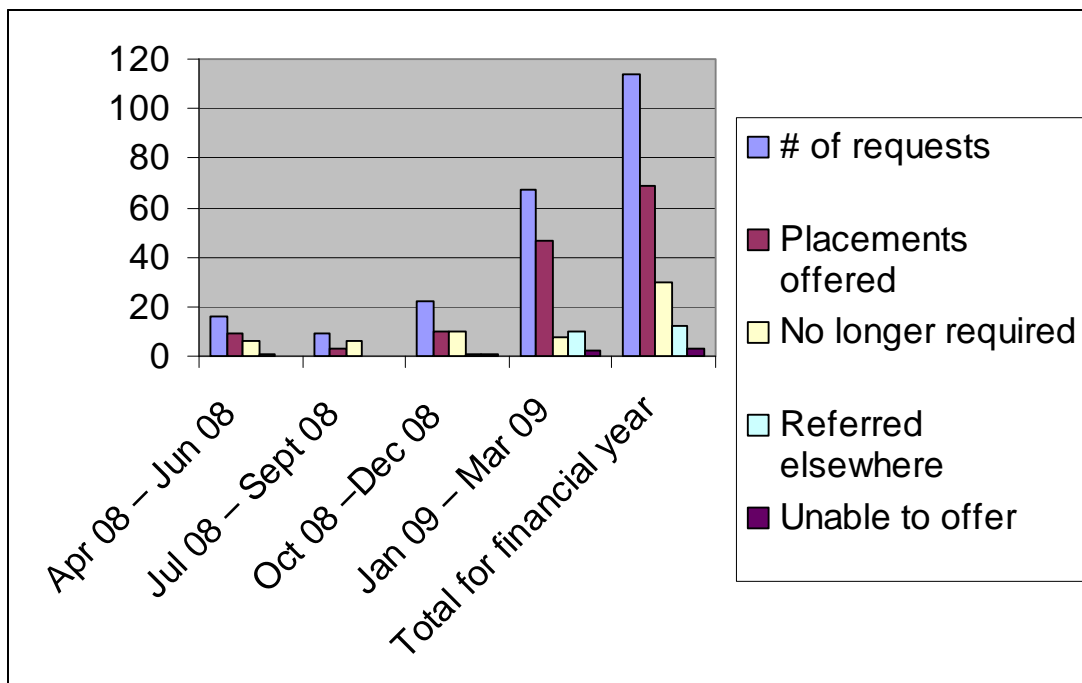
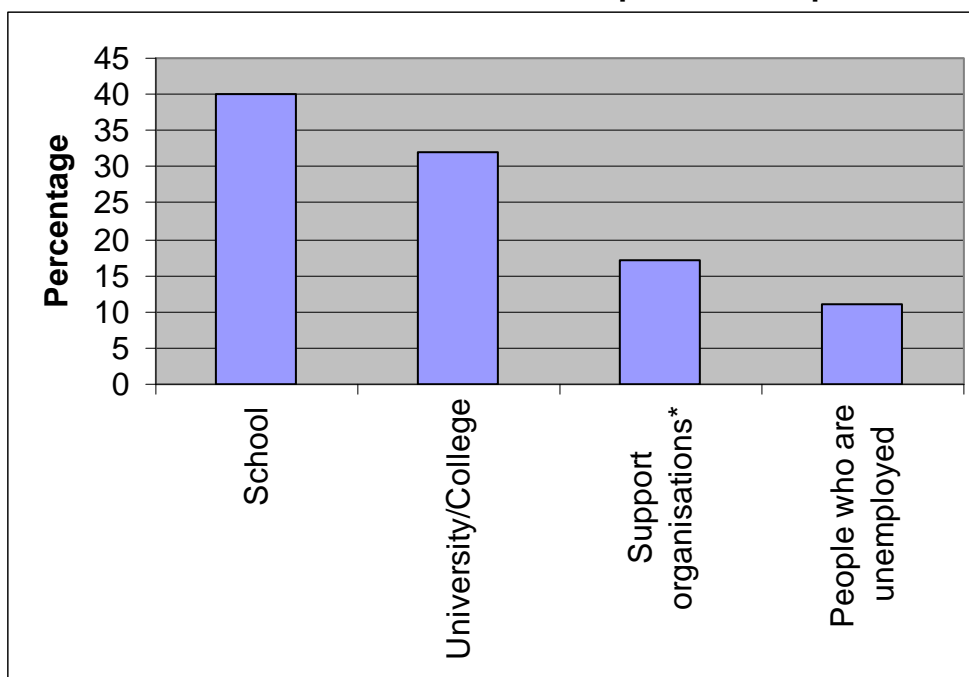


Table 6 on page 15 details where our requests come in from. The majority (40%) of requests come from Year 10 pupils undertaking their work experience. A key aim for the next year is to increase all requests through the channels shown in the graph. This graph also gives an indication of the age of groups requesting work experience.

Table 6 – Overview of Source of Work Experience Requests



*Organisations who help adults of working age who face barriers to employment get back into work / Organisations who support Not in Education, Employment or Training (NEET) groups / Organisations who support people with disabilities or learning difficulties.

Work Experience Placements to Support Diploma Programmes

Promotional work is being undertaken within the County Council to raise Managers' awareness of the diplomas to ensure we provide quality work experience placements that compliment the diploma programmes on offer.

At present, Norfolk Museums and Archaeology Service are prioritising their work experience placements for students on diplomas (subjects to include creative and media, travel and tourism, environmental and land based). Planning and Transportation are intending to support diplomas specific to their area such as Engineering and Travel and Tourism.

In terms of training providers outside schools, the County Council has been approached by Norwich City College and as a result has pledged to assist them with their diploma placements. This assistance can be extended to other training providers as the diploma programme develops. In addition, the new IT diploma is being offered by three of the Norfolk Consortia* from September 2009. The County Council are meeting with representatives from the three consortia to establish how our IT department can support the delivery of the IT diploma in terms of work related learning.

The diploma programme itself is in the early stages of development across the County and will grow over the next two to three years. Norfolk has been one of the most

successful authorities in the development of the new diplomas through the various "Gateways" and we are on track to implement the full diploma range by 2013 in accordance with the Government's targets. As the diploma programme grows and develops, the County Council as an employer will be working with schools and training providers to ensure that placements are identified in relevant areas within services.

*(These are groups of schools and colleges in a specified area. Schools must be in a consortia to offer a Diploma qualification. There are 10 consortia in Norfolk.)

Apprenticeships

An Apprenticeship is a form of vocational training enabling people to earn while they learn the skills necessary to succeed in their chosen career.

Apprenticeships combine on and off the job training – on the job an apprentice will work with a mentor, learning skills on site and working towards a work based qualification such as a National Vocational Qualification (NVQ). The apprentice's on the job training can be offered from a minimum of 16 hours per week to full time. Off the job, apprentices spend time with a learning provider working towards a technical qualification such as a BTEC. Both qualifications are usually at Level 2 or 3. The amount of time spent studying varies; it can be anything from 100 to 1,000 hours, depending on the sector.

Apprentices gain key transferable skills for example working in teams, problem-solving, communication skills and using new technology as well as studying for a technical certificate (in many cases), which provides further knowledge and understanding of the relevant job.

An Apprenticeship is not a qualification in itself, but is a framework that contains the following separately certified elements.

- A knowledge-based element
- A competence-based element
- Transferable or 'key skills'

An Apprenticeship shapes an individual into an all round employee as well as providing and employer with someone who is competent in their role, with qualifications to enhance their knowledge.

Historically NCC has offered Apprenticeships mainly for the Business Administration and the Social Care functions. For the next year the aim is to increase the numbers of Apprenticeships under these frameworks and also introduce new frameworks.

Promotional work has been and will continue to be undertaken internally to raise awareness and increase the number of Apprenticeships at NCC. All Apprenticeship vacancies will be advertised via NCC's recruitment website, Connexions and the newly established Vacancy Matching Service run by the new National Apprenticeship Service.

There were 12 placements for the year April 2008 – March 2009. The current target is to increase this by 8 during 2009/10.

Redeployment

The redeployment of staff continues to be a key issue for the Council.

Overall 86 people were considered for redeployment in the last financial year of these 30 left the Council and 56 were successfully redeployed. This was an increase in the total number of staff successfully redeployed from 32 people to 56.

Costs avoided due to redeployment in 2008/09 were £126,679.

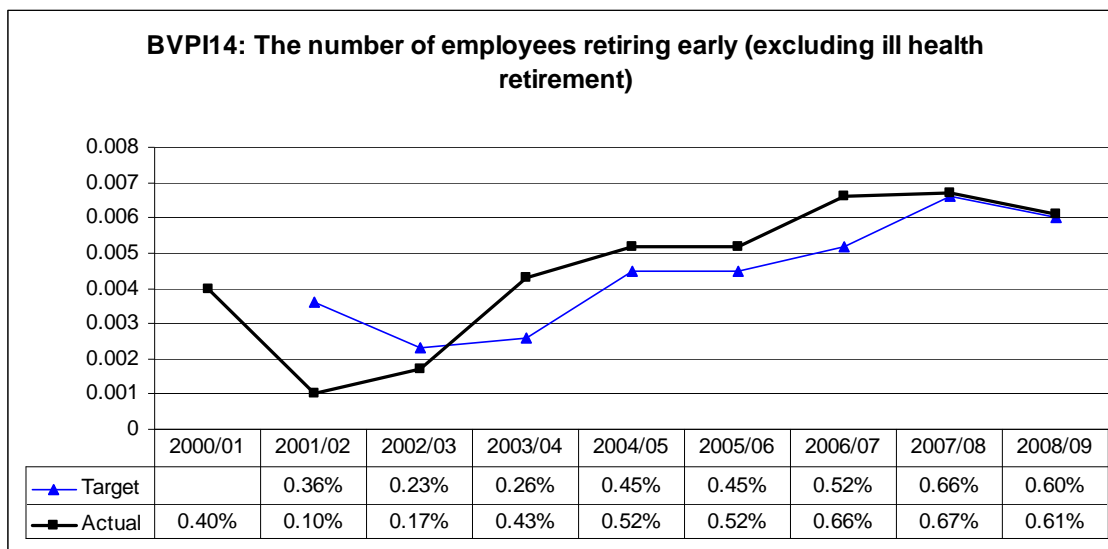
In the current year, activity will include targeting managers via the recruitment and selection course to raise their awareness of the redeployment policy and process and its benefits to managers, individuals and the organisations. The Norfolk Guidance Service is also being utilised to offer redeployees help in increasing confidence and practical skills for example CV writing and interviewing skills.

Early Retirements

The monitoring and management of the levels of early retirement is one of our Corporate Health Best Value Performance Indicators. The number of early retirements (excluding ill health) has decreased by 11 from 151 people during 2007/08 to 140 people during 2008/09. See table 7 below for detailed trend and benchmarking information.

Given the schools re-organisation that continued to take place during 2008/09, our target was to maintain current levels of early retirements across the Authority, and review the position further during 2009/10. This was exceeded and schools retirement numbers accounted for 119 of the 140 retirements that took place.

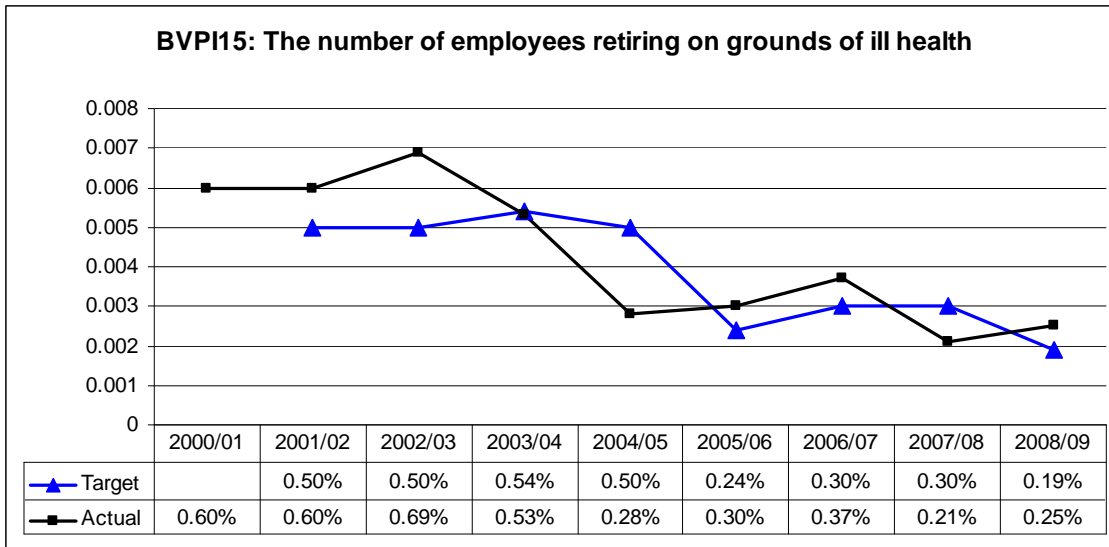
Table 7



The number of **ill health retirements** has increased from 48 in 2007/08 to 51 in 2008/09. See table 8 on page 18 for detailed trend and benchmarking information. 22 of the ill-health retirements took place in schools, a similar performance from the previous year. Adult Social Services saw an increase of 7 from 2007/08 accounting for

the overall increase. This is as a result of measures to address long term sickness within the Department.

Table 8

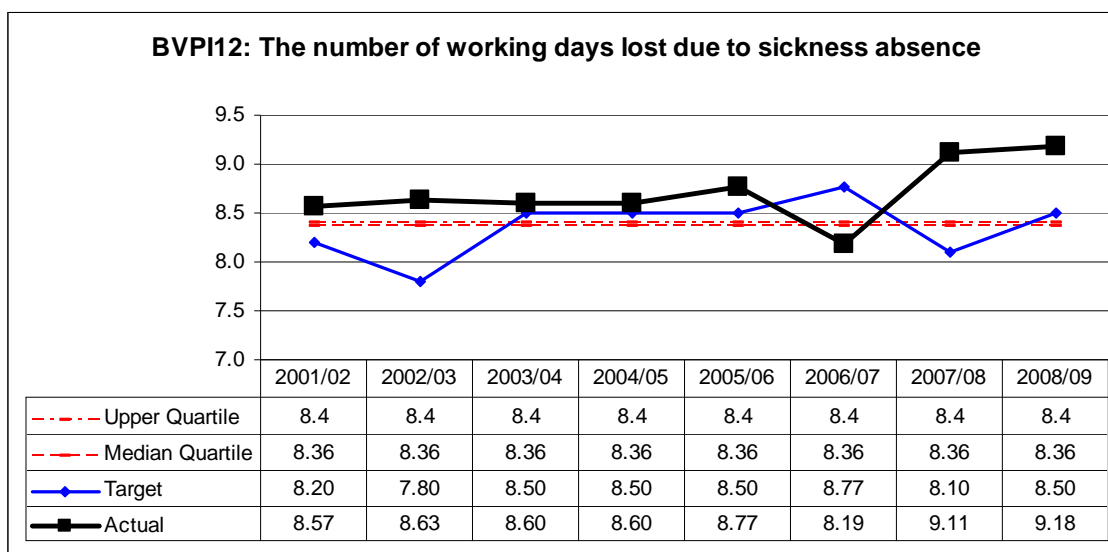


Section Four - Sickness Absence

Sickness absence is a major issue for all employers, both public and private sectors, and is one of our Best Value Performance Indicators (BVPI's). It continues to be a key target for improvement as lower sickness rates will help improve our overall performance and also offer efficiency savings for services. Reductions in employee absences in some services e.g. home care, schools, libraries will enable them to reduce the direct costs they incur, when replacing absent employees with temporary staff. Key to achieving improvements in this area is our focus on increasing the capacity of managers to address sickness absence; alongside supportive measures aimed at prevention and assistance to employees to return to work. Over the last year the focus has been on the capture of data and improving the quality of the data provided to managers.

The sickness absence rate for 2008/09 is 9.18 days, table 9 below sets out summary data for the last 8 years in graph format. Table 11a and b provides trend data within Departments on sickness absence (pages 21 and 22). This is a small increase on NCC's position in 2007/08 of 9.11 days per FTE. The Chartered Institute of Personnel and Development (CIPD) survey on absence management notes that overall there is an upward trend in sickness absence generally with most sectors experiencing an increase. See table's 12a – e page 23/24.

Table 9



The average private sector absence figure of 8.8 days has also seen an increase in 2008, but from a lower baseline than in the public sector (this data is for large private organisations, i.e. 2000+ employees) and therefore remains a challenge for all public sector employers. According to the CIPD survey private sector employers often have less generous occupational sick pay with longer qualifying periods and shorter periods of payment, which may be a key factor in why the sickness levels are lower. The public sector is also more likely to have an older workforce, who are more likely to have higher levels of absence. Data for the last two years shows that NCC employees aged over 50 have an average of 12 days absence per absent employee compared to other age groups which have between 4 – 8.8 days.

More detailed breakdown of this year's performance against the previous year shows that there may be a number of factors impacting on this rise. The data shows that community protection has the most significant rise in absence by 9%. There have been a number of long term sickness absence cases in what is a very small Department, which has a disproportionate impact on the overall data. A number of these cases have since been resolved, and an initial review does not appear to show a particular trend underlying the absence.

Additionally, when Homecare and Residential care services (around 1400 fte) are excluded from the overall BVPI calculation (as is the case in many other County Council's who have outsourced these services) the BVPI outcome reduces to 8.04 days per fte which would be both within target and in line with private sector comparators.

Adult Social Services continues to experience higher sickness absence rates than other Departments, particularly in Home Care. This stems from the nature of the work involved and their public facing role. However, sickness levels within Adult Social Services have dropped compared to 2007/08 and they are in the middle quartile with respect to sickness absence rates in other Social Services Departments. During 2008/09 there has been targeted activity to assist managers to pro-actively manage sickness absence and other performance issues. A managers toolkit for sickness absence has been launched and is shortly to be rolled out Corporately. Initial feedback from managers is very positive. Joint management/UNISON action learning sets during 2008/09 have worked together to recommend an agreed change of approach.

As can be seen from table 10 below, there has been a steady reduction in the amount of long-term sickness absence (absence greater than 20 working days) over the last 4 years. In the last 24 months there has been an increase in very short-term sickness of up to 5 days. There has also been a decrease in the number of staff who have no sickness absence during the year reducing to 30.25% from 31.31% in the previous 12 months.

Table 10 - Analysis of Short and Long Term Absence across NCC

No of Sick Days	05/06	06/07	07/08	08/09
Up to 5 Days	10.59%	9.80%	14.36%	14.72%
5.5 to 20.5 Days	24.41%	25.29%	26.31%	27.15%
21+ Days	65.29%	64.87%	59.33%	58.13%

Table 11a Average Days sickness per FTE Trend data

BVPI Description	Actual 03/04	Actual 04/05	Actual 05/06	Actual 06/07	Actual 07/08	Actual Performance 2008/09
BVPI 12 Average days sickness per FTE	8.90 days	8.60 days	8.77 days	8.19 days	9.11 days	9.18 days
Chief Executives	5.63 days	9.59 days	7.78 days	7.34 days	9.22 days	8.69 days
Cultural Services	10.91 days	10.61 days	11.10 days	6.61 days	7.65 days	6.95 days
Children's Services (LEA)	9.80 days	9.50 days	12.76 days	9.87 days	9.72 days	9.83 days
Children's Services (Schools)	6.43 days	5.78 days	6.33 days	6.27 days	7.31 days	7.70 days
Community Protection	n/a	n/a	n/a	n/a	7.65 days	8.40 days
Planning & Transportation	8.36 days	7.69 days	7.78 days	7.66 days	7.62 days	7.99 days
Adult Social Services	16.35 days	16.04 days	14.99 days	14.59 days	15.99 days	15.16 days

Table 11b Average Days sickness per FTE comparison of 2007/08 and 2008/09

BVPI Description	Qu 1 08/09	Qu 1 07/08	Qu 2 08/09	Qu 2 07/08	Qu 3 08/09	Qu 3 07/08	Qu 4 08/09	Qu 4 07/08	Target 08/09	Actual 2008/09
BVPI 12 Average days sickness per FTE	2.32 (42274.37)	2.14 (39273.53)	1.78 (32673.28)	1.74 (30915.4)	2.62 (48339.72)	2.66 (48314)	2.45 (45469.22)	2.59 (46977.07)	8.5 days	9.18 (168756.59)
Chief Executives	2.25 (1476.32)	1.88 (1606.1)	1.81 (1223.52)	2.36 (1916.7)	2.22 (1487.04)	2.42 (2062.1)	2.28 (1526.43)	2.03 (1719.10)	8.57 days	8.69 (5713.32)
Cultural Services	1.42 (934.41)	1.60 (1200.7)	1.14 (755.03)	1.62 (1188.3)	2.09 (1396.56)	2.08 (1347.3)	2.29 (1554.97)	1.96 (1283.7)	7.11 days	6.95 (4640.97)
Children's Services (LEA)	2.46 (5473.27)	2.66 (5108.2)	2.33 (5248.17)	2.14 (4033.5)	2.75 (6300.98)	2.47 (4832.7)	2.29 (5298.60)	2.77 (5451.6)	9.04 days	9.83 (22321.03)
Children's Services (Schools)	2.00 (21650.66)	1.8 (19326)	1.14 (12418.67)	1.06 (10943.4)	2.26 (24740.38)	2.35 (25136.8)	2.31 (25576.75)	2.13 (22799.8)	6.80 days	7.70 (84386.46)
Community Protection	2.10 (178.29)		1.84 (157.24)		2.59 (229.64)		1.92 (176.87)	1.71 (260.7)	7.11 days	8.40 (742.03)
Planning & Transportation	1.90 (1544.54)	1.39 (1073.9)	1.89 (1543.34)	1.88 (1420.4)	2.26 (1849.82)	2.27 (1748)	1.92 (1567.36)	2.38 (1812.7)	7.09 days	7.99 (6505.06)
Adult Social Services	3.84 (11016.88)	3.39 (10575)	3.84 (11327.31)	3.59 (10937.2)	4.22 (12335.29)	4.23 (12559.1)	3.39 (9768.24)	4.48 (13264.7)	14.87 days	15.16 (44447.72)

Benchmarking Information on Sickness Absence

Norfolk County Council's absence rates compare favourably to other organisations as reported in the Chartered Institute of Personnel and Development (CIPD) Sickness Absence Survey 2008 (Nb the CIPD survey calculates sickness absence averages based on employee headcount, rather than FTE as required by local government BVPI measures). As can be seen from Table 12a below, due to the high proportion of part time employees employed in the County Council, our average absence per employee is considerably lower than in other organisations when calculated on this basis.

Table 12a

Organisation	Number of days lost per employee 2008	Number of days lost per employee 2009
NCC	6.09	6.07
East Anglia Region	8.4	9.3
All Local Government	8.5	10.1
Total Public Sector*	11.1	10.7
Total Private Sector*	8.1	8.8

* Organisations employing 2000+ staff

CIPD Annual Absence Survey 2008

Table 12b

Sector	Average days lost per employee	
	2009	2008
Private Sector Average	9.8	8.1
Central Government	11	11.1
Health	11.7	12.6
Local Government	10.1	8.5
Education	7.8	9.6
Other public services	10.1	10.4
Survey Average	8	8.4

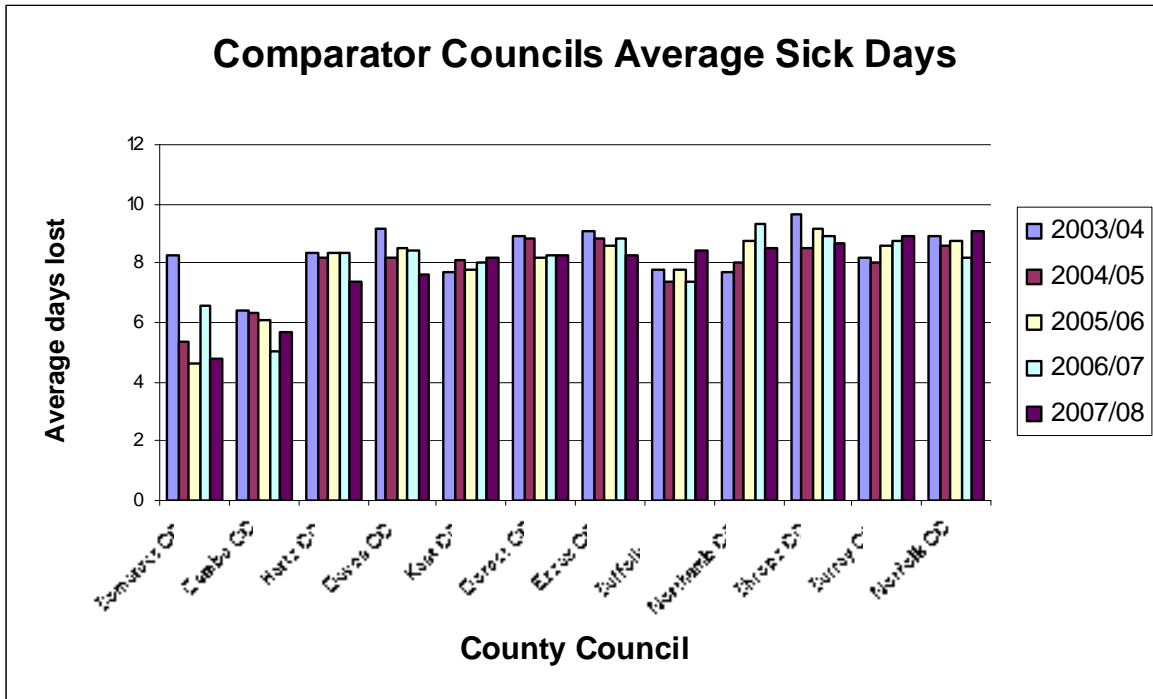
Table 12c

Region	Average days lost per employee	
	2009	2008
East Anglia	9.3	8.4
North East England	7.9	11.3
South East England	7.6	7.8
London	6.0	7.8
Whole of UK	7.1	7.7

Table 12d

Employer Size	Average days lost per employee	
	2009	2008
1-99 (All employers)	6.1	6.8
1-99 (Public Sector)	8.4	10.3
2,000+ (all employers)	9.9	10.0
2,000+ (Public Sector)	10.7	11.1

Table 12e



Reasons for Sickness Absence

A breakdown on the “Reason for Absence for 2008/09 (see table 13 page 25) shows three main sickness absence issues which NCC must respond to:

- Other sickness (33%, up from 31% in 2007/08),
- stress (18%, down from 19%) and
- infections 12 %

Last year musculoskeletal related absence was in the top 3 but continues to remain steady at 9% which is directly related to the use of the Musculoskeletal Rehabilitation Scheme (MIRS) programme.

- 2005/06 – 2006/07 reduced from 21% to 12%.
- 2006/07 – 2007/08 reduced from 12% to 8%.
- 2007/08 – 2008/09 remains static 8% to 9%

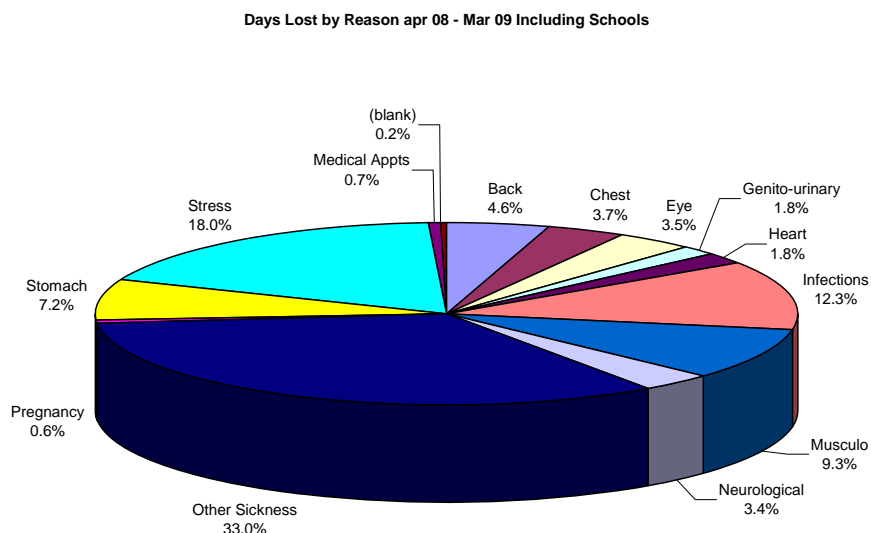
The significant size of the ‘Other Sickness’ category, is a result of data recording issues due to the complex sickness categories which were introduced on the new HR/Payroll system and the method of reporting for Home Care staff. A new on-line form has been successfully piloted over the last year and is being rolled out to all groups in July. This has reduced the number of categories available and also encourages managers to give a reason for the absence.

Stress related absence has increased but from information provided by the Norfolk Support Line the majority of stress being reported is not work related.

In the CIPD report there continues to be an overall increase in work related stress across all sectors; however the public sector sees the greatest increase. The top three causes are work load, management style and relationships at work.

The Annual Corporate Health and Safety report on the Panel’s agenda describes planned activities and interventions to address stress and wellbeing in the workforce.

Table 13 Days Lost by Reason April 2008 – March 2009 including schools



Actions to improve sickness absence rates are as follows:

Stress:

Stress related absence is down by 1% from 19% in 2007/08 to 18% in 2008/09
 The departments that have seen a downturn in absence due to stress are:

- Adult Social services 17% to 15%
- Children’s Service Non Schools 28% to 26%
- Children’s Services Schools 17% to 16%
- P&T 28% to 19%

Some contributors to that may include:

Children’s Services Wellbeing Team have concentrated some of their resources specifically on non school teams in 2008/09 and as a result have undertaken wellbeing assessments and helped developed resulting action plans for 50 teams. They have also continued to undertake assessments and interventions in schools with 92% of schools now signed up to their programme.

The **Adult Social Services Wellbeing team** has delivered health and well-being workshops in all Care Homes this year and well-being awareness days at venues

across the County for employees, looking at areas such as physical activity, nutrition, drug and alcohol use, including blood pressure and other health checks, stress management, relaxation, counselling and advice sessions.

P&T are supporting managers to proactively address stress issues as soon as they are recognised. Managers are encouraged to attend the bite size workshop on stress and to use stress action plans. They understand the need to be flexible and supportive with staff as much of the stress related illness is not work related but can of course impact on the jobs people do. Where stress is identified in teams work has been undertaken to understand the issues and work through them, sometimes this involves encouraging managers to change their management style and the impact has been significant in most cases.

Musculoskeletal Disorders

Musculoskeletal absence including back related absence is currently 13.5% compared to 13% during 2007/08.

The departments that have seen a down turn in back and musculoskeletal absence combined are:

- CEx by 4% from 18% in 2007/08 to 14% in 2008/09
- Community Protection by 10% from 22% in 2007/08 to 12% in 2008/09
- Cultural Services by 5% from 28% in 2007/08 to 23% in 2008/09
- P&T by 2% from 18% in 2007/08 to 16% in 2008/09

Examples of interventions include:

The providers of our musculoskeletal rehabilitation scheme visited seven **Cultural Services** premises in 2008/09 arranged by the Cultural Services Health and Safety Adviser and the Occupational Health Adviser. The visits provided employees with the opportunity to have a 20 minute mini-assessment with a physiotherapist. The aim was to allow employees to discuss any injuries they have had, or that have reoccurred, as well as having a physical assessment. 56 employees from libraries, museums and adult education were seen over the seven visits. The majority were given advice and/or advice and exercises to resolve the injury, or reduce the risk of an injury reoccurring. 7 of the employees had injuries that required a course of treatment and were therefore referred through to the MIRS scheme before it had an impact on their work, or caused them to go absent. A further 7 employees were given exercises and advised to be referred to the MIRS scheme if the symptoms persist. The visits not only enabled employees to address their health, but provided information to NCC regarding reducing the risk of injury in the future. To this end recommendations were passed to Cultural Services SMT around Manual Handling Training, display screen equipment (DSE) assessment, incident reporting and increasing awareness of the MIRS scheme.

P&T have piloted the new on-line SA1 form and also the new style management information reports on sickness absence. Sickness is on the agenda at management team meetings and the issues are regularly discussed in general terms. MIRS is promoted through these meetings and managers are encouraged to promote it to their staff. A DSE audit last year to raise awareness of the issues of bad workstation

configurations that can lead to musculoskeletal problems. MIRS and DSE are also now included in all inductions for new starters to raise awareness at the earliest stages of employment. Road workers take part in regular health surveillance and do regular training on manual handling. The constant communication of the issues has P&T believe led to increased awareness and a reduction in many of the problems, ensuring any issues are caught at an early stage.

Section Five - Equality Data

Given the demographic changes both locally and nationally that have taken place in recent years and will continue in the future, our ability to retain and attract a diverse workforce is crucial both in terms of employing the best talent and in delivering high quality, effective services to the local population.

Increasing the diversity of the workforce has been identified as a Corporate Improvement Priority in the 2008/11 County Council Plan, and our Equality Strategy for Norfolk 2008/11 states our objective to have a workforce that is representative of the local population of Norfolk. As was reported in 2008, temporary additional resources were allocated to drive forward the equalities agenda. This section will summarise progress against actions over the last twelve months, analyse the available trend data by diversity strand, and identify future actions.

Progress against actions

NCC was assessed by an external Peer review as having achieved Level 3 of the Equality Standard in 2008 (now replaced by the Equality Framework) and in some cases demonstrated Level 4 of the standard.

An e learning module awareness raising for managers on equality was implemented in early 2008 and a comprehensive Learning and Development Plan for Equality and Diversity has been developed.

Regular improved reporting has been introduced for recruitment, turnover, disciplinary and grievance and exit questionnaires which include an analysis of equalities information. This is reported to HR Leadership Team and other Departmental Management Teams across the Authority on a quarterly basis.

A new HR intranet site PeopleNet has been launched on the 7 July with improved manager and employee information

A targeted staff survey was conducted in October 2008 with employees who are aged under 25 and over 55, lesbian, gay or bisexual (LGB), black or minority ethnic (BME) or have a religion or belief. The results of the survey have informed Norfolk County Council's equality action plan for the next three years.

A working group, comprising a range of stakeholders including Access to Work, NPS, CHS, managers and disabled employees has been established to identify and address barriers in the workplace for disabled staff.

NCC became a member of Stonewall, a campaign group for LGB staff who can provide expert resources and advice in taking forward the LGB agenda within NCC over the next 12 months.

In partnership with Access to Work and Indigo a local dyslexia charity, NCC is piloting a mentoring scheme for dyslexic employees to provide targeted support in the workplace to remove barriers in the workplace. Access to Work are already reporting significant interest from other employers nationally.

NCC worked in partnership with local BME groups to redesign our approach to careers fairs. For the first time attendees were able to access advice and guidance on improving their skills in completing application forms and supporting statements. Analysis of attendees showed 9% of attendees were of a BME background, well above the estimated local population of 4%.

Future actions:

- Assessment against Equality Framework against Achieving Standard will take place during 2009/10. Corporate HR will lead on providing evidence regarding employment matters
- In partnership with UNISON, BME and LGBT staff groups will be launched from July and September respectively to provide peer support and networking for staff, as well as introduce effective two way communication on employment issues for these groups.
- Refresh of Disability and Gender action plans to take place
- Further improvements to employee data monitoring
- Development of targeted diversity awareness training, to commence with Dyslexia and rolled out across other diverse groups throughout the year.

Detailed below is an overview of the workforce profile and performance in some of the Equalities areas.

Gender Profile

The full time/part time gender analysis indicates Norfolk County Council is broadly comparable with external data from the Local Government Datafile as at March 2009. The survey indicates that nationally women hold 71% of local government jobs (49% in the whole economy) and at NCC the employment rate remains at 79%, mainly as a result of turnover levels in line with the overall local government gender profile.

Externally men hold 29% of jobs in Local Government, compared to 21% in the Council. An analysis of online applications submitted to norfolkccjobs.com (NCC's recruitment website) shows that 34% of the applicants were male. Of these applicants, only 25.5% of new starters were male, and this drops further to 19% of new starters within schools.

An analysis of trend information shows that the proportion of the workforce who are women has not changed in the last 7 years (table 17 page 32), however the national trend shows the proportion of women employed in Local Government is on the decline (down from 74% in 2005). This may be explained by outsourcing of social care functions in other Authorities, which predominantly employ women.

The lowest proportion of women is in Fire and Community Safety (19%) (up 1% from 2007/08) and Planning and Transportation (31%) (up from 28% in 2007/08).

Analysis of discipline and grievance cases commenced from 1 January 2009. Although case numbers are low at present, initial findings show that the number of cases involving male employees is higher than would be expected. This trend will continue to be monitored when further data is available.

Table 14 below shows the distribution of male and female employees across the authority by salary. There has been a significant increase in the proportion of women who earn between £15 – £19k up from 24.8% to 32.5%, coupled with a drop in the proportion of women earning below £14k (down to 29.4% from 38.3%).

As can be seen from Table 15 below, the salary distribution of the men and women in the workforce is heavily impacted by occupation group, with clerical or social care roles (between Scale 1 – 6) attracting female employees. This is a wider social issue which affects both public and private employers alike.

Table 14 – Pay Band Analysis - Male/Female split March 2009 (Fulltime Equivalent Salaries used)

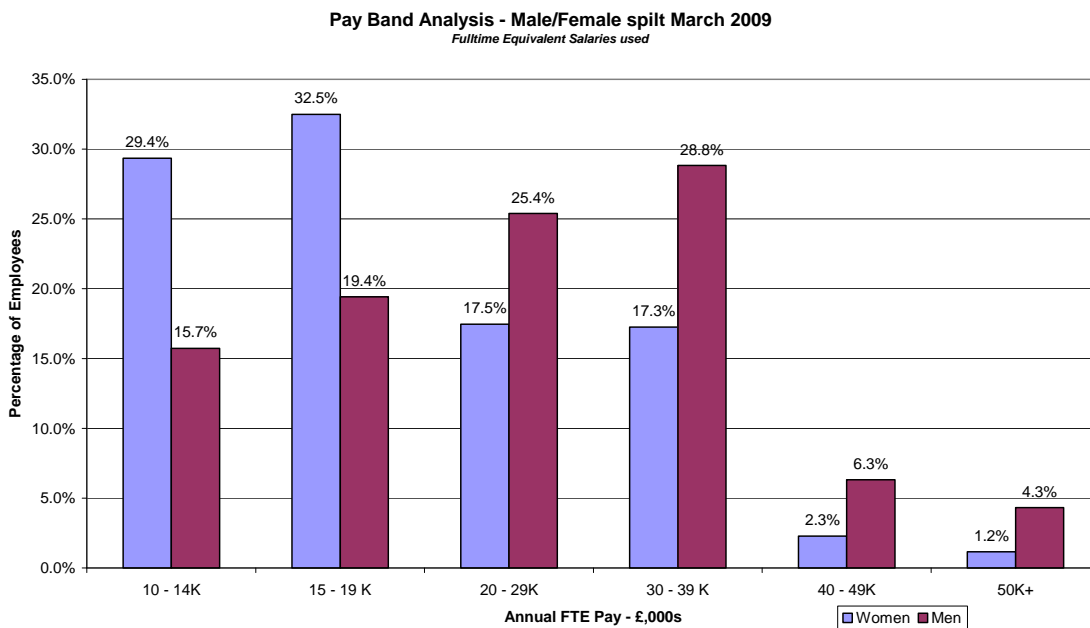
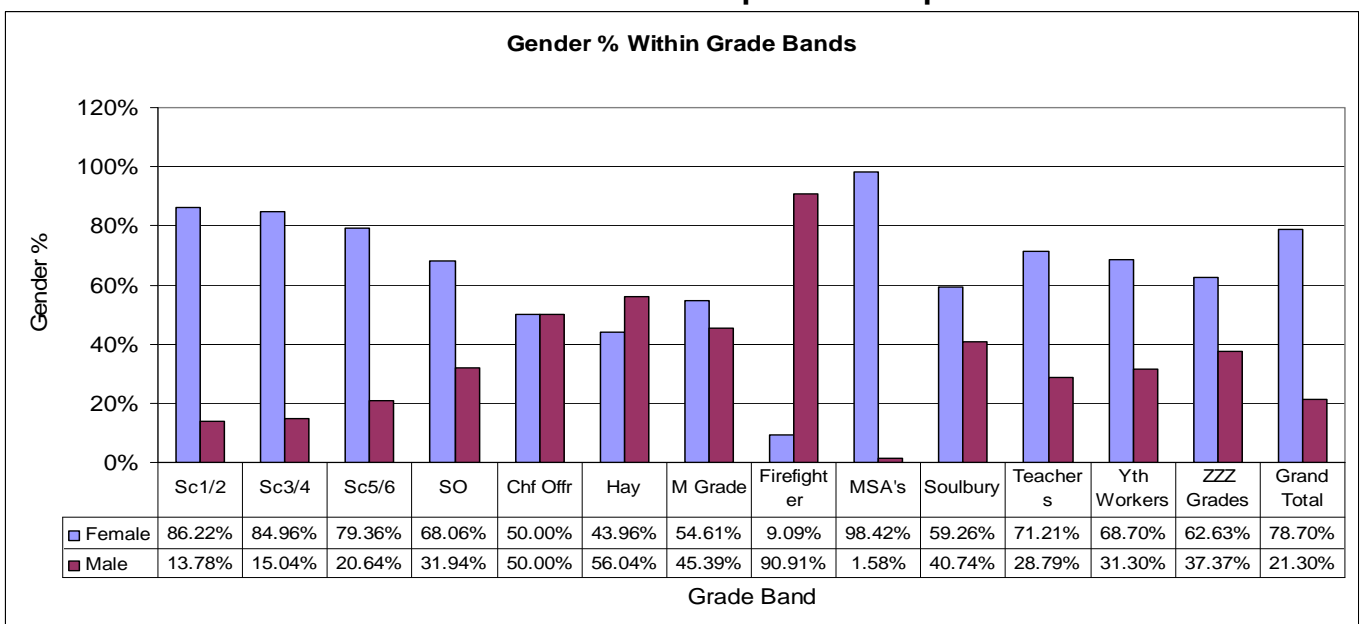


Table 15 – Male/Female Distribution across Occupation Groups



Women in Senior Management (BVPI11a)

The upward trend for the number of women in the top 5% of the organisation continued during 2008/09 exceeding our target by over 1% and the proportion of women is now 45.15% (168.80 fte out of 373.84 fte, an increase of 5.76fte on 2007/08). This is also evidenced in the increase in the proportion of women earning over £50k, up from 0.8% in 2007 to 1.2% in 2008/09.

Table 16

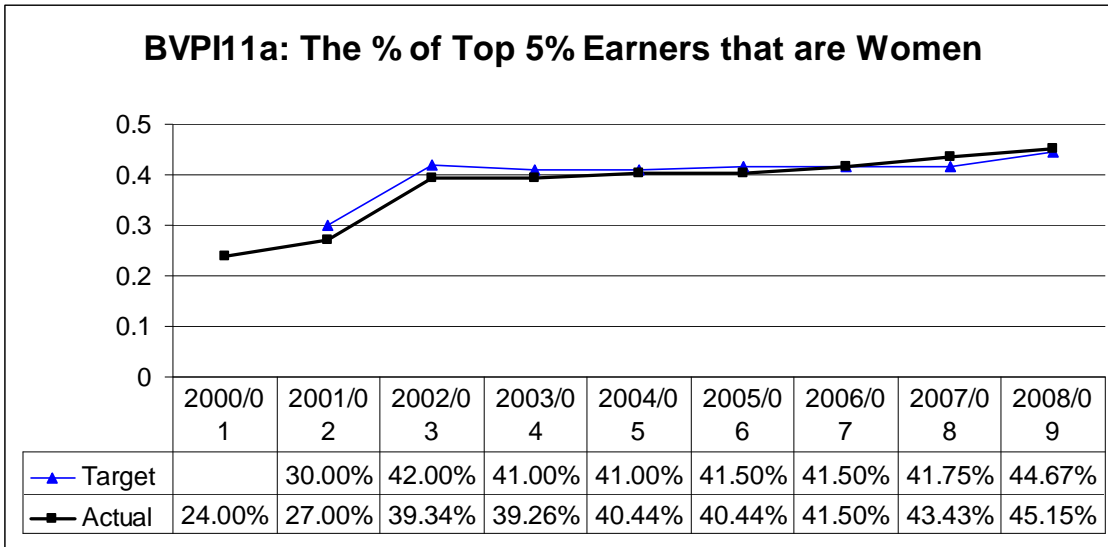
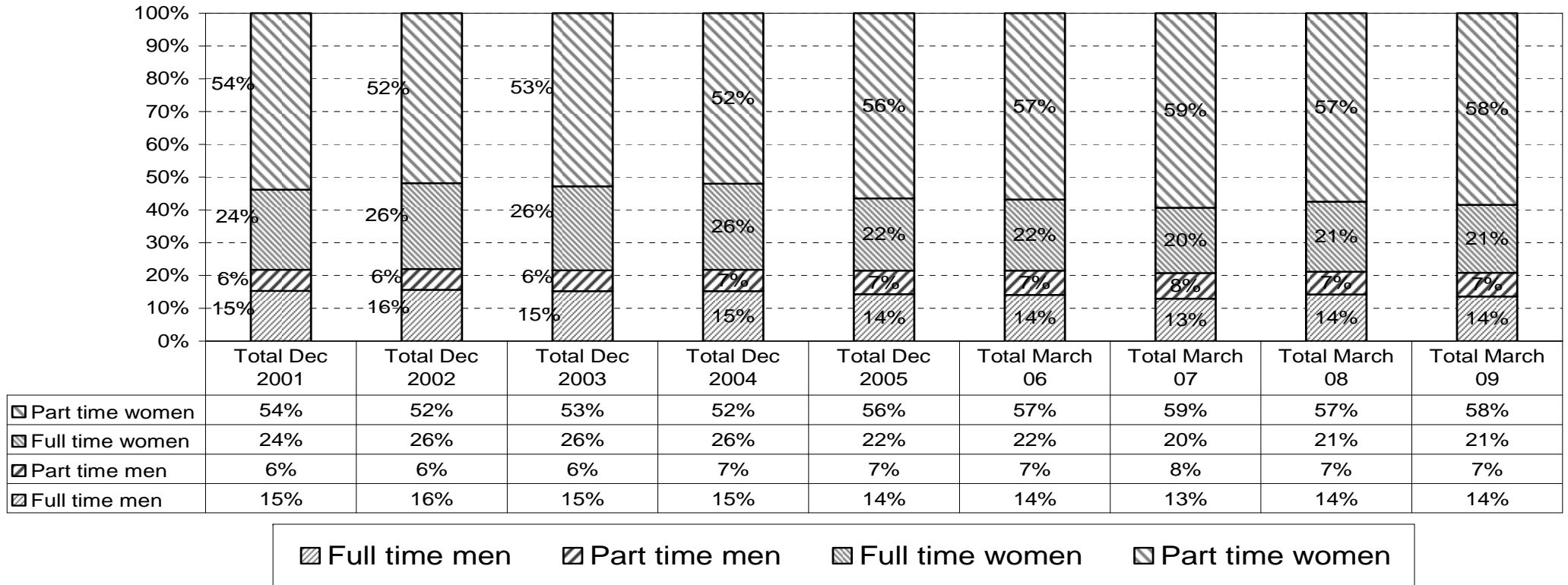


Table 17 – Full Time/Part Time, Male/Female Analysis March 2009

**Full time/part time, Male/female analysis
March 2009**



Disability Profile

Disabled Employees in Workforce (BVPI16)

This remains a challenging area for us. Our BVPI outcome of 2.13% missed our target (by 16%) and we remain in the bottom quartile. Whilst broadly we have been unable to improve our position compared to 2007/08, the numbers of declared disabled employees within Cultural Services increased by 19 individuals over the course of the year (an increase of 37% on 2007/08).

Table 18

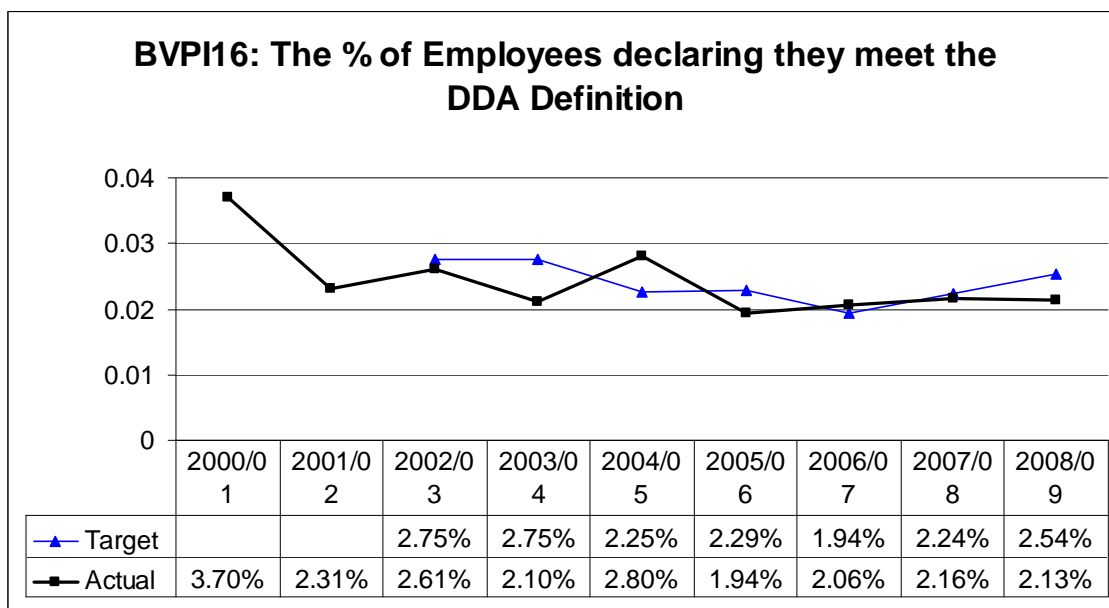
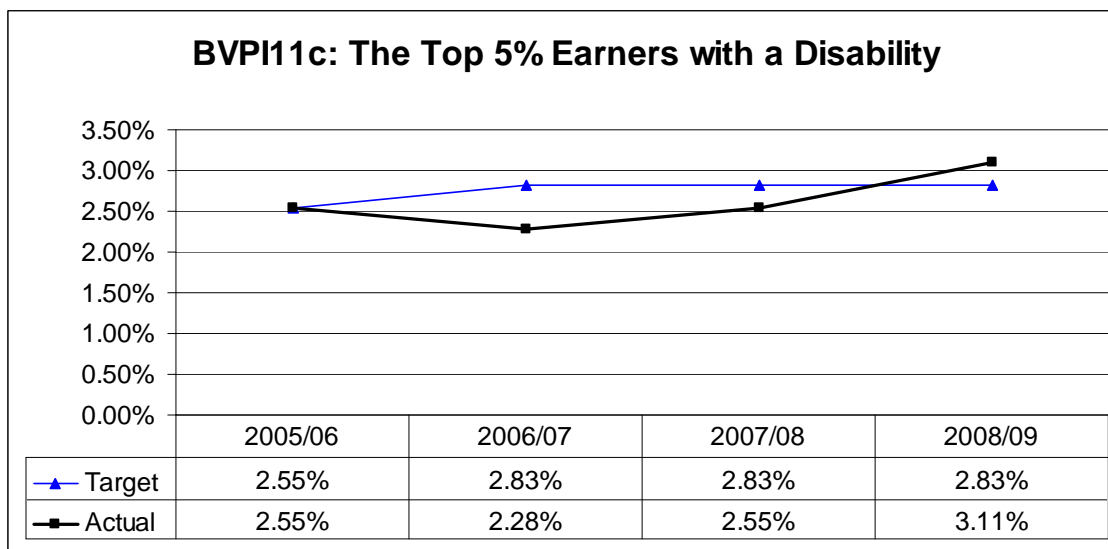


Table 19

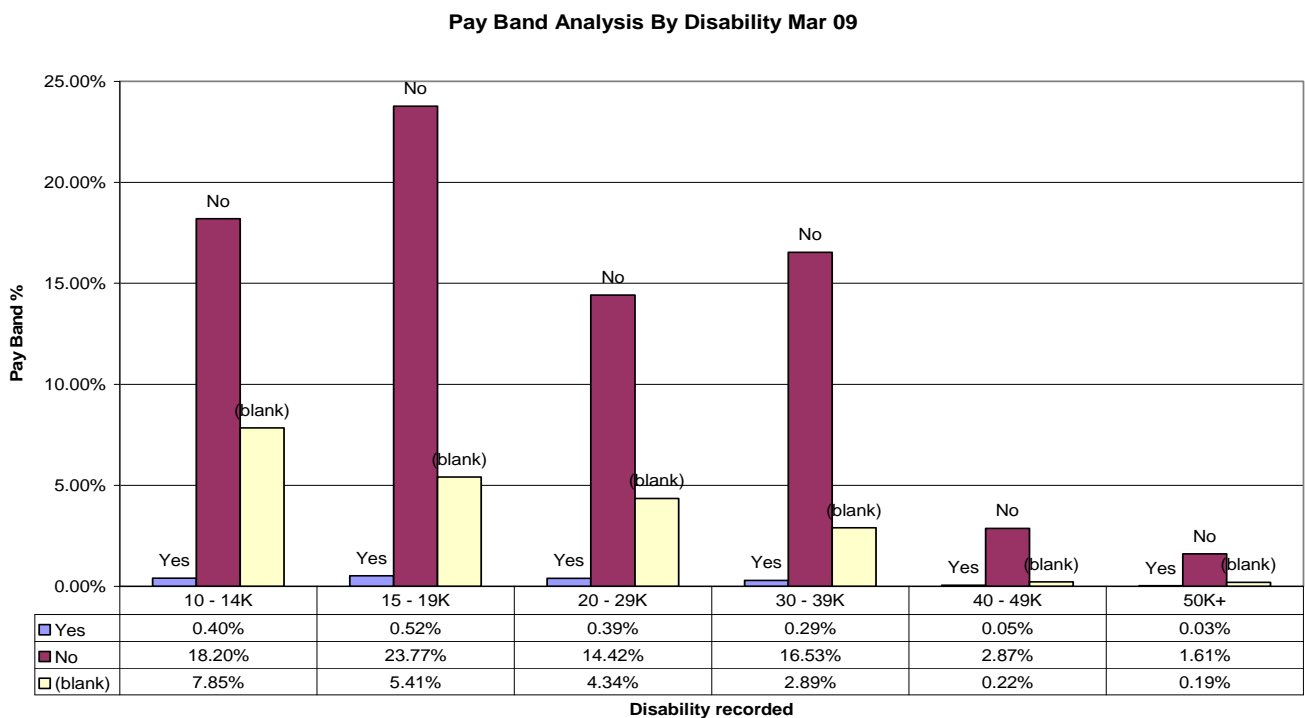


Disabled Employees in Senior Management (BVPI11c)

The representation of disabled employees at the most senior levels of the organisation has improved at 3.11%, an increase of 2fte in real terms on our 2007/08 performance, and exceeding our target by almost 10%.

The introduction of workforce monitoring during 2008/09 has identified that the lack of improvement does not result from our failure to attract disabled candidates as 5% of applicants have declared a disability, more than double our existing disabled profile. An analysis of new starters data indicates that the high applicant numbers are not being translated into new employees with only 1.61% (non-schools) and 0.46% (schools) of new starters have declared a disability.

Table 20 – Disability Pay Band Analysis March 2009 (Fulltime Equivalent Salaries used)



On the whole, as can be seen from Table 20, the representation of declared disabled employees is broadly consistent across the majority of paybands with the exception of employees earning above £40k, although the proportion of undeclared employees may mask the true picture.

It is difficult to identify whether retention of disabled employees is a significant issue due to the high number of leavers who do not declare their disability status (around 30% of all leavers). This means that the 2.43% turnover of disabled employees is most likely understating the actual position.

Race Profile

BME Employees in Workforce (BVPI17)

The upward trend for the number of BME employees continued during 2008/09, now comprising 1.41% of the total workforce (350 employees an increase of 35). This has exceeded our 2008/09 target by 8.5%. In recognition of the population changes within Norfolk that have occurred over recent years, in 2008/09 we also began monitoring the levels of White Other employees, which were excluded from the national BVPI definition. The initial results for 2008/09 show at the beginning of the year 1.86% of our employees have declared they are White Other, increasing to 1.99% by the end of the year. Table 21 identifies the detailed breakdown of ethnic groups within NCC compared to the wider Norfolk population.

Whilst our progress is slow in comparison to BME employment levels in the whole economy (9.2%) this must be considered in the context of the local Norfolk BME population, currently around 4%.

Table 21 – Comparison of Ethnic Profile in NCC and Norfolk

Ethnic Group	% within NCC	% within Norfolk
Asian or Asian British - Bangladeshi	0.32%	1.28%
Black or Black British - African	0.27%	0.80%
Chinese inc Other	0.22%	0.92%
Mixed - Other	0.49%	0.98%
Refused	0.19%	
Unknown	0.20%	
White - Irish	0.44%	0.61%
White - Other (blank)	1.68%	2.96%
White - British	78.33%	92.43%
Grand Total	100.00%	100.00%

It is also positive to note that applicant data taken from norfolkccjobs.com during 2008/09 shows that 12.6% of applicants are non-White British. An analysis of new starter data explains the steady increase in our performance in this area with 6.65% (non-schools) and 2.85% (schools) of new starters being of non-white British origin. BME employees are distributed across all levels in the organisation (see table 22 page 36) and have improved considerably on previously published data from December 2007, with the exception of employees above £40k.

Turnover for BME employees (including White Other) is slightly higher than might be expected at 4.68% (2.74% within schools). Given that data is only available for the current year, this is an area for further monitoring in the future. Additionally, initial data from disciplinary and grievance cases has also shown that 50% of the 4 cases recorded during Q4 were non-White British. Given the limited data, this may be coincidental however will require further monitoring in future.

BME Employees in Senior Management (BVPI11b)

With regard to BME employees at the most senior levels of the organisation, our 2008/09 BVPI target of 0.84% (3fte) was missed, with the loss of 1fte from 2007/08.

Table 22

% of BME staff Within Pay Bands at Mar 09

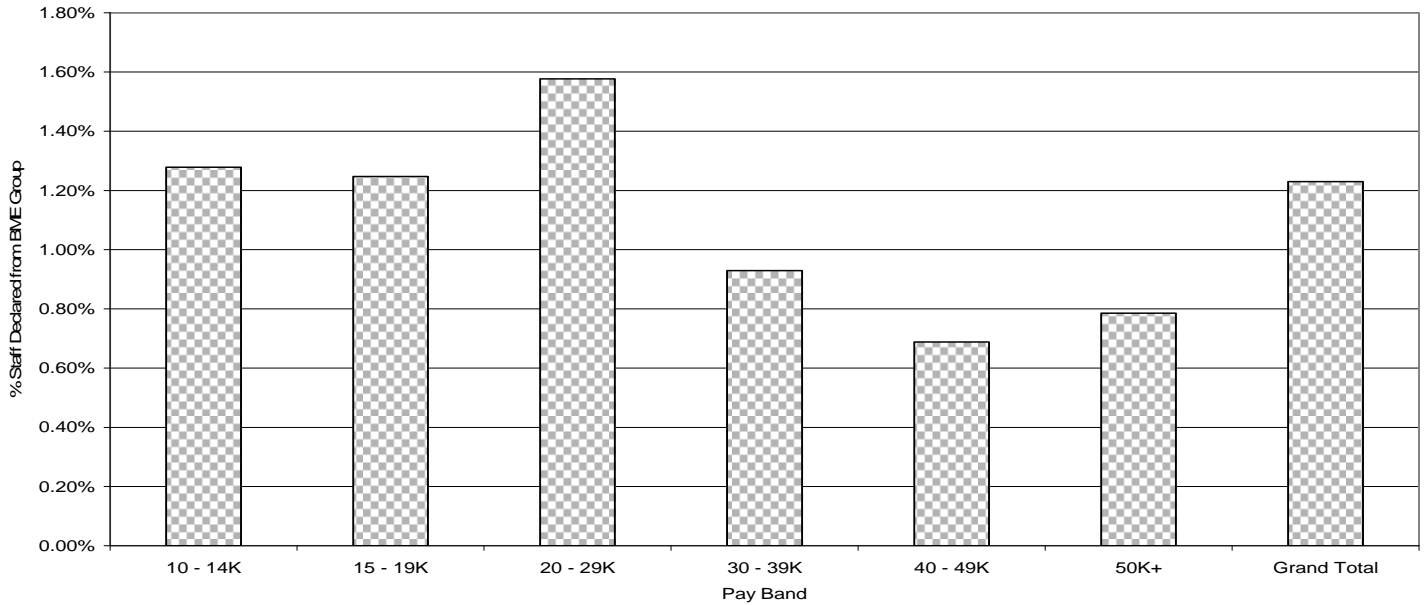
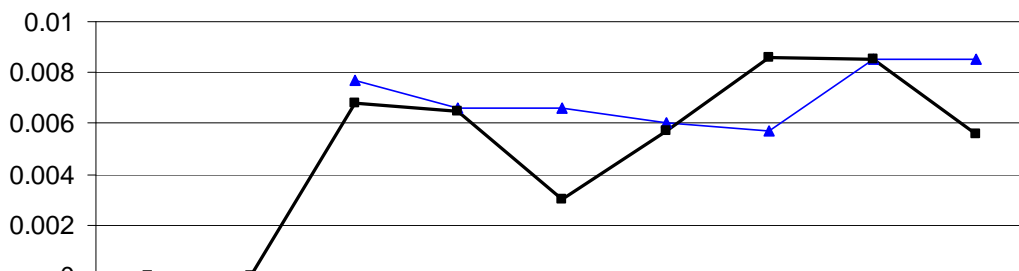


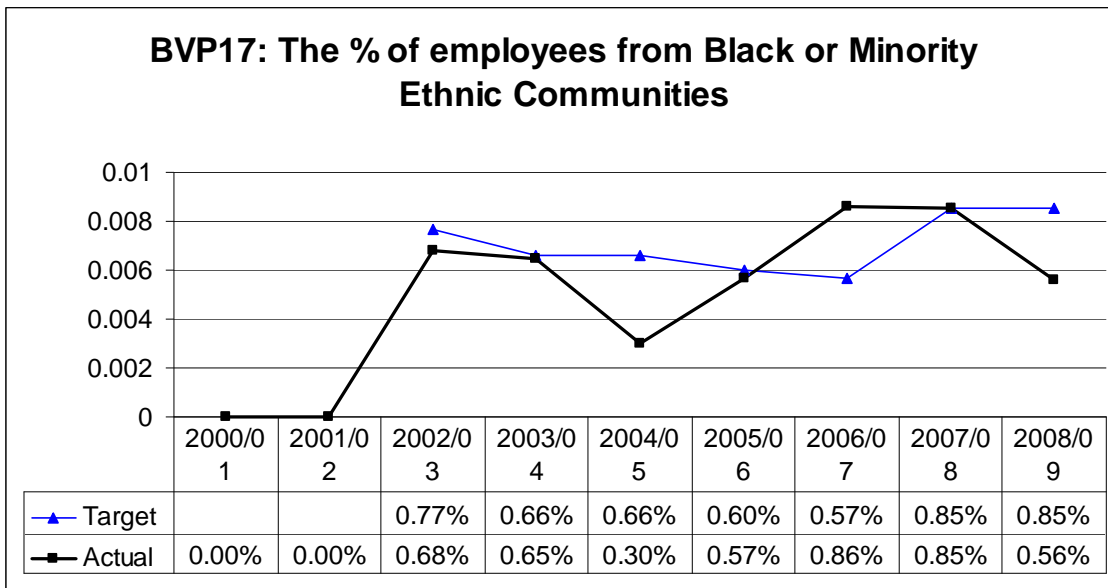
Table 23

BVPI11b: The % of Top 5% Earners from Black or Minority Ethnic Communities



	2000/01	2001/02	2002/03	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09
Target			0.77%	0.66%	0.66%	0.60%	0.57%	0.85%	0.85%
Actual	0.00%	0.00%	0.68%	0.65%	0.30%	0.57%	0.86%	0.85%	0.56%

Table 24



Age Distribution

Please see table 25 below for a trend analysis of the age profile and comparative age profile data to the UK economy.

Norfolk County Council's age profile continues to be more comparable to the national Local Government profile than in recent years, with 34.7% in the 50+ age bracket and 30.4% in the 40 – 49 age bracket compared to 32% and 31% respectively in Local Government nationally. The number of 50+ employees has decreased over the last 12 months (by 0.5%) continuing the trend of the previous 12 months, this could be linked to a number of factors e.g. the increase in staff numbers with new recruits coming from the lower age brackets.

The 16 – 24 age bracket comprises 5% of the workforce a marginal increase on 2007/08 of 0.3%, compared to 13% nationally.

The number of young people in employment within NCC has shown limited improvement over the last 7 years and this is one of the key areas identified for focus as part of the Equality and Diversity action plans for the future. Data from our recruitment website norfolkccjobs.com shows that NCC does attract the majority of applicants from a younger audience as 52.53% of applicants are aged 30 or below. It is also positive to note that 35.92% (non-schools) and 35.27% (schools) of new starters are aged 30 or below significantly above the current workforce profile. Turnover data shows that 13% (non-schools) and 10.6% (schools) of all leavers are aged below 30. Given that turnover levels are consistent with the workforce profile, it is hoped that this trend may show signs of change in the next 12 months.

Table 25 – NCC Age Profile March 2009

Age profile Mar 2009

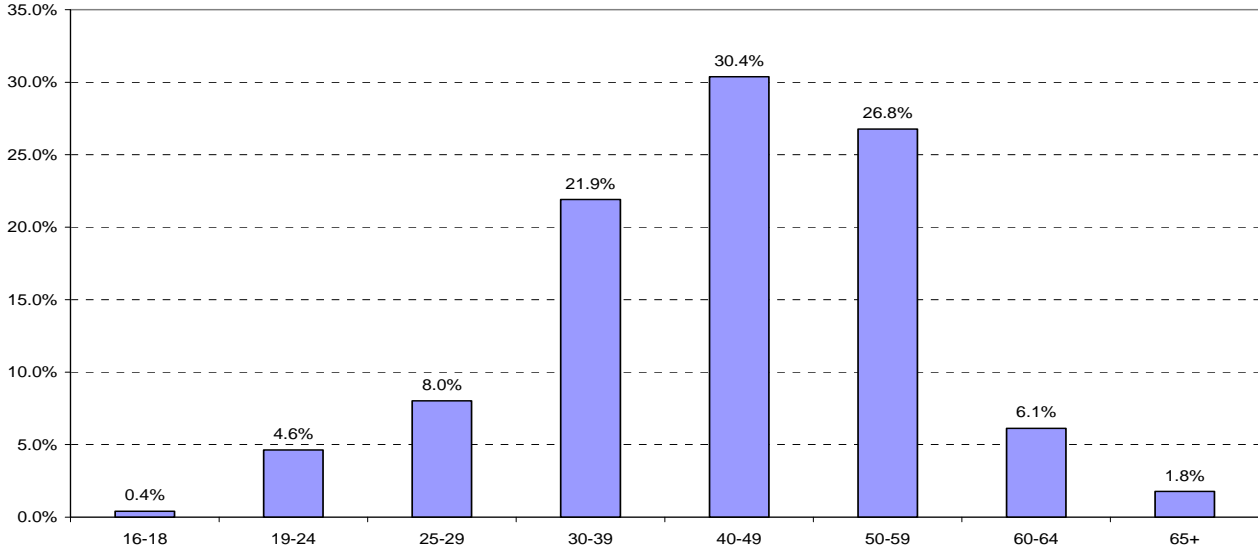
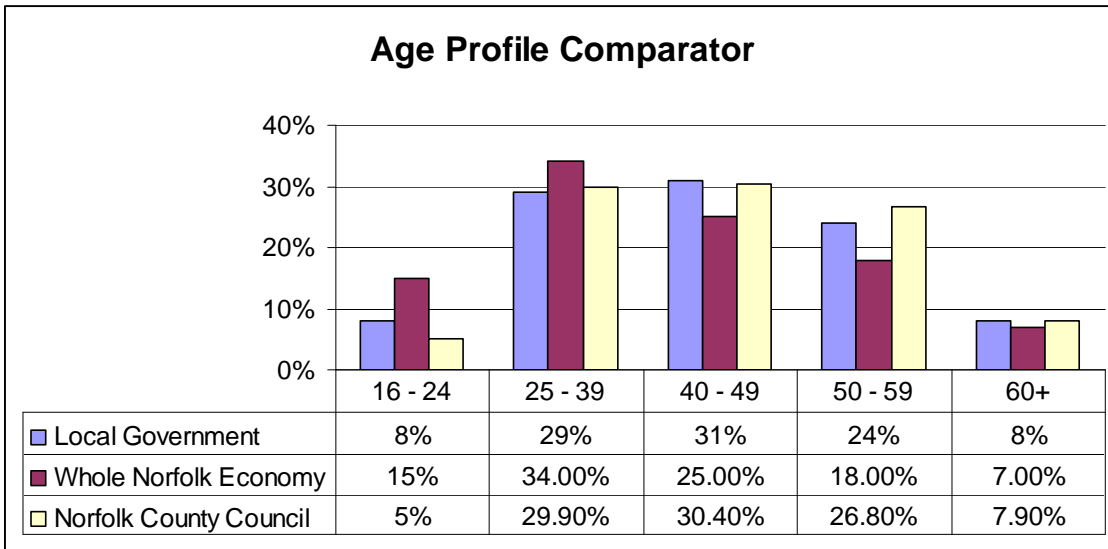


Table 26



Data taken from Local Government Datafile March 2009

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Sickness Absence

Report by the Director of Corporate Resources

Summary

This report provides Members with information in regards to the suggested new scrutiny topic looking at sickness absence.

1. Background

- 1.1. During discussions of the Integrated Performance and Finance Monitoring Report at Cabinet on 23 June 2009 the following was agreed by Cabinet:

'It should ask the Corporate Affairs Overview and Scrutiny panel to consider detailed analysis of sickness absence to establish whether any action could be taken to reduce the average number of working days lost'

- 1.2. The reason for this decision is to improve the County Council's performance against its sickness absence.

2 Scrutiny Method

- 2.1 It is suggested that a working group is set up to look at this item of scrutiny.

3. Section 17 – Crime and Disorder Act

- 3.1 The crime and disorder implications of the scrutiny topic will be considered when the scrutiny takes place.

4 Equality Impact Assessment

- 4.1 There are no impacts arising from this report. Equality implications of the scrutiny topic will be considered when the scrutiny takes place.

Action Required

- (i) The Overview and Scrutiny Panel is asked to agree to add this item of scrutiny to the forward work programme.

- (ii) The Overview and Scrutiny Panel is asked to agree to the formation of a working group and to consider and agree its membership.

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