

Cabinet

Date: **Monday 7 December 2020**
Time: **10am**
Venue: **Teams Meeting**

Pursuant to The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority Police and Crime Panel Meetings) (England and Wales) Regulations 2020, the 7 December 2020 Cabinet meeting of Norfolk County Council will be held using Microsoft Teams.

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

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

Membership:

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

A g e n d a

1 To receive any apologies.

2 Minutes

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To confirm the minutes from the Cabinet Meeting held on Monday 2 November 2020.

3 Members to Declare any Interests

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

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

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

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

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

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

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

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

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

6 Public Question Time

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Wednesday 2 December 2020. For guidance on submitting a public question, view the Constitution at <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee>.

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

7 Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on Wednesday 2 December 2020.

- | | |
|---|-----------------|
| 8 Business Rates Pool – Annual Report 2019-20 and Pooling Decision 2021-22
Report by the Executive Director of Finance & Commercial Services | Page 44 |
| 9 Finance Monitoring Report 2020-21 P7: October 2020.
Report by the Executive Director of Finance & Commercial Services | Page 55 |
| 10 Mid-Year Treasury Management Monitoring Report 2020-21
Report by the Executive Director of Finance & Commercial Services | Page 99 |
| 11 CES Compliance and Enforcement Policy.
Report by the Executive Director of Community & Environmental Services. | Page 123 |
| 12 Norfolk Strategic Infrastructure Delivery Plan (NSIDP) refreshed for 2020
Report by the Executive Director of Community & Environmental Services | Page 199 |
| 13 No Wrong Door
Report by the Executive Director of Children's Services. | Page 290 |
| 14 Norfolk Carers Social Impact Bond: Young Carers and Families Expansion
Report by the Executive Director of Children's Services. | Page 355 |
| 15 A Social Impact Bond for the Prevention of Homelessness.
Report by the Executive Director of Adult Social Services. | Page 363 |
| 16 Review of Outdoor Learning Services at Holt Hall.
Report by the Executive Director of Finance & Commercial Services. | Page 376 |
| 17 Disposal, Acquisition and Exploitation of Property.
Report by the Executive Director of Finance & Commercial Services. | Page 418 |

18 Reports of the Cabinet Member Delegated Decisions made since the last Cabinet meeting:

To note the delegated decisions made since the last Cabinet meeting.

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

- [Offshore Co-ordination project Consultation by National Grid Electricity System Operator: NCC Response.](#)
- [Extension to Highways Contracts with WSP UK Ltd and Dynnig UK Ltd.](#)

Decisions by the Leader and Cabinet Member for Strategy & Governance.

- [Norfolk Community Foundation Grant](#)
- [Food Voucher scheme](#)

Decision by the Cabinet Member for Environment & Waste

- [Residual Waste – Local Delivery Point arrangements](#)

Decision by the Cabinet Member for Communities & Partnerships

- [Change to Terms of Reference for the Adult Learning Steering Group](#)

19 Exclusion of the Public

Cabinet is asked to consider excluding the public from the meeting under section 100A of the Local Government Act 1972 for consideration of the items below on the grounds that they involve the likely disclosure of exempt information as defined by paragraph 3 of Part 1 of Schedule 12A to the Act, and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

Cabinet will be presented with the conclusions of the public interest test carried out by the report author and is recommended to confirm the exclusion.

20 Finance Monitoring Report 2020-21 P7: October 2020 – Exempt Appendix.

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Exempt Appendix to the report by the Executive Director of Finance & Commercial Services

21 Review of outdoor learning services at Holt Hall – Exempt Appendix

Page 434

Exempt Appendix to the report by the Executive Director of Children's Services.

Tom McCabe
Head of Paid Service
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Date Agenda Published: 27 November 2020



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Cabinet
Minutes of the Virtual Teams Meeting held on
Monday 2 November 2020 at 10am

Present:

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

Executive Directors Present:

James Bullion	Executive Director of Adult Social Services
Helen Edwards	Director of Governance and Monitoring Officer
Simon George	Executive Director of Finance & Commercial Services
Tom McCabe	Executive Director of Community & Environmental Services and Head of Paid Service.
Fiona McDiarmid	Executive Director of Strategy & Governance
Sara Tough	Executive Director of Children's Services

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

Cabinet Members and Executive Directors formally introduced themselves.

1 Apologies for Absence

There were no apologies for absence.

2 Minutes

The minutes from the Cabinet meeting held on Monday 5 October 2020 were agreed as an accurate record.

3 Declaration of Interests

Cllr Andrew Proctor declared a non-prejudicial interest in agenda item 14 (Limited Company Consents) as he was a Norfolk County Council appointed Director of Repton Property Developments Ltd.

Cllr Greg Peck declared a non-pecuniary interest in agenda item 14 (Limited Company Consents) as he was a Norfolk County Council appointed Director of Repton Property Developments Ltd.

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

There were no matters referred to Cabinet.

5 Items of Urgent Business

The Chairman read out a statement (attached at Appendix A) advising Cabinet about the support Norfolk County Council could offer to vulnerable families through the Norfolk Assistance Scheme as a result of the hardship caused by the coronavirus pandemic.

6 Public Question Time

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

6.2 Supplementary Question from Lesley Grahame:

As a supplementary question, Ms Grahame asked if the Cabinet Member for Highways, Infrastructure & Transport could expand on the values and the audit tools used by the County Council and consulted experts about tree felling and how the biodiversity corridor and net gain aspired to would be created, not only on Tombland but also across the county.

The Cabinet Member for Highways, Infrastructure & Transport responded that the County Council had consulted arboricultural experts on the plans for the scheme in Tombland and informed Cabinet that the two felled trees would be replaced by 5 trees giving a net gain of 3 trees overall. He added that advice was sought from experts when any tree felling across the county was being considered.

7 Local Member Questions/Issues

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

7.1 Supplementary question from Cllr Brian Watkins

Mr Watkins stated that he felt the response to his question was inadequate during this time of such great hardship and anxiety for many families. As a supplementary question, he asked how other councils, such as the Liberal Democrat run

Portsmouth Council and many others across the country, could directly manage to help prevent children from going hungry while Norfolk only offered a general fund to cover all sorts of different eventualities.

The Chairman responded that his response was not inadequate, it contained facts. He added that, under agenda item 5 (Urgent Business), he had stated that the fund established, which was a significant amount of money at over £2.75m, was designed to help families, children and anyone who was in need and suffering hardship across Norfolk, and that this was the best way to help people.

7.2 Supplementary question from Cllr Dan Roper

Cllr Roper said that the answer to his substantive question about allocation of laptops to schools appeared to say that the Cabinet Member for Children's Services didn't know the answer. As a supplementary question, Cllr Roper asked if the matter was something the Cabinet Member should know, or was it something the Cabinet Member didn't take seriously.

In reply, the Cabinet Member for Children's Services assured Cllr Roper that he took every issue seriously within Children's services and also with this particular topic.

7.3 Cllr Smith-Clare submitted a written supplementary question which has been responded to (Appendix E).

7.4 Cllr Colleen Walker submitted a written supplementary question which has been responded to (Appendix E).

7.5 Cllr Alexandra Kemp submitted a written supplementary question which has been responded to. (Appendix E).

8 Norfolk Safeguarding Children's Partnership Annual Report 2019-20

8.1 Cabinet received the report by the Executive Director of Children's Services which summarised the work of the Norfolk Safeguarding Children's Partnership (NSCP) between 1 July 2019 and 30 June 2020.

8.2 Cabinet welcomed Chris Robson, Chair of the Norfolk Safeguarding Children's Partnership to the meeting.

8.3 During the introduction of the report by the Chair of the Norfolk Safeguarding Children's Partnership, the following points were noted:

- Mr Robson had been appointed as Chair of the Norfolk Safeguarding Children's Partnership in April 2020.
- The report was an honest report including positive aspects of the work carried out by the Partnership, but it also acknowledged that there was some work still to be done.
- The professional and community volunteers working within children's safeguarding were outstanding, with the leadership in Norfolk considered to be one of the best across the country. The Executive Director of Children's Services was exceptional and this level of commitment was also mirrored across the county from health and police colleagues.

- The report covered the introduction of new arrangements for independent scrutiny which were working well and showed a real commitment from the three independent people scrutinising the partnership performance which would improve the outcomes for children and families in Norfolk.
- The Partnership had worked responsibly and positively throughout the covid-19 pandemic and the Chair often used Norfolk as an example of good practice, one example being community engagement through the promotion of the “ears and eyes” campaign which had taken place during the lockdown period.
- Exploitation of children remained a challenge within Norfolk, as it did nationally, and two priorities had been set to address this issue.
- Norfolk was described as a data rich county, although work was needed to improve how the data was managed, presented and used. Cabinet was reassured that the Safeguarding Partners were committed to achieving better use of the data it collected.
- The Chair of the Safeguarding Partnership was pleased that educational establishments were remaining open throughout the next lockdown phase, as they were very important in helping to safeguard children.
- The Partnership was rising to all the unique challenges faced by the pandemic and showed a real commitment to safeguarding children.

8.4 The Chairman thanked the Chair of the Safeguarding Partnership for the introduction and recognised that there could always be a need for more work due to the challenges faced.

8.5 In moving the recommendations, the Cabinet Member for Children’s Services placed on record his thanks to Mr Robson for the positive report and for his acknowledgement of the excellent Safeguarding Team and the Children’s Services team. He highlighted the work carried out during the first lockdown period which started in March 2020 and the initiative of the “ears and eyes” campaign which had been exceptional.

8.6 Cabinet **RESOLVED** to:

- a) **Endorse** the content of the report.
- b) **Proactively** share the report with Partner organisations with whom they have contact and actively encourage their involvement with NSCP’s work.
- c) **Ask** all elected Members to proactively promote the report using their social media accounts.

8.7 **Evidence & Reasons for Decision.**

The publication of an annual report is a statutory requirement upon the statutory partners responsible for safeguarding children under Working Together 2018.

8.8 **Alternative Options**

None.

9 **Norfolk Safeguarding Adults Board Annual Report 2019-20**

9.1 Cabinet received the report by the Executive Director of Adult Social Services which summarised the work of the Norfolk Safeguarding Adults Board (NSAB) during 2019-20.

- 9.2 Cabinet welcomed Joan Maughan, Independent Chair of Norfolk Safeguarding Adults Board to the meeting.
- 9.3 During the introduction of the report by the Independent Chair of the Norfolk Safeguarding Adults Board, the following points were noted:
- 9.4
- The report covered the period 2019-20 and the lead into the covid-19 pandemic at the start of the 2020 financial year.
 - The Chair endorsed the comments made by the Chair of the Norfolk Children's Safeguarding Partnership which, in her opinion, had grown stronger in response to the pandemic and the challenges faced.
 - Adult Safeguarding had a very effective partnership arrangement and the Chair thanked Partners for the support received from Adult Social Care and from Funding Partners which had increased the capacity to deal with adult safeguarding referrals.
 - The Eyes and Ears campaign had played a large part in the role of safeguarding adults, particularly with issues around consent and data protection, etc. although the impact of covid-19 had meant some of those eyes and ears were not as engaged as they had been previously.
 - A dropping away of referrals for safeguarding was experienced between March and June 2020, although the situation had now changed and had brought new challenges which needed to be faced, such as an increase in domestic abuse and violence; criminal exploitation; domestic abuse, particularly in older people; relationship breakdown – all of which had proved to be a major challenge and would continue to be a challenge as a result of the impacts of covid-19.
 - Over 40 communication assets, in many different formats, were now accessible through the Norfolk Safeguarding Partnership website and had allowed messages to be distributed with the help of Partners to the shielding group, which amounted to over 40k people across Norfolk.
 - Training was also accessed by volunteers who were new to the work which proved to be a very successful initiative.
 - The Community Safety Partnership and the Domestic Abuse and Sexual Violence group, together with the Norfolk Safeguarding Adults Board had formed a strong partnership to work together more comprehensively to deal with issues of domestic violence.
 - Cases of self-harm and self-neglect was an area that caused some concern with an increase in the number of referrals received.
 - There was strong evidence of good practice in engaging with people who did not want to engage with authorities, such as those who lived chaotic lifestyles, homelessness and addiction.
- 9.5 The Chairman thanked the Independent Chair of the Safeguarding Board for the introduction and highlighted that partnership working across Norfolk had been key to the work that had been done over the past months as well as in the work they would do in the future.
- 9.6 The Cabinet Member for Adult Social Care, Public Health & Prevention thanked the Independent Chair for the work she had achieved in her role so far; welcomed the report to Cabinet and also thanked Joan Maughan for presenting the report to the Health and Wellbeing Board. The Cabinet Member highlighted the promotion

of the whistleblowing campaign and the work done in combating scams, both of which had been excellent campaigns.

In moving and endorsing the recommendations, the Cabinet Member advised that Cabinet was being asked to agree the content of the report which was ready for publication; share the report as actively as possible with other partner organisations; and consider spreading the good work that the Board did through media accounts.

9.7 The Chairman endorsed the comments and thanks to Joan Maughan and her team for the excellent work they carried out, although it was recognised there was further work to be done. He added that Partnerships were key to the work that needed to be carried out both now and in the future to protect the residents of Norfolk.

9.8 The Executive Director of Adult Social Services, added his thanks to the Independent Chair and the Board for their work in holding the department to account.

9.9 Cabinet **RESOLVED** to:

- a) **Agree** the content of the report, which was ready for publication.
- b) **Proactively** share this report with partner organisations with whom they have contact and actively encourage their involvement with NSAB's work.
- c) **Ask** all elected Members to proactively promote this report using their social media accounts. Model Tweets for this purpose were attached at Appendix B to the report.

9.10 **Evidence & Reasons for Decision.**

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

9.11 **Alternative Options**

The publication of the NSAB Annual Report is a statutory requirement (14.136 Care Act Guidance 2016). The report has been approved for publication by the NSAB and its Business Group.

10 NCC Response to Covid-19 – Initial Lessons Learned – Progress Update.

10.1 Cabinet received the report by the Head of Paid Service which provided an update on progress against the initial lessons learned action plan agreed by Cabinet in August 2020.

10.2 The Head of Paid Service highlighted that the situation had changed considerably since the report had been published and also added that the partnership working with the statutory agencies, the voluntary sector and communities would continue during the next phase of lockdown.

10.3 In introducing the report, the Chairman read out the statement attached at Appendix D, as the situation had changed significantly since the publication of the report.

- 10.4 The Cabinet Member for Children's Services emphasised that schools and educational establishments would remain open during the lockdown period from 5 November to 2 December 2020, as he believed children needed to be in school. He added that the department would take a flexible approach with schools to support and work with them so they could remain open.
- 10.5 The Cabinet Member for Adult Social Care, Public Health & Prevention thanked the Chairman for the introduction which provided some useful and helpful information. He highlighted the work carried out by Adult Social Care to support the care provider market across care homes and generally which had provided a massive challenge and he congratulated the team for the work they had carried out.
- He continued that another key strand of the Adult Social Care work was helping to reduce the pressures on the NHS, which would become even more important if the expected peak was higher than that seen in May 2020, so everything that could be done to reduce the pressure on hospitals was vital. The commitment and hard work shown by members of Council staff who had been supporting this work, and who hadn't had much of a break was appreciated by everyone concerned.
- The Cabinet Member endorsed the report which acted as a check to ensure the right governance structures were in place and the framework was fit for purpose and feedback showed that the work the Council was doing was achieving results. The Cabinet Member also highlighted the collaboration with the NHS which was pleasing and hoped this would continue in the future.
- 10.6 The Cabinet Member for Highways, Infrastructure & Transport endorsed the report which highlighted the work Norfolk County Council had undertaken. He highlighted in particular the introduction of the highways winter maintenance plan to ensure Norfolk roads were kept safe and maintenance works could continue. Cabinet was informed that 7 new gritting vehicles had been received and were ready to commence work when needed; the salt domes were full of salt and grit and a plan was established to replenish stocks when required; the staff, particularly the drivers and the staff who loaded the vehicles at the depots worked in the worst weather conditions and he paid tribute to them all for keeping Norfolk roads safe with the winter gritting regime.
- The Cabinet Member also thanked the bus operators who had allowed Norfolk's residents, particularly key workers, to travel around the rural county during the pandemic.
- 10.7 The Cabinet Member for Growing the Economy highlighted the work done by the County council to help businesses operate and also the receipt of the grant from the government which had been helpful and he looked forward to seeing how the £1.1bn would help businesses in the next phase of lockdown. He added that any work that could be done to help businesses survive would be welcomed, as businesses may find it more difficult to attract customers during the winter months than they had in the summer.
- 10.8 The Chairman advised that regarding the £1.1bn from Government, Norfolk's share could be approximately £17m, although the details of the allocation was awaited.

- 10.9 The Cabinet Member for Finance endorsed the comments made, adding that protecting vulnerable people was a key priority and he was therefore pleased to note the additional capacity in the care home community, although a long-term funding solution for Adult Social Care was needed. He advised that negotiations with the Government would continue to ensure a funding solution was received. He also welcomed the support generally to Norfolk's businesses and the new step-down facility at Cawston Lodge.
- 10.10 The Cabinet Member for Communities & Partnerships wished to place on record her thanks to all the staff from different organisations, not just the frontline staff such as the fire service and trading standards who had been monitoring businesses and warning about scams and the customer services team for taking calls relating to test and trace. She also highlighted the work of the museums, library and adult education services who had provided online activities and entertainment which had contributed to the wellbeing of residents which she hoped would continue during the next lockdown period.
- 10.11 The Cabinet Member for Innovation, Transformation & Performance agreed that the report highlighted the huge range of work carried out by Norfolk County Council staff on behalf of the residents of Norfolk. He drew attention to the work done in using technology to support staff working from home, but also emphasised that the service was continuing with other initiatives such as training events and the HR and Finance Transformation Programmes.
- 10.12 The Chairman highlighted that Norfolk County Council was in a far better place than it had been in February/March 2020.
- 10.13 Cabinet reviewed the report and **RESOLVED** to:
1. **Endorse** progress against the initial lessons learned action plan set out in Appendix A of the report.
- 10.14 **Evidence and reasons for Decision**
- It is usual practice to capture learning at the end of an incident both to ensure the process does not distract those focussed on responding to the incident and so that learning can be considered and captured with knowledge of the full facts. Given the length of the Covid-19 emergency, it will likely be some time before we can undertake a full and formal de-brief process. Therefore, capturing and progressing initial learning points now is crucial to enable us to provide the best possible response to Norfolk communities.
- 10.15 **Alternative Options**
- Cabinet may wish to amend or make additions to the Improvement Plan

The Cabinet Member for the Environment left the meeting at 11am.

11 Finance Monitoring Report 2020-21 P6: September 2020

- 11.1 Cabinet received the report by the Executive Director of Finance & Commercial Services which gave a summary of the forecast financial position for the 2020-21

Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2021, together with related financial information.

11.2 The Cabinet Member for Finance introduced the report, during which the following points were noted:

- The forecast level of overspend at the end of September 2020 was just under £4m, down from £5.314m in August 2020.
- Grant funding totalling £81.29m to cover covid-related costs had been received.
- Forecast covid-related financial pressures had increased to £92.135m.
- Notice was received on 22 October of an additional £5.607m which was Norfolk County Council's share of the £1bn additional support to Local Authorities announced by the Prime Minister on 12 October, together with approximately £850k to support the tiered approach adopted by the Government to contain the transmission of the virus.
- Details of the Council's allocation for the Emergency Assistance Grant to support families and individuals in financial hardship was set out in tables 4a-4c of the report, which together with the details of other allocations received made up total funding of £81.291m for covid-related expenditure.
- The first claim had been submitted for compensation for lost income, which totalled £2.657m and the outcome of negotiations with MHCLG were awaited.
- Regarding the Revenue Budget, Adult Social Care saw a £3m reduction in its departmental overspend which was mainly caused by the partial removal of the increase in estimated purchase of care, together with a reduction in back office costs.
- The Adult Social Care departmental overspend stood at £4.9m, however the report highlighted three key areas of risk – purchase of care costs which were being closely monitored not only from a value for money perspective, but also due to the changes in the way the government was funding costs of caring for elderly people discharged precipitously from hospitals into the care of the County Council by the NHS in March 2020. The situation was being closely monitored.
- Children's Services forecast remained at break-even, although any second surge could destabilise the situation.
- One increasing area of concern in Children's Services was the overspend in the High Needs Block of £10.6m which meant the cumulative overspend on the Dedicated Schools Grant was forecast to be over £30m at 31 March 2021. Work continued with the Department for Education to find a solution and a further update was expected to be presented to Cabinet in January 2021, although in the meantime the Government had legislated that local authorities were not responsible for funding the deficit on the DSG, although the increase in demand for placements remained a cause for concern.
- The overspend in Community & Environmental Services department had been reduced by £478k, mainly due to the allocation of its share of the first tranche of the government lost income support grant.
- The forecast underspend in Finance General had been reduced due to the allocation of the £2.657m lost income claim and also unbudgeted covid-related purchase of PPE, increased staff and other related costs.

The Cabinet Member drew Cabinet's attention to the recommendations it was being asked to agree:

Recommendation 1

Cabinet was being asked to approve the dissolution of NCC HH Limited. Horatio House had been set up at very short notice following the sudden collapse of Great Yarmouth Community Trust and had been established to continue to provide alternative education provision until the end of the academic year. Year 10 students had found alternative provision and the year 11 students had completed their GCSE's. Having delivered its purpose Horatio House would be dissolved.

Recommendation 2

If Cabinet approved the borrowing it would facilitate the purchase of 163 acres of land at Outwell, at a cost of £1.4m, which would be added to the County Farms Estate. It would also allow the overall county farms holding to be maintained at well over the minimum level of 16,000 acres. A number of under-utilised holdings and barns had recently been reviewed and significant receipts had been secured to date this year. Capital investment in the estate had significantly exceeded capital receipts and therefore the borrowing requirement would be repaid from sales, although an element of the profit generated would be held back for future purchases.

Recommendation 3

The new schemes set out in the draft capital strategy would be scored before they were added to the programme. The scoring provided an objective method for determining the values of markedly different projects on a council-wide basis, maximising the use of limited government grants, developer contributions and other third-party funding. The marking scheme had proved sufficiently flexible in the past in comparing large and small projects; externally and internally funded schemes; quick purchases and long-term ambitions. The framework, if agreed, would lead to a revised capital programme which County Council would be asked to approve in February 2021.

- 11.3 The Cabinet Member for Highways, Infrastructure & Transport welcomed the purchase of the 163 acres at Outwell which would not only provide a return on the investment but would also help young farmers in that area of the county to access the farming industry which was significant now when growing food for our own county was very important.
- 11.4 The Cabinet Member for Adult Social Care, Public Health & Prevention highlighted the work done by Adult Social Services in reducing the variance over budget by the end of the financial year. They faced an incredibly challenging set of circumstances and to see the variance reduce to 1.9% over budget at this stage of the year was an excellent result, whilst delivering services to, and protecting, the vulnerable residents of Norfolk in a methodical way whilst managing the risks of not delivering a balanced budget, which was a legal requirement.
- The Cabinet Member also highlighted that the Public Health Team, despite the demands and pressures on the service, was on target to meet their budget, whilst recruiting and growing the team and again, he congratulated all those involved.
- 11.5 The Cabinet Member for Commercial Services & Asset Management supported the purchase of the land at Outwell, as the £1.4m investment could actually

generate £2.25m in income from rent from the 121 agricultural tenants and would also allow younger people to enter the farming industry in the county.

In addition to the revenue income, the purchase would also enable the County Council to use some land for development by Repton. So far this year, approximately £2.9m had been secured in capital receipts, with an additional £2.9m due from the sale of old barns and land expected by the end of the year.

- 11.6 The Cabinet Member for Growing the Economy referred to the £2.65m of income received from the government through the lost income grant, although it needed to be noted that this was after 5% had been taken off and 75% of the total paid, leaving a shortfall of approximately £800k. If the full amount of lost income had been received, a balanced budget would have been achieved.

- 11.7 The Cabinet Member for Children's Services endorsed the recommendation of dissolving NCC HH Ltd which had served its purpose.

Regarding the Children's Services budget, the Cabinet Member advised that the department was on track to achieve a balanced budget, although progress against the transformation programme hadn't been as quick as expected due to the lock down.

- 11.8 The Chairman highlighted the capital strategy and prioritisation scoring method, as there was a substantial increase in demand on the capital programme and the projects needed to be evaluated to ensure they would deliver value for money, social value, economic value and also conformed with the business plan. It was accepted borrowing was currently cheap, but there also needed to be a strong value for money case behind projects to ensure they delivered value for money to the County Council.

- 11.9 The Cabinet Member for Adult Social Care, Public Health & Prevention endorsed the recommendations and highlighted that cross-party support had been received in the past to guarantee the county farms estate should not be allowed to fall below 16k acres. The policy of maximising the return of assets of Norfolk County Council to support services and protect vulnerable people meant it was necessary to purchase land to replace land that had been sold or developed, with a small proportion of the revenue raised used to purchase replacement land to ensure the estate retained a minimum of 16k acres.

- 11.10 In summing up, the Cabinet Member for Finance endorsed the thanks to core team members in the spending departments, particularly Adult Social Services for the work done in negotiating with central government and impress upon them the need to deliver a long-term funding solution for Adult Social Care. He also thanked the Executive Director of Children's Services for continuing with their transformation programme to build on the successes they had achieved.

- 11.11 The Chairman formally moved the recommendations.

- 11.12 Cabinet **RESOLVED** to:

1. **Approve** the proposal to dissolve NCC HH Limited as set out in Appendix 1 paragraph 3.4.

2. **Recommend to County Council** additional prudential borrowing of £1.4m to be available for the purchase of farmland at Outwell and associated costs, subject to approval, as set out in paragraph 4.1 of Capital Appendix 2.
3. **Approve** the draft capital strategy and prioritisation method as the basis for developing the 2021-22 capital programme, as set out in Capital Annex 2;
4. **Note** the period 6 general fund forecast revenue overspend of **£3.956m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
5. **Note** the COVID-19 grant funding received of **£81.291m**, the proposed use of that funding, and the related expenditure pressures resulting in net Covid-19 pressure of **£10.844m**.
6. **Note** the period 6 forecast shortfall in savings of **£17.382m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;
7. **Note** the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;
8. Note the expenditure and funding of the revised current and future 2020-23 capital programmes.

11.13 **Evidence and Reasons for Decision:**

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

Appendix 1 summarises the revenue outturn position, including:

- Forecast over and under spends
- Covid-19 pressures and associated grant income.
- Changes to the approved budget
- Reserves
- Savings
- Treasury management
- Payment performance and debt recovery

Appendix 2 summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

11.14 **Alternative Options**

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

12 **Progress on the Council's Equality, Diversity & Inclusion Objectives 2020-2023**

- 12.1 Cabinet received the report by the Executive Director of Community & Environmental Services summarising the progress over the last six months to deliver against the Council's Equality, Diversity & Inclusion Objectives for 2020-2023 and the additional actions agreed by full Council on 20 July 2020. It also included a brief update of the impact of Covid-19 on equality, diversity and inclusion.
- 12.2 The Executive Director of Community & Environmental Services reminded Cabinet that it had set out its ambitious agenda in December 2019, which had been supplemented by a motion agreed by Council in July 2020 and the report updated Cabinet on the progress made to date and the future actions.
- 12.3 In introducing the report and moving the recommendations, the Cabinet Member for Communities & Partnerships highlighted that Cabinet had agreed to conduct a review of how the County Council worked and communicated as an organisation in order to identify any unconscious or structural bias. In July 2020, Council had supported a motion to tackle discrimination and prejudice and would receive an update report by the end of 2020. The report included the progress made to date under the various objectives from the motion agreed by Council, together with an update on the impact of Covid-19 on people with protected characteristics and on equality, diversity and inclusion.

The Cabinet Member wished to place on record her thanks to all the officers involved in the work. Work to deliver the objectives would continue over the next three years.

- 12.4 The Chairman highlighted that this was a long-term plan to show the work being carried out against the various aspects of equality, diversity and inclusion until 2023.
- 12.5 Cabinet considered the report and **RESOLVED** to:
1. **Note** the progress against the Council's Equality, Diversity and Inclusion Objectives 2020-2023 and the actions set out in the Motion agreed by Full Council on 20 July 2020.
 2. **Note** the latest version of the COVID-19 equality impact assessment (last reviewed by Cabinet on 11 May 2020), which summarises the impact of COVID-19 on people with protected characteristics (see Appendix C).
 3. **Agree** that the COVID-19 equality impact assessment should continue to inform decision-making across the Council wherever appropriate, to ensure that the Council's resilience and recovery effort is accessible and inclusive.

12.6 **Evidence and Reasons for Decision**

Refer to the report.

12.7 **Alternative Options**

The equality, diversity and inclusion objectives for 2020-23 and the associated key activity areas were agreed by Cabinet in December 2019. Cabinet could decide to change, add or delete an objective or key activity area. This would need to be

balanced against the need for the Council to comply with the requirements of the Equality Act 2010.

For the actions relating to the motion agreed by Full Council in July 2020, it would be for Full Council to consider any change, addition or deletion in relation to these specific agreed actions.

13 Adult Social Care Market Position Statement & Quality Account 2021-2024

13.1 Cabinet received the report by the Executive Director of Adult Social Services setting out the Adult Social Care Market Position Statement and Quality Account 2021-2024.

13.2 The Executive Director of Adult Social Services wished to place on record his thanks for the way the care market in Norfolk had responded to covid-19, particularly when being asked to remain working as another peak built, and for continuing to show the bravery and the professionalism they had shown whilst keeping the best interests of people using the service at the heart of their work.

13.3 The Chairman endorsed the comments made and also thanked everyone for the work they had done and continued to carry out.

13.4 The Cabinet Member for Adult Social Care, Public Health & Prevention endorsed the comments made, highlighting the debt owed to everyone who had worked hard and at great personal risk to keep vulnerable people protected within the care market in Norfolk throughout the pandemic and going forward. He also praised the excellent relationship with Norfolk Care Association (NorCA) which was the overseeing body for various different businesses in the care market.

In introducing the report and moving the recommendations, the Cabinet Member advised that the report was an annual report which also incorporated the quality report and highlighted the increased focus on the £29m capital strategy; the increasing number of services which were judged as outstanding; the unlocking of a £6m programme in conjunction with Suffolk to provide funding for training; and the acknowledgment that NCC had sourced emergency PPE which had been made available to front-line staff early on in the pandemic. An Editorial Board would be established to review the performance and provide a quarterly update.

13.5 The Chairman highlighted the vision to support people to be independent, resilient and well through the Promoting Independence Strategy by market shaping and the changes that had been made across the system to support everyone in the care market into the future.

13.6 The Cabinet Member for Finance reiterated the financial challenges faced and again highlighted that a long-term funding solution was needed from the Government.

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

1. **Approve** the Adult Social Care Market Position Statement Update 2021-2024 (Appendix 1 of the report) for publication.

13.8 Evidence and Reasons for Decision

Refer to Appendix 1 of the report 'Adult Social Care Market Position Statement and Quality Account – 2021-2024'

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

13.9 **Alternative Options**

No alternative options have been identified.

14 **Limited Company Consents**

14.1 Cabinet received the report by the Executive Director of Finance & Commercial Services asking it to approve the formation of a new subsidiary company of Repton Property Developments Limited, St Edmunds Park Estate Management Ltd.

14.2 In introducing the report and moving the recommendations, the Cabinet Member for Commercial Services and Asset Management said that Cabinet was being asked to approve the formation of a new subsidiary company of Repton Developments Ltd, to be named "St Edmunds Park Estate Management Ltd".

Cabinet noted that it was a requirement to set up an estate management company which was part of the development of St Edmunds Park at Acle which would be responsible for managing the development. The company would be owned and controlled initially by Repton Property Developments, although once all the plots were sold the company would be transferred to the residents of St Edmunds Park to own and run, the commitment to which was set out in the purchase documents. Repton Property Developments would not have any involvement with the Company once the company had been transferred to the residents.

The Repton Board had approved the creation of the company and the Executive Director of Finance & Commercial Services had reviewed and approved the proposal. Once created, two Directors would need to be appointed to run the company and the proposed Norfolk County Council appointees were Harvey Bullen and Al Collier.

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

1. **Approve** the formation of a new subsidiary company of Repton Property Developments Limited, St Edmund's Park Estate Management Ltd.
2. Once created, **approve** the appointment of NCC directors to the new company as detailed in Appendix A of the report.

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

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

Decisions by the Leader & Cabinet Member for Communities & Partnerships.

- [Scope of Whole Council Review of Unconscious & Structural Bias.](#)

Decision by the Cabinet Member for Highways, Infrastructure & Transport

- [Covid Bus Services Support Grant \(CBSSG\) Restart Grant](#)

The meeting ended at 11.45am.

Chairman



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Statement to Cabinet from Cllr Andrew Proctor re support for vulnerable families

With the changes made to the national and as a result local situation from Thursday what I have to say about Norfolk's support for vulnerable families is even more relevant.

Concerns have been raised locally and nationally about the best way to support our residents and communities as the coronavirus pandemic continues.

The Government has put in substantial support to children and families through the benefits system and local government's support has been in addition to that.

The council's Norfolk Assistance Scheme, which has been in place since 2013, provides emergency cash or food and essential household items such as white goods and beds. Recognising the pressure people of all ages would be under, we set aside £500,000 from government Covid-19 funds to add to the existing £1.150m annual Norfolk Assistance Scheme budget to provide advice and support to people. That was in April.

In the period from April to September we spent £625,000 from this fund helping people with food, fuel, exceptional household items and other welfare support. The remainder of the £1.15m core budget and the additional £500,000 is forecast to be spent by the end of March in order to address the increasing demand for those families and individuals in financial crisis.

We also increased staffing to provide more people with advice and support, including advice on benefits claims. Covid-19 has meant many people have had to tackle the complexities of the benefits system for the first time, and of the £500,000, £120,000 is being used to pay for this.

In addition, we made a £100,000 grant from Covid-19 funds to the Norfolk Community Foundation to support their work and help take their fund to over £1m.

That's a total of £1.75m overall. But that's not all

In August we had the £1.016m Emergency Assistance Grant from the government for food and essential supplies. It isn't ringfenced, and this gave the Council the opportunity to use this valuable resource to support our residents and communities in the best way we could.

That money was never intended to be used for free school meals. The Government ran a free school meal voucher scheme, the Covid Summer Food Fund, over the summer holidays, and made clear that the emergency

assistance grant should not duplicate that provision. If the Government reintroduced a holiday food scheme and provided sufficient funding, we would, of course, support its delivery.

There have been and continue to be many calls on this limited fund. Primarily we have used it to support people with Covid-related rent arrears and to help the most vulnerable people buy food and cover household bills. We have also provided laptops to support children and vulnerable adults in financial crisis.

So far, we have made payments or provided equipment to 676 people, at a cost of £170,000. This includes £157,000 spent on food, fuel and essential household items, £6,000 for digital equipment for education, and £7,000 to cover rent arrears.

We have set aside a further £144,000 for laptops and other digital support, to expand the group of children from disadvantaged families who can access education online and maintain social contact as well as assisting people in financial crisis into work.

Inevitably, a combination of seasonal unemployment, the ending of the furlough scheme, although that's now been delayed for a month, likely further Covid-19 outbreaks resulting in people needing to self-isolate and the new restrictions will increase family hardship over the winter months. To address that we have committed £502,000 to cover food, energy household equipment and rent arrears for the period through to March.

We have made a further grant of £200,000 to the Norfolk Community Foundation to support vulnerable families this winter. I'm delighted that by doing this we can help the foundation to maximise the help it can make available by matching contributions from businesses and charitable donors.

We have spent or allocated the whole £1.016m, and the further £1.75m of other funds referred to earlier. We believe this is the right way to support families and communities in Norfolk. Given the changes since Saturday we need to know how the Emergency Assistance Grant and other funds can be extended by central government so that we in local government can use them to help people in hardship.

I will be publishing this statement, with a note of how to make applications to the Norfolk Assistance Scheme.

Note

Applications for help can be made to the Norfolk Assistance Scheme on the county council website - <https://www.norfolk.gov.uk/care-support-and-health/support-for-living-independently/money-and-benefits/norfolk-assistance-scheme> - or for those who don't have internet access by calling 01603 223392 option 5.

Awards that can be made include:

- A three-day award for applicants who have made an application for Universal Credit
- A seven-day award for people who are furloughed, are self-employed or have been made redundant and are awaiting verification of their Universal Credit application
- Awards to applicants with no recourse to public funds

Cabinet
2 November 2020
Public & Local Member Questions

Agenda item 6	Public Question Time
6.1	<p>Question from Lesley Grahame Nearly 4 000 people have signed a petition to keep two lime trees on Tombland, wanting to defend the trees that give amenity, shade, habitat and flood protection to their area, and improves its air quality. Many have expressed wider concerns for the incremental loss of trees & green spaces for development</p> <p>I'm told that Conservation Area Appraisal was used which does not consider natural heritage. Given the twin crises of climate and species extinction, will the Cabinet member introduce: A default presumption of preserving mature established trees An Assessment process that gives substantial weight to the ecosystem and amenity services that trees provide, before considering their removal, such as CAVAT or TEMPO.</p> <p>Response: Cllr Martin Wilby In relation to the specific scheme at Tombland, of the 22 existing trees we need to remove two of these to enable the scheme to be delivered, however we will be replacing these with five new trees.</p> <p>It is unfortunate that two trees will be removed, and this is a not a decision that has been taken lightly. We carried out a public consultation on the proposals and as a result of feedback we carried out further survey work and made some changes to the scheme design. We also sought and took account of the advice of appropriate experts.</p> <p>We recognise that the tree planting in Tombland is of significant value, which is why we have used the project as an opportunity to diversify and increase planting, ensuring that tree cover in Tombland is secured for future generations while also responding to the reconfigured uses in space.</p> <p>The replacement trees will be of a minimum heavy standard size classification – these trees are much larger than saplings and will have an immediate presence in the streetscene. They will also increase the resilience of the overall Tombland tree planting in our changing climate, with increasing pressures from pests and diseases, and will increase biodiversity. Pollution tolerance and mitigation was another consideration in the selection of tree species.</p> <p>We will be improving rooting conditions for the retained existing trees by installing a permeable surface below them and addressing the treatment around the base of the stems to allow unimpeded future growth.</p> <p>More generally, all highway projects where trees may be impacted are discussed with appropriate experts, to ensure that we can reflect current best practice and guidance, and their advice is taken into account by our highway design teams. The County Council also has a well established Tree Safety Management Policy in place, and as part of the Council's Environmental Policy we have recognised the importance of planting more trees to improve biodiversity and as potential mitigate measure for climate change.</p>

	<p>Therefore, I do not think that there is a need to amend the existing approach or policy.</p>
6.2	<p>Question 1 from Christine Marshall To the local community, Holt Hall is a much loved part of its history, a local asset, for over 70 years a source of income for local businesses, livelihoods for local residents, a venue for active volunteering as well as for its primary School, Youth Project, residents on Open Days and events and a Norfolk wide facility of which it is inordinately proud.</p> <p>What community consultation has NCC undertaken with Holt Town Council, community groups and residents in the locality about the impact on them of the sale of Holt Hall?</p> <p>Response: Cllr John Fisher We have engaged with those who use the outdoor learning provision at Holt Hall to consider the impact of ceasing day and residential visits. Engagement has taken place with stakeholders - principally schools, Holt Hall staff and volunteers as well as partners such as Friends of Holt Hall and a local holiday company offering services on the site. No decision has been taken regarding the future of the building.</p>
6.2.1	<p>Question 2 from Christine Marshall What steps has the council taken to explore the potential of identifying and establishing partnership working with local interested parties to save on site educational provision?</p> <p>Response: Cllr John Fisher We are consulting on ceasing the current day and residential provision. We have not sought partnerships, as the approach being evaluated is to leave this market to other providers. We are not consulting on closing Holt Hall, and the future of the building is not yet decided.</p>
6.3	<p>Question 1 from Brian Donovan NCC says it is keen to promote volunteering and its value in the community. The council must be aware of the huge contribution volunteers have made as part of the Holt Hall “family”. Some volunteers who have died have memorial trees funded and planted in the Victorian wall garden. Volunteers add value with the planting of the walled garden, assist the Head Gardener with management of the woodlands, raising funds through a pop up cafe and Run Norwich, adding to the beauty and ethos for children’s outdoor learning and mental well-being.</p> <p>What will the council do in a lasting way to respect the value of these voluntary contributions and protect the memorials to those whose commitment was so strong?</p> <p>Response: Cllr Greg Peck A decision has yet to be made about the future of Holt Hall. Once a decision is taken about the service delivery of outdoor learning on November the 17th the council will consider future plans for the building and its land and any associated matters to be</p>

	considered, including the voluntary contributions and memorials. If there are specific concerns about memorials, I would ask that Mr Donovan contact the Corporate Property Team corp.propertyteam@norfolk.gov.uk
6.3.1	<p>Question 2 from Brian Donovan NCC sold the lower lake off. It is not maintained as it should be now. The main lake contains rare fish, the woods contain semi ancient and protected trees, and delicate habitat that needs continuous care. They have several layers of protection (eg SSSI). How seriously do NCC take their responsibility to protect these environments?</p> <p>Response: Cllr Greg Peck A number of protections exists for environmental assets – notably around protected trees and SSSI landscapes – enforced by a number of bodies, including the Local Planning Authority. Environmental issues will be flagged up, should the site be disposed, with purchasers (who will ultimately be liable) and who will need to consider the maintenance of these sites. The environmental legislation that exists already is the most appropriate to protect these natural assets.</p>
6.4	<p>Question from Kate Jewell Before it is decided to cease the provision of current outdoor learning services at Holt Hall and potentially dispose of the vacated land and buildings, the value to society of the site should be protected. What are the council's views on a proposal to protect, through planning constraints and sale conditions this valuable natural environment and county wildlife asset, its ancient woodland and scientifically significant lake, the skills and inspiration of the team, and overall, the present mission (which council says it supports) providing young people's opportunity to learn, love and value the natural world and their part in its future?</p> <p>Response: Cllr Greg Peck No formal decision has been made on the future of Holt Hall. Should it be declared as surplus to NCC's requirements, we will work with our agents to identify what the best method to bring this site to the market would be. This will also consider what the likely interest would be in the site and this could be as a going concern, for a restricted use, or on an all enquiries basis. Ultimately the decision on any use (different to the current use) would need to be made by the Local Planning Authority.</p>
6.5	<p>Question from Iona Chamberlain Cllr Fisher stated 'closing Holt Hall is not the end of Outdoor Learning in Norfolk' and agreed that it is an important part of any curriculum. The impact of Covid 19 has affected all providers and The Telegraph expect half of UK centres to close, because residential, which are a major source of income, are currently restricted by the DfE. What research has been carried out, which gives the council confidence that there will be sufficient providers operating in 2021 and what will the Council do to support schools if there is a lack of provision?</p>

	<p>Cllr Fisher specifically mentioned Brancaster Activity Centre will no longer be running residentials</p> <p>Response: Cllr John Fisher Outdoor learning and residential provision is offered within the market by a range of local and international providers. Norfolk is fortunate to have a number of such centres located within the county and we have sought to understand the planned offer and some of the current challenges in at least 10 other centres which offer significant programmes including a core offer of residential activity packages. All centres are currently affected by the impact of the pandemic and the continuing need to maintain social distancing etc which restricts their ability to offer residential programmes</p> <p>In the financial year 2019 – 2020 43 Norfolk schools out of over 450, and 1 Norfolk university, used the residential facilities at Holt Hall. This was approximately 7% of all residential outdoor learning visits undertaken by Norfolk schools. In addition, 32 Norfolk schools completed day visits, and 9 schools used the campsite. This highlights that most Norfolk's schools already make use of other centres and locations to deliver outdoor learning to Norfolk children and young people.</p>
6.6	<p>Question 1 from Nic Hopkins Children's Services is considering the future of Holt Hall as a Centre for Outdoor Learning. I worry that ceasing to provide these services is the wrong choice. Closing the environmental study facilities and grounds risks losing valuable professional skills, experience and reputation for Norfolk and a centre of excellence according to customer feedback assessments.</p> <p>If there is a funding gap of £85,000 per year, why not take further time to explore the options of additional services, commercial partnerships, sponsorships and revenues to provide cost-effective future outdoor learning, personal development and mental health for Norfolk and the region's children for years to come?</p> <p>Response: Cllr Andrew Jamieson We have not sought partnerships, as the approach being evaluated is to leave this market to other providers. The funding gap is considerably larger than £85,000 per annum, which was the average figure before Covid-19, as there is currently no income. In addition, there is a significant requirement for maintenance and a long-term future would require substantial capital investment.</p>
6.6.1	<p>Question 2 from Nic Hopkins Has the Children's Services Team in the review process had suggestions about possible partners and additional services, and how have these been evaluated?</p> <p>Response: Cllr John Fisher We are consulting on ceasing the current day and residential provision. We have not sought partnerships, as the approach being evaluated is to leave this market to other providers and taken on the role of strategic enabler. We are not consulting on closing Holt Hall, and the future of the building is not yet decided</p>
6.7	<p>Question from Susan Vaughan Holt Hall is a unique, secure, valuable asset with potential to generate additional</p>

	<p>income through extended activity, and the ability to substantially add premium value to areas of social, health and preventative services that NCC and its partners deliver to vulnerable young people individuals, families and groups.</p> <p>What discussions internally and with potential partners have been undertaken to establish how such a venue could meet multiple statutory functions by supporting the cost effective delivery of other services, in addition to its current environmental education role which leads on NCC's Environmental Policy of more engagement with the public about biodiversity and making Norfolk carbon neutral by 2030?</p> <p>Response: Cllr Greg Peck</p> <p>Holt Hall is an expensive to maintain building for the local authority and is unlikely to offer a cost-effective solution to provide multi-agency statutory functions. Our objective is to make our estate carbon neutral by 2030 and we are engaged in several measures to achieve this.</p> <p>A number of protections exists for environmental assets – notably around protected trees and SSSI landscapes – enforced by a number of bodies, including the Local Planning Authority. Environmental issues will be flagged up, should the site be disposed, with purchasers (who will ultimately be liable) and who will need to consider the maintenance of these sites.</p> <p>The environmental legislation that exists already, is the most appropriate to protect these natural assets.</p>
6.8	<p>Question from Thomas Green</p> <p>As a Norfolk teacher, headteacher, inspector and Education Department associate, I witnessed first-hand the transformational impact and education benefit to children visiting Holt Hall. Exposure to nature and the outdoors is a key factor in maintaining and improving mental health and well-being. The review landscape has now changed. The UK Children's Commissioner has drawn attention regarding children's well-being adversely affected by the Covid crisis. Councils will be judged by how they remediate this situation.</p> <p>What is the assessed impact of any proposed closure on children and young people and where is the evidence to support it?</p> <p>Response Cllr John Fisher</p> <p>We agree on the importance and impact of great outdoor education and want to ensure that we take a leadership role to support and challenge all schools on this part of their curriculum. We are currently consulting on ceasing our direct delivery of residential and day visit provision at Holt Hall. It is a difficult decision but would enable us to focus our limited resources. It would also assist other providers, some of whom are struggling, as the Council would no longer be a direct provider, but an enabler in the market.</p> <p>We have a duty to ensure that public money is appropriately spent. In the last financial year 7% of Norfolk School residentials took place at Holt Hall. This represents a small share of the current market.</p>
6.9	<p>Question 1 from Susan Dowling</p> <p>Could the cabinet member for Assets please provide an update relating to the former</p>

	<p>Cosy Carpets building, Minstergate ,in Thetford. I believe from media reports the building was compulsory purchased by Norfolk County Council; rumours locally suggest that this building has been returned to it's previous owner. Could you please confirm whether this is the case ?</p> <p>Response: Cllr Greg Peck We have reached a settlement with the previous owners, as part of which we have transferred the freehold of the former Cosy Carpets site to them, a settlement we feel is fair for all sides. There were strong arguments on both sides and we also need to bear in mind the cost of going to Upper Tribunal, with us, as the Acquiring Authority expected to pay all parties' costs.</p>
6.9.1	<p>Question 2 from Susan Dowling Could you please confirm the total expenditure incurred by Norfolk County Council in relation to the Cosy Carpets building over the past 10 years; including the estimated cost of the asset, if it has been returned to previous owner.</p> <p>Response: Cllr Greg Peck This case dates back to the original Compulsory Purchase Order for the site back in 2013. The valuation and compensation payable for sites purchased under CPO can be extremely complex, as the court will look at the potential value for a site at the time of acquisition (in this case 2014).</p> <p>There are a number of other factors that we needed to take account of including:</p> <ol style="list-style-type: none"> 1) The planning status of the various plots, as well as a Certificate of Appropriate Alternative Development for 12 apartments and 2 dwellings on Plot 1 and a restaurant / flat on Plot 3. 2) The difficulty in establishing values in this area, given the relatively low volume of comparable sites. <p>The time and level of the correspondence between the various agents – do show that this is not a simple matter, however the current value of the site is therefore not a material consideration. In terms of the total cost, this was subject to an FOI (Freedom of Information Request ENQ-404037-M0P3K8) we will update with latest costs and provide directly to the enquirer.</p>
6.10	<p>Question from Adrian Vaughan At a time when NCC has a projected budget deficit, why is the cabinet refusing to allow access to its extensive estate at Holt Hall Outdoor Learning Centre, or permit its staff to deliver services at any remote site or even in school grounds? Permitting this would meet current thwarted customer demand and earn much needed income through the sale of Covid secure expertly taught school day visits, family activities and private bookings at Holt Hall.</p> <p>Response: Cllr John Fisher The current guidance from the DfE clearly states that they advise against overnight educational visits. Day visits are permitted but require full consideration of the range of measures in place for schools, including consistent grouping and COVID-19 secure measures at the destination and during transport. Full and thorough risk assessments both in relation to COVID-19 and the normal guidance regarding</p>

	<p>educational visits are required, as is appropriate insurance. Within this context, the service provided would therefore at a minimum require:</p> <ul style="list-style-type: none"> • Additional staffing both by the school and by the service provider • Smaller pupil groups to facilitate social distancing • Transport arrangements within consistent groups • Social distancing arrangements of keeping people two metres apart, particularly if staff support more than one group • Hygiene measures to ensure any equipment that is handled is disinfected before being used by a second or subsequent person • Additional cleaning, including between sessions, where multiple groups attend a centre • Arrangements for separate (specialist) transport, including if a pupil or member of staff develops symptoms during the trip <p>School leaders are understandably cautious regarding such arrangements. They have spent and are spending considerable time on the operational arrangements in their schools and communication with parents and the wider community. Therefore, the likely uptake of services is deemed low. Within this context the provision of services is not deemed viable and by some education leaders it is also not deemed desirable due to the increased risks whilst cases are rising.</p>
6.11	<p>Question 1 from Philip Bacon Holt Hall is a much loved part of Norfolk history, a local asset for more than 70 years, a source of income for local businesses and local resident livelihoods, a venue for active volunteering as well as for its Primary School, Youth Project, residents, Open Days and events as well as being a Norfolk wide facility of which it is inordinately proud.</p> <p>What community consultation has taken place with Holt Town Council, other town and parish councils, local community groups and residents about the impact of the sale of Holt Hall?</p> <p>Response: Cllr John Fisher We have engaged with those who use the outdoor learning provision at Holt Hall to consider the impact of ceasing day and residential visits. Engagement has taken place with stakeholders - principally schools, Holt Hall staff and volunteers as well as partners such as Friends of Holt Hall and a local holiday company offering services on the site. No decision has been taken regarding the future of the building.</p>
6.11.1	<p>Question 2 from Philip Bacon What steps have the council taken to explore establishing potential new partnerships with local interested parties to save on-site educational provision?</p> <p>Response: Cllr John Fisher We are consulting on ceasing the current day and residential provision. We have not sought partnerships, as the approach being evaluated is to leave this market to other providers. We are not consulting on closing Holt Hall, and the future of the building is not yet decided.</p>
6.12	<p>Question from Stephanie Gilbert Holt Hall is a unique, secure, valuable asset which has the potential to generate</p>

additional income through extended activity, and the ability to substantially add premium value to areas of social, health and preventative services that NCC and its partners deliver to vulnerable young people, individuals, families and groups.

What discussions internally and with potential partners have been carried out to establish how such a venue can meet multiple statutory functions by supporting the cost effective delivery of other services in addition to its current environmental education role which leads NCC's Environmental Policy of more engagement with the public about biodiversity and making Norfolk carbon neutral by 2030?

Response: Cllr Greg Peck

Holt Hall is an expensive to maintain building for the local authority and is unlikely to offer a cost-effective solution to provide multi-agency statutory functions. Our objective is to make our estate carbon neutral by 2030 and we are engaged in a number of measures to achieve this.

A number of protections exists for environmental assets – notably around protected trees and SSSI landscapes – enforced by a number of bodies, including the Local Planning Authority. Environmental issues will be flagged up, should the site be disposed, with purchasers (who will ultimately be liable) and who will need to consider the maintenance of these sites.

The environmental legislation that exists already, is the most appropriate to protect these natural assets.

Appendix C

Agenda item 7	Local Member Issues/Questions
7.1	<p>Question from Cllr Brian Watkins Are you disappointed that Norfolk Conservative MPs voted with the Government to not fund the poorest families with food for their children over the half term and future holidays, as the demand for support from households facing financial hardship as a result of COVID-19 has outstripped the government funding available. Will you join Councils such as the Liberal Democrat run Portsmouth City Council, in not wanting any child to go hungry, and provide families of children with food tokens to cover the Christmas period?</p> <p>Response: Cllr Andrew Proctor I recognise that government has made significant support available to vulnerable people through the benefits system, in addition to the Emergency Assistance Grant and other general purpose and specific Covid-19 grants to local authorities. We know this has been a tough year for many people in Norfolk and we've been working with partners to support the most vulnerable, especially as winter kicks in and the furlough scheme ends. Norfolk County Council will continue to support people in the best way possible with the funds available to us. I announced on Thursday a £200,000 fund in partnership with Norfolk Community Foundation to support families and vulnerable people facing hardship over the coming months and into the Christmas period.</p>
7.2	<p>Question from Cllr Steff Aquarone What would need to be done to make Norfolk – not just Norfolk County Council - carbon neutral by 2030?</p> <p>Response: Cllr Andy Grant Achieving the target of carbon neutrality is a stretching goal, either for Norfolk County Council or for the county of Norfolk as a whole. Whilst Norfolk County Council has set a target of 2030, the current Government target for the country as a whole, including Norfolk, is to achieve this goal by 2050.</p> <p>Norfolk County Council has set itself this ambitious target as an authority and has taken significant strides towards this goal, including through its commitment to plant a million trees, and by changing many aspects of the way the organisation operates, including through its ambitious Smarter Working programme and in the approach taken to managing its estate.</p> <p>In terms of the wider county, Norfolk County Council recognises that it has a responsibility to work in partnership with many different organisations and bodies including our District partners, the private sector, key environmental organisations, and higher education, particularly working with the University of East Anglia who have considerable expertise in this field.</p> <p>As elsewhere in the country, achieving carbon neutrality will involve a concerted effort across many sectors including construction, agriculture, transportation, and energy production. Alongside adopting a range of positive new measures across these different sectors, the Committee on Climate Change suggests that there will also be a residual amount of impact that will have to be addressed through some form of offsetting activity. This is likely to involve an increasing reliance on renewable</p>

	<p>electricity as the main component within the wider energy mix, both within our homes and underpinning how we travel.</p> <p>Over the coming period, NCC will continue to provide a leadership role where appropriate, helping to coordinate key activity, developing sustainable partnerships, and communicating and delivering our plans in close partnership with the communities we serve.</p>
7.3	<p>Question from Cllr Dan Roper</p> <p>School Headteachers in England have just received an email from the Department of Education informing them that their allocations of laptops for disadvantaged pupils have been slashed by around 80%. This was just two days after the government used its Covid-19 emergency powers to impose a new legal duty on schools to provide a remote education to any pupil unable to attend lessons because of the pandemic. Can you confirm what the position is in Norfolk and how many/what percentage of school children will now receive a laptop?</p> <p>Response: Cllr John Fisher</p> <p>Children are supported with a laptop in a number of ways, including the government schemes. For example, schools have for some time made laptops available to children and young people. We do not have an overall percentage of how many children benefit from this across Norfolk, as allocations are made directly to academies</p>
7.4	<p>Question from Cllr Tim East</p> <p>Did you accept the European Environment Agency data in February of a six-metre rise in sea levels which would see areas such as Great Yarmouth, Lowestoft, Hemsby and Wroxham under water? If you did not, what level of sea rise and damage to Norfolk are you working to?</p> <p>Response: Cllr Andy Grant</p> <p>We take account of the evidence gathered by the Government via the lead UK agencies, including the Met Office and the Environment Agency. This is set out in the 'Exploratory sea levels projections for the UK to 2300'. The projections in this do not suggest that the levels will be in the range proposed by The European Environment Agency along any stretch of the UK coastline.</p> <p>A more detailed analysis of potential sea level rise impacts on Norfolk is currently being undertaken through the "Broadlands Futures Initiative": a partnership including the Environment Agency, Broads Authority and Norfolk County Council. This work has not yet drawn any final conclusions but in regard to this question offers the following advice:</p> <p>It depends on the timescale considered, the assumed future emission scenario, and the level of statistical confidence assumed within the scenario results.</p> <p>For the purposes of Broadlands Futures Initiative (BFI) we've presented a number of different emissions scenarios to reflect uncertainty about the future, but to also emphasise that change is inevitable. These scenarios range between RCP 2.6, where emissions are restricted to limit warming to 2 degree C above pre-industrial levels, and RCP 8.5 which is 'business as usual' with continued high emissions. Within each of these scenarios we show the 50th percentile values in our BFI</p>

documents. Based on this approach we are presenting the possibility that by 2120 mean sea level could be between 54cm and 102cm higher.

However, for the purpose of undertaking flood risk assessments for development current national guidance requires a conservative approach is adopted. Therefore scenario RCP 8.5 is still used, but the 70th and 95th percentiles being used. In this approach the assumed sea level by 2125 is up to 160cm higher.

So in both case well below the 6m figure mentioned

7.5

Question from Cllr John Timewell

How has the business birth rate in Norfolk over the period between 2014 and 2018 compared to the UK average?

Response: Cllr Graham Plant

On average, there was one start-up in Norfolk per 149 people of working-age in the period 2014 to 2018. For the UK, there was one start-up per 109 people of working-age in the same period. Therefore, more start-ups per capita were evidenced in the UK in that period than in Norfolk. This was the case for every year in that period, as shown in the table below.

Table: Start-up rates in Norfolk and the UK 2014-2018

	Norfolk: Business starts per year	Norfolk: working age population	Norfolk: people per business start	UK: Business starts per year	UK: working age population	UK: people per business start
2014	3,330	525,000	158	350,305	41,036,700	117
2015	3,380	527,000	156	382,755	41,241,000	108
2016	3,910	528,500	135	413,900	41,443,900	100
2017	3,945	530,400	134	381,885	41,545,600	109
2018	3,300	531,400	161	380,580	41,645,800	109

Source: Office of National Statistics (Business Demography; Population estimates)

We should note, however, that the UK average start-up rate will include London, where start-up rates are very high. We should also note that Norfolk's 'business death' rate is also relatively low: those businesses that do start often have a higher survival rate in Norfolk than elsewhere. For instance, the five-year survival rate in Norfolk in 2018 was 45.1%, whereas in London it was 39.3% and, in the UK, only 42.4%.

There are some instances in Norfolk where the picture bucks the national trend. At Hethel Innovation Ltd for example, which the County Council set up with the specific purpose of delivering economic outcomes for Norfolk communities, support has been provided direct to many start up businesses. They have seen around 95% of these still operating 2 years after set-up, in comparison to the national picture where the Small Business Association reports that 30% of start-ups fail in their first year alone

7.6	<p>Question from Cllr David Harrison What are the opportunities to increase the financial benefits that Norse brings to Norfolk County Council over the course of the current Medium Term Financial Plan?</p> <p>Response: Cllr Andrew Jamieson The County Council has set out its shareholder expectations for Norse over the current Medium Term Financial Strategy. This includes an expectation of an increased dividend being received from £2.2m for 2020/21 incrementally increasing to £3m for 2023/24. The shareholder expectations have been discussed by the Norse Board and will be reflected in the company's current and future business plans. In addition a budget proposal for 2021/22 is to renegotiate the Norsecare contract which, if agreed by the County Council and Norse, would reduce the contract value by £3m and provide a further financial benefit for the County Council."</p>
7.7	<p>Question from Cllr Tim Adams Norfolk County Council has been ranked 103rd out of 151 local authority areas by the UK Safer Internet Centre for performance in providing appropriate online safety resources to help children online. What are the main reasons for this low ranking and what is being done to get Norfolk ranked higher?</p> <p>Response: Cllr John Fisher The ranking is derived from the responses given by schools using a specific online evaluation tool (360Degreesafe) combined with the proportion of schools in an area engaging with it. Schools are not required to engage with this tool, it is a voluntary offer often promoted alongside the Online Safety Mark.</p> <p>The evaluation of school effectiveness on this issue is part of the Ofsted Inspection framework, within both the Quality of Education and the Personal Development, Behaviour and Safety judgements. It is also considered as part of safeguarding checks.</p> <p>A very small proportion of Norfolk schools have engaged with the tool, which explains the ranking. We will consider any future opportunities to alert schools to this tool. Up until lockdown, Educator Solutions offered CEOP (Child Exploitation and Online Protection command) accredited courses for schools and also offered Online Safety training for governors.</p>
7.8	<p>Question 1 from Cllr Sarah Butikofer I believe recent decisions by the Children's Services department in my County Division of Holt, have failed to take account of the impact of those decisions will have on the local community and indeed the children of the County of Norfolk. Groups and panels have made recommendations behind closed doors, leading to confusion, for portfolio holders and improbable financial promises, in relation to the future of Holt Hall, and Holt Primary School. Would Cabinet not agree decisions about the future of key educational assets should be made in a completely transparent and open process the public can have confidence in?</p> <p>Response: Cllr John Fisher The Local authority has the duty to forecast places and secure new places through commission new schools or expanding existing ones. There is a robust process for this, which includes taking all major financial recommendations to the Capital Priorities Group. The membership of this group includes cross party representation as well as school leaders. The group meets regularly and takes account of strategic</p>

	<p>planning for ensuring there are enough places for children across the county. They receive information and updates about the forecast needs and sufficiency planning. They scrutinise proposed projects and recommend funding allocations. Officers work closely with district colleagues and also ensure local members are aware of the process of any application to expand and build a new school. The Town Council is very supportive of the new school, as reported in the EDP: "The current school, as you are aware, is constrained as it sits on two sites and is split by the busy A148. The proposed new school is therefore a huge community benefit which would be welcomed by many families in the town."</p> <p>Holt Hall is a building in North Norfolk that is currently used by Norfolk Children's Services to deliver residential and day visits, largely from Norfolk schools. Last year 43 Norfolk schools out of over 450 completed residentials there, 32 schools held a day visit and 9 stayed at the campsite. 70% of the total income for the provision of this service comes from the residentials. This represents just over 3,000 children using Holt Hall in the last financial year out of approximately 130,000. The service is requiring a significant subsidy from the council to continue to operate and so we are consulting on the cessation of this service. This is a decision for Norfolk's Children's Services to make, as with any other service decision. We have spoken to the users of Holt Hall, and to staff to understand this decision. The staff consultation stage ends on 7th November. The final decision to cease this element of our Outdoor Learning service, that is the residential and day visit element, will be taken by the Executive Director for Children's Services following the closure of the staff consultation. This decision will then be taken to Corporate Board on the 17th November. The future of Holt Hall has not been decided. Norfolk County Council will consider that once any decision has been taken about a change in service approach and should it be no longer needed by Children's Services.</p>
7.8.1	<p>Question 2 from Cllr Sarah Butikofer Due to the recent confusion can you confirm for the public record, what is the process now for a decision on Holt Hall, will you commit to giving North Norfolk District Council a say in the future of this facility.</p> <p>Response: Cllr John Fisher The answer is contained in response to question 1 from Cllr Butikofer above.</p>
7.9	<p>Question from Cllr Mike Smith-Clare At the cabinet meeting in September Cllr Fisher said 'It is not the role of Children's Services to ensure all children are fed. Our budget....I would love to have the budget.' While Children's Services may not have the budget why did he not refer to £500,000 unspent from the Emergency Assistance Grant for Food and Essential Services the council was supposed to spend within twelve weeks of receipt in July and why was that money not used to feed hungry children in Norfolk during the recent half term holiday?</p> <p>Response: Cllr Andrew Proctor The Cabinet member for Children's Services rightly outlined what the role of Children's Services was and reassured members that if a child or family is in need Children's Services steps in to assist. When September Cabinet took place there was still funding available as we didn't receive the Defra grant until August. Although reference was made in the DEFRA correspondence to spending the bulk of this within 12 weeks Defra also referred to this being the 2020/21 budget allocation and</p>

	<p>acknowledged that funds would no doubt be spent beyond October. There was not at that time, nor since, any suggestion that further such specific grants would follow. On that basis a prudent approach was developed to ensure that support could be provided to those facing financial hardship not just from August through to the end of October, but through the winter period which is likely to be the most difficult time for people facing financial hardship due to Covid. The long-standing Norfolk Assistance Scheme has continued to be in place through half term to provide emergency cash or access to food due to the coronavirus situation. While the Cabinet Member did not talk about the Norfolk Assistance Scheme directly Norfolk County Council has used it to help those families who need it to access support.</p>
7.10	<p>Question from Cllr Colleen Walker</p> <p>In response to my question on 7 September 2020 while the consultation on the future of Holt Hall was ongoing Cllr Fisher said 'There is no intention for Holt Hall and Whitlingham to be closed for good and I'm not quite sure where Cllr Walker has got that interpretation from'. Having therefore ruled it out as an option during the consultation can we assume he misspoke when last week he said Holt Hall would be closing or did he tell me and Norfolk a lie?</p> <p>Response: Cllr John Fisher</p> <p>We are consulting on the cessation of a service at Holt Hall. We are not consulting on closing a building. There has been no decision about the future use of Holt Hall. In the early stages of the process to engage with some stakeholders as well as staff and friends there may have been some confusion. I [Cllr Fisher] apologised for that immediately and I set the record straight at the end of the meeting and through a subsequent press release. Contrary to what the councillor infers I did not tell anyone a lie however she wants to interpret what I said</p>
7.11	<p>Question from Cllr Alexandra Kemp <u>Strategic Infrastructure in West Norfolk</u></p> <p>The Govt recently refused Norfolk County Council's application for funding for the £50 million West Winch Relief Road. How is the County going to secure the funding so that the Relief Road is in fully in place before the development of up to 4,000 homes?</p> <p>Response: Cllr Martin Wilby</p> <p>You will be pleased to hear that Government has not refused an application for funding and active work to continues to try to bring this important scheme to fruition.</p> <p>The Department for Transport (DfT) has not turned down our Strategic Outline Business Case (SOBC) for the West Winch Housing Access Road (WWHAR).</p> <p>To clarify, the importance of the scheme has been recognised by Transport East and prioritised for investment in July 2019. A draft Strategic Outline Business Case (SOBC) was submitted to the Department for Transport (DfT) for the Major Road Network (MRN) fund and the DfT requested that we provide additional information. We have responded to that request and since that time completed work on a full economic appraisal and prepared a revised SOBC. The SOBC indicates that the scheme demonstrates high value for money - due to the nature of the alignment of the route, this is predicated on housing delivery benefits rather than traditional transport benefits.</p> <p>We are currently finalising the updated Strategic Outline Business Case (SOBC) for</p>

	<p>the scheme and intend to submit this to the DfT by the end of the year.</p> <p>The importance of the scheme to Norfolk continues to be recognised in our Norfolk Strategic Infrastructure Development Plan, and we are continuing to work hard to try to secure the funding needed.</p> <p>In the meantime, the numbers of any new housing coming forward before the Access Road is in place will need to be agreed as conditions of planning permissions. This will be based on evidence supplied by the individual applicants and reviewed and considered by both the Borough and County Council development management teams before any recommendations are made to the relevant planning committee.</p>
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Agenda item 10 - NCC Response to Covid-19 – Initial Lessons Learned – Progress Update

Statement by the Chair:

This report looks back at what the Council, its staff and partners have done and have achieved together over recent months. Work which is still going on and which will need to continue given the changed circumstances for the country and county over the last 48 hours.

In some respects it's wrong to single out individuals who have stood out as everyone has done their bit. But Dr Louise Smith our DPH and her team have been outstanding with Dr Smith probably now the most well known face and voice in Norfolk.

As Members of the Council we owe them all our thanks for everything that has been done, and continues to be done, in support of Norfolk's residents, businesses and communities. Communities we know that have responded so well to support themselves and others and who I am sure will step up to do it all over again between now and 2nd December.

The Council's work will also be stepped up again in response to the lockdown to come into effect on Thursday.

The messages we have put out are not to be complacent and complacency has definitely not been the case in Norfolk. Throughout the county we have taken strong local action.

We have seen a big increase in Covid cases nationally. Locally figures have risen too although so far not to the same extent. People are rightly worried and concerned.

What we clearly want to achieve by 2 December is to keep Norfolk's Covid infection rates low so that if the current tiers remain then we can return to a less restrictive position of what is now Tier 1.

The report shows what has been done; it says very firmly keep following the advice and guidelines to keep us all safe and well – hands, face and space; it points out the work done to revitalise the economy; it summarises the work done by service area; and most importantly it shows that we haven't stood still but are planning and being prepared for further Covid peaks – such as those we are now facing.

The Covid pandemic isn't over by a long way. It's important we don't get bogged down with resource intensive enquiries now but follow this path of learning and capturing and progressing that learning as we stand up our response again, working better together for our communities. Appendix A from page 91 sets out the 13 key learning points; what has been done; who is leading the action and response; the timescale and what progress has been made towards it. I'm sure fellow Cabinet members will also wish to comment on this and other aspects of the report. But let me say I am confident that we have been doing the right things; we have the systems, plans and procedures in place; our people are working hard for the whole of Norfolk; and we are learning from what has been done. We are as ready as we can be for the next set of challenges coming our way.

We know that from Thursday the whole country will be facing significant restrictions on how we can go about our lives and how businesses are yet again having to change. And we know that those restrictions have been put in place after detailed consideration of lives versus livelihoods and the potential adverse impact on the NHS.

I'm not going to rehearse all the specific restrictions or places that have to close as they are on our website, news outlets and government information. These are some of the key issues relevant to Norfolk at this stage from 5 November to 2 December:

- Schools, nurseries, colleges and universities will remain open
- Venues providing childcare and support groups will remain open
- Workplaces should stay open where people cannot work from home – for example agriculture, food processing, construction or manufacturing sectors
- Tradespeople can continue to work safely in people's homes
- HWRCs will remain open but the reuse shops will close
- Leisure centres will be closed but outdoor playgrounds will remain open
- Care home visiting restrictions remain in place
- The County Council will be supporting vulnerable people through its normal services, through the provision of food and the Norfolk Assistance Scheme for those in need or experiencing hardship
- People who are extremely clinically vulnerable won't be required to "shield" but are advised to minimise social contact including not going to shops. DHSC & MHCLG will be writing to individuals by the end of the week
- The charities the Norfolk Community Foundation works with will also be there to help vulnerable people
- In addition, district councils have their own individual support mechanisms
- Local authorities have been allocated a total of £1.1bn across the country for discretionary schemes to support businesses
- Remembrance services can continue but not inside places of worship
- Community contact tracing will be increased with a more local focus on test and trace
- The Norfolk Resilience Forum and its structures has been stood up across the county

The overriding message I can give to everyone in Norfolk is to continue to follow the guidelines – frequent hand washing, use face coverings at places that require them and keep your social distance – 2m away. But most importantly the new restrictions are in place for a very good reason - to attempt to contain the spread of the Coronavirus. Please follow them to protect yourself, protect others and protect Norfolk.

I wouldn't want to see anyone in Norfolk flouting the law and tying up police or other resources. The County Council and its partners will continue to help everyone in Norfolk in the best way we possibly can. If you are experiencing hardship in any way, shape or form please contact us **on 0344 800 8020**

Questions requiring written responses from the Cabinet Meeting held on Monday 2 November 2020

	Question and response:
<p>Agenda item 7 Local Member Questions</p> <p>Supplementary Question from Cllr Alexandra Kemp.</p>	<p>Norfolk County Council is committed to Infrastructure First. But West Norfolk Council wants to put in the Application for 1300 new homes before the West Winch Relief Road is in place, when the highway network cannot sustain the additional pressure.</p> <p>Lynn's economy as a Sub-Regional Centre, preferred Norfolk port for the export of manufacturing and recyclables, and tourism gateway, cannot thrive as it should, without a proper standard Major Route Network leading to it from the South.</p> <p>As the Highways Authority, can Norfolk County Council enhance its business case for the Relief Road, recognising that there can be no development before the bypass?</p> <p>Response from the Cabinet Member for Highways, Infrastructure & Transport: The planning application for new homes in the northern portion of the West Winch Growth Area has been submitted by the developer. The Borough Council as the local planning authority will determine the planning application in the normal way. This will include reviewing the Transport Assessment submitted by the applicant in consultation with both NCC as the statutory Highway Authority and Highways England (HE) who are responsible for the A47 trunk road.</p> <p>The amount of any new housing that could come forward before the new road is in place will need to be agreed as conditions of the planning permission. This will be based on evidence supplied by the applicant and reviewed and considered by both the Borough and County Council development management teams before any recommendations are made to the relevant planning committee. It will be for the King's Lynn and West Norfolk planning committee to determine the application and decide upon any recommended conditions.</p> <p>Borough and County officers are continuing to work hard to try to secure the funding needed for the scheme and the business case will make the strongest possible arguments for the new road. However, we cannot simply state that none of the houses can come forward before the road is open. The due process puts the onus on the developer to provide the evidence and for the local planning authority to decide accordingly.</p>
<p>Written supplementary question from Cllr Colleen Walker</p>	<p>In cabinet you said 'There is no intention for Holt Hall and Whitlingham to be closed for good'. Are you now suggesting that Norfolk should have been able to distinguish between closing services and closing Holt Hall from that when you made no such distinction in any media appearances you made?</p> <p>Response from the Cabinet Member for Children's Services: In my response to questions for cabinet yesterday I answered this point. I had given additional clarity at the end of the cabinet meeting in September, followed by a written statement.</p>

<p>Written supplementary question from Cllr Mike Smith-Clare</p>	<p>Question and response:</p> <p>The Leaders answer does not explain why money known to be available was not used to feed hungry Norfolk children over half term. Nor does it explain why the cabinet member said there were no resources when there obviously were. Why weren't hungry children in Norfolk helped by the county council during half term when they had money to do so?</p> <p>Response from the Leader and Cabinet Member for Strategy & Governance:</p> <p>The long standing Norfolk Assistance Scheme continued to be in place through half term to provide emergency cash or access to food due to the coronavirus situation, as well as other essentials such as paying Covid-induced rent arrears to prevent homelessness.</p>
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Cabinet

Item No: 8

Decision making report title:	Business Rates Pool – Annual Report 2019-20 and Pooling Decision 2021-22
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director:	Simon George, Executive Director of Finance and Commercial Services
Is this a key decision?	Yes

Introduction from Cabinet Member

The Norfolk Business Rates Pool has allowed local authorities in Norfolk to retain the levy on business rates growth that would otherwise have been paid over to Central Government.

The pooling agreement states that after retention of a volatility fund and any “safety-net” costs, retained income will be used through a Joint Investment Fund to support economic development projects which will help with the delivery of Norfolk’s priorities. Projects are agreed by the Norfolk Leaders.

Norfolk local authorities were also successful in a bid to expand the 50% business rates retention pool into business rate pilot status in order to retain 75% of business rates in Norfolk in 2019-20.

The 2018-19 pool outturn remained provisional due to delays with the external audit of local authority (district council) accounts. As a result, it has not been possible to produce a 2018-19 annual report until now. This report therefore provides an overview of the projects agreed to be funded from the 2018-19 Pool and the 2019-20 Pilot, as well as providing an update on the potential for a 2021-22 Pool.

Executive Summary

The Norfolk Business Rates pool agreement states that the Pool Board will produce an annual report. Accordingly, this report provides a summary of the financial benefits of the Business Rates Pool, and the decisions taken to date in respect of allocating the pool’s resources to economic development projects in Norfolk.

The report also provides details of the work which has been undertaken with Norfolk Leaders in submitting an application to the Ministry of Housing, Communities and Local Government (MHCLG) for a Norfolk Business Rates Pool in 2021-22

Recommendations

- 1. Note the performance of the Norfolk Business Rates Pool and endorse the decisions taken by Norfolk Leaders in respect of:**
 - **Allocation of the 2018-19 Pool resources; and**
 - **Allocation of the 2019-20 Pilot resources.**
- 2. Note the update on the application for a 2021-22 Norfolk Business Rates Pool, considering the increased risks of pooling in 2021-22 highlighted in section 5 and the potential need to dissolve the Norfolk Business Rates Pool, and delegate to the Executive Director of Finance and Commercial Services in consultation with the Leader and Cabinet Member for Finance to confirm (or otherwise) the County Council's participation, taking into account the latest available forecasts for pool income and the level of financial risk.**

1. Background

1.1. The Norfolk Business Rates Pool consists of eight authorities:

- Breckland District Council
- Broadland District Council
- Borough Council of King's Lynn and West Norfolk
- Great Yarmouth Borough Council
- Norfolk County Council (Lead Authority)
- North Norfolk District Council
- Norwich City Council
- South Norfolk District Council

1.2. The Pool enables Norfolk Authorities to retain revenue from additional business rates growth by avoiding a levy on growth which would otherwise be payable to Central Government. The value of rates retained is dependent on a number of factors including the actual business rates collected and the member authorities' individual financial positions, and as such the amount available in the Pool varies from year to year.

1.3. Authorities within the Norfolk Business Rates Pool enjoy the benefits of retaining the saved levy but are also exposed to more risk as authorities within the Pool forgo any individual safety-net payments from Government should their income drop below a certain level.

1.4. The business rates outturn position as reported in NNDR3 returns to Government has demonstrated that Norfolk authorities have made appropriate decisions on Pool membership for 2014-15, 2015-16, 2016-17, 2017-18, 2018-19 and 2019-20. Growth in business rates has allowed the Pool to retain additional business rates in Norfolk of:

- £2.146m for 2014-15;
- £2.449m for 2015-16;
- £3.810m for 2016-17;

- £4.521m for 2017-18;
- £7.475m for 2018-19; and
- £7.897m for 2019-20.

- 1.5. The Pool Agreement requires that the Pool holds a volatility fund to manage risks against business rates appeals, applications for relief, and the natural volatility of business rates in future years. The remainder of the saved levy is used to support economic development projects in Norfolk with Norfolk Leaders (acting as Pool Board) approving the allocation of funds to projects.

2. 2018-19 Pool outturn

- 2.1. NNDR3 business rate outturn returns show the saved levy for 2018-19 to be £7.475m.

Table 1: 2018-19 Pool Outturn

Local Authority	Outturn saved levy 2018-19
Breckland District Council	£0.651m
Broadland District Council	£0.588m
Great Yarmouth Borough Council	£2.116m
Borough Council of King's Lynn and West Norfolk	£1.408m
North Norfolk District Council	£0.938m
Norwich City Council	£0.828m
South Norfolk District Council	£0.925m
Pool total	£7.475m

- 2.2. The Norfolk Business Rates Pool holds a £1.000m business rates volatility fund to manage the natural volatility of the business rates system and potentially fund safety-net payments in the business rates pool. The level of this volatility fund is reviewed on an annual basis, but other than this fund, the remainder of the saved levy will be spent on economic development projects in Norfolk. It was agreed that the level of the volatility fund should remain at £1.000m throughout 2019-20.
- 2.3. Norfolk Leaders' Group, carrying out their function as the Norfolk Pool Board, approved the spend of £7.137m from the 2018-19 saved levy to 18 economic development projects. The list of projects is attached at Appendix 1.
- 2.4. There was a delay in the external audit of Great Yarmouth Borough Council's 2018-19 Financial Statements. External audit ultimately required Great Yarmouth Borough Council to amend their business rate outturn position, releasing the provision for Great Yarmouth power station business rates in the 2018-19 accounts. This resulted in a revised outturn position and increased saved levy from Great Yarmouth Borough Council. Use of additional pool funds will be agreed at a later meeting of the Norfolk Leaders' Group.

3. 2019-20 Pilot outturn

- 3.1. NNDR3 business rate outturn returns show the 2019-20 Pilot generated £7.897m to fund economic development projects in Norfolk.

Table 2: 2019-20 Pilot Economic Development Funds

Local Authority	Outturn Economic Development Fund
Breckland District Council	£0.528m
Broadland District Council	£0.452m
Great Yarmouth Borough Council	-£0.361m
Borough Council of King's Lynn and West Norfolk	£0.979m
Norfolk County Council	£4.052m
North Norfolk District Council	£1.081m
Norwich City Council	£0.281m
South Norfolk District Council	£0.885m
Pool total	£7.897m

- 3.2. In addition to the £7.897m generated for economic development projects, the 2019-20 Pilot was successful in retaining £10.131m business rates in Norfolk to support local authority budgets.
- 3.3. Great Yarmouth Borough Council was in a safety-net position at 2019-20 outturn. A safety-net payment of £0.361m was required as set out in the terms of the pilot governance agreement. This safety-net payment was provided from the £1.000m set aside for the Local Volatility Fund, with the Fund being reinstated to the £1.000m level from the saved levy funds from other pool members. The level of the volatility fund therefore remains at £1.000m in 2020-21.
- 3.4. Norfolk Leaders' Group approved the spend of £1.790m from 2019-20 Pilot funds to two economic development projects. At their meeting of 12 June, Norfolk Leaders' Group then also agreed to create the Norfolk Strategic Fund¹ with £3.700m of 2019-20 Business Rates Pilot funding, £1.000m contribution from the County Council, £0.150m contributions from each of the district councils, and £1.000m contribution from the Local Enterprise Partnership (LEP). The two economic development projects to be funded by the 2019-20 Pilot and details of the allocation of spend from the Norfolk Strategic Fund are attached at Appendix 2.
- 3.5. The Norfolk Strategic Fund was set up in response to the need to provide intervention for the Norfolk economy as a result of the COVID-19 pandemic. The objectives of the fund will broadly be to support identified strategic infrastructure projects within the

¹ <https://www.norfolk.gov.uk/news/2020/07/councils-launch-major-tourism-sector-support-package>

Norfolk Growth Prospectus to progress, and to aid the economic recovery of Norfolk post the COVID-19 pandemic.

4. 2020-21 Pool Funds forecasts

- 4.1. The Norfolk Business Rates Pool is continuing in 2020-21 as reported to Cabinet at its meeting 13 January 2020. NNDR1 returns submitted in January 2020 continued to forecast Norfolk local authority business rates to be in a growth position above baseline levels.
- 4.2. Government has guaranteed a number of methods of support for businesses including emergency / COVID-19 related reliefs on business rates in 2020-21. It is therefore expected that there will continue to be a benefit to pooling in 2020-21.
- 4.3. The 2020-21 Pool outturn position will not be known until 2020-21 NNDR3 returns are completed in 2021-22. No decisions on the use of any available 2020-21 Pool funds will be made until 2021-22.

5. 2021-22 potential Pool

- 5.1. The Government (MHCLG) issued an invitation to form business rates pools for 2021-22 on 16 September 2020.
- 5.2. The latest forecast shows a potential gain from pooling in 2021-22 of approximately £3.8m. Districts have highlighted significant uncertainty and / or limited confidence in the forecasts at this stage. The majority of these forecasts are based on an assumption that the Government's emergency / COVID-19 related reliefs will be continued in 2021-22 and this has not yet been confirmed by Government. The provided forecasts also suggest that if the current reliefs are withdrawn, a number of councils would forecast to drop into a safety-net position.
- 5.3. The financial risks of pooling in 2021-22 are therefore higher than they have been when pooling proposals were submitted in previous years, whilst the forecast gain is lower. The largest identified financial risks to the pool are:
 - Risks to all local authorities' business rates income are significantly higher due to the impact of COVID-19 and the level of uncertainty around continued Government support for businesses. This increases the risk that authorities will move to a safety-net position requiring pool funding to support them and reducing the benefit of any gains achieved.
 - There has still been no resolution of the NHS Trusts legal appeal on application for business rates relief. In September 2019, the impact of a successful challenge by the NHS Trusts for Norfolk was estimated to be in the region of £40m if settled in 2020-21, of which £20m would be borne locally. There would also be an ongoing impact in future years of a successful challenge, permanently reducing the rates take in Norfolk by about £4-5m. These figures

reflect 2020-21 forecasts – the potential costs will increase each year as the backdated amount increases and the annual rates bill is increased.

- Government may take the view that authorities are entering into 2021-22 pooling from an “informed” position about COVID-19 related risks to business rates and therefore may be less prepared to support pools than they might be in 2020-21.

- 5.4. The pooling invitation for 2021-22 is unchanged from that in previous years, meaning that the Government would not support the 2021-22 Pool until or unless the Pool as a whole fell below the safety-net position. The Pool would have to absorb significant reductions in business rates income before Government support would be provided.
- 5.5. Significant levels of losses from the NHS Trust appeal and / or significant reductions in rates income due to the impact of COVID-19 would have to be absorbed from Norfolk local authority retained rates, and the gain of pooling overall would be insufficient to address these losses. In a worst-case scenario, there is a potential risk that all Norfolk authorities see their business rates income reduced to at or near the safety-net level even where individual authorities have experienced some rates growth. Changes to the 2021-22 forecast which could be made at the time of completing the January 2021 NNDR1 may have implications for the 2021-22 revenue budgets of all Pool members, in the event that one or more member(s) of the Pool move into a safety-net position.
- 5.6. Norfolk Leaders’ Group discussed pooling options for 2021-22 and associated risks in detail at their meeting of 9 October 2020 and agreed the following response to the MHCLG invitation to pool 2021-22, which was sent on 23 October 2020:

Norfolk local authorities confirm the Norfolk pool’s **provisional** intention to continue in 2021-22 on the terms set out below. The 2021-22 pool contains the same membership as the 2020-21 pool.

Norfolk Local Authorities:

- Consider that there are materially different risks in relation to Business Rates income and, as a result, any decisions about the opportunity to pool compared to previous years, principally due to the impact of the COVID-19 pandemic. In this context, early announcements about any changes in policy or business rates support in 2021-22 will be critical to inform local decision-making.
- Strongly encourage MHCLG to consider offering a guarantee, no detriment clause, or similar arrangement to mitigate against the potential impact of COVID-19 on 2021-22 pooling decisions. This should include protection against the impact of requests for relief due to a material change in circumstance linked to the impact of the pandemic, so that they are not allowed to impact on the Business Rates Retention System and 2021-22 pooling decisions.
- Consider that the ongoing NHS Trust appeal remains an area of significant risk, which could result in a significant reduction in Norfolk rates income which would eliminate growth achieved in the pool area.

- Are very supportive of the principle of pooling business rates and have used the additional funds retained locally to date to fund a Joint Investment Fund to support economic development projects delivering economic growth in Norfolk, and in the current year to support the local economic response to COVID-19.
- Intend in principle to continue pooling in 2021-22, but wish to highlight to MHCLG that in light of the various uncertainties set out here, they will regretfully need to reserve the right to revoke the pool subject to preparing an updated forecast reflecting the latest information which may be available at the time of the Provisional Settlement (assumed to be published) in December 2020, as provided for in Part 9 of Schedule 7B to the Local Government Act 1988.
- Recognise that withdrawing from a 2021-22 pool late in the process in December 2020/January 2021 would potentially be problematic for MHCLG but consider that if Government cannot offer assurances around pool risks that cannot be mitigated locally, then local authorities may have no choice but to revoke the decision to pool.

5.7. The Local Government Finance Act 1988 confirms that members of a pool have a period of 28 days from the date of publication of the provisional local government finance settlement to make a request to revoke a pool – in such an event the only option would be to dissolve the pool entirely, not alter membership.

5.8. The latest available forecast and confirmation of pooling decision will be presented to Norfolk Leaders' Group at their meeting of 11 December 2020 for a final decision. All local authorities in the Pool will need to review their own position, taking into account the levels of risk and potential gain, and may need to consider withdrawing from 2021-22 pooling and dissolving the pool at that point.

6. Financial Implications

6.1. The formation of a Norfolk Business Rates Pool has proved worthwhile for Norfolk local authorities in 2014-15, 2015-16, 2016-17, 2017-18, 2018-19 and 2019-20 retaining additional funds of £28.298m in Norfolk for economic development projects.

6.2. Pool Funds are held on a partnership cost centre by Norfolk County Council. There are no budget implications in 2020-21 for the County Council or any of the Pool members.

6.3. The detailed budget implications for 2021-22 of forming a Norfolk Business Rates Pool will be known following the Provisional Local Government Finance Settlement in December 2020 and completion of 2021-22 NNDR1 returns by Districts in January 2021. Where appropriate, these will be reflected in the County Council's 2021-22 Budget planning.

6.4. Financial implications and potentially significant risks are set out throughout this paper but are extremely difficult to predict at this point for the reasons discussed.

7. Risk Implications/Assessment

- 7.1. The County Council currently estimates that it is exposed to a risk of approximately £20m from a decline in rates to the safety net level and that this risk is higher within a pool than if there were no Norfolk pool. The County Council will therefore need to carefully consider the forecasts provided in December in order to form a view about the level of risk and reward represented by pooling. The County Council may have to exercise the option not to participate in pooling for 2021-22 following the announcement of the provisional settlement if the risk / reward is not considered appropriate. In such an event the 2021-22 pool would not be viable. It is proposed that the final decision on 2021-22 pooling is delegated to the Executive Director of Finance and Commercial Services in consultation with the Leader and Cabinet Member for Finance.
- 7.2. Risks have been set out throughout the paper.

8. Recommendations

- 8.1. Cabinet considers the recommendations as set out in the Executive Summary.

9. Background Papers

- 9.1. Background papers relevant to the Norfolk Business Rates Pool and Pilot are set out below.

[Norfolk Business Rates Pool Annual Report 2015-16, Policy and Resources Committee, 31 October 2016, Item 13](#)

[Norfolk Business Rates pool annual report 2016-17 and development of 2018-19 Business Rates pilot bid, Policy and Resources Committee, 30 October 2017, Item 11](#)

[Norfolk Business Rates pool annual report 2017-18 and 2019-20 Business Rates pilot bid, Policy and Resources Committee, 26 November 2018, Item 13](#)

[Norfolk County Council Revenue Budget 2020-21 and Medium Term Financial Strategy 2020-24, Cabinet, 13 January 2020, Item 13](#)

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Appendix 1: Funding committed from the 2018-19 Business Rates Pool

Authority	Project	BRP Funding
NCC	King's Lynn Highway Improvement	£0.051m
NCC	Thetford A134 Link	£0.026m
BCKLDC	Breckland Town Plans	£0.048m
NCC	Norfolk Film Assets	£0.026m
BRDLDC	North Rackheath	£0.438m
GYBC	Great Yarmouth Seafront Strategic Regeneration Project - Leisure Centre	£0.500m
GYBC	Great Yarmouth Seafront Strategic Regeneration Project - Wintergardens	£0.500m
NCC	Attleborough Link Road	£0.050m
NCC	A17 Pullover Roundabout Improvement	£0.047m
BCKLDC & NCC	Thetford Enterprise Park Investment Feasibility Study	£0.040m
NCC	West Winch Housing Road Access	£1.200m
NCC	Long Stratton Bypass Scheme Development	£0.051m
NCC	East Norwich Link	£0.026m
NNDC	Fakenham Urban Extension Enabling Roundabout (A148)	£0.500m
NCC	North Walsham Transport Evidence	£0.054m
SNDC	Wymondham – Norwich A11 Tech Corridor Green Infrastructure project	£0.056m
Norwich CC	Norwich Digital Hub	£0.315m
NCC	Insight Apprentice	£0.207m
NCC	Developing Skills Provision – Agri-Food Tech Sector	£0.060m
BRDLDC	North-West Woodlands Country Park	£0.639m
GYBC	South Denes Energy Park: Future Vision	£0.055m
NCC	Youth Pledge for Employers	£0.160m
Norwich CC	Mile Cross Depot Phase 2	£0.180m
NCC	Burlingham Country Park – A Masterplan	£0.030m
KLBC	Morston Parkway Bridge & Road Construction Phase 1	£1.878m
		£7.137m

Appendix 2: Funding committed from the 2019-20 Business Rates Pilot Funds

Authority	Project	Funding
NCC	Colney Lane Roundabout	£0.133m
NCC	Norwich Western Link	£1.657m
		£1.790m
	Contribution to Norfolk Strategic Fund	£3.700m
		£5.490m
	Norfolk Strategic Fund spend	
BCKLDC	Tourism Sector Support Package	£0.141m
BRDLDC	Tourism Sector Support Package	£0.115m
GYBC	Tourism Sector Support Package	£0.410m
KLBC	Tourism Sector Support Package	£0.361m
NNDC	Tourism Sector Support Package	£0.330m
Norwich CC	Tourism Sector Support Package	£0.494m
SNDC	Tourism Sector Support Package	£0.148m
NCC	Tourism Sector Support Package	£0.225m
BCKLDC	District allocation	£0.429m
BRDLDC	District allocation	£0.429m
GYBC	District allocation	£0.429m
KLBC	District allocation	£0.429m
NNDC	District allocation	£0.429m
Norwich CC	District allocation	£0.429m
SNDC	District allocation	£0.429m
NCC & LEP	County and LEP allocation	£1.500m

Report to Cabinet

Item No. 9

Report title	Finance Monitoring Report 2020-21 P7: October 2020
Date of meeting	7 December 2020
Responsible Cabinet Member	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	Yes (capital expenditure funding)

Introduction from Cabinet Member

This report gives a summary of the forecast financial position for the 2020-21 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2021, together with related financial information.

Executive Summary

Subject to mitigating actions, the forecast revenue outturn for 2020-21 at the end of period 7 (October) was an overspend of **£1.256m** on a net budget of £430.421m. General Balances are £19.7m and service reserves and provisions are forecast to total **£83.3m**.

Covid-19 financial pressures are taken into account in the forecasts in this report. Details of these pressures and progress on achieving saving are addressed in detail in this report.

Recommendations

1. To approve the proposed transfers to an Adult Social Services business risk reserve, Children's Services business risk reserve and a corporate Covid risk reserve as set out in paragraphs 2.8, 2.28 and 2.42 of Appendix 1.
2. To approve the allocation of a maximum of £2.645m from the Contain Outbreak Management Fund total of £7.262m to District Councils to support delivery of the objectives of the grant, as set out in paragraph 6.1 of Appendix 1 and noting that full details of the planned use of funding will be reported to Cabinet in January.
3. To recommend to County Council additional prudential borrowing of £0.030m to be available for the development of software to support the Card Payments programme, as set out in paragraph 4.1 of Capital Appendix 2.
4. **Exempt item:** To approve the allocation of loan funding from within the existing capital programme to Hethel Innovation Limited to purchase additional land as set out in exempt appendix 3, and to delegate the agreement of loan terms to the Executive Director of Finance and Commercial Services in consultation with the Cabinet Member for Finance.

5. Note the period 7 general fund forecast revenue overspend of **£1.256m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
6. Note the COVID-19 grant funding received of **£96.901m**, the proposed use of that funding, and the related expenditure pressures resulting in net Covid-19 pressure of **£11.818m**.
7. Note the period 7 forecast shortfall in savings of **£17.685m**, noting also that Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;
8. Note the forecast General Balances at 31 March 2021 of £19.706m, before taking into account any over/under spends;
9. Note the expenditure and funding of the revised current and future 2020-23 capital programmes.

1. Background and Purpose

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2020-21, to assist members to maintain an overview of the overall financial position of the Council including the financial implications of the Covid-19 pandemic.

2. Proposals

- 2.1. Having set revenue and capital budgets at the start of the financial year, the Council needs to ensure service delivery within allocated and available resources, which in turn underpins the financial stability of the Council. Consequently, progress is regularly monitored and corrective action taken when required.

3. Impact of the Proposal

- 3.1. The impact of this report is primarily to demonstrate where the Council is anticipating financial pressures not forecast at the time of budget setting, primarily relating to the implications of the Covid-19 pandemic, together with a number of other key financial measures.
- 3.2. The capital expenditure proposals will ensure sufficient capital funding is available for these newly identified purposes, without affecting the remainder of the capital programme or the current year's revenue budget.
- 3.3. The recommendation to approve transfers to reserves will mean that the Council's finances remain resilient and can withstand future cost pressures.
- 3.4. Allocating a proportion of the Contain Outbreak Management Fund will support county-wide delivery of the objectives of the grant.
- 3.5. Investment in payment card processing systems will enable the authority to receive income from members of the public which wish to pay by debit or credit card.

- 3.6. Loan funding will enable Hethel Innovation Limited to acquire development land to enable it to grow, together with the businesses it supports.

4. Evidence and Reasons for Decision

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

Appendix 1 summarises the revenue outturn position, including:

- Forecast over and under spends
- Covid-19 pressures and associated grant income
- Changes to the approved budget
- Reserves
- Savings
- Treasury management
- Payment performance and debt recovery.

Appendix 2 summarises the capital outturn position, and includes:

- Current and future capital programmes
- Capital programme funding
- Income from property sales and other capital receipts.

5. Alternative Options

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

6. Financial Implications

- 6.1. As stated above, the forecast revenue outturn for 2020-21 at the end of P7 was an overspend of **£1.256m** linked to a forecast shortfall in savings of **£17.685m**. Forecast service reserves and provisions are forecast to total **£83.3m**, and general balances of **£19.7m**. Grant funding of **£96.901m** has been received to off-set additional expenditure occurred as a result of the COVID-19 pandemic, resulting in net Covid-19 pressure of **£11.818m**.

Within the forecast overspend are significant financial pressures identified in Adult Social Services, Community and Environmental Services, and Finance, mainly relating to Covid-19 related pressures, the majority of which have been offset by additional grant funding received.

Within Adult Social Services, the areas of highest pressures, the main area of forecast overspend is on Older People and Learning Disability services within the Purchase of Care budget. A full narrative is given in Appendix 1.

The Council's capital programme is based on schemes approved by County Council on 17 February 2020, previously approved schemes brought forward plus schemes subsequently approved.

7. Resource Implications

- 7.1. None, apart from financial information set out in these papers.

8. Other Implications

8.1. Legal Implications:

In order to fulfil obligations placed on chief finance officers by section 114 of the Local Government Finance Act 1988, the Executive Director of Finance and Commercial Services continually monitors financial forecasts and outcomes to ensure resources (including sums borrowed) are available to meet annual expenditure.

Although the Council is forecasting an overspend for the current financial year, decisions taken by Cabinet as well as actions taken by Chief Officers to mitigate the position over the course of the year will have a significant impact on that position, as will any additional government funding. As context, at 31 March 2020 the Council's general fund was over £19.7m with earmarked reserves (excluding provisions and LMS balances) over £77m.

8.2. Human Rights implications

None identified.

8.3. Equality Impact Assessment

In setting the 2020-21 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published on page 450 of the 13 January 2020 Cabinet agenda as "Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)".

The Council is maintaining a dynamic [COVID-19 equality impact assessment](#) to inform decision making during the pandemic.

The Council's net revenue budget is unchanged at this point in the financial year and there are no additional equality and diversity implications arising out of this report.

9. Risk Implications/Assessment

- 9.1. The Council's Corporate Risk Register provides a full description of corporate risks, including corporate level financial risks, mitigating actions and the progress made in managing the level of risk. A majority of risks, if not managed, could have significant financial consequences such as failing to generate income or to realise savings.

Unlike many other parts of the public sector such as the NHS, local authorities are required by law to set a balanced budget. As part of their duties, the Executive Director of Finance and Commercial Services has a responsibility to report to members if it appears to him that the authority will not have sufficient resources to finance its expenditure for the financial year. While not underestimating the severity of the current crisis and its impact on the Council's finances, the Executive Director of Finance and Commercial Services believes the current year's forecast gap can be closed through mitigating actions and the possibility of additional central government support for the sector. However, there will be a continuing impact on the medium-term financial strategy and updates are being reported to Cabinet.

10. Select Committee comments

10.1. None

11. Recommendation

11.1. Recommendations are set out in the introduction to this report.

12. Background Papers

12.1. [Equality & rural impact assessment report](#) (page 450)
[COVID-19 equality impact assessment](#)
[Covid-19 financial implications for Norfolk County Council report](#) (page 152)

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Appendix 1: 2020-21 Revenue Finance Monitoring Report Month 7

Report by the Executive Director of Finance and Commercial Services

1 Introduction

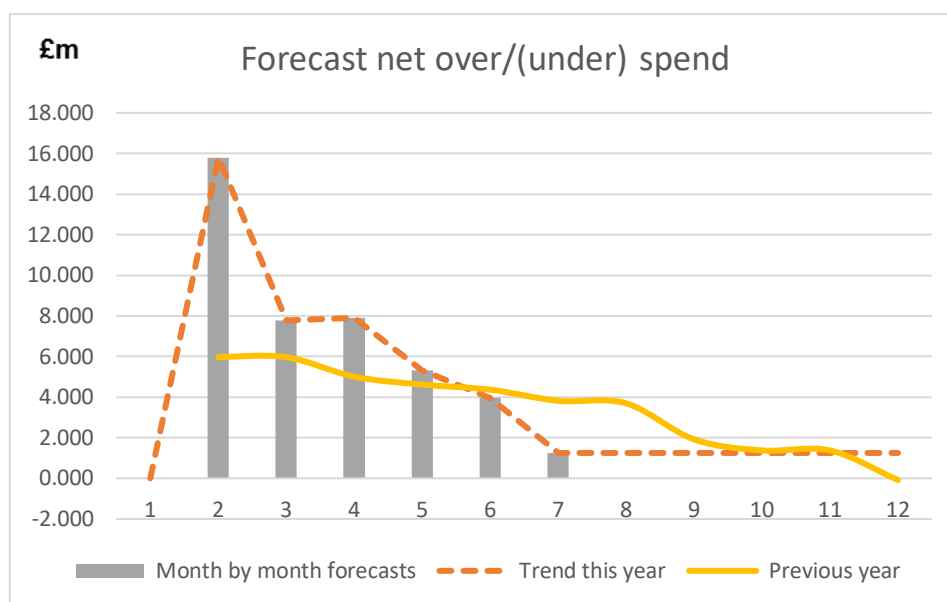
1.1 This report gives details of:

- the P7 monitoring position for the 2020-21 Revenue Budget
- additional financial information relating to the Covid-19 pandemic
- forecast General Balances and Reserves at 31 March 2021 and
- other key information relating to the overall financial position of the Council.

2 Revenue outturn – over/underspends

2.1 **At the end of October 2020** an **overspend of £1.256m** is forecast on a net budget of £430.421m

Chart 1: forecast /actual revenue outturn 2020-21, month by month trend:



2.2 Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. They have been charged with reviewing all their cost centres to ensure that, where an overspend is identified, action is taken to ensure that a balanced budget will be achieved over the course of the year.

- 2.3 Details of all under and over spends for each service are shown in detail in Revenue Annex 1 to this report, and are summarised in the following table:

Table 1: 2020-21 forecast (under)/over spends by service

Service	Revised Budget	Net (under)/over spend	%	RAG
	£m	£m		
Adult Social Services	255.793	1.907	0.7%	A
Children's Services	196.311	0	0.0%	G
Community and Environmental Services	161.799	0.478	0.3%	A
Strategy and Governance	9.362	0.029	0.3%	G
Finance and Commercial Services	32.671	0.978	3.0%	A
Finance General	-225.515	-2.136	0.9%	G
Totals	430.421	1.256	0.3%	R

Notes:

- 1) the RAG ratings are subjective and take into account risk and both the relative (%) and absolute (£m) impact of overspends.

- 2.4 **Children's Services:** The forecast outturn as at Period 7 (end of October 2020) remains at a break-even position, considering the immediate impact of Covid-19, the allocated Covid-19 grants and the re-started transformation programme. The department has undertaken a review of the financial impact of Covid-19 in this financial year as well as looking ahead to the risks for the next financial year.
- 2.5 The significant pressures previously identified remain in the areas of Learning & Inclusion (primarily lost trading income and home to school / college transport) and Social Care (primarily delays in savings delivery, approximately 6 months delay to the transformation programme, and support for the market). These have been off-set by government grants allocated to the service.
- 2.6 The business planning for this financial year had included significant investment in additional staffing capacity through the transformation programme and, in particular, the social care operating model. Significant progress has been made to implement the new operating model despite the pandemic, but there has been delays in recruitment whilst attention was focussed upon both the immediate and ongoing response to the pandemic. This has led to a one-off staffing underspend in this financial year.
- 2.7 Alongside this one-off impact upon staffing, the department has identified some direct one-off pandemic related expenditure that is likely to continue into the new financial year for which there is no additional government funding identified, for example increased support to schools and education providers, additional cost of provision for children and families due to ensure provision is covid secure, market pressures within social care and transport due to the uncertainty of the current trading conditions, and uncertainty regarding the impact of further peaks in infection upon transformation.
- 2.8 The resultant position is that through the review the department has identified £2m to transfer into a business risk reserve from one-off impacts in this financial year where investment has been delayed and where covid impacts cross the financial years.
- 2.9 Any surge, or the impact of the second peak that we are now seeing as a nation, could lead to unpredictable demand for social care support and placements, and could disrupt current, stable placements. The department has undertaken modelling

of the potential surge that may be seen now that schools have returned to full-time, primarily classroom-based teaching, considering various patterns of demand and impact upon services. The department has continued to see a significant rise in referrals both to Family Support teams (through the Childrens' Advice and Duty Service) and to the Inclusion Helpline for schools compared to the same time period last year. There has also been a significant increase in the number of parents electing to home educate, which brings additional duties to the authority. It is too early to know how these trends will continue and how they may translate into increased demand on Social Work and, potentially, placements in the medium-to-longer-term. Therefore, this risk will continue to be kept under close review.

- 2.10 It should be noted that although this review has been undertaken, there remains a significant degree of uncertainty in relation to expenditure and income for Children's Services as a result of Covid-19. Given the current national context, there continues to be significant influences beyond the Council's control that continue to make delivery of the transformation programme (and, therefore, savings) difficult in light of the ongoing recovery work, ongoing Covid-related restrictions, potential surge in demand and further waves. Again, this risk will continue to be kept under close review.
- 2.11 **Dedicated Schools Grant:** The outturn forecast is £11.3m overspend on the High Needs Block, with a small underspend of (£0.2m) on the Schools Block and all other blocks forecast to break-even. Therefore, the net forecast outturn as at Period 7 (end of October 2020) is £11.1m.
- 2.12 As the Autumn term has progressed, the information regarding changes to school placements has become clearer and the forecast picks up all known changes to school placements. It should be borne in mind that the forecast is based upon the best information available at the time of preparation and, given the uncertainty surrounding expectations upon schools and education providers as a result of Covid-19, it will be subject to review as the situation, and year, progresses.
- 2.13 In comparison to this forecast, 2019-20 saw an overspend of £10.307m within the High Needs Block and this forecast represents an increase in expenditure year-on-year compared to 2019-20 of nearly £8m, primarily due to demographic growth and increasing needs seen nationwide, and the full-year effects of last year's pressures, partially offset by in-year savings delivered due to the SEND & AP Transformation Programme. This in-year overspend will be combined with the cumulative overspend of £19.703m brought forward from prior years. This forecast is in line with the latest reset of the DSG Recovery Plan for Norfolk and considers:
- demographic growth based upon modelling;
 - the significant pressure seen in 2019-20 for Section 19 related support and post-16 support;
 - ongoing pressure for special school places (2019-20 included a significant increase (approx. £2-2.5m) in independent school expenditure in the last third of the year);
 - presumed continued reduction in expenditure for Alternative Provision following significant work to reduce exclusions alongside schools;
 - savings based upon the special school and SRB places opening during the financial year reducing the demand upon independent provision;
 - specific school-based posts to support inclusion within mainstream schools and to reduce demand for specialist placements.

- 2.14 Whilst there was a HNB increase year-on-year of funding allocation of £11.3m, approximately £5.4m was assumed prior to the Autumn government announcements regarding 2020-21 HNB funding (both 1% growth assumption previously seen in funding allocations alongside ongoing transfer from the Schools Block in line with the 2019-20 that would have required approval from the Secretary of State). Given the government funding announcements in the Autumn, the funding increase above our planning expectations was just under £5.9m.
- 2.15 Significant work is being undertaken through the Special Educational Needs and Disabilities (SEND) and Alternative Provision (AP) part of the Transformation programme both to ensure that the right specialist provision is in the right place to meet needs, whilst also progressing work to transform how the whole system supports additional needs within mainstream provision.
- 2.16 Learning and Inclusion colleagues have continued to actively support the Covid-19 response from the Council, with their focus upon supporting the schools of Norfolk (mainstream and specialist) to remain open, as appropriate, in line with government expectations and Public Health advice, as well as to support schools to support pupils to adapt to the changed expectations upon them. This work will continue for the foreseeable future to support schools to continue to adapt as the education landscape changes in response to the latest government announcements. However, focus has also returned to the transformation programme work, wherever possible.
- 2.17 Construction work was paused during the first national lockdown, affecting builds in relation to expanding Specialist Resource Base provision and additional special school places. This work has restarted, and the forecast is based upon the current anticipation that the additional places will be open in line with pre-Covid-19 expectations.
- 2.18 Whilst all schools in Norfolk have returned in line with Government expectations, there remains considerable uncertainty as to how school budgets have been affected by Covid-19 in the medium term and, in the short-term, there is significant variances between schools with regards to the financial impact. Therefore, there remains a risk that if schools have seen a significant impact this could cause further pressure in terms of schools being unable to meet the needs of children. This could result in increases in exclusion, higher referral rates for Education, Health and Care Plans, higher requests for HNB support into mainstream or special schools.
- 2.19 At the end of the summer term, the government announced additional, DSG funding for 2021-22 onwards. Estimates of the impact for Norfolk have been produced and shared with schools as part of the funding consultation undertaken with all schools and Norfolk Schools Forum in the October and November 2020.
- 2.20 The estimated impact of the additional DSG funding announced for 2021-22 for the HNB has been built into the reset DSG Recovery Plan for Norfolk. The plan has recently been reset to reflect the latest information available with respect to demand, funding and the SEND & AP Transformation Programme, and has been shared with Norfolk Schools Forum and the Department for Education. The plan will be reviewed on a regular basis to reflect amendments to assumptions and to refine the financial modelling. The DSG 2021-22 budget will be brought to Cabinet in January 2021 for decision, which will include the plan agreed with the DfE.
- 2.21 **Adult Social Services:** The forecast outturn as at Period 7 (end of October 2020) was a net overspend of £1.907m after utilising £26.052m of Council Covid-19 grant funding and an estimated £27m of funding from the NHS to support hospital

discharge arrangements. The forecast also includes a proposed transfer of £2m to the Adult Social Services Business Risk Reserve to mitigate some of the continuing financial risks arising from the pandemic, affecting both the current forecast position and additional financial pressures for next financial year. These risks have been highlighted to Cabinet in previous reports and are detailed below. In addition, the service will receive £22.829m of infection control funding during the year, which is expected to be allocated to the Norfolk care market and used in full to enable care providers to action infection control measures in line with government guidance.

- 2.22 The forecast overspend has reduced by £2.993m since our Period 6 position.
- 2.23 As reported in previous monitoring reports, the forecast has been challenging this year, due to changing legislation affecting the number and breadth of people that we are supporting; the funding routes requiring monthly reclaim of costs; the price of care during the pandemic and the difficulty delivering a significant proportion of planned savings. The three key financial risks are described in more detail below.
- 2.24 Hospital discharge – in overall terms we are seeing an increasing number of people being supported with adult social care by the Council. This is predominately due to the hospital discharge arrangements during the pandemic, which required self-funders and people who would normally have received continuing health care to be supported through council held contracts for discharges before 1 September and for up to six week for discharges after this date. The additional costs of this have been funded via monthly claims to NHS England and Improvement (NHSEI), however, from 1 September 2020, adult social care teams and the Norfolk and Waveney Clinical Commissioning Group are in the process of reinstating normal funding arrangements for people discharged before September. We cannot accurately know how many people will remain with NCC funded contracts, as it depends on factors such as continuing healthcare assessments. However, we are estimating we will have a volume of service users slightly above the number at the start of the year. This mainly impacts on purchase of care for older people, with current forecasts showing a £32.531m overspending on expenditure for this budget and £29.477m of additional income. Our forecast is based on being able to continue to reclaim on a reducing basis for these care costs, introduction of charging for NCC service users and the reinstatement of self-funders to private contracts. There are risks related to these assumptions and this has been taken into account within the forecast. The Council is reliant on the reclaim of funding from the NHS, any change to this or variation to the assumptions around reinstatement of normal will either reduce or increase the overspend position.
- 2.25 Price of care – although prices have remained stable for service users that were in receipt of care prior to the pandemic, we have seen increasing prices for new care packages, particularly where there is discharge from hospital. Although some of the pressure has arisen through increased acuity of people leaving hospital, it is also due to provider concerns within the market and changes to the business models for self-funded care. The price has no doubt been affected by both health and social care needs being part of the discharge model, but the price of care is not financially sustainable for social care alone. Although the risks of this are absorbed within the forecast for this financial year, due to one-off funding, this presents a significant financial risk for 2021-22. Commissioning and operational teams are taking action to help reduce the longer-term financial impact.
- 2.26 Delivery of savings - The service started the year having achieved good progress in 2019-20 towards demand management through the promoting independence strategy. However, the outlook for 2020-21 was challenging with a £23m savings

target – mostly related to demand management – and therefore strong delivery of the savings programme, in this financial year, was critical for the service. We have forecast that £13.251m of our savings will not be achieved in this financial year and the allocation of the NCC covid grant funding has helped support this. Due to the additional grant funding this will be managed within this financial year, however, there remains a significant risk for next year. As described above, we are expecting that our volume of service users will be slightly higher than at the start of the year, however, due to the level of demand management savings our budget is based on 896 fewer service users across all specialisms. It is increasingly clear that the environment that teams and providers are working within will not be back to normal for the foreseeable future. This will mean that the higher volumes and prices compared to our base budget will not be rectified before the end of this financial year and will therefore increase budget pressures next year.

- 2.27 Covid-19 has meant that our staff have had to work differently in continuing to meet our duties. Financially this has meant that embracing a socially distanced approach to social care has meant that recruitment and staff travel have naturally slowed leading to a reduction in the associated expenditure in this area. Across our 3 core front line areas of the department we have seen the identification of vacancies, combined with a reduction in expenditure for travel and subsistence, for Care & Assessment teams within Community Social Work (£0.475m) and Community Health and Social Care (£0.670m), as well as within Early Help & Prevention (£0.722m). In addition, the reinstatement work and new hospital discharge arrangements mean that social work teams are requiring some additional capacity to manage the temporary but increased workloads. There is some funding from NHSEI to support these costs.
- 2.28 The department recognises the financial pressure the above overspend, and in particular, the under-delivery of 2020/21 savings is having on the Council. The Covid-19 recovery governance includes a specific financial recovery workstream. This is predominately looking at the transition arrangements for the hospital discharge service requirements, to mitigate financial risks and to look at the price of care in the market and opportunities to manage this. The service is working to reinstate approaches that will enable some savings programme work to recommence. However, it is clear that there will be remaining financial pressures from the pandemic that will extend beyond the current one-off funding. The service has therefore proposed that £2m is transferred to the Business Risk Reserve to help support these costs next financial year and provide some additional time for both stabilisation of prices and work to be able to recommence to reduce demand. This transfer will increase the business risk reserve to £6.4m.
- 2.29 With the Purchase of Care (POC) budget making up 77% of our ASC budget, and being heavily dependent on the individual needs of the 14,000+ people at any one time being supported by this budget, it is perhaps not surprising that this is the area feeling the financial pressure. The department is looking to achieve savings of £23m in this financial year, and as described in the budget savings section of this paper, it has been extremely difficult in the current climate to deliver against this challenge
- 2.30 The largest area of forecast overspend is with Purchase of Care for Older People. As highlighted above for this financial year, we expect additional Covid funding to meet the majority of these additional costs. Our Living Well ethos requires a different climate to be wholly effective in preventing, reducing and delaying need for formal services. In the first four months of the year many of our care providers were paid fixed (minimum amounts whereby additional services provided are paid for in addition) payment amounts to enable them to have secure cash flow during Covid-19.

Whilst this is a vital investment in sustaining a crucial market, it has meant that the spend per month is fixed at a level above which we had initially budgeted. We have also ensured that where providers have been in a position to undertake home support above this level that additional payment have been made. These costs have been offset by adjustments to spend on respite care, which has been significantly lower due to the pandemic. As reported last month, we have now completed the transition from payment based on averages to actuals. The only exception is day services where providers are delivering service below normal capacity to enable social distancing guidelines. This has meant that people continue to not be charged for these services and this has formed part of the claim to MHCLG for lost sales and fee income.

- 2.31 During the pandemic we have seen a combination of additional packages put in place to meet differing or escalating care needs and with our NHS partners have also had to manage a different hospital discharge arrangement, that has also temporarily altered our financial assessment procedures. Whilst we have been recovering the Covid-19 related costs incurred on behalf of the NHS, it has clearly meant a different approach that has required the focus of the service.
- 2.32 Whilst our income related to the NHS has increased due to the Covid-19 reclaims, our general customer contribution levels has decreased. For those that are part of the NHS discharge arrangement, we will not lose out financially in the short term. However, where services are not being fully supplied to the customer, but still being paid for by NCC, such as Day Care, we will not be recovering any financially assessed customer contributions. Our forecast includes £0.253m for income compensation from MHCLG. In addition, we have reviewed our planned phase 2 charging policy around the Minimum Income Guarantee which will reduce our income against the associated saving target.
- 2.33 Outside of purchase of care, our budgets for NorseCare and Independence Matters within Commissioning are both forecast to overspend, due to the expected non-delivery of savings. However, actions are being taken to reduce this variance in-year.
- 2.34 **CES:** Historically CES budgets have been fairly stable throughout the year and we continue to review the financial impacts of Covid-19. The forecast overspend this month is £0.478m, after taking into account Covid-19 grant income of £6.112m, the first claim from the MHCLG income compensation scheme of £1.260m, and the Local Outbreak Control Public Health grant of £3.718m and the Contain Outbreak Management Fund of £7.262m.
- 2.35 The most significant pressure for CES is the ability to achieve planned income which accounted for the majority of the current forecast pressures within Community Information and learning and Culture and Heritage. Pressures on income also account for part of the services pressure within Highways and Waste.
- 2.36 There is a significant uncertainty in relation to the impacts on income and we will therefore be reviewing and revising these forecasts as the year progresses. Overall, the position is likely to be mitigated when income under the Local government income compensation scheme for lost sales, fees and charges is received. Although this is subject to on-going calculations, the anticipated compensation for April to June is reasonably certain and this is now reflected in the forecasts.
- 2.37 The forecast pressures within Highways and Waste also relates to waste volumes and Impacts of Dutch Incineration tax on the cost of Waste disposal. We are currently

seeing additional waste volumes through kerbside collection and therefore we are currently seeing additional costs of waste disposal and recycling credits.

- 2.38 The service has also incurred additional costs in relation to the re-opening of Household Waste Recycling Centres for traffic management and site security.
- 2.39 The Department is also reviewing any potential areas for savings that will help off-set this pressure which will include reduced spend on travel, printing and other administration areas. There are also likely to be a number of posts that are currently vacant and therefore we have not been able to recruit to, which will deliver a one-off saving.
- 2.40 **Corporate services:** Both the Strategy and Governance and Finance and Commercial Services directorates are forecasting overspends at this stage of the year, primarily relating to central Covid-19 related costs.
- 2.41 **Finance General:** The forecast underspend in Finance General is £2.136m, with an underlying overspend made up of unbudgeted Covid-19 related costs, partly off-set by forecast underspends on the costs of borrowing and additional government Emergency Assistance and Winter Grant funding for Food and Essential Supplies. The forecast net underspend is mainly due to MHCLG funding which has yet to be allocated to services. The funding will be allocated to services once income compensation claims have been prepared, submitted to and confirmed by MHCLG. Further details are given in Revenue Annex 1.
- 2.42 Subject to approval, a new Corporate Covid Risk Reserve is being created, and the MHCLG tranche 4 Covid grant funding of £5.608m will be set aside in this reserve to address financial pressures resulting from the pandemic, either in 2020-21 or in future financial years.

3 Approved budget, changes and variations

- 3.1 The 2020-21 budget was agreed by Council on 17 February 2020 and is summarised by service in the Council's Budget Book 2020-21 (page 19) as follows:

Table 2: 2020-21 original and revised net budget by service

Service	Approved net base budget	Revised budget P6	Revised budget P7
	£m	£m	£m
Adult Social Services	255.740	255.793	255.793
Children's Services	196.211	196.311	196.311
Community and Environmental Services	163.471	161.799	161.799
Strategy and Governance	9.365	9.362	9.362
Finance and Commercial Services	30.811	32.671	32.671
Finance General	-225.177	-225.515	-225.515
Total	430.421	430.421	430.421

Note: this table may contain rounding differences.

- 3.2 During period 7, there were no budget movements between services. The Council's net budget for 2020-21 has remained unchanged.

4 General balances and reserves

General balances

- 4.1 On 17 February 2020 Council agreed the recommendation from the Executive Director of Finance and Commercial Services for a minimum level of General Balances of £19.623m through 2020-21. The balance at 1 April 2020 was £19.706m. The forecast for 31 March 2021 is unchanged, before any over or underspends.

Reserves and provisions 2020-21

- 4.2 The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2020. Actual balances at the end of March 2020 were higher than planned, mainly as a result of grants being carried forward, including Covid-19 support grants, and reserves use being deferred.
- 4.3 The 2020-21 budget was approved on the basis of a forecast reduction in earmarked revenue reserves and provisions (including schools reserves but excluding LMS and DSG reserves) from £73m to £65m, a net use of £8m.

Table 3: Reserves budgets and forecast reserves and provisions (excluding LMS/DSG)

Reserves and provisions by service	Budget book forecast balances 1 April 2020	Actual balances 1 April 2020	Increase in opening balances after budget setting	2020-21 Budget book forecast March 2021	Latest forecast balances 31 March 2021
	£m	£m	£m	£m	£m
Adult Social Services	16.896	20.291	3.395	10.371	16.412
Children's Services (inc schools, excl LMS/DSG)	1.961	6.200	4.239	3.321	3.092
Community and Environmental Services	35.847	40.934	5.087	32.612	39.479
Strategy and Governance	3.042	2.916	-0.126	3.265	2.605
Finance & Commercial Services	2.469	4.301	1.832	2.472	3.329
Finance General	12.915	49.428	36.513	12.915	18.412
Reserves and provisions excluding LMS and DSG balances (see below)	73.130	124.070	50.940	64.956	83.329
Schools LMS balances	12.001	12.361	0.360	4.212	13.650
DSG Reserve (negative)	-18.387	-19.704	-1.317	-18.830	- 29.603
Total	66.744	116.727	49.983	50.338	67.376

- 4.4 Actual overall provisions and reserves (subject to external audit and excluding capital, DSG and LMS reserves) at 31 March 2020 were approximately £50m in excess of 2020-21 budget book assumptions. This is due primarily to £26.8m Covid-19 government grants received in late March, which will be fully used in 2020-21, plus general increases in reserves, including unspent grants and contributions, brought forward after budget setting.
- 4.5 As set out in paragraphs 2.8 and 2.28, it is planned to make a £2m contribution to a Children's Services Business Risk reserve and £2m to the Adult Social Services Business Risk reserve in order to mitigate the financial risks and manage the impact of Covid-19.
- 4.6 As described in paragraph 2.41, subject to approval, a new Corporate Covid Risk Reserve will be created, and the MHCLG tranche 4 Covid grant funding of

£5.608m will be set aside in this reserve to address financial pressures resulting from the pandemic.

- 4.7 As a result of these factors, the latest forecast net total for reserves and provisions at 31 March 2021 (excluding schools LMS and DSG reserves) is approximately £18m higher than was assumed at the time of budget setting due to the increase in grants brought forward.

4.8 Provisions included in the table above

The table above includes forecast provisions of £26.8m comprising £9.9m insurance provision, £12.6m landfill provision (this provision is not cash backed), £4.1m provisions for bad debts, and a small number of payroll related provisions.

5 Covid-19 financial implications

- 5.1 Details of central government funding announcements, and forecast Covid-19 pressures are set out below.
- 5.2 Covid-19 funding secured to date is as follows:

Table 4a: Covid-19 funding

Funding	Actual/forecast 2020-21 £m
MHCLG tranche 1 (received March 2020)	26.932
MHCLG tranche 2	16.742
MHCLG tranche 3	6.001
Emergency Assistance Grant for Food and Essential Supplies	1.016
Infection Control Fund – first round	12.386
Infection Control Fund – second round	10.443
Home to School and College Transport Funding – Tranche 1	0.747
Home to School and College Transport Funding – Tranche 2	0.503
Wellbeing for Education Return Grant	0.146
Local Outbreak Control: test and trace service support grant	3.718
MHCLG - income compensation scheme April-July	2.657
Total previously reported P6	81.291
Contain Outbreak Management Fund	7.262
MHCLG tranche 4	5.608
COVID Winter Grant Scheme	2.740
Total to date	96.901

- 5.3 **MHCLG funding:** The four tranches of MHCLG funding listed above are unringfenced, and expected to address additional expenditure, lost income and delayed or irrecoverable savings while assisting those who are in most need of additional support and social care, and those at higher risk of severe illness.
- 5.4 **Emergency Assistance Grant:** to help those who are struggling to afford food and other essentials due to Covid-19.
- 5.5 **Infection Control Fund:** “to ensure care homes can cover the costs of implementing measures to reduce transmission”, with 75% passed straight to care homes in Norfolk (regardless of whether they contract with the Council), with the remaining 25% spent on broader infection control measures. In addition to the first-round grant of £12.386m, a second round of Infection Control Grants has been announced, with an additional £10.443m to be received by Norfolk in October and December 2020. This

round requires 80% to be passed to care homes and community care providers. 80% of the October funding has been paid to care providers and the remaining funds are currently being allocated.

- 5.6 **Dedicated Home to School and College Transport Funding:** for transport authorities to help provide alternatives to public transport and ensure children and young people can return to full time education through the autumn term. The total Autumn Term allocation for Norfolk County Council is £1.250m, of which £0.747m was previously accounted for.
- 5.7 **Wellbeing for Education Return Grant:** to support pupils' and students' wellbeing and psychosocial recovery as they return to full-time education in autumn 2020.
- 5.8 **Local Authority Test and Trace Service Support Grant:** to fund expenditure relating to the mitigation against and management of local outbreaks of COVID-19 as part of the Council's public health responsibilities.
- 5.9 **Local government income compensation scheme for lost sales, fees and charges.** A scheme has been announced to compensate local authorities for irrecoverable income losses in the financial year 2020-21 due to the impact of COVID-19, as much as 75% of lost income where losses exceed 5% of planned income subject to the details of the scheme. The first claim of £2.657m, covering the period to April to July 2020, was submitted to MHCLG on 30 September 2020. It is split between services as follows:

Table 4b: income compensation claim April-June

	£m
Adult Social Services	0.253
Children's Services	0.647
Community and Environmental Services	1.260
Strategy and Governance	0.342
Finance and Commercial Services	0.155
	2.657

Additional income compensation will be claimed for the period from 1 August 2020 to 31 March 2021, in accordance with MHCLG guidance.

6 New / confirmed funding

- 6.1 In October, additional funding relating to the government's "tiered" approach to breaking the chains of transmission was confirmed. From 12 October 2020, Local Authorities were eligible for tiered payments from the Contain Outbreak Management Fund to support proactive containment and intervention measures. When national restrictions came into force on 5 November, all Upper Tier Local Authorities were allocated the maximum of £8 per head of population. For Norfolk this amounts to £7.262m.

A proposal has been made to the Department of Health and Social Care to prevent / suppress the spread of Covid, to reflect Norfolk being in LCAL Tier 2 following National lockdown. The proposal is based upon Norfolk County taking over contact tracing using a phased approach to:

1. Establish fully locally delivered contact tracing for Covid-19
2. Deliver an end-to-end self- isolation pathway and service.

Upon approval of the proposal, a project team will be established that will plan and implement the proposal, and refine and validate plans for the use of the full COMF allocation. This will be considered by the Health Protection Board for approval and reported to Cabinet in January. However, ahead of confirmation of the plans for the use of the full funding, an allocation is required to enable District Councils to implement immediate mitigating actions for the end of the current national lockdown period (anticipated to be 2 December 2020). Cabinet is therefore asked to approve the allocation of a maximum of £2.645m to District Councils following the discussions at the Covid19 Engagement Board (17 November 2020) and taking into account recommendations from the 27 November 2020 Health Protection Board.

Government has confirmed that the Contain Outbreak Management Fund is to be increased to provide monthly payments to local authorities facing higher restrictions until the end of the financial year. As a result of Norfolk moving to Tier 2 after 2 December, additional funding of £2 per head per month is expected, equating to approximately £1.8m per month. Subject to a government review in January 2021, it is anticipated that the additional funding will be available until the end of March 2021, and further details are awaited.

- 6.2 On 22nd October 2020, the Secretary of State announced Tranche 4 of local authority funding allocations totalling £919m to respond to local authority Covid-19 related spending pressures. Norfolk County Council's allocation, received in November 2020, is £5.608m. Subject to approval, this funding will be transferred to a new Corporate Covid Risk reserve, to mitigate against future cost pressures resulting from the pandemic.
- 6.3 On 8 November 2020, the government announced a £170m package of extra targeted financial support for those in need over the winter period, to help with the cost of food, energy and water bills and other associated costs. The indicative allocation for Norfolk (subject to final approval by HM Treasury) is £2.740m, and this will be incorporated into the Norfolk Assistance Scheme within Finance General.

6.4 A summary of the forecast Covid-19 related cost pressures are as follows:

Table 4c: Covid-19 cost pressures

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services and Finance General	Total
	£m	£m	£m	£m	£m	£m
Previously reported	56.952	9.367	10.872	1.810	13.134	92.135
Net changes this month		-0.470	7.262	0.150	4.034	40.976
In year cost pressures	56.952	9.203	18.134	1.960	17.168	103.111
Transfers to reserves					5.608	5.608
Total cost pressures	56.952	9.203	18.134	1.960	22.776	108.719
Government support						96.901
Net Covid-19 pressure						11.818

6.5 Details of cost pressures by services are set out in Revenue Annex 2. The increases and decreases in the majority of services relate to revised estimates of lost sales, fees and charges based on 6 months actual information. Lost income in adult social care and CES highways and public transport is lower than previously expected, but traded income from schools and registrars lost income is higher than previously estimated. The increased cost pressures shown in Finance and Commercial Services and Finance General include additional staff and property costs relating to the Covid-19 response and lost income from County Hall car park. Also within Finance General is the impact of the Council continuing to incur costs sourcing PPE, medical requisites, and cleaning materials for use across our services.

Other pressures

6.6 An additional element of cost mitigation included in forecast over and underspends is the Government's **Coronavirus Job Retention Scheme**. While the scheme has not been used to duplicate other sources of public funding, such as the Covid-19 support grants, the government has recognised that there are exceptional cases where, for example, Local Authorities have needed to close venues such as museums and registry offices.

6.7 There continues to be a high degree of uncertainty about the cost pressure forecasts, and these will continue to be refined. The Council continues to emphasise financial pressures and implications for services in regular returns to MHCLG.

6.8 A particular risk relates to Business Rates and Council Tax income. No pressures have been included for 2020-21 with any impact not expected to have an impact on the general fund until 2021-22 and this will be taken into account during 2021-22 budget setting. To assist future budgeting, the government will allow Council's to spread their tax deficits over 3 years rather than the usual one year

6.9 The costs and income pressure relating to Covid-19 vary from the overall Council forecast net overspend shown in this report. This is due to non-Covid-19 related under and over-spends, and actions already put in place by Chief Officers to mitigate the financial impacts of the pandemic.

7 Budget savings 2020-21 summary

- 7.1 In setting its 2020-21 Budget, the County Council agreed net savings of £40.244m. Details of all budgeted savings can be found in the 2020-21 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 7.2 The latest monitoring reflects total forecast savings delivery of £22.559m and a total shortfall of **£17.685m** (44%) forecast at year end.
- 7.3 The forecast savings delivery is anticipated as shown in the table below:

Table 5: Analysis of 2020-21 savings forecast

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
Budget savings	22.897	9.250	5.013	-0.613	1.389	2.308	40.244
Period 7 forecast savings	9.343	6.774	3.898	-0.691	0.927	2.308	22.559
Savings shortfall	13.554	2.476	1.115	0.078	0.462	0.000	17.685

Commentary on shortfall savings

- 7.4 The impact of the COVID-19 pandemic is having a profound effect on the Council's ability to achieve planned budget savings. Further details on the emerging financial implications of COVID-19 including the impact of non-delivery of savings are reflected elsewhere in this report.
- 7.5 Thirty-four savings are forecasting a shortfall, representing a budgeted total savings value of £28.949m and a forecast savings shortfall of £18.598m. This total is before adjustment for forecast savings over-delivery of £0.913m detailed in paragraph 7.6. Commentary on each saving is provided in Revenue Appendix 3.

Commentary on overdelivering savings

- 7.6 Two savings are currently forecast to over-deliver in 2020-21.

Adult Social Services:

ASC035 Investment and development of Assistive Technology approaches, budget £0.500m, over delivery £0.910m: Current projections, tested by the ASTEC Board, suggest we will over-deliver.

In addition, there is a favourable variance of £0.003m on ASC052 relating to the reversal of one-off use of repairs and renewal reserve.

2021-22 to 2023-24 savings

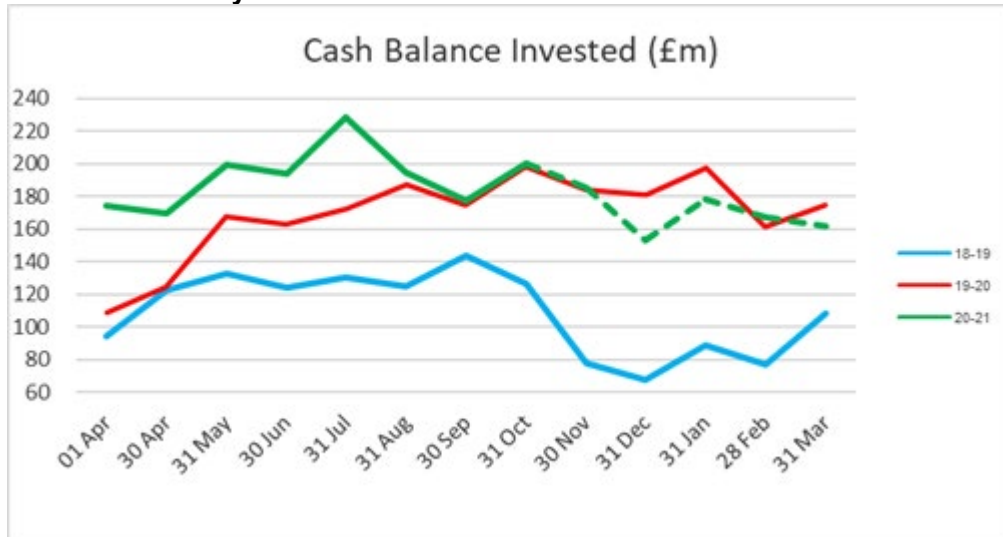
- 7.7 Budget setting in 2020-21 saw the approval of £20.747m savings for 2021-22, £2.383m for 2022-23 and £0.412m savings for 2023-24. Any impacts on the deliverability of these savings, and any 2020-21 savings that are permanently undeliverable, are considered as part of the 2021-22 budget setting process. The Strategic and Financial Planning report to October Cabinet set out details of the

currently proposed delays and reversal of a number of existing savings within the developing 2021-22 Budget; this will continue to be refined with a final position being presented to Cabinet in February 2021 for recommendation to Full Council as part of the overall budget for next year.

8 Treasury management summary

- 8.1 The corporate treasury management function ensures the efficient management of all the authority's cash balances. The graph below shows the level of cash balances over the last two financial years to March 2020, and projections to March 2021.

Chart 2: Treasury Cash Balances

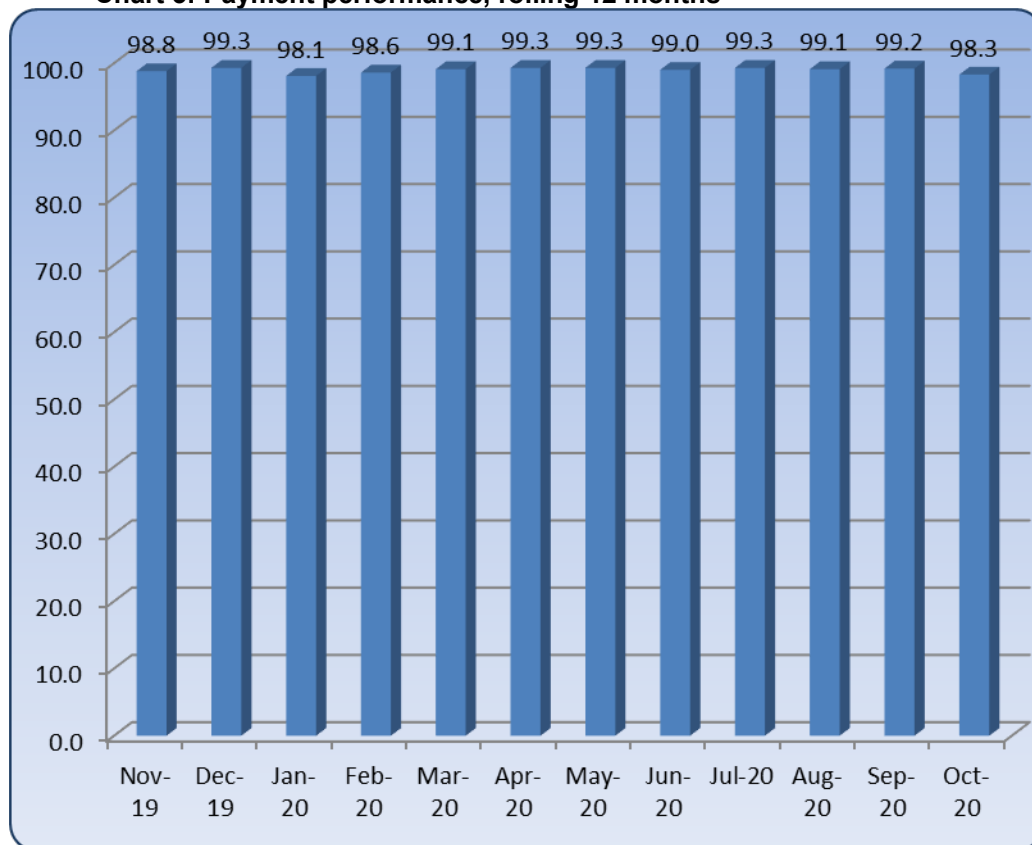


- 8.2 The forecast closing balance is approximately £160m, above average for recent years but a little lower than the balance at 31 March 2020. Balances in the graph above assume £80m will be borrowed to fund capital expenditure in the current financial year, in line with the Council's Treasury Strategy.
- 8.3 PWLB and commercial borrowing for capital purposes was £702.0m at the end of October 2020. Associated annual interest payable on existing borrowing is £29.3m.

9 Payment performance

- 9.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 470,000 invoices are paid annually. 98.3% were paid on time in October against a target of 98%. The percentage has not dropped below the target of 98% in the last 12 months.

Chart 3: Payment performance, rolling 12 months



*Note: The figures include an allowance for disputes/exclusions.

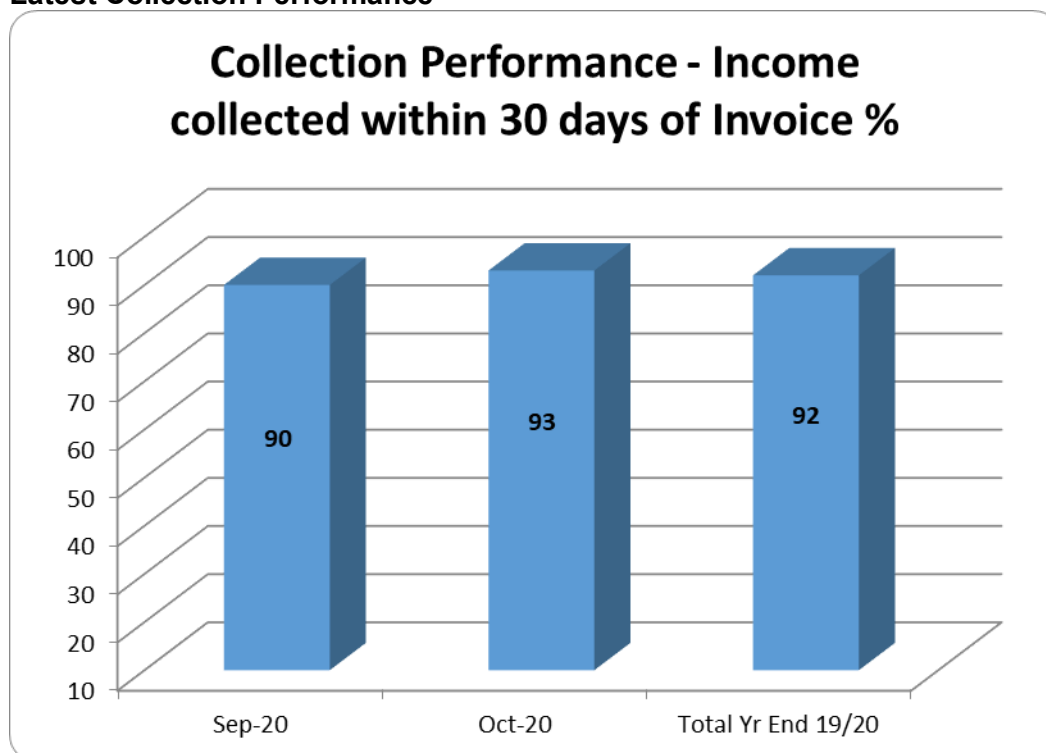
10 Debt recovery

- 10.1 **Introduction:** In 2019-20 the County Council raised over 160,000 invoices for statutory and non-statutory services totalling over £1.4bn. Through 2019-20 92% of all invoiced income was collected within 30 days of issuing an invoice, and 98% was collected within 180 days.

Debt collection performance measures

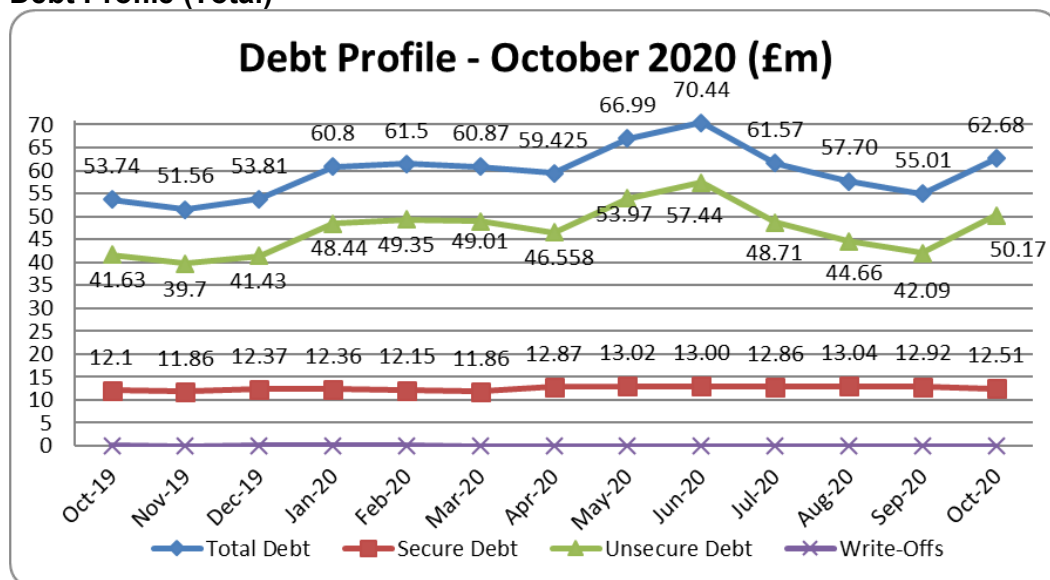
- 10.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 93% in October 2020.

Latest Collection Performance



- 10.3 The value of outstanding debt is continuously monitored, and recovery procedures are in place to ensure that action is taken to recover all money due to Norfolk County Council. The level of debt is shown in the following graph:

Debt Profile (Total)



- 10.4 Of the £50.2m unsecure debt at the end of October, £16.9m is under 30 days. The largest area of unsecure debt relates to charges for social care, £43.4m, of which £17.8m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.
- 10.5 Secured debts amount to £12.5m. Within this total £5.0m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.
- 10.6 **Debt write-offs:** In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write-off of all debts up to £10,000.
- 10.7 Service departments are responsible for funding their debt write-offs. Before writing off any debt all appropriate credit control procedures are followed.
- 10.8 For the period 1 April 2020 to the end of October 2020, 117 debts less than £10,000 were approved to be written off following approval from the Executive Director of Finance and Commercial Services. These debts totalled £6,418.30.
- 10.9 No debts over £10,000 have been approved for write-off since 1 April 2020.

Forecast revenue outturn

Revenue outturn by service

Table A1a: revenue over and (under) spends by service

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	255.793	1.907	0.7%	257.700
Children's Services	196.311	0	0.0%	196.311
Community and Environmental Services	161.799	0.478	0.3%	162.277
Strategy and Governance	9.362	0.029	0.3%	9.391
Finance and Commercial Services	32.671	0.978	3.0%	33.649
Finance General	-225.515	-2.136	0.9%	-227.651
Forecast outturn this period	430.421	1.256	0.3%	431.677
Prior period forecast	430.421	3.956	1.2%	435.735

Reconciliation between current and previously reported underspend

Table A1b: monthly reconciliation of over / (under) spends

	£m
Forecast overspend brought forward	3.956
Movements October 2020	
Adult Social Services	-2.993
Children's Services	-
Community and Environmental Services	-
Strategy and Governance	-
Finance and Commercial Services	-
Finance General	0.293
Outturn over/(under) spend	1.256

Covid-19 grant allocation by service

Table A1c: Covid-19 grant received and service allocations to mitigate overspends

	£m
Adult Social Services	49.134
Children's Services	6.755
Community and Environmental Services	18.352
Strategy and Governance	0.674
Finance and Commercial Services	1.515
Finance General	20.469
Rounding	0.002
Covid-19 grants received	96.901

Revenue Annex 1 continued

The net underspend is a result of a range of underlying forecast over and underspends which are listed below.

Revenue budget outturn by service – detail

Adult Social Services	Over spend	Under spend	Changes
	£m	£m	£m
Purchase of Care	33.131		-0.840
Commissioned Services	1.459		0.035
Community Social Work		-0.475	0.014
Business Development	0.008		0.016
Early Help & Prevention		-0.722	-0.160
Community Health & Social Care		-0.670	-0.060
Management, Finance & HR		-4.519	-1.998
Use of Infection control grant	22.829		
Covid-19 grant allocation		-49.134	
Forecast over / (under) spends	57.427	-55.520	-2.993
Net total	1.907		
Children's Services	Over spend	Under spend	Changes
	£m	£m	£m
Learning & Inclusion	1.879		-0.840
Social Care	1.680		-0.960
Commissioning, Partnerships and Resources	-0.200		-0.200
Use of Home to School and College Transport Funding	1.250		
Use of Wellbeing for Education Return Grant	0.146		
Covid-19 grant allocation		-6.755	
Contribution to Children's Services Business Risk Reserve	2.000		2.000
Forecast over / (under) spends	6.755	-6.755	-
Net total	-		
<i>Dedicated schools grant</i>			
High Needs Block	11.300		0.700
Schools block		-0.200	
Increase in net deficit to be carried forward	-	-11.100	-0.700
Forecast over / (under) spend	11.300	11.300	-
Net total	-		

Community and Environmental Services	Over spend	Under spend	Changes
	£m	£m	£m
Community Information and Learning	1.255		
Culture and Heritage	1.438		
Fire	0.166		
Growth and Development	0.796		
Highways and Waste	3.194		
Performance and Governance		-0.082	
Director of Public Health	1.083		
Use of Local Outbreak Control: test and trace service support grant	3.718		
Covid-19 grant allocations		-11.090	
Contain Outbreak Management Fund		-7.262	-7.262
Use of Contain Outbreak Management Fund	7.262		7.262
Forecast over / (under) spend	18.912	-18.434	0
Net total	0.478		

Strategy, Finance and Finance General	Over spend	Under spend	Changes
	£m	£m	£m
Strategy and Governance			
Registrars and other net loss of income	0.703		
Covid-19 grant		-0.674	
Forecast over / (under) spend	0.703	-0.674	
	0.029		
Finance and Commercial Services			
Client Property Management	0.759		
Covid-19 related costs - loss of income/recharges	1.321		
Covid-19 related costs - savings delays	0.790		
Finance directorate reduced overheads and costs		-0.377	
Covid-19 grant allocation		-1.360	
Covid-19 income compensation scheme		-0.155	
Forecast over / (under) spend	2.870	-1.892	
	0.978		
Finance General (see below for narrative)			
Covid-19 additional costs – including a large proportion of PPE, shielding and homeworking costs.	9.935		
Income: transfers of PPE to partner organisations		-0.121	
In-year reserve is included to meet increase staffing capacity and related costs	1.000		
DEFRA Local Authority Emergency Assistance Grant		-1.016	
Local assistance scheme	1.516		0.500
COVID Winter Grant Scheme		-2.740	-2.740
Use of COVID Winter Grant Scheme funding	2.740		2.740
Extended rights to free travel grant		-0.463	
Members travel		-0.082	-0.007
Interest on balances		-1.800	-0.200
Covid-19 grant allocation		-5.104	
Covid-19 grant tranche 3 – to be allocated		-6.001	
MHCLG tranche 4		-5.608	-5.608

Transfer to new Corporate Covid Risk reserve	5.608		5.608
Forecast over / (under) spend	20.799	-22.935	0.293
Net total		(2.136)	

Finance General forecast over and underspends

Explanations for the Finance General forecast under and overspends are as follows:

Covid-19 additional costs and associated income:

- Covid-19 additional costs: forecast overspend £9.935m
- Income: transfers of PPE to partner organisations: forecast underspend £0.121m
- Covid-19 additional in-year reserve: forecast overspend £1.000m
- Covid-19 grant allocation: forecast underspend £5.104m
- DEFRA Local Authority Emergency Assistance Grant for Food and Essential Supplies £1.016m (see paragraph below)
- Covid-19 grant tranche 3 – to be allocated: forecast underspend £6.001m (see below)

Costs related to Covid-19 pandemic which have not been allocated to service departments have resulted in a forecast overspend, partly off-set by government grants. Expenditure includes the purchase of medical supplies and protective (PPE) clothing to ensure continuity of supply for council staff, care homes, early years providers and others. Some of this PPE is forecast to be transferred to partner organisations at cost. To address costs of meeting pressures from a Covid-19 “second wave”, an in-year reserve is included to meet increase staffing capacity and related costs.

Local assistance scheme / Emergency Assistance Grant

The Norfolk Assistance Scheme helps by providing emergency food, cash and household expenses. Due to the coronavirus situation, a coordinated emergency relief response has been developed for Norfolk people in crisis. In period 3, government funding was made available which is being used to provide food and essential supplies for those in the greatest need. An additional 0.500m from Core Covid grant funding was allocated to the scheme, and in period 7 an additional £2.740m COVID Winter Grant Scheme government funding has been received and is forecast to be fully spent in 2020-21.

Extended rights to free travel grant (forecast underspend £0.463m)

Additional grant forecast in respect of extended rights to free travel.

Members travel (forecast underspend £0.082m)

Since the start of the financial year, meetings have not been held at County Hall. Members have instead held meetings electronically significantly reducing the costs of travel.

Interest on balances (forecast underspend £1.800m)

The interest payable/receivable budget was prepared on the basis of a number of assumptions including cash flows, interest rates and the amount of borrowing. The cost and timing of borrowing has resulted in a forecast underspend.

Covid-19 grant tranche 3 – to be allocated (forecast underspend £6.001m)

As noted in section 5 of this report, an additional £6.001m of government funding has been allocated to Norfolk County Council. This will be allocated to services once the full implication of other grant funding has been confirmed.

Covid-19 grant tranche 4 (£5.607m) – allocated to a new Covid reserve

As noted in section 5 of this report, an additional £6.001m of government funding has been allocated to Norfolk County Council. This will be allocated to a new Covid reserve.

Revenue Annex 2

Impact of Covid-19 – forecast cost pressures

Forecast cost pressures summarised in paragraph 5 of the main report are as follows:

	2020-21 Forecast £m
<u>Identified / forecast costs</u>	
Adult Social Care	
Enhancements to packages of care where not related to hospital discharge (mainly LD and MH and includes care need escalation)	1.450
Additional Block capacity purchased from market	0.500
Provider support payments to cover liquidity/sustainability issues and any additional costs where not specifically related to a person's changing care needs	10.000
Other care market pressures	6.000
Paying for additional day time support to Supported Living/Residential providers whilst the day centres are closed	0.300
Loss of income: Adults: No charges for services not received	0.911
Equipment and Support for our teams (e.g. PPE for in-house teams)	0.035
Support for people experiencing domestic abuse	0.150
Loss of savings: Adults: Savings delivery risk	10.727
Temporary postponed implementation of the second phase of the charging policy implementation (2020-21 cost pressure)	3.000
Equipment - spike in usage and increase in costs	0.200
Weekend or Overtime staff costs	0.550
Vulnerable People Resettlement	0.200
Redeployed interims	0.100
Full use of infection control funding	22.829
Adult Social Care Total	56.952
Children's Services	
Loss of income - Children's Services - Initial estimate primarily relating to trading with schools	2.505
Loss of income - Transport	0.260
Safeguarding campaign - <i>Project Stay Safe</i>	0.010
Loss of savings: Children's: Savings delivery risk	2.476
Maintaining Early Year's Provision	0.460
Education Cell Outbreak Management Centre	0.127
Additional placement costs for over-18s	0.342
Additional placement costs for under-18s	0.250
Additional costs of contracted delivery	0.250
Sustainability grants and support to the market	0.250
Enhanced Zoom licenses	0.015
Additional frontline agency costs	0.554
Book fund for Social Work apprentices	0.002
Full use of Home to School and College Transport Funding	1.250
Full use of Wellbeing for Education Return Grant	0.146
Children's Services Total	8.897

Community and Environmental Services

**2020-21
Forecast
£m**

Food boxes for older people (NCC provision)	0.700
Waste – Contract costs reflecting 15% increase in residual waste volumes	0.192
Waste – Recycling credits reflecting 15% increase in recyclables / garden waste	0.240
Reopening Recycling Centres – (traffic management, security, volume increase)	0.365
Loss of income: CES including Museums / Libraries	2.471
Loss of income: CES including Adult Education / Records Office	0.351
Loss of income: CES including Highways and Public Transport	1.000
Loss of income: CES including Planning and Development	0.097
Loss of income: CES including Recreation and Sport	0.015
Loss of income: Parking Services	0.500
Loss of income: CES including Centres and Blue Badges	0.378
Loss of income: CES including On-street Parking	0.555
Loss of savings: CES	0.290
Full use of Local Outbreak Control: test and trace service support grant	3.718
Full use of Contain Outbreak Management Fund	7.262
Community and Environmental Services Total	18.134
Strategy and Governance	
Norfolk Community Foundation - grant donation	0.100
Joint comms systems for the Norfolk Resilience Forum	0.035
Increased Coroner's costs	0.250
Loss of income: Registrars	1.500
Loss of savings: Strategy and Governance	0.075
Strategy and Governance Total	1.960
Finance and Commercial Services and Finance General	
Emergency Planning Director / Strategic Command Group / MAFG Director costs	0.039
Covid response costs - redeployed staff, property costs	1.544
Mortuary facility vans provided by NORSE	0.004
Corporate procurement of PPE	6.000
Food distribution hub - Site costs	0.050
Re-assignment of FES staff (HR and Finance System replacement) to COVID-19 response	0.375
Homeworking equipment	1.000
Extension of SWIFTS Pool Cars / Enterprise	0.037
Extension of Norfolk Assistance Scheme (NAS)	1.516
Software solution from Agilisys and Microsoft to handle the contacts to vulnerable adults in receipt of Letters and all related activities	0.060
Loss of income across Finance and Commercial Services including IMT Services to Schools, Property and Car Park income	1.253
Loss of savings: Finance and Commercial Services / Finance General	0.790
Additional costs associated with the NCC schools contracts, between NCC and Norse Eastern Ltd	0.750
Vulnerability Tracker App	0.010
Provision for match funding Business Rates Pool to establish Norfolk Strategic Fund	1.000
Use of COVID Winter Grant Scheme funding	2.740

	2020-21 Forecast £m
Finance and Commercial Services and Finance General Total	17.168
Covid-19 financial pressures Norfolk County Council total	103.111

Revenue Annex 3

Commentary on forecast savings shortfalls

Commentaries on savings shortfalls referred to in paragraph 6 of the main report are as follows:

Adult Social Services:

ASC006 Promoting Independence for Younger Adults, budget £5.000m, shortfall £2.550m: Relies on our ability to offer alternatives (including accommodation) which are not currently available. Staff teams set up for dedicated reviewing have been repurposed to directly support COVID response. There is less ability to focus on prevention when in crisis and needs may escalate due to current pandemic. The service has reviewed the schedule of LD PFAL cases expected to transition in 2020-21 and the period 7 forecast saving has been reduced in relation to forecast Autism costs.

ASC006 Promoting Independence for Older Adults, budget £5.000m, shortfall £4.000m: Operational teams are focused on the COVID response. Elements of plan to deliver requires governance that has not yet been set up and has been delayed due to programme manager redeployment.

ASC036 Maximising potential through digital solutions, budget £1.000m, shortfall £0.887m: The current climate adds difficulty in restructuring services and has materially impacted pricing structures.

ASC038 Procurement of current capacity through NorseCare at market value: budget £1.000m, shortfall £1.000m: The provider is focused on delivery of safe services in COVID and not on service transformation.

ASC046 Revise the NCC charging policy for working age adults to apply the government's minimum income guarantee amounts, budget £3.000m, shortfall £3.000m: At the outbreak of the pandemic, a decision was taken to mitigate the changes to the Minimum Income Guarantee (MIG) that would have been implemented in April, for four months, recognising the impact that the lockdown would have on people and the services they receive. The cost of this decision was covered by some of the Government's Covid-19 funding that the Council received. Cabinet has decided given the impact to date, and the uncertainty of the future for those affected by the changes, to continue to mitigate the impact of phase 2 of the changes to charging. This would be extended to allow for Government intentions around funding reform for social care to be published. Provided this is done within a reasonable timescale, the mitigation would continue, subject to the financial demands on the Council.

ASC049 Shift to community and preventative work within health and social care system – demand and risk stratification, budget £1.000m, shortfall £0.800m: The pandemic has meant that some areas of work and system changes have been delayed, although work is restarting and there will be potential for more opportunities through collaboration and remodelling of systems there remains risk in this financial year.

ASS001 Expanding home based reablement, which saves money in the long term by preventing unnecessary hospital admissions and supporting more people to swiftly return home from hospital, budget £3.000m, shortfall £0.750m: Service is focused on safe discharge and therefore long-term outcomes may suffer leading to higher ongoing costs.

ASS002 Expanding accommodation based reablement, which saves money by enabling people with higher needs to quickly return to their home from hospital without needing residential care, budget £0.750m, shortfall £0.600m: Provision of new accommodation based reablement beds has been postponed due to pandemic and those we have, have been repurposed to COVID support.

ASS003 Extending home based support for people with higher level needs or dementia so that they can remain in their home especially after an illness or hospital stay, which saves money on residential care, budget £0.200m, shortfall £0.100m: The service is fully focused on supporting discharge.

ASS004 Working better across health and social care teams to help prevent falls, which in turn helps prevent hospital admissions and saves money on residential care, budget £0.140m, shortfall £0.140m: Elements of plan to deliver requires governance that has not yet been set up and has been delayed due to programme manager redeployment.

ASS005 Supporting disabled people to access grants that are available for access to education and support to attend university, budget £0.050m, shortfall £0.050m. This saving will continue to be pursued where possible, but is identified as at risk due to change of focus for many grants and universities.

ASS006 Increasing opportunities for personalisation and direct payments, which will help both increase choice of services and value for money, through more efficient commissioning, budget £0.500m, shortfall £0.200m. Some of the work has been refocused to support the pandemic response and recovery. Although there will continue to be opportunities to increase personalisation, there will be challenges for delivering the value for money aspect of the work.

ASS007 Reviewing how we commission residential care services to save money by making sure we have the right services in the right place, budget £0.500m, shortfall £0.200m. This saving will continue to be reviewed throughout the year, but commissioning actions have needed to focus on the system capacity and to secure adequate capacity as part of the hospital discharge service requirements. Challenges currently faced across the market will make it difficult to deliver savings from these contracts.

ASS008 Developing consistent contracts and prices for nursing care by working more closely with health services, budget £0.190m, shortfall £0.190m. The service is currently working under the Government Hospital Discharge Service Requirements, and the council is contracting for both health and social care nursing contracts. The challenges currently faced across the social care market will make it deliver savings from these contracts in this financial year.

Children's Services:

CHS001 Prevention, early intervention and effective social care – Investing in an enhanced operating model which supports families to stay together and ensures fewer

children need to come into care, budget £1.000m shortfall £0.607m: At the start of the financial year, we were unable to work as closely with some families to support resilience during isolation, family support networks reduced, and pressure of people being at home together potentially leading to an increase in domestic abuse. Additionally, resources have been diverted away from transformation activity due to the covid-19 response, resulting in delays to planning and implementation of the programme.

CHS003 Transforming the care market and creating the capacity that we need – Creating and commissioning new care models for children in care – achieving better outcomes and lower costs, budget £3.500m, shortfall £1.869m: It is been harder to move forward new foster carers, people wanting to adopt, and permanency arrangements as social workers have been restricted to essential visiting only where necessary to ensure the safety and welfare of a child. Resources have also been diverted away from transformation activity due to the covid-19 response and, additionally, construction work delays have impacted upon the opening of new semi-independent accommodation for care leavers and solo / dual placements for children looked after.

Community and Environmental Services:

CMM045 Income generation – Norfolk Community Learning Services, budget £0.125m shortfall £0.125m: Closed sites and reduced activities impacting income generation opportunities.

CMM046 Income generation – Library and Information Service, budget £0.111m shortfall £0.111m: Closed sites and reduced activities impacting income generation opportunities.

CMM060 Increased income – Trading Standards and library service, budget £0.070m shortfall £0.070m: Closed sites and reduced activities impacting income generation opportunities.

EDT050 Improved management of on-street car parking, budget £0.350m shortfall £0.350m: Less on street parking during lockdown.

EDT065 Household Waste Recycling Centres – reuse shops, budget £0.050m shortfall £0.050m: Closed sites and reduced activities impacting income generation opportunities.

EDT068 Re-model back office support structure, budget £0.090m shortfall £0.090m: The support services have restructured following the transfer of works to Norse, however we have not been able to deliver the saving in the way that we had originally anticipated.

CES005 Adjusting our budget for recycling centres in line with predicted waste volumes, budget £0.200m shortfall £0.200m: In previous years we had seen reduced waste volumes at HWRC's, however due to the Covid-19 pandemic, based on recent activities we are expecting an increase in volumes.

CES020.1 Income generation across various Community and Environmental Services budgets. (Trading Standards calibration), budget £0.025m shortfall £0.025m: Closed sites and reduced activities impacting income generation opportunities.

CES020.2 Income generation across various Community and Environmental Services budgets. (Trading Standards trusted trader), budget £0.024m shortfall £0.024m: Closed sites and reduced activities impacting income generation opportunities.

CES020.3 Income generation across various Community and Environmental Services budgets. (Norfolk Records Office), budget £0.020m shortfall £0.020m: Closed sites and reduced activities impacting income generation opportunities.

CES020.5 Income generation across various Community and Environmental Services budgets. (Escape Room income), budget £0.015m shortfall £0.015m: Closed sites and reduced activities impacting income generation opportunities.

CES020.8 Income generation across various Community and Environmental Services budgets. (Developer travel plans), budget £0.030m shortfall £0.030m: Closed sites and reduced activities impacting income generation opportunities.

CES020.9 Income generation across various Community and Environmental Services budgets. (Equality and Diversity), budget £0.005m shortfall £0.005m: Closed sites and reduced activities impacting income generation opportunities.

Strategy and Governance Department:

SGD002 Reducing our spending on supplies and services by 5%, budget £0.155m shortfall £0.078m: Current forecasts indicate this saving will not be delivered in full.

Finance and Commercial Services:

B&P002 Property centralisation of budgets, budget £0.400m shortfall £0.100m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

DIE001 IMT savings, budget £0.700m shortfall £0.175m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

P&R027 Property savings, budget £0.650m shortfall £0.163m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

BTP005 Reviewing all of Norfolk County Council's traded services to make sure they are run on a fair commercial basis - IMT Schools, budget £0.099m shortfall £0.025m: Finance and Commercial Services savings at risk of delay due to the Covid-19 pandemic.

Finance General:

BTP001-5 Business Transformation savings: Currently forecasting no variance on the delivery of planned Business Transformation savings. A report will be made to Select Committee, with an updated plan and new business transformation baseline, in January 2021. Any updates to the forecast delivery of savings will be included in future monitoring to Cabinet.

Appendix 2: 2020-21 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

1 Capital Programme 2020-21

- 1.1 On 17 February 2020, the County Council agreed a 2020-21 capital programme of £282.688m with a further £253.909m allocated to future years', giving a total of £536.577m.
- 1.2 Additional re-profiling from 2019-20 resulted in an overall capital programme at 1 April 2020 of £645m. Further in-year adjustments have resulted in the capital programme shown below:

Table 1: Capital Programme budget

	2020-21 budget	Future years
	£m	£m
New schemes approved February 2020	21.497	24.414
Previously approved schemes brought forward	261.650	235.779
Totals in 2020-23+ Budget Book (total £543.340m)	283.147	260.193
Schemes re-profiled after budget setting	94.503	0.598
Other adjustments after budget setting including new grants	7.531	
Revised opening capital programme (total £645.972m)	385.181	260.791
Re-profiling since start of year	-27.693	27.693
Other movements including new grants and approved schemes	-1.378	2.472
Total capital programme budgets total £768.223m	378.721	389.502

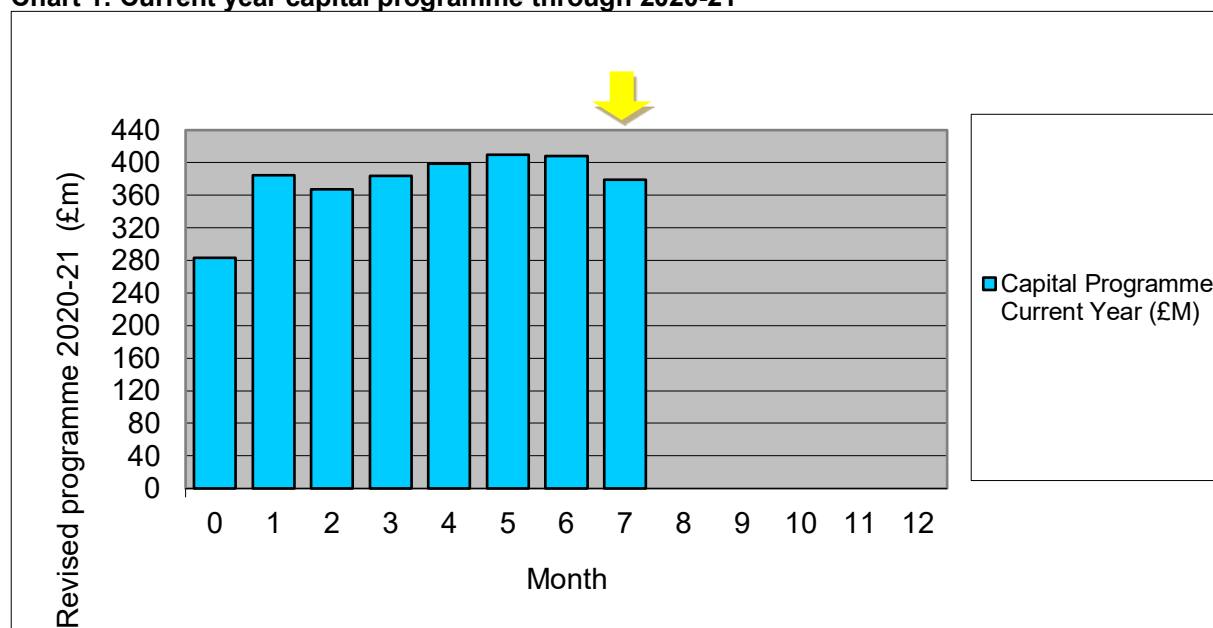
Note: this table and the tables below contain rounding differences

- 1.3 The "future years" column above includes existing and new schemes approved as part of the 2020-21 capital strategy and programme.

Changes to the Capital Programme

- 1.4 The following chart shows changes to the 2020-21 capital programme through the year.

Chart 1: Current year capital programme through 2020-21



- 1.5 Month "0" shows the 2020-21 capital programme at the time of budget approval, with schemes reprofiled after budget setting shown in month 1 followed by the most up to date programme. The current year programme will change as additional funding is secured, and when schemes are re-profiled to future years as timing becomes more certain.

- 1.6 The current year's capital budget is as follows:

Table 2: Service capital budgets and movements 2020-21

Service	Opening program me	Previous report	Reprofil ng since previous report	Other Changes since previous report	2020-21 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	122.963	100.375	-17.109	0.103	83.369
Adult Social Care	15.604	23.675			23.675
Community & Environmental Services	165.262	211.617	-9.706	-1.481	200.628
Finance & Comm Servs	81.252	72.025	-0.878		70.950
Strategy and Governance	0.100	0.100			0.100
Total	385.181	407.792	-27.693	-1.378	378.722
				-29.071	

Note:: this table may contain rounding differences.

Figures relating to the previous report have been amended in this and the following table to correct the services and Strategy and Governance budget between current and future years.

- 1.7 The revised programme for future years (2021-22 to 2023-24 and beyond) is as follows:

Table 3: Capital programme future years 2021+

Service	Previously reported future programme	Reprofilng since previous report	Other Changes since previous report	2020+ Future Capital Budget
	£m	£m	£m	£m
Children's Services	175.074	17.109	2.472	194.655
Adult Social Care	25.394	0.000	0.000	25.394
Community & Environmental Services	108.728	9.706	0.000	118.434
Finance & Comm Servs	49.741	0.878	0.000	50.619
Strategy and Governance	0.400	0.000	0.000	0.400
Total	359.337	27.693	2.472	389.502
			30.165	

Note: this table may contain rounding differences

- 1.8 The additional funding of £2.472m in Children's Services relates to Schools Condition capital funding received from the DfE.

2 Financing the capital programme

- 2.1 Funding for the capital programme comes primarily from grants and contributions provided by central government and prudential borrowing. These are supplemented by capital receipts, developer contributions, and contributions from revenue budgets and reserves.

Table 4: Financing of the capital programme

Funding stream	2020-21 Programme £m	Future Years Forecast £m
Prudential Borrowing	188.332	267.015
Use of Capital Receipts	-	-
Revenue & Reserves	0.381	-
<i>Grants and Contributions:</i>	-	-
DfE	40.388	44.864
DfT	99.940	58.117
DoH	8.837	-
MHCLG	0.240	0.019
DCMS	5.532	0.183
DEFRA	0.133	1.940
Developer Contributions	21.230	10.247
Other Local Authorities	0.908	-
Local Enterprise Partnership	3.382	-
Community Infrastructure Levy	0.847	0.282
National Lottery	2.463	6.771
Commercial Contributions	3.224	-
Business rates pool fund	1.658	-
Other	1.228	0.065
Total capital programme	378.722	389.503

Note: this table may contain rounding differences

- 2.2 Significant capital receipts are anticipated over the life of the programme. These will be used either to re-pay debt as it falls due, for the flexible use of capital receipts to support the revenue costs of transformation, with any excess receipts used to reduce the call on future prudential borrowing. For the purposes of the table above, it is assumed that all capital receipts will be applied directly to the re-payment of debt and transformation projects, rather than being applied to fund capital expenditure.
- 2.3 Developer contributions are funding held in relation to planning applications. Section 106 (Town and Country Planning Act 1990) contributions are held in relation to specific projects: primarily schools, with smaller amounts for libraries and highways. The majority of highways developer contributions are a result of section 278 agreements (Highways Act 1980). The Commercial Contribution referred to above is in respect of next generation broadband access (Better Broadband for Norfolk).

3 Capital Receipts

- 3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.
- 3.2 The capital programme, approved in February 2020, gave the best estimate at that time of the value of properties available for disposal in the three years to 2022-23, totalling £14.0m.

Table 5a: Disposals capital programme forecast

Financial Year	Property sales forecast £m
2020-21	10.6
2021-22	1.5
2022-23	1.9
2023-24	1.0
	14.0

The timing of future year sales is the most optimistic case, and may slip into future years if sales completions are delayed.

- 3.3 The revised schedule for current year disposals is as follows:

Table 5b: Capital receipts and forecast use current financial year £m

Capital receipts 2020-21	£m
Capital receipts reserve brought forward	1.347
Loan repayments – subsidiaries forecast for year	0.504
Loan repayments – LIF loan repayments to date	2.471
Actual property sales to P7 net of associated costs	0.970
Secured capital receipts to date	5.292
Potential current year farms sales	1.300
Potential current year non-farms sales	2.300
Potential development property sales	2.900
Potential capital receipts	11.792
Forecast use of capital receipts	
Budget 2020-21 to repay debt	2.000
Maximum flexible use of capital receipts to support transformation costs	3.000
Total forecast use of capital receipts	5.000

As can be seen from this table, sufficient capital receipts will be secured in order to support the 2020-21 revenue budget. Further sales may occur this year to increase the value of capital receipts, and estimated values are shown above, but the timing cannot be guaranteed.

4 Capital programme, new and amended schemes

4.1 Card Payments Programme – software systems development £0.030m

In June 2019 Finance Exchequer Services purchased the Secure Card Portal (SCP) from Capita. The SCP provides a Business to Business interface that interacts between a third-party system provider and the SCP to manage the secure processing of card payments. The SCP will replace the current online card payment offering provided by Global Payments due to the current contract ending on 16th April 2021.

Having already invested in Capita's products, the migration from Global Payments to Capita enables a standardised approach to taking card payments across NCC, this saves time, effort, and costs. Capita's products are also Payment Card Industry Compliant (PCI) and Strong Customer Authentication compliant. NCC has a 7-year contract with CAPITA meaning support and upgrade paths are already in place.

There is a requirement for development of 3rd party software systems across service areas to enable card payment transaction detail to be received by Norfolk County Council. This development will provide a long-term platform enabling card payments to be taken across NCC, with the majority taking place in 2020-21 to complete before the current contract ends.

4.2 Hethel Innovation Centre Limited additional loan facility

An exempt appendix 3 to this report sets out a proposal to allocate loan funding from within the existing capital programme to Hethel Innovation Limited to purchase additional land.

Capital Annex 1 - changes to capital programme since last Cabinet

			2020-21	2020-21	21-22+	21-22+	
Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
Children's							
	Hethersett Developer contribution -Allocated to EC4874 Hethersett New Primary	External - S106	- 2.867				Allocation of Developer contributions per agreements
	Hethersett New Primary	External - S106	2.867				Allocation of Developer contributions per agreements
	Hethersett Developer contribution - Allocated to Hethersett Academy	External - S106	- 0.147				Allocation of Developer contributions per agreements
	AC Hethersett Academy Expansion	External - S106	0.147				Allocation of Developer contributions per agreements
	Methwold Developer contribution	External - S106	0.116				Additional funding
	EC4290 Condition Contingency	External & Borrowing	-	0.750		0.750	Reprofile to future years
	EC4344 Fen Rivers phase 2	External	-	2.000		2.000	Reprofile to future years, to match likely spend
	EC4348 Fakenham New SEN School	Borrowing	-	5.000		5.000	Reprofile to future years, to match likely spend
	EC4422 Easton Land Acquisition	External & Borrowing	-	0.741		0.741	Reprofile to future years
	EC4695 Basic need	External	-	2.616		2.616	Reprofile to future years for allocation in future years
	EC4747 SEND	Borrowing		1.000	-	1.000	Reprofile back to 20/21 to cover allocations in year
	EC4806 FN-St Michaels, Aylsham - Additional classrooms	External	-	0.900		0.900	Reprofile to future years
	EC4810 Swaffham Sports hall re roofing	External	-	0.694		0.694	Reprofile to future years
	EC4822 Condition Funding	External			2.456		Additional Condition funding
	EC4822 Condition Funding	External & Borrowing	-	4.196		4.196	Reprofile to future years for allocation in future years
	EC4844 Tunstead Modular Replacement	Borrowing	-	0.140		0.140	Reprofile to future years, to match likely spend
	EC4908 - Poringland Phase 3	External	-	0.300		0.300	Reprofile to future years, to match likely spend
	EC4920 - Cringleford New Academy	External	-	0.090		0.090	Reprofile to future years
	EC4921 Covid-19 Special Requests	Borrowing	-	0.200		0.200	Reprofile to future years
	EC4925 Sprowston High Academy (Multi Use Games Area)	External	-	0.200		0.200	Reprofiled project will complete next financial year
	EC4708 Hillcrest SRB	Borrowing	-	0.132		0.132	Reprofile to future years
	EC4709 Mundesley SRB	Borrowing	-	0.150		0.150	Reprofile to future years
	other small adjustments		- 0.013		0.016		
Total Children's services			0.103	-17.109	2.472	17.109	

	LA9007-Wensum Lodge Development	Borrowing		-1.239		1.239	Reprofile project works to future years, due to impact of COVID pandemic.
	ICT - Fire Service - Mobile Device on Fire Engine	Borrowing	-0.197				Virement of ICT Mobile device budget to Fire, to match spend.
	Fire -Critical equipt replacement program.	Borrowing	0.197				Mobile device on Fire Engine purchased.
	CF0390 Fire Portable cabin/office	Borrowing		-0.042		0.042	Resource not available to progress - to be reconsider re COVID
	CF0503 NCC swipe card access Fire premises	Borrowing		-0.142		0.142	Resource not available to progress - to be reconsider re COVID
	CF0511 Fire Cadet Uniforms	Borrowing		-0.025		0.025	Cadet uniforms on hold no activity due to COVID
	CF0383 Fire Drone purchase	External		-0.019		0.019	collaboration with Police delay due to priorities
	Highways - Local Highway Improvement	External	0.036				Additional parish council funding contribution.
	Highways - other schemes	External	0.078				Additional External funding e.g. Developer contributions allocated to in year schemes.
	Highways - Western Link	Borrowing	-1.250				Correction of temporary manual adjustment re previous year land purchase
	Library - S106 schemes	External		-0.203		0.203	Budget reprofiled to reflect the current position of projects.
	LL1040 Library Building Improvements	External/Borrowing		-0.847		0.847	Budget reprofiled to reflect the current position of projects.
	Library - other schemes allocation adjustments	External	0.066				Budget allocation and adjustment to current project.
	Museum - MM0550 HLF Castle Keep Delivery Plan	External	-0.411				Budget adjusted identified revenue costs
	Museum - MM0550 HLF Castle Keep Delivery Plan	External/Borrowing		-7.189		7.189	Budget reprofiled to reflect the current position of project, delay due to pandemic.
Total CES			-1.481	-9.706	0.000	9.706	
	Burlingham Farm Estate	Borrowing		-0.337		0.337	Reprofile to future years, adjustment to work profile.
	Outwell Farm Estate	Borrowing		-0.268		0.268	Reprofile to future years, adjustment to work profile.
	Nordelph Farm Estate	Borrowing		-0.161		0.161	Reprofile to future years, adjustment to work profile.
	Other Farms Estate adjustment to programme	Borrowing		-0.112		0.112	Reprofile to future years, adjustment to work profile.
Total Finance			0.000	-0.878	-	0.878	
Total			-1.378	-27.693	2.472	27.693	

Report title:	Mid-Year Treasury Management Monitoring Report 2020-21
Date of meeting	7 December 2020
Responsible Cabinet Member	Cllr Andrew Jamieson (Cabinet Member for Finance)
Responsible Director	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	No
<p>Introduction from Cabinet Member</p> <p>This report and the attached annex provide details of the 2020-21 treasury activities and highlights compliance with policy and strategy previously approved in relation to treasury management.</p> <p>Executive Summary</p> <p>In accordance with regulatory requirements, this report provides information on the Treasury Management activities of the County Council for the period 1 April 2020 to 30 September 2020.</p> <p>Recommendations</p> <p>Cabinet is asked to:</p> <ul style="list-style-type: none"> • endorse and recommend to County Council the Mid-Year Treasury Management Monitoring Report 2020-21. 	

1. Background and Purpose

- 1.1. This Treasury Management Report forms an important part of the overall management of the Council's financial affairs. The regulatory environment places responsibility on Members for the review and scrutiny of treasury management policy and activity.

2. Proposals

- 2.1. This report provides details of the 2020-21 treasury activities for the 6 months to September 2020, and highlights compliance with policy and strategy previously approved by Members in relation to treasury management.

3. Impact of the Proposal

- 3.1. The impact of this report is to demonstrate that during the first six months of 2020-21, the Council's treasury management operations have been carried out in accordance with best practice and in compliance with legislative and regulatory requirements.

4. Evidence and Reasons for Decision

4.1. One annex is attached to this report, giving details of treasury management activities and outcomes, including:

- Investment activities
- Borrowing strategy and outcomes
- Non-treasury investments
- Prudential indicators.

5. Alternative Options

5.1. In order to achieve treasury management in accordance with the Council's treasury management strategy, no viable alternative options have been identified to the recommendation in this report.

6. Financial Implications

6.1. At 30 September 2020, the Council's external debt was £704m. No borrowing has been undertaken in the first six months of 2020-21. The current year's treasury strategy assumes borrowing of £80m will take place in the remainder of the current financial year.

Although HM Treasury increased PWLB rates by 1% in 2019, long term borrowing rates remain historically low. Officers are awaiting the results of a PWLB consultation and will then work with the Council's treasury advisors to identify the most appropriate timing of new borrowing and whether alternative lenders can offer more competitive rates.

At 30 September 2020, the Council's cash balances totalled £177m, split between UK bank deposits and money market funds. During this period the Bank of England base rate was 0.1%. In line with this historically low rate, average interest generated on treasury cash investments was 0.27%, compared to 0.93% in the equivalent period last year.

The Council's treasury management operations have been carried out in accordance with the Council's Treasury Management Strategy, treasury best practice, and in compliance with legislative and regulatory requirements.

7. Resource Implications

7.1. There are no direct staff, property or IT implications arising from this report.

8. Other Implications

8.1. Legal Implications:

In order to fulfil obligations placed on chief finance officers by section 114 of the Local Government Finance Act 1988, the Executive Director of Finance and Commercial Services continually monitors financial forecasts and outcomes to ensure resources (including sums borrowed) are available to meet annual expenditure.

8.2. Human Rights implications

None identified.

8.3. Equality Impact Assessment

In setting the 2020-21 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published on page 450 of the 13 January 2020 Cabinet agenda as “Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)”.

The Council is maintaining a dynamic [COVID-19 equality impact assessment](#) to inform decision making during the pandemic.

The Council’s net budget, and as a consequence its underlying operational cash requirements, remained unchanged throughout the financial year and there are no additional equality and diversity implications arising out of this report.

9. Risk Implications/Assessment

- 9.1. The Council’s Corporate Risk Register provides a full description of corporate risks, including corporate level financial risks, mitigating actions and the progress made in managing the level of risk.

A majority of risks, if not managed, could have significant financial consequences such as failing to generate income or to realise savings, which in turn would have an impact on the Council’s cash balances or the timing and amount of borrowing. Executive Directors have responsibility for managing their budgets within the amounts approved by County Council.

More specifically, the Council’s Treasury Management Strategy sets parameters for the selection and placing of cash balances, taking into account counterparty risk and liquidity. The strategy also sets out how the Council manages interest rate risks.

10. Recommendation

- 10.1. Recommendations are set out in the executive summary to this report.

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

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Email address: Howard.jones@norfolk.gov.uk



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

Norfolk County Council

Annex 1: Mid-Year Treasury Management Monitoring Report 2020-21

Report by the Executive Director of Finance and Commercial Services

1. Introduction

- 1.1 The Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice for Treasury Management in the Public Sector (the Code), requires that the County Council receives a mid-year review of treasury activities in addition to the forward-looking annual investment and treasury strategy and backward-looking annual treasury report. The Annual Investment and Treasury Strategy for the current year (2020-21) was approved by County Council on 17 February 2020.
- 1.2 The County Council operates a balanced budget, which broadly means cash raised during the year will meet its cash expenditure. Part of the treasury management operations ensure this cash flow is adequately planned and managed.
- 1.3 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning to ensure the Council can meet its capital spending operations. This management of longer-term cash may involve arranging long or short term loans, or using longer term cash flow surpluses and on occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.4 Accordingly treasury management is defined as:

“The management of the local authority's **borrowing**, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”
- 1.5 The County Council recognises the importance of monitoring treasury management activities, with regular reports being presented to the Treasury Management Panel and Cabinet throughout the year.
- 1.6 This mid-year review provides commentary on economic conditions produced by Link Asset Services (the Council's external treasury advisors) and details treasury activities for the period 1 April 2020 to 30 September 2020 including; cash balances and cash flow management, investment performance, counterparty management, long term borrowing/debt management and prudential indicators.
- 1.7 **Capital Strategy:** In December 2017, the Chartered Institute of Public Finance and Accountancy, (CIPFA), issued revised Prudential and Treasury

Management Codes. As from 2019-20, all local authorities have been required to prepare a Capital Strategy which is intended to provide the following: -

- a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
- an overview of how the associated risk is managed
- the implications for future financial sustainability

A Capital Strategy was approved at full Council as part of the capital programme papers in February 2020.

- 1.7 **Treasury Management Strategy:** The Council's Treasury Management Strategy for 2020-21 was approved by full Council on 17 February. Since that time there have been no policy changes to the current year's strategy. One amendment to lending limits was approved by Cabinet on 8 June 2020 and subsequently at County Council on 20 July 2020 increasing the working capital loan available to Hethel Innovation Limited from £0.500m to £1.250m.

2. Economic Overview and interest rate forecasts

2.1 Economic update

UK – as at 30 September

- 2.1.1 As expected, the Bank of England's Monetary Policy Committee ("MPC") has kept Bank Rate unchanged in the year to date. It also kept unchanged the level of quantitative easing at £745bn. Its forecasts were optimistic in terms of three areas:
- o The fall in GDP in the first half of 2020 was revised from 28% to 23% (subsequently revised to -21.8%). This is still one of the largest falls in output of any developed nation. However, it is only to be expected as the UK economy is heavily skewed towards consumer-facing services – an area which was particularly vulnerable to being damaged by lockdown.
 - o The peak in the unemployment rate was revised down from 9% in Q2 to 7½% by Q4 2020.
 - o It forecast that there would be excess demand in the economy by Q3 2022 causing CPI inflation to rise above the 2% target in Q3 2022, (based on market interest rate expectations for a further loosening in policy). Nevertheless, even if the Bank were to leave policy unchanged, inflation was still projected to be above 2% in 2023.
- 2.1.2 At its August meeting, the MPC suggested that while negative rates can work in some circumstances, it would be "less effective as a tool to stimulate the economy" at this time when banks are worried about future loan losses. It also has "other instruments available", including QE and the use of forward guidance.
- 2.1.3 The MPC expected the £300bn of quantitative easing purchases announced between its March and June meetings to continue until the "turn of the year". This implies that the pace of purchases will slow further to about £4bn a week, down from £14bn a week at the height of the crisis and £7bn more recently.
- 2.1.4 The MPC acknowledged that the "medium-term projections were a less informative guide than usual" and the minutes had multiple references to downside risks, in the light of "Covid-19", and Brexit uncertainties ahead of the year-end deadline.
- 2.1.5 The wind down of the initial generous furlough scheme through to the end of October could cause the Bank to review the need for more support for the economy later in the year. The Chancellor announced in late September a second six month package from 1st November of government support for jobs but this is a less generous scheme than the furlough package and will inevitably mean there will be further job losses from the 11% of the workforce still on furlough (as at mid-September).
- 2.1.6 Overall, the pace of recovery is not expected to be in the form of a rapid V shape, but a more elongated and prolonged one after a sharp recovery in June through to August which left the economy 11.7% smaller than in February. The last three months of 2020 are now likely to show no growth as consumers will probably remain cautious in spending and uncertainty over the outcome of the UK/EU trade negotiations. If the Bank felt it did need to provide further support to recovery, then it is likely that the tool of choice would be more QE.

- 2.1.7 There will be some painful longer term adjustments as e.g. office space and travel by planes, trains and buses may not recover to their previous level of use for several years, or possibly ever. There is also likely to be a reversal of globalisation as this crisis has shown up how vulnerable long-distance supply chains are. On the other hand, digital services is one area that has already seen huge growth.
- 2.1.8 One key addition to the Bank's forward guidance was a new phrase in the policy statement, namely that "it does not intend to tighten monetary policy until there is clear evidence that significant progress is being made in eliminating spare capacity and achieving the 2% target sustainably". That seems designed to say, in effect, that even if inflation rises to 2% in a couple of years' time, do not expect any action from the MPC to raise Bank Rate – until they can clearly see that level of inflation is going to be persistently above target if it takes no action to raise Bank Rate.

Non-UK

- 2.1.9 **USA:** The incoming sets of data during the first week of August were almost universally stronger than expected. With the number of new daily coronavirus infections beginning to abate, recovery from its contraction this year of 10.2% should continue over the coming months and employment growth should also pick up again. However, growth will be dampened by continuing outbreaks of the virus in some states leading to fresh localised restrictions. At its end of August meeting, the Fed tweaked its inflation target from 2% to maintaining an average of 2% over an unspecified time period i.e. following periods when inflation has been running persistently below 2%, appropriate monetary policy will likely aim to achieve inflation moderately above 2% for some time. This change is aimed to provide more stimulus for economic growth and higher levels of employment and to avoid the danger of getting caught in a deflationary "trap" like Japan. The increase in tension over the last year between the US and China is likely to lead to a lack of momentum in progressing the initial positive moves to agree a phase one trade deal.
- 2.1.10 **EU:** The economy was recovering well towards the end of Q2 after a sharp drop in GDP, (e.g. France 18.9%, Italy 17.6%). However, the second wave of the virus affecting some countries could cause a significant slowdown in the pace of recovery, especially in countries more dependent on tourism. The fiscal support package, eventually agreed by the EU after prolonged disagreement between various countries, is unlikely to provide significant support and quickly enough to make an appreciable difference in weaker countries.
- 2.1.11 **China:** After a concerted effort to get on top of the virus outbreak in Q1, economic recovery was strong in Q2 and has enabled it to recover all of the contraction in Q1. However, this was achieved by major central government funding of yet more infrastructure spending. After years of growth having been focused on this same area, any further spending in this area is likely to lead to increasingly weaker economic returns. This could, therefore, lead to a further misallocation of resources which will weigh on growth in future years.
- 2.1.12 **Japan:** There are some concerns that a second wave of the virus is gaining momentum and could dampen economic recovery from its contraction of 8.5% in GDP. It has been struggling to get out of a deflation trap for many years and to stimulate consistent significant GDP growth and to get inflation up to its target of

2%, despite huge monetary and fiscal stimulus. It is also making little progress on fundamental reform of the economy.

2.1.13 **Other:** Latin America and India are currently hotspots for virus infections. World growth will be in recession this year. Inflation is unlikely to be a problem for some years due to the creation of excess production capacity and depressed demand caused by the coronavirus crisis.

2.2 Link Interest Rate Forecast

2.2.1 The Council's treasury advisor, Link Asset Services, has provided the following forecast:

Link Group Interest Rate View 11.8.20										
	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate View	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 month average earnings	0.05	0.05	0.05	0.05	0.05	-	-	-	-	-
6 month average earnings	0.10	0.10	0.10	0.10	0.10	-	-	-	-	-
12 month average earnings	0.15	0.15	0.15	0.15	0.15	-	-	-	-	-
5yr PWLB Rate	1.90	2.00	2.00	2.00	2.00	2.00	2.10	2.10	2.10	2.10
10yr PWLB Rate	2.10	2.10	2.10	2.10	2.20	2.20	2.20	2.30	2.30	2.30
25yr PWLB Rate	2.50	2.50	2.50	2.60	2.60	2.60	2.70	2.70	2.70	2.70
50yr PWLB Rate	2.30	2.30	2.30	2.40	2.40	2.40	2.50	2.50	2.50	2.50

2.2.2 As shown in the table above, no increase in Bank Rate is expected within the forecast horizon ending on 31 March 2023 as economic recovery is expected to be only gradual and, therefore, prolonged.

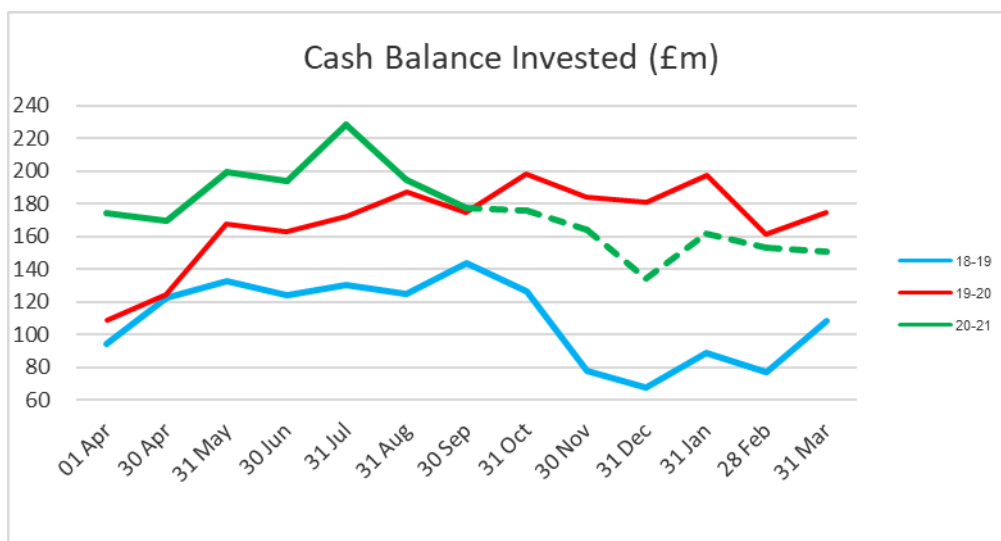
2.2.3 Gilt yields were on a generally falling trend up until the coronavirus crisis hit western economies during March. After gilt yields spiked up during the initial phases of the health crisis in March, we have seen these yields fall sharply to unprecedented lows as major western central banks took rapid action to deal with excessive stress in financial markets, and started massive quantitative easing purchases of government bonds.

2.2.4 From the local authority borrowing perspective, in October 2019 HM Treasury added an additional 1% margin over gilts for mainstream borrowing. The Treasury has subsequently consulted with local authorities on changes to the PWLB arrangements. While the outcome is not known, it is clear HM Treasury will no longer allow local authorities to borrow money from the PWLB to purchase commercial property if the aim is solely to generate an income stream (assets for yield). It is possible that PWLB rates will be reduced after the conclusion of the consultation; however, the timing of such a change is currently an unknown, although it would be likely to be within the current financial year.

2.2.6 As the interest forecast table above suggests, there is likely to be little upward movement in PWLB rates over the next two years as it will take economies, including the UK, a prolonged period to recover.

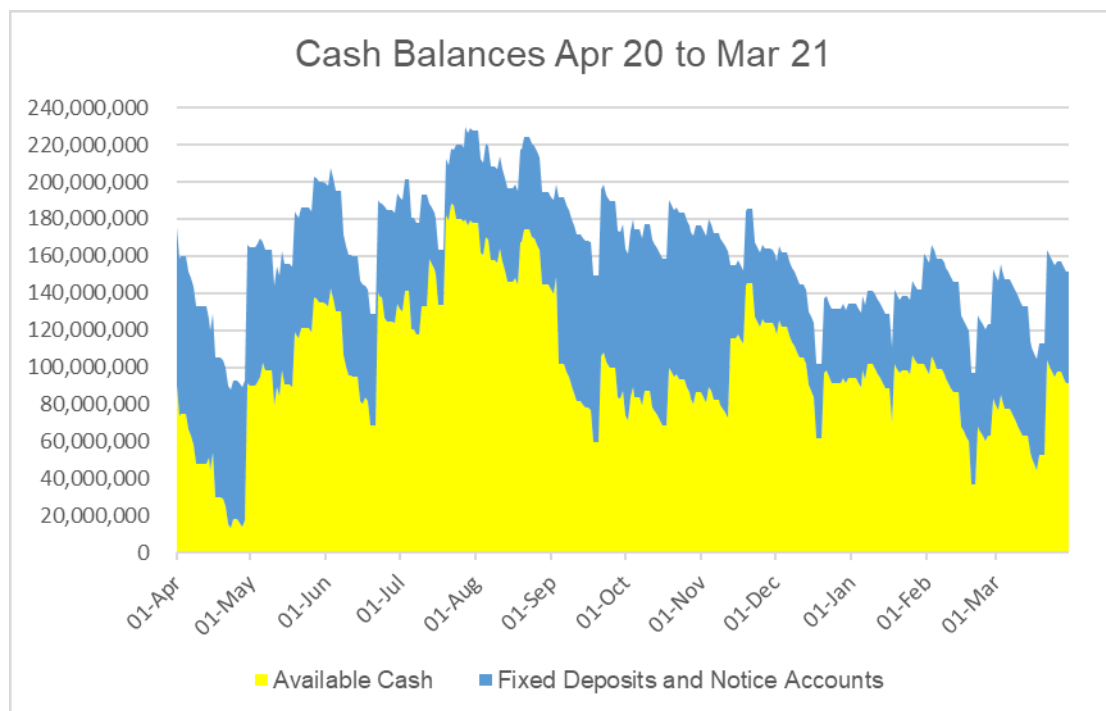
3. Cash Balances and Cash Flow Management

- 3.1 The Council's cash balances comprise of revenue and capital resources, such as general balances, provisions and earmarked reserves and the timing differences between the receipt and payment of monies required to meet the cost of County Council services and its capital programme. The average level of cash balances year to date totals £177m (equivalent last year £175m).
- 3.2 Cash balances are managed internally and have been invested in accordance with the Council's approved Authorised Lending List.
- 3.3 A key objective of cash flow management is to minimise balances held in the Council's bank accounts at zero interest.
- 3.4 Of the 250 bank accounts administered by the County Council, only 3 are principal accounts (one for income collection, general expenditure and salary payments). The remaining bank accounts are service specific, for example schools locally managing their devolved budgets. The corporate treasury management function ensures the efficient management of cash balances across all bank accounts by aggregating and investing surplus cash balances on a daily basis.
- 3.5 Cash balances available for investment have increased from £174m at 1 April 2020 to £177m at 30 September 2020. The table below shows the level of cash balances over the last two and a half years with a forecast for the next 6 months to March 2021 (dashed green line), assuming a further £80m additional borrowing.



- 3.6 Longer term cash deposits (in excess of 9 months) have reduced due to lack of yield in the market along with the approach of keeping the cashflow more agile in the uncertain times of the current pandemic. However, a proportion of the Council's cash balances remain invested in medium term (3-6 months) deposits where higher rates of return can be achieved. As a result, short term (overnight) borrowing may be necessary from time to time. The costs of temporary borrowing can be currently absorbed because short term borrowing rates are currently lower than medium/longer term deposit rates.

- 3.7 Despite not having borrowed to fund capital expenditure in the six months to September the County Council has not had to borrow short term during that period.
- 3.8 Details of daily liquidity are provided in the graph below. The bottom yellow segment of the graph shows the actual daily liquidity (the amount of cash on instant access deposit) compared with cash invested for longer fixed periods (top blue segment of the graph). The forecast average daily liquidity level, assuming £80m additional long-term borrowing, is around £90m.



4. Investment Portfolio

4.1 In accordance with the Code, it is the Council's priority to ensure security of capital and liquidity, and to obtain an appropriate level of return which is consistent with the Council's risk appetite. As shown by forecasts in section 2.2, it is a very difficult investment market in terms of earning the level of interest rates commonly seen in previous decades as rates are very low and in line with the current 0.1% Bank Rate.

4.2 At 30 September 2020, the Council held £177m of investments. The profile of these investments is shown in the table below.

Institutional Sector	Liquid £M	Upto 3 Months £M	Upto 6 Months £M	Upto 9 Months £M	Upto 12 Months £M	Over 12 Months £M
UK Banks	10	80	10	0	0	0
Non-UK Banks	0	0	0	0	0	0
Building Societies	0	0	0	0	0	0
Money Market Funds	77.1	0	0	0	0	0
Other	0	0	0	0	0	0
Total	87.1	80	10	0	0	0

4.3 A more detailed investment profile is shown at Appendix 1.

4.4 The average interest rate earned year to date is 0.27% (comparative period in 2019 0.93%). This compares favourably with the average London Interbank Bid Rate (LIBID) – outperforming the current 6 month LIBID deposit rate. The table below gives a monthly cumulative year-to-date comparison against the LIBID benchmarks for 7 day, 3 month, 6 month and 12 month.

2020/21	Interest Earned Year to Date (%)	7 day LIBID Year to Date (%)	3 Month LIBID Year to Date (%)	6 Month LIBID Year to Date (%)	12 Month LIBID Year to Date (%)
Apr 20	0.48	-0.02	0.52	0.60	0.73
May 20	0.42	-0.03	0.36	0.49	0.64
Jun 20	0.38	-0.04	0.26	0.40	0.56
Jul 20	0.32	-0.05	0.19	0.32	0.47
Aug 20	0.28	-0.05	0.14	0.25	0.41
Sep 20	0.27	-0.05	0.11	0.21	0.35

4.5 Gross interest earned for the period 1 April 2020 to 30 September 2020 is £0.242m (comparative period in 2019: £0.679m).

- 4.6 In addition, the County Council has undertaken daily treasury management activities on behalf of the Norfolk Pension Fund, the Norse Group, and Independence Matters. Average cash balances managed on behalf of these other bodies totalled £49m, earning interest of £0.048m in the six months to 30 September 2020.
- 4.7 Approved limits within the Annual Investment Strategy were not breached during the period covered by this report. A summary of treasury prudential indicators and the position at 30 September 2020 is shown in Appendix 4.

5. Counterparty Maintenance

- 5.1 The Executive Director of Finance and Commercial Services is responsible for maintaining an Approved Counterparty List in accordance with the criteria as set out in the approved Annual Investment and Treasury Strategy 2020-21. Credit rating information is supplied by our treasury advisors on all active counterparties. Any rating changes, rating watches (notification of a likely change) and rating outlooks (notification of a possible longer term change) are provided by our treasury advisors immediately as they occur. A wide range of market information such as Credit Default Swap prices and share price is also taken into account. The Approved Counterparty List is therefore actively managed on a day-to-day basis and when an institution no longer meets the Council approved counterparty criteria, it is immediately removed.
- 5.2 There have been no credit rating downgrades during the period 1 April 2020 to 30 September 2020 that have resulted in counterparties being removed from the approved counterparty list.

6. Non-treasury investments

- 6.1 Following updates to Treasury Management reporting requirements from 2020-21 under the revised CIPFA Code, local authorities have to report more information on their non-treasury investments. Appendix 3 lists non-treasury investments made or held by the authority, with a short narrative and explanation of the objectives for each one.

7. Long Term Borrowing/Debt Management

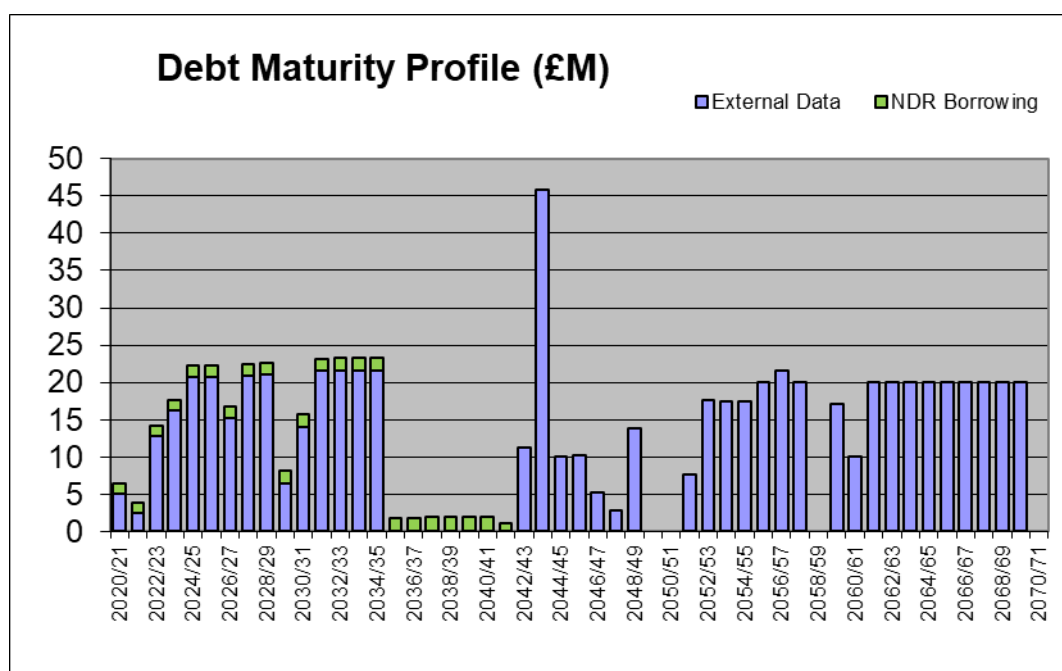
7.1 The County Council undertakes capital expenditure on long-term assets. This activity gives rise to the need to borrow. Part of the Council's treasury management activity is to address this borrowing need, either through long term borrowing from external bodies (PWLb, UKMBA or private placement) or utilising temporary cash resources within the County Council pending long term borrowing.

7.2 In accordance with the approved 2020-21 Investment and Treasury Strategy, the County Council maintains a flexible approach to borrowing for capital purposes which avoids the 'cost of carrying debt' in the short-term but which recognises the Council's need to maintain cash balances to fund working capital. As a result, the Council is taking advantage of historically low interest rates to fund its capital financing requirement.

7.3 No PWLB or other borrowing has been taken in the 6 months to September 2020

A total of £80m borrowing is planned for the remainder of 2020-21 as part of the Council's approved treasury management strategy.

7.4 At 30 September 2020, the Council's external borrowing (debt outstanding) totalled £704M. The re-payment profile for debt is shown below.



7.5 Appendix 2 shows debt maturities during the last 2 years, including the amount of debt repaid, the rate of interest and interest savings.

7.6 The Council's borrowing requirement (past capital expenditure for which the approved borrowing has not yet been drawn down) at the end of 2020-21 is expected to be approximately £150m. This assumes substantial delivery of the capital programme, and a total of £80m borrowed during 2020-21. The Executive Director of Finance and Commercial Services, under delegated

powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks identified in the economic forecast (Section 2).

The most likely sources of long- term borrowing are:

- PWLB
- The UK Municipal Bonds Agency

Other arrangements such as private placements may be considered subject to the availability and cost of borrowing from alternative sources, and advice from the Council's Treasury Advisors. Prior to any borrowing, the additional pressure on current and future revenue interest payables budgets, as well as any arrangement fees, will be taken into account.

7.7 The PWLB provides a facility to restructure debt, including early repayment of loans, albeit at a cost which reflects the difference between current and past interest rates. Rates are monitored on a regular basis in order to identify possible repayment opportunities.

7.8 The Council continues to maintain its total gross borrowing level well within its Authorised Limit of £1,068m for 2020-21. The Authorised Limit being the 'affordable borrowing limit' required by section 3 of the Local Government Act 2003, and includes "other long term liabilities" such as PFI commitments and leases, as well as PWLB and other borrowing.

8. Treasury Management Prudential Indicators

8.1 As part of the Annual Investment and Treasury Strategy Report in February 2020 County Council approved a number of indicators intended to restrict the activity of the treasury function to certain limits, thereby managing risk and reducing the impact of an adverse movement in interest rates. The indicators cover;

- Maximum principal sums invested > 365 days
- Fixed and variable interest rate exposure
- Maturity profile of debt

8.2 The Prudential Code requires regular monitoring to be undertaken in-year against all key indicators. Monitoring is reported to Cabinet on an 'exception basis'. Monitoring of the 2020-21 treasury indicators shows no deviation from expectations or breaches of limits as at 30 September 2020. Further details are shown in Appendix 4.

9. Minimum Revenue Provision

9.1 MHCLG Statutory Guidance on Minimum Revenue Provision issued by the Secretary of State in February 2018 states that local authorities may choose to pay more MRP than they consider prudent in any given year. If they do so they should separately disclose the in-year and cumulative amount of MRP overpaid in the Statement presented to full Council, and the latest calculation and forecast for the current and previous year is set out in the following table:

	£m
Cumulative amount of MRP previously overpaid 1 April 2019	35.391

Use of overpaid MRP	19.928
MRP previously overpaid carried forward 31 March 2020	17.464
Forecast use of overpaid MRP 2020-21	17.464
Forecast MRP previously overpaid carried forward 31 March 2021	0

Outstanding Deposit Profile @ 30th September 2020

Appendix 1

Counterparty Name	Deal Date	Maturity Date	Interest Rate %	Principal £M
Aberdeen				
Aberdeen Money Market Fund	Instant Liquidity		0.08*	37.148
				37.148
Aviva				
Aviva Money Market Fund	Instant Liquidity		0.06*	40
				40
Barclays Bank				
Barclays Bank Call Account	Instant Liquidity		0.05*	10
				10
Lloyds Banking Group				
Lloyds 95 Day Notice Account		13-Nov-20	0.30	50
				50
Santander				
Santander UK 95 Day Notice Account	95 Day Notice		0.50	30
Santander UK 180 Day Notice Account	04-Sep-20	15-Mar-21	0.60	10
				40
Total Deposits				177.1

* Latest rates as at 30th September 2020

In addition deposits of £37.164m were held on behalf of other bodies:
Norfolk Pension Fund, Norse Group and Independence Matters.

Appendix 2

Debt Maturities 2019/20 to 2020/21			
Maturity Date	Amount Repaid	Rate	Full Year Interest Saving
15/06/2019	£1,500,000	5.125%	£76,875
30/09/2019	£500,000	9.750%	£48,750
11/10/2019	£1,500,000	4.625%	£69,375
15/12/2019	£1,525,000	6.500%	£99,125
31/03/2020	£500,000	9.375%	£46,875
2019/20	£5,525,000		£341,000
30/09/2020	£500,000	9.750%	£48,750
11/10/2020	£589,554	4.625%	£27,267
11/10/2020	£1,910,446	4.625%	£88,358
15/12/2020	£1,525,000	6.500%	£99,125
31/03/2021	£500,000	9.375%	£46,875
2020/21	£5,025,000		£310,375
Apr 19 to Mar 21	£10,550,000		£651,375

Non-treasury investments

Non-treasury investments - Capital loans and similar arrangements including objectives and context

Capital loans are not classed as a treasury management activity but have an impact on cash flows, and interest received, and are included as part of Treasury Management reporting as a result of recent revisions to the CIPFA Code. Current capital loans are as follows:

Capital loans	Balance 31 March 2020 £m	Authority / Objectives	Funding and other notes
Infrastructure related loans			
GNGB/CIL support for NDR ("Broadland Northway")	35.848	Formal arrangements between GNGB members, to allocated CIL receipts to support £40m costs of the NDR, was agreed 21 October 2015. Rather than a loan as such, the arrangement is long term loan repayment support.	Payments allocated from CIL receipts match the interest and repayments due on a £40m PWLB loan taken out by Norfolk County Council in 2016-17 to part fund construction of the NDR. The arrangement is treated as a long-term debt in the financial statements, and has first call on CIL receipts.
NDR Radar Loan	2.194	NCC Cabinet 2 September 2013 agreed to part fund relocation of the Norwich International Airport radar as a compensatory element of the NDR project. A legal agreement for the funding of the radar was agreed with Norwich Airport Limited on 18 October 2013. Repayments will start 2023 when the previous radar would have been replaced.	The airport will contribute to the cost of the radar through financing arrangements from years 9 to 20 at an agreed commercial rate.

Local infrastructure Fund loans to developers	6.799	The GNGB area City Deal resulted in the establishment of a Local Infrastructure Fund to provide loans to developers for site specific help to enable development sites to be delivered quickly. The fund is now managed directly by Norfolk County Council, and is no longer open.	Loans to date include St. George's Park, Loddon – Halsbury Home East Anglia Ltd, Thurlton, Horsford and Little Plumstead – Cripps Developments, and Rockland St. Mary – FW Properties. The first repayment was triggered in December 2017, since when regular repayments have been received, with further loans being made and interest accrued. One infrastructure loan was fully repaid in 2019-20, with a second loan being fully repaid during the current financial year.
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Loans to Subsidiaries	Balance 31 March 2020	Authority / Objectives	Funding and other Notes / status
Loans to Norse Group	£m		
Norse Energy	10.000	As part of the Mid-Year Treasury Management Monitoring Report 2015-16 to Policy and Resources Committee and then County Council, members approved the extension of the existing Norse Group short-term loan arrangements by a further £15m for specific longer-term loans, with the loans being approved for inclusion within the County Council's capital programme.	Interest paid annually at a commercial variable rate. Repayment of principal is due on the 7th anniversary of loan in December 2022.
Norse Group	2.965	The first loan was for Norse Energy capital investment, and the second to fund replacement of Norse's existing asset portfolio.	Loan agreement dated 14 February 2018, based on fixed commercial rate for 5 years, with option to increase the interest rate if LIBOR increases. Twice yearly repayments of principal and interest started August 2018, with increased principal repayments in 2024 and 2025. Loan will be fully repaid by February 2025.
NPS Aviation Academy	6.000	On 20 July 2015, Policy and Resources Committee authorised a loan of £6.25m to the Norse Group, to create a physical location for the Norwich International Aviation Skills Academy. Norse continues to occupy and use the property.	Annuity loan repayable in 29 equal annual instalments to August 2046.
NEWS	0.424	Loan agreement between Norfolk County Council and Norfolk Environmental Waste Services Limited dated 28 March 2001, for the construction of a materials recycling facility and the purchase of associated vehicles and equipment in Norfolk.	Twice yearly repayments of capital and interest, rate based on PWLB 20-25 year rate at time of agreement. Capital repaid in equal instalments. Original loan £2.44m, to be fully repaid March 2024.
NorseCare	3.000	Loan agreement dated 4 March 2019 between Norfolk County Council and Norse Care for the re-modelling,	Annuity loan repayable in 15 equal annual instalments to March 2034.

		refurbishment and extension of the Mountfield residential home in Norwich.	
Other NCC wholly owned companies			
Hethel Innovations	5.105	On 23 May 2012 Cabinet agreed to approve 60% match funding estimated at £3.77m, via a loan to Hethel Innovation Limited, for the construction of an Advanced Manufacturing Facility at Hethel. The final revision of the loan agreement is dated May 2015 for £3.26m. In addition, the company borrowed £2.132m in 2018-19 to purchase the remainder of its site and buildings from NCC.	Six monthly equal repayments, capital and interest calculated on an annuity basis. Interest rates fixed based on PWLB rates at the date of the loans. The final instalment date for both loans is September 2049.
Total capital loans	72.335		

During the financial year to date, interest and principal has been repaid in accordance with the individual loan agreements. During 2019-20 one new loan of £3m was agreed to fund the Mountfield residential home redevelopment as shown above. Loan repayments of £3.295m were received by the authority, with one infrastructure loan repaid in full. Additional funds of £1.968m were advanced to local developers to fund infrastructure. One infrastructure loan was fully repaid, with a second loan being fully repaid during the current financial year.

Financing

Financing for the Broadland Northway (formerly NDR) arrangement shown above has been provided through a £40m PWLB annuity loan.

The finance for all new capital loans is provided initially from Norfolk County Council surplus cash balances and ultimately PWLB loans or capital receipts.

Relevant powers

- The local authority has the power to do anything which is calculated to facilitate, or is conducive or incidental to, the discharge of any of their functions [a] (whether or not involving the expenditure, borrowing or lending of money or the acquisition or disposal of any property or right).
- The local authority has a general power of competence just like individuals generally [b].
- The local authority may borrow money for any purpose relevant to its function or for the purposes of the prudent management of its financial affairs [c].
- Where the local authority is running a purely commercial or trading activity then it must do it through a company [b].

Sources [a]: Local Government Act 1972 s 111(1); Egan v Basildon Borough Council 2011.

[b]: Localism Act 2011 s 1 and s4

[c]: Local Government Act 2003 s 1

Non-treasury investments – Investment properties as defined for statutory accounting purposes

For statutory accounting purposes, investment properties are assets which are used solely to earn rental income and/or capital appreciation, rather than in the production or supply of goods or services, for administrative purposes, or for sale in the ordinary course of operations. Four properties are classed as investment properties in the Council's statutory accounts, of which the following two make up the vast majority of the value:

Investment property	Norwich Airport Industrial Estate			Agricultural and other land with development potential		
Note	Owned jointly with Norwich City Council 60:40					
Reason for ownership:	Rental income			Capital appreciation		
Financial year	2019-20	2018-19	2017-18	2019-20	2018-19	2017-18
	£m	£m	£m	£m	£m	£m
Net rental income £m	0.436	0.368	0.507	n/a		
Fair value £m	12.345	11.437	11.439	9.755	9.755	10.090

Investment property is re-valued each year by NPS Property Consultants.

The apparent variation in Industrial Estate rental income is due to an over-estimated debtor brought forward in the previous year, and vacant properties seeking tenants. The Council owns other assets which generate rental income, including the Scottow Industrial Estate and the Farms Estate. However these are not held purely to generate a return, and are not included in the Investment properties classification.

Treasury Prudential Indicators

Indicator		Original Indicator £m or %		Actual Year to Date	Headroom: Actual - Indicator	Forecast to Year End	Notes
External Debt Limit (Authorised)		1,067.665		776.811	290.854	851.609	Debt for the purpose of this indicator includes notional lease and PFI liabilities
Operational Boundary Limit		937.188			160.377		
Upper Limits for Fixed Rate Maturity Structure	Under 12 months	0%	10%	1.0%	9.0%	0.5%	The Council's LOBO loans total value £31.25m are included under this indicator. The rates will become variable if interest rates exceed set percentages. This is not forecast to happen in the short or medium term.
	12 months to 2 years	0%	10%	1.0%	9.0%	1.8%	
	2 years to 5 years	0%	10%	8.6%	1.4%	8.0%	
	5 years to 10 years	0%	20%	12.0%	8.0%	11.0%	
	10 years to 20 years	10%	30%	16.4%	13.6%	16.0%	
	20 years to 30 years	10%	30%	14.4%	15.6%	18.0%	
	30 years to 40 years	10%	30%	19.7%	10.3%	19.1%	
40 years to 50 years		10%	40%	27.0%	13.0%	25.7%	
Total principal funds invested for greater than 365 days		100.000		0.000	100.000	0.000	
Total principal funds managed by third party		n/a		0	n/a	0	All investment decisions currently managed internally

Report to Cabinet

Item No 11.

Report title:	CES Compliance and Enforcement Policy
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr Margaret Dewsbury (Cabinet Member for Communities & Partnerships) Martin Wilby (Cabinet Member for Highways, Infrastructure and Transport)
Responsible Director:	Tom McCabe (Executive Director, Community and Environmental Services)

Introduction from Cabinet Member

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

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

Adherence to the Policy has ensured that, in light of the challenges faced by both businesses and the public resulting from the coronavirus pandemic, Services have continued to adopt a process of compliance by consent, through a consistent staged approach of Engagement, Explanation and Encouragement. Only where compliance by consent cannot be achieved, will Enforcement be contemplated.

The title of the Policy has been amended from CES Enforcement Policy to CES Compliance and Enforcement Policy, following a suggestion from the Infrastructure and Development Select Committee at its meeting on 11 November.

In addition, this report also sets out two new Regulations that have come into effect, and where there is a need to put in place relevant arrangements to enable the associated enforcement activities to take place.

Executive Summary

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

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

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

The Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 and the Air Quality (Domestic Solid Fuels Standards) (England)

Regulations 2020 have recently come into force, with enforcement functions resting with the County Council. Delegation of these functions is required to enable associated activities to be actioned, as needed.

Recommendations

- 1. To approve the revised CES Compliance and Enforcement Policy at Appendix A and its annex documents (A-1 to A-6).**
- 2. To agree to delegate the functions of the Council for the purposes of the Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 and the Air Quality (Domestic Solid Fuels Standards) (England) Regulations 2020 to the Head of Trading Standards by making an addition to the County Council's Constitution Appendix 5 (Scheme of Delegation to Officers).**

1. Background and Purpose

- 1.1. The Policy provides a framework to ensure that we work in an equitable, practical and consistent manner in the way we deliver regulatory activities and law enforcement. Norfolk County Council is committed to the principles of better regulation, reducing burdens on business with proportionate responses and ensuring we act to protect and support residents, businesses and the environment. A range of enforcement approaches are available to the Council but there is a need to discharge these in a consistent, fair and transparent way, as well as ensuring that the public or environment is adequately protected.
- 1.2. The current Policy was first developed as a cross-departmental policy in 2013. The Policy covers the range of regulatory functions within CES, including Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Norfolk Fire and Rescue (fire safety) and Highways (networks, maintenance and blue badge enforcement). It does not try to capture all the detailed, complex and often changing background to enforcement, but instead seeks to summarise the overall approach to the use of enforcement powers; whether that is criminal prosecution at one end of the spectrum or informal warnings and advice at the other. The policy is supported by detailed procedures for officers within each service area and, where necessary, additional protocols can be appended to the main policy. There are now six areas of work which appear as annex documents to the main policy; these relate to minerals and waste planning, flood and water management, the Norfolk Fire and Rescue Service, highways enforcement, Blue Badge enforcement and, with effect from this year, Safety of Sports Grounds - see annexes A-1 to A-6 to the main policy.
- 1.3. Appendix B provides enforcement performance information in relation to those regulatory functions covered by the Policy.

2. Proposals

- 2.1. The current Policy has been reviewed by CES regulatory services and updated to reflect recent changes to legislation and guidance. The main change this year is the addition of a Safety of Sports Ground Enforcement Protocol (see annex A-6). This function transferred from Democratic Services to Trading Standards in July 2020 and the protocol has been revised to reflect this.

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

- proportionate to the offence and risks, and mindful of previous transgressions
- transparent - persons affected understand what is expected of them, what

- they should expect from the local authority and the reasons for the action
- consistent in approach, and appropriate.
- consistent with the Equality Act 2010 and the Council's Equalities Policies.

The revised Policy, once adopted, will be published via the NCC web pages. Appendix C documents the stakeholders who have been consulted on and/or contributed to the Policy since 2014.

- 2.2. In addition, two new Regulations have come into effect and there is a need to put relevant arrangements in place to ensure that associated enforcement activities that are the responsibility of the County Council can be actioned.

The Regulator for the purposes of the enforcement of offences under the Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 is the 'local authority, which for Norfolk is the County Council. Regulation 18 enables the regulator to authorise any person to exercise any of the powers specified in the regulations.

The Enforcement body for the purposes of the enforcement of offences under the Air Quality (Domestic Solid Fuels Standards) (England) Regulations 2020 is the 'relevant local authority', which for Norfolk is the County Council. Regulation 16 enables the relevant local authority to appoint an officer to discharge its enforcement functions under these Regulations.

It is recommended that Cabinet delegates the functions of the Council under both sets of Regulations to the Head of Trading Standards and that any necessary amendments are made to the County Council's Constitution, Appendix 5 (Scheme of delegation to officers), with the agreement of the Director of Governance.

3. Impact of the Proposal

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

4. Alternative Options

- 4.1. A CES wide Compliance and Enforcement Policy is considered to be the most effective way to demonstrate how CES intends to fulfil its regulatory/legal responsibilities. An alternative option would be for each service area within CES to produce its own enforcement policy. However as described in section 1.1 above there is need for consistency in overall approach. This draft Policy does provide for additional (detailed) protocols where necessary or appropriate.

5. Financial Implications

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

6. Resource Implications

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

focusing their efforts on rogue and higher-risk businesses.

7. Other Implications

7.1. Legal Implications:

There is a legal context to the deployment of enforcement powers. In 2014 the Regulators' Code (the Code) was published and seeks to provide a clear, flexible and principles-based framework to which regulators should work. It covers how we develop and implement items such as our service standards, policies and legal procedures, and sets out the type of information we must include in our enforcement policy. The Council has a legal obligation to have regard to the Code, including ensuring a consistent approach to enforcement. However, we are able to make changes to the policy, if these would better explain or clarify the requirements arising from the Code.

In certain instances, officers may conclude that a provision in the Code is either not relevant or is outweighed by another provision. Officers will ensure that any decision to depart from the Code is properly reasoned, based on material evidence and documented. The Code requires the Council to publish its Enforcement Policy.

The Council must also have regard to The Code for Crown Prosecutors (CPS) guidance which requires extensive consideration of the evidence (for example is it admissible, substantial and reliable) before a decision is made to institute legal proceedings; with any decision also considering whether it is in the public interest to prosecute. This Policy provides a clear framework and mitigates the risk of legal challenge regarding the delivery of the regulatory enforcement function within the directorate.

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

The Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 came into force on 1 October 2020 (except for regulation 4(3) and 4(4) which come into force on 3 July 2021). The Regulations have been introduced to reduce plastic pollution in the oceans. It is an offence for any person in the course of a business to supply to the end user a single use plastic straw and, with effect from 3 July 2021, it will be an offence for any person in the course of a business to supply a drink product with an attached straw.

Regulators are afforded specific powers of entry, examination, investigation and sampling for analysis or testing to enable them to enforce the provisions of the Regulations, which mirror existing powers familiar to Trading Standards Officers.

Where offences are committed, regulators may impose variable monetary penalties or compliance notices, having previously issued notice of intent. Regulators may also issue stop notices or enforcement undertakings.

The regulator has to publish a report; specifying the cases in which a civil sanction has been imposed and where a variable monetary penalty or compliance notice has been accepted or an enforcement undertaking has been entered into.

The regulator also has to publish guidance about its use of civil sanctions under the Regulations. This can be achieved through guidance posted alongside the current CES Enforcement Policy on the Trading Standards pages of the NCC website.

The Air Quality (Domestic Solid Fuels Standards) (England) Regulations 2020 come into force for the purposes of enforcement on 1 May 2021.

The instrument seeks to reduce polluting fuels. It introduces restrictions on the sale of wet wood for domestic burning, limits on the emission of sulphur and smoke from manufactured solid fuels and phases out the sale of bituminous coal.

Offences are committed for the supply of non-authorised wood and for the supply of pre-bagged and loose bituminous coal. Exemptions are available for small foresters and transitional arrangements apply for Approved Coal Merchants who supply loose bituminous coal direct to customers before 30 April 2023.

The enforcement powers include powers of entry, inspection and test purchasing, which mirror existing powers familiar to Trading Standards Officers. Where offences are committed, regulators may impose fixed penalty notices. Regulation 24 also states that a local authority may recover the expenses reasonably incurred by it in enforcing the Regulations.

Given the powers and duties placed on the Council by the above legislation, the Trading Standards Service is best placed to execute those powers and fulfil those duties, given their familiarity with similar enforcement regimes. The Service also holds business data and collates intelligence pertinent to enforcement of the Regulations.

7.2. Human Rights implications

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

7.3. Equality Impact Assessment (EqIA)

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

Having a clearly defined approach to enforcement action provides positive benefits to equality. In particular, enforcement in areas such as the mis-use of blue badges helps to ensure an important and highly valued service is not abused and can continue to be available for those who need it. People with a disability frequently highlight the importance of effective blue badge enforcement.

An Equality Impact Assessment (EqIA) has been produced for this policy in conjunction with the CES Equality and Accessibility Officer. The assessment found that, although Trading Standards can demonstrate that decisions taken during investigations are equitable, unbiased and based on objective intelligence, records of protected characteristics are currently limited to formal investigations. This is due to the current recording system being led by the needs of the Courts, rather than for wider monitoring purposes. Trading Standards will now look to widen and improve the recording of the protected characteristics of Trading Standards service users, in order to carry out a more detailed analysis.

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

7.4. **Health and Safety implications**

Since the confirmation of coronavirus in the UK, NCC has continued to deliver services by working remotely where possible to do so. In terms of its enforcement function, work has been undertaken virtually wherever possible, with face to face interventions restricted to those that are urgent and/or critical, such as in relation to animal health and welfare, high risk site inspections or seizure of illegal goods.

Specific enforcement duties have been allocated to Trading Standards in relation to coronavirus prevention and spread which have been interpreted and carried out in a timely manner and with proper precautions in place.

Risk assessments are in place for all face to face enforcement activity.

7.5. **Sustainability implications**

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

The two new sets of Regulations set out in this report are focussed on reducing environmental impacts of activities.

7.6. **Any other implications**

Since March 2020, the Trading Standards Service has worked closely with the Police, Environmental Health, Public Health and NCC Communications to provide advice and support to businesses and the public on business closure and restrictions legislation, introduced to control the spread of the coronavirus. Two Norfolk-wide enforcement protocols, setting out a joint working approach, have been agreed between all seven local authorities, Trading Standards and Norfolk Constabulary, the second, agreed on 28 September 2020, superseding the first. The protocol is currently under review as a result of the changes in legislation which took effect from 5 November 2020. The regulations currently covered by our joint enforcement approach are listed in Appendix D.

Due to the partnership arrangements, the constantly and rapidly changing, and potentially transitory nature, of the coronavirus restrictions legislative framework, the Norfolk Coronavirus Restrictions Enforcement Protocol sits outwith the CES Enforcement Policy. However, in line with our enforcement principles, the prime objective is for the signatory agencies to seek to obtain compliance by consent, through a consistent staged approach of Engagement, Explanation and Encouragement. Where compliance by consent cannot be achieved, Enforcement will be contemplated. A variety of Regulations empower Trading Standards to issue prohibition or fixed penalty notices or to take legal proceedings, however to date Norfolk County Council has not had to resort to any of these enforcement actions.

Trading Standards has also been working with the Sports Grounds Safety Authority (SGSA) to ensure that the County's Designated Stadiums and Regulated Stands are Covid-19 compliant, and that, where these are able to re-open, they do so in line with government guidance.

8. **Risk Implications/Assessment**

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

9. Select Committee comments

- 9.1. There was a suggestion at the Infrastructure and Development Select Committee at its meeting on 11 November that the name of the Policy should be amended to 'CES Compliance and Enforcement Policy' and officers agreed that this would be useful.

10. Recommendations

- 10.1. **1. To approve the revised CES Compliance and Enforcement Policy at Appendix A and its annex documents (A-1 to A-6)**
2. To agree to delegate the functions of the Council for the purposes of the Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 and the Air Quality (Domestic Solid Fuels Standards) (England) Regulations 2020 to the Head of Trading Standards by making an addition to the County Council's Constitution Appendix 5 (Scheme of Delegation to Officers).

Officer Contact

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

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Tel No.: 01603 224275

Email address: sophie.leney@norfolk.gov.uk



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Norfolk County Council

Compliance and Enforcement Policy

Community and Environmental Services



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different language please contact us on 0344
800 8020

November 2020

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Commented [A1]: New Annex 6. Trading Standards now manage the safety of sports grounds function on behalf of NCC (previously democratic services)

1 Introduction

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

2 Principles of Inspection & Enforcement

2.1 Proportionality

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

Commented [A2]: amended to reflect that this requirement is more likely to arise from govt guidance

2.2 Accountability

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

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

2.3 Consistency

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

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

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

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

2.4 Transparency

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

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

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

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

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

- 2.4.6 We will routinely publish the names and trading addresses of traders subject to legal proceedings, including prosecutions, enforcement orders, undertakings or the administrative issue of penalties/fines.
- 2.4.7 We may also publish the names and trading addresses of traders who act in ways that represent a significant risk to consumers or the interests of legitimate businesses, subject to the following conditions:
- There is no risk of prejudice to legal proceedings or other formal enforcement action, and
 - The evidence of unfair or illegal trading is conclusive, and
 - It is in the public interest to do so, taking into account the personal circumstances of the offender and community cohesion, and
 - To do so does not breach Human Rights or Data Protection Law, or the Children and Young Persons Act 1933.
- 2.4.8 Examples of the current published enforcement action is via the [Norfolk Trading Standards web pages](#).
- 2.4.9 We obtain and process information in the course of our enforcement functions. Some of this information is personal data, and some of it is confidential or sensitive. We will process information in accordance with the law (including the Data Protection Act 2018 and the Enterprise Act 2002) and with proper regard to our privacy notices, which can be found on our website.
- 2.5 Targeted (Intelligence and Risk Led) Enforcement**
- 2.5.1 Enforcement will be primarily targeted towards those situations that give rise to the most serious risks, and against deliberate/organised crime. Other determining factors will include local priorities, Government targets and priorities, new legislation, national campaigns and public concerns.
- 2.5.2 By having a coherent and risk-based intelligence system, effective strategies can be formed to enable and co-ordinate solutions to particular problems. This enables the identification of new, current and emerging issues, allowing provision of strategic and tactical direction on how the issues can best be tackled. Subject to the provisions of Data Protection and Human Rights Law, we may also refer cases and/or share information and intelligence with other law enforcement agencies.
- 2.6 Supporting the local economy**
- 2.6.1 We recognise that a key element of our activity will be to facilitate and encourage economic progress against a background of protection.
- 2.6.2 Wherever possible, we will work in partnership with businesses and individuals, and with parish councils, voluntary and community organisations, to assist them with meeting their legal obligations without unnecessary expense.
- 2.7 Reducing enforcement burdens**

- 2.7.1 If there is a shared enforcement role with other agencies, e.g. the Police, Environment Agency or other local authorities, we will consider co-ordinating with these agencies to minimise unnecessary overlaps or time delays and to maximise our overall effectiveness. We will also liaise with the other regulators to ensure that any proceedings instituted are for the most appropriate offence.
- 2.7.2 We will follow the principle of “collect once, use many times” and, where legally permitted, share information that we collect with other local authority regulatory services to minimise business impact.
- 2.7.3 When conducting farm visits, we will have due regard to the [Farm Regulators’ Charter](#), which makes sure visits are carried out consistently across regulators. The charter covers all inspection types and visits of agricultural and aquaculture activities carried out by Farm Regulators.

3 Primary Authority Partnerships

- 3.1 Primary Authority is a statutory scheme established by the Regulatory Enforcement and Sanctions Act 2008. It allows an eligible business to form a legally recognised partnership with a single local authority in relation to the provision of tailored advice, guidance and assistance relating to regulatory compliance. The single local authority (known as the “Primary Authority”) is registered with the [Office for Product Safety & Standards](#) (OPSS), via the Primary Authority Register.
- 3.2 The Primary Authority then acts as the single point of contact between its partner business and the local authorities that regulate it. The Primary Authority can issue assured advice upon which the business can rely and can also, where appropriate, devise inspection plans for businesses. The inspection plan can place specific requirements on other local authorities and can require feedback on their checks to be given to the Primary Authority.
- 3.3 Where an enforcing local authority is considering enforcement action against a business that has a Primary Authority it is required to make a statutory notification to the Primary Authority. In most cases, this notification must be made before the action can be taken. However, in certain circumstances the notification can be retrospective, including where a compliance issue is identified that requires urgent action in order to avoid a significant risk of harm to human health, the environment, or the financial interests of consumers.
- 3.4 If another local authority proposes enforcement action which the Primary Authority deems to be inconsistent with the assured advice, the Primary Authority may seek to block the enforcement action. Where this is the case but is disputed, or there is a need for further considerations, the matter would be referred to the [Office for Product Safety & Standards](#) (OPSS) for their consideration/determination.

4 Enforcement Actions

- 4.1 Nothing in this policy shall be taken to compel us to take enforcement action. In certain instances, we may conclude that an enforcement response is not appropriate given the circumstances.
- 4.2 In deciding what enforcement action to take, we will have regard to the following aims:
- to change the behaviour of the offender
 - to eliminate financial gain or benefit from non-compliance
 - to be responsive and consider what is the most appropriate sanction for the particular offender and the regulatory issue concerned
 - to be proportionate to the nature of the offence and the harm/potential harm caused
 - to repair the harm caused to victims, where appropriate to do so
 - to deter future non-compliance.

4.3 The Key approach in seeking compliance is to:

- Engage
- Explain
- Encourage
- Enforce

4.4 The prime objective is to obtain compliance by consent - it is anticipated that, in the vast majority of cases, businesses will comply with the legal requirements further to the provision of advice.

Commented [A3]: Included in line with nationally recognised stepped approach to enforcement

- 4.5 Any decision to undertake formal enforcement action will be taken in the context of operational priorities, this policy and the Council Constitution and scheme of delegations. Such decisions will include the use of intelligence in determining the nature of any response, as well as being subject to ongoing monitoring and review.
- 4.6 Where a right of appeal against a formal action exists other than through the courts, advice on the appeal mechanism will be clearly set out in writing at the time the action is taken.
- 4.7 All investigations into alleged breaches of legislation will be conducted in compliance with statutory powers, time limits and other relevant legislation (and relevant Codes of Practice), including:
- Police and Criminal Evidence Act 1984 (PACE)
 - Criminal Procedure and Investigations Act 1996 (CPIA)
 - Regulation of Investigatory Powers Act 2000 (RIPA)
 - Investigatory Powers Act 2016 (IPA)
 - Criminal Justice and Police Act 2001 (CJPA)
 - Human Rights Act 1998 (HRA).
 - Consumer Rights Act 2015 (CRA)
- 4.8 As part of any criminal investigation process, persons suspected of having committed a criminal offence will, wherever possible,

- be formally interviewed in accordance with PACE
 - be given the opportunity to demonstrate a statutory defence
 - have the opportunity to give an explanation or make any additional comments about the alleged breach
 - be offered translation/interpretation services (language and British Sign Language) where English is not their first language
- 4.9 As part of our enforcement function we may exercise a wide variety of powers, including the power to enter premises and inspect goods, to require the production of documents or records and, when necessary, the power to seize and detain such material where we believe it may be required as evidence.
- 4.10 We may also take with us such other persons as may be necessary as part of our enforcement function. This may include Police Officers where there is the possibility of an arrest, or a breach of the peace situation. In certain cases, we may exercise an entry warrant issued by a Magistrate to gain access to premises and may use police assistance to effect entry.
- 4.11 We may also use investigation equipment whilst undertaking our duties, including handheld and Body-Worn Video (BWV) cameras. BWV devices are capable of recording both visual and audio information and can provide a number of benefits to enforcement agencies, including a deterrent to aggressive, verbal and physical abuse towards officers, and in providing additional evidence to support investigations. BWV will usually be deployed on an overt basis for a specific purpose, and where it is necessary and proportionate to do so. Any decision to deploy BWV on a covert basis will be made in accordance with the Regulation of Investigatory Powers Act (RIPA), related legislation, Codes of Practice and associated Council Policy.
- 4.12 Immediate Formal Action**
- 4.12.1 Whilst recognising that most people want to comply with legal requirements, we also recognise that some will operate outside the law (both intentionally and unintentionally). Where possible, a staged approach to enforcement will be adopted, with advice and informal action explored to resolve the matter in the first instance. However, we will consider taking immediate formal action for the most serious breaches, including any of the following circumstances:
- Where the infringement causes or is likely to cause actual or emotional damage, or substantial loss or prejudice to people, businesses or other organisations
 - Where there is a significant risk to public health, safety or wellbeing, or damage to property, infrastructure or the environment.
 - Fraud, aggressive or misleading practices/equipment, or practices seeking an unfair 'competitive advantage'.
 - Illegal practices targeted at vulnerable people, including young people and the elderly.
 - For matters where there has been recklessness or negligence, or a deliberate or persistent failure to comply with advice, warnings or other enforcement action.
 - Where food fails food safety requirements.

- Any act likely to affect animal health or welfare, disease prevention measures, or the integrity of the food chain.
- Obstruction or assault (including verbal assault) of an officer in the execution of their duties.

4.13 Advice, Guidance and Support

4.13.1 We are committed to using advice, guidance and support as a first response to the majority of breaches of legislation, subject to any need to take immediate formal action for the most serious breaches (see paragraph 4.10 above).

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

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

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

4.14 Where more formal enforcement action has previously been taken, such as a simple caution or prosecution, we recognise that, in some cases, there may be a need for additional compliance advice and support, to prevent further breaches.

Commented [A4]: clarification

4.15 Verbal or written warning

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

4.16 Statutory (Legal) Notices

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

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

4.17 Monetary penalties

- 4.17.1 Fixed or variable monetary penalties, or penalty charge notices may be issued where there is a specific power or delegated authority to do so.
- 4.17.2 Specific guidance for legislation, which includes the power to issue monetary penalties, may be produced to support this policy. Such guidance will be published via our website.
- 4.17.3 Where the offender fails to discharge their liability resulting from any monetary penalty issued, alternative enforcement action will automatically be considered under this policy. Where prosecution is brought; an assessment will be made of other offences that may also have been committed in order that those charges may be considered at the same time.

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

4.18 Licences, registrations and approvals

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

4.19 Seizure and Destruction

- 4.19.1 Some legislation permits our Officers to seize items such as goods and documents that may be required as evidence. When we seize goods, we will give an appropriate receipt or other record of seizure to the person from whom they are taken. On some occasions we may also ask a person to voluntarily surrender and transfer ownership of illegal goods to us.
- 4.19.2 Where we seize food for failing food safety requirements, or animal feed for non-compliance with feed law, an application will be made to the Court for a condemnation order, for the illegal product to be destroyed. We will provide details of where and when this application will be made to allow interested parties to attend the hearing.
- 4.19.3 Where products are found to present a serious risk, we may seek to destroy or otherwise render them inoperable, where there is legal recourse to do so.

Commented [A5]: clarification that the legal basis for this may change as a result of EU Exit

4.20 Detention

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

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

4.21 Forfeiture

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

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

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

4.22 Injunctive Actions, Enforcement Orders etc

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

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

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

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

4.23 Other Sanctions or Interventions

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

4.24 Taking animals into possession/banning orders

4.24.1 Under the Animal Welfare Act 2006, if a veterinary surgeon certifies that 'protected animals' are suffering or are likely to suffer if their circumstances do not change, we will consider taking them into our possession and applying for Orders for re-imbursement of expenses incurred and subsequent disposal. We may also look to other legislation

where appropriate to ensure that similar standards of care and/or control of animals are properly maintained. In some circumstances we will also consider applying to the Court to ban a person(s) from keeping animals.

4.25 Simple Cautions

4.25.1 In certain cases, a simple caution may be offered as an alternative to a prosecution, for example for first time offending. The purpose of a simple caution is to deal quickly with less serious offences, to divert less serious offences away from the Courts, and to reduce the chances of repeat offences.

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

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

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

4.26 Prosecution

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

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

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

- How well the prosecution supports our aims and priorities
- The factors contained in paragraphs 4.2 and 4.10 of this policy
- Action taken by other enforcement agencies for the same facts

- The nature and extent of any harm or loss, including potential harm and loss, and any offer of redress made by the offender to victims
- The willingness of the alleged offender to prevent a recurrence of the infringement
- The likelihood of the alleged offender being able to establish a statutory defence
- The calibre and reliability of witnesses
- The probable public benefit of a prosecution and the importance of the case, e.g. the possibility of establishing legal precedent
- Cost effectiveness of a prosecution
- The scope for alternative routes for redress for 'victims' and their likelihood of success
- The impact of the intervention on small businesses in particular, to ensure action is proportionate.

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

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

4.27 **Proceeds of Crime Actions**

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

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

4.28 **Directors**

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

5 Complaints, Compliments and Comments

- 5.1 If you are unhappy with the service you have received, or we have failed to live up to our promises, managers are always willing to discuss with you the cause of your dissatisfaction and will try to find a solution.
- 5.2 If you wish to make a complaint or send us a compliment or comment about our service, please use our online procedure by going to:

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

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

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

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

6 Conflict of Interest in Enforcement Matters

- 6.1 Where a breach is detected in which the enforcing authority is itself the responsible operator, the following protocol will be followed:

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

7 Where to get further information

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



Norfolk County Council

LOCAL MONITORING AND ENFORCEMENT PROTOCOL

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

in

Norfolk

November 2020

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1.0 BACKGROUND

- 1.1 This document provides supplemental guidance to the County Council's Enforcement Policy (Community and Environmental Services) and is provided in the context of specific requirements arising from planning legislation and the National Planning Policy Framework (NPPF) and associated guidance contained in the Planning Practice Guidance.
- 1.2 Paragraph 58 of the National Planning Policy Framework, February 2019 (NPPF) states,

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

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

2.0 GENERAL STATEMENT

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

may the information contained in the response.

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

3.0 MONITORING INSPECTIONS

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

be prepared and copied to the operator/owner usually within two weeks of such inspection taking place. The report shall amongst other matters detail any breaches identified and specify timescales for compliance with conditions that have been breached.

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

MONITORING FEES

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

4.0 INVESTIGATION AND ENFORCEMENT

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

leading to an unacceptable injury to amenity, the County Council's approach will be to seek to remedy the injury in the first instance by negotiation and persuasion.

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

- enable acceptable development to take place, even though it may initially have been unauthorised;
- maintain the integrity of sites having interests of acknowledged importance;
- where appropriate maintain liaison and contact with the general public, and mineral and waste operators.

5.0 THE RELEVANT ENFORCING AUTHORITY

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

- 5.4 It is the intention of the County Council to work closely with other regulatory bodies when investigating and remedying an alleged breach of planning control. The County Council in dealing with all complaints concerning an alleged breach of planning control will identify the authority responsible for taking action and redirect complaints to other regulating bodies where necessary.

6.0 GENERAL GUIDANCE

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

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

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- (i) The Commissioner for Local Administration (the local ombudsman) has held, in a number of investigated cases, that there is "maladministration" if an Authority fails to take effective enforcement action which was plainly necessary or where an Authority fails to consider whether to take formal enforcement action or not and be able to show their reasoning for not initiating formal action, often resulting in an award of compensation payable to the complainant for the consequent injustice;
- (ii) The planning regulatory provisions are to ensure proper land use and to resolve breaches of planning control by removing unacceptable impacts on the environment and the amenity of the area. This ensures a 'level playing field' for legitimate businesses to develop and prosper.

- (iii) Enforcement action should always be commensurate with the breach of planning control to which it relates (for example, the Authority would usually consider it inappropriate to take formal enforcement action against a trivial or technical breach of control which causes no harm to amenity in the locality of the site); and
- (iv) Where the Authority's initial attempt to persuade the owner or occupier of the site voluntarily to remedy the harmful effects of unauthorised development fails, negotiations will not be allowed to hamper or delay whatever formal enforcement action may be required to make the development acceptable on planning grounds, or to compel it to stop.

- 6.3 It is not an offence to carry out development without first obtaining planning permission for it. If the Authority's initial assessment indicates it is likely that planning permission would be granted for development which has already taken place, the person responsible will be asked to submit a retrospective planning application. However this initial assessment is not binding on the Authority's subsequent decision to grant or not grant planning permission.
- 6.4 While it is clearly unsatisfactory for anyone to carry out development without first obtaining the required planning permission, an enforcement notice will not normally be issued solely to "regularise" development which is acceptable on its planning merits, but for which permission has not been sought. This would only apply to development which would be granted without any planning conditions being attached to control the development.
- 6.5 The Authority will not normally invite an owner or operator to submit a planning application if the unauthorised development is contrary to development plan policies or if it appears that any actual or potential harm cannot be made acceptable by the imposition of planning conditions; however, we cannot prevent a landowner who is determined to apply for permission retrospectively.

- 6.6 If an operator or owner submits a planning application that the Authority has requested, the Authority will not normally consider formal enforcement action whilst the application is being considered. If agreement can be reached between the operator and the Authority about the operation being reduced to an acceptable level (e.g. hours of operation, use of plant and equipment, routing of vehicles etc) during any period between a planning application being submitted and its determination, and the person concerned honours the agreement, formal enforcement action may be avoided
- 6.7 Where the Authority considers that development has been carried out without the requisite planning permission, but the development could be made acceptable by the imposition of planning conditions the owner or occupier of the land will be invited to submit an application, and pay the appropriate application fee, voluntarily. However, if, after a formal invitation to do so, the owner or occupier of the land refuses or fails to submit a planning application in these circumstances within a reasonable timescale, the Authority will consider whether to take formal enforcement action.
- 6.8 Accordingly, where an owner or occupier of land refuses or fails to submit a planning application which would enable the LPA to grant conditional planning permission, the Authority will be justified in issuing an enforcement notice if, in their view, the unauthorised development has resulted in any harm, or has the potential to cause harm, which can only be satisfactorily removed or alleviated by imposing conditions on a grant of planning permission for the development.
- 6.9 If the location of the unauthorised development is unacceptable, but relocation is feasible, it is not the Authority's responsibility to seek out and suggest an alternative site to which the activity might be satisfactorily relocated. However, if an alternative site has been suggested, the Authority will make it clear to the owner or occupier of the site where unauthorised development has taken place that he is expected to relocate to the alternative site within a reasonable timescale. In such circumstances the Authority will usually agree a reasonable time-limit within which relocation should be completed.

- 6.10 What is reasonable will depend on the particular circumstances, including the nature and extent of the unauthorised development; the time needed to negotiate for, and secure an interest in, the alternative site; submit a planning application (if required) for the alternative site; consultation timescales; and the need to avoid unacceptable disruption during the relocation process. If the owner or operator fails to provide justification for a suggested timescale, the Authority will set a timescale it considers reasonable. If a timetable for relocation is ignored, or it is evident that appropriate steps are not being taken to progress the relocation, the Authority will consider formal enforcement action. In that event, the compliance period in the notice will specify what the Authority regard as a reasonable period to complete the relocation.
- 6.11 Nevertheless if the unauthorised development is causing unacceptable harm to the environment or amenity, the Authority will consider issuing an Enforcement Notice and/or Stop Notice even if an alternative site has been identified and steps have been made towards relocation. The Authority considers that any difficulty or delay with relocation will not normally be a sufficient reason for delaying formal enforcement action to remedy unacceptable unauthorised development.
- 6.12 Where the Authority considers that unacceptable unauthorised development has been carried out, and there is no realistic prospect of its being relocated to a more suitable site, the owner or occupier of the land will be informed that the Authority is not prepared to allow the operation or activity to continue at its present level of activity, or (if this is the case) at all. If the development nevertheless provides valued local employment, the owner or occupier will be advised how long the Authority is prepared to allow before the operation or activity must stop, or be reduced to an acceptable level of intensity. If agreement can be reached between the operator and the Authority about the period to be allowed for the operation or activity to cease, or be reduced to an acceptable level, and the person concerned honours the agreement, formal enforcement action may be avoided. However, the Authority will have regard to the possibility

of intensification of the development after expiry of the statutory period for enforcement action. If no agreement can be reached, the issue of an enforcement notice will usually be justified, allowing a realistic compliance period for the unauthorised operation or activity to cease, or its scale to be acceptably reduced.

7.0 INVESTIGATION PRIORITIES

- 7.1 Investigating and remedying alleged breaches of control is labour intensive and the level of service provided is directly proportional to the resources available for regulating planning control. The demand for resources in this area naturally fluctuates over time and while the service will endeavour to match resources to demand, the level of service provided may vary over time.

COMPLAINTS

- 7.2 A complaint/incident is an event or matter that is either brought to the Authority's attention or that monitoring, and control officers may become aware of as part of their duty, and which may have a planning related impact. The type of complaints/incidents received by the Authority are split into 3 priorities:
- 7.3 Priority 1
Immediate or irreparable harm to the environment or immediate and substantial harm to amenity. Harm would be assessed in relation to impact on the environment. E.g. the impact of mineral, waste and Regulation 3 development would often be greater in an area close to residential amenities than it would be in the open countryside. The Authority will respond to the complainant within 24 hours and investigate the complaint within 3 working days.
- 7.4 Priority 2
On-going low-level harm to amenity or moderate and reparable impact on the environment. E.g. HGV's occasionally going in the wrong direction and causing the road verge to break up. The Authority will respond to the complainant within 3 working days and investigate the complaint within 1 working week.
- 7.5 Priority 3

Occasional harm to amenity or the raising of long-standing issues leading to low level impact on the environment e.g. concerns about the permitted type of material (sand or waste) stored on a site with permission, but in the wrong place or slightly higher than the agreed height. The Authority will respond to the complainant within 3 working days and investigate the complaint when the relevant officer is next in the area, but no later than one month of the receipt of complaint.

INVESTIGATION OF BREACHES

- 7.6 A response to an alleged breach will also require a record of the outcome of investigation. Where there is continued non-compliance, and this results in further visits and investigation then these should additionally be recorded. However, where the operator is taking known action to resolve the problem then this is classified as an ongoing event. It is not necessary to record this as a new breach.
- 7.7 Where separate members of the public report complaints/incidents about different issues relating to a site then these should be recorded as separate breaches. Where multiple residents complain about the same incident then this is recorded as a single breach.
- 7.8 As part of our regular monitoring of planning permissions there are matters identified by officers that if reported to us separately would have been dealt with and recorded as a breach. These will be recorded, and information captured. The same applies as above in that, where there is continued non-compliance then this will be reported as a single breach.
- 7.9 The Monitoring and Control Team will liaise with the Legal Services; Environment Agency; District Council or any other relevant Authority as necessary throughout the investigation.
- 7.10 When complaints about alleged breaches of planning control are received, they will be properly recorded and investigated. If the Authority decides to exercise its discretion not to take formal enforcement action it should be prepared to explain

its reasons to the complainant, including where complaints are attributable to repeated allegations from vexatious complainants and they have been previously proved unsubstantiated.

- 7.11 The Authority will ensure that anyone who does complain about a breach of planning control is dealt with in a polite, efficient and responsive way. All complaints that are received will be recorded and stored on a complaints register, which is an electronic and paper based system. The complaints register will enable the receiving officer to detail both the nature of the complaint and the action the Authority has taken to resolve it. Keeping a record of complaints will enable the Authority to assess and improve its overall service.
- 7.12 It may not always be necessary to visit sites to satisfactorily resolve a complaint. However, in most cases it may be necessary to establish whether there has been a breach of planning control by visiting the site. Where, following the investigation of a complaint, the Authority decides not to take formal enforcement action to resolve a substantive issue, the matter being satisfactorily resolved by other methods, the reason for this decision will be explained to the complainant upon request. If, however, the Authority elects to instigate enforcement proceedings against the offender the complainant will be notified of the progress of that action.
- 7.13 The County Council in dealing with all complaints concerning an alleged breach of planning control within their responsibility will:
- treat them confidentially as far as practical;
 - ensure that they are acknowledged and actioned within the timescales prescribed in the priority rating;
 - deal with them expeditiously in a professional and efficient manner;
 - visit the site where necessary, and establish whether there has been a breach of planning control;
 - notify the complainant upon request of the progress of any action taken to resolve substantive matters forming the basis of the complaint;
 - notify the complainant if the authority elects to commence enforcement action

against the alleged breach of planning control and be prepared to explain the reason in the event formal enforcement action has not been taken.

8.0 PROSECUTIONS

- 8.1 Subject to the Evidential and Public Interest tests Persons who fail to comply with a formal notice will normally be prosecuted.

9.0 MONITORING OF REGULATION 3 DEVELOPMENT

A procedure has been agreed between Norfolk County Council's Children's Services Department and the Monitoring and Control Team where by Schools development which falls within Regulation 3 of The Town and Country Planning General Regulation 1992 can be monitored and a fee levied. Developments where planning permission was granted for permanent external substantial building works will be subject to this regime.

- 9.1 Prior to the inspection taking place, notification will be passed to the applicant informing them that an inspection will be scheduled for a given school. An initial list of developments has been agreed with Children's Services and notification of future inspections will be sent out to individual applicants.
- 9.2 Where a development has been permitted on an open school an appointment will be made prior to inspection. This generally ensures that the school will allow the officer onto the site without issue and, if required, allocate a member of staff to accompany the officer. This will also allow the inspecting officer to check that work has begun prior to going on site.
- 9.3 Where a planning permission is found not to have been implemented it will be removed from the list and an invoice will not be raised. It is generally agreed that a single chargeable inspection will be required for smaller developments such as extensions, although a second non-chargeable visit may be required after completion of the development.
- 9.4 For major developments, such as new schools, two chargeable visits per year for

the life of the construction phase will be required. A final chargeable visit to check completion and landscape implementation will also be required.

9.5 Failure to comply with all planning conditions could result in further chargeable visits being undertaken until full compliance is achieved. There will be a maximum of two chargeable visits per school in any one financial year.

9.6 Once the report has been completed, it will be sent to the applicant along with a copy of the planning permission and an invoice for payment.

10. MEMBER PROTOCOL

10.1 Local Norfolk County Council members will be informed when an Enforcement Notice is served in their division.

10.2 Members of the Council will be presented on a regular basis of not less than once per year with a report detailing the decisions made under delegated authority, performance statistics and enforcement update for the work of the Monitoring and Control Team.

November 2020

Norfolk County Council Flood and Water Management Enforcement Protocol

1.0 Introduction

This document provides supplemental guidance to Norfolk County Council's Community and Environmental Services (CES) Enforcement Policy, and is provided in the context of specific requirements arising from the Flood and Water Management Act 2010 and the Land Drainage Act 1991.

Norfolk County Council (NCC) is the Lead Local Flood Authority (LLFA) for the county. This role is fulfilled by the Flood and Water Management team.

This Protocol and guidance note has been adapted from best practice identified within local authorities in England. It is intended for use as guidance by Risk Management Authorities, developers and landowners.

2.0 Regulation of Ordinary Watercourses

The Lead Local Flood Authority has powers under the Land Drainage Act 1991 to exercise its regulatory powers in relation to watercourses outside of Internal Drainage Board areas and where they are not Environment Agency designated main rivers.

The Lead Local Flood Authority will take a risk-based and proportionate approach to exercising its regulatory powers under the Land Drainage Act 1991, taking into account the location and nature of any nuisance caused by;

- the failure to repair or maintain watercourses, bridges or drainage works
- un-consented works
- impediments to the proper flow of water

This approach will take into account whether the contraventions have or are likely to increase flood risk and what the consequences of any increase in risk may be. Where works are un-consented the Lead Local Flood Authority would require the landowner, person and/or Risk Management Authority responsible for the works to prove that the un-consented works would not cause a nuisance or increase flood risk.

With regards to the causes of the nuisances described above, the Lead Local Flood Authority has powers under Sections 21, 24 and 25 of the Land Drainage Act 1991 to serve notice on individuals who have caused contraventions.

In issuing a notice the Lead Local Flood Authority may set out the works required to resolve the contravention to an acceptable standard and the date by which the works should be completed.

If the works are not completed by the date set out in the notice, the Lead Local Flood Authority may take action to remedy the effect of the contravention or failure and seek to recover the costs incurred, as well as pursue any necessary prosecution.

3.0 Guiding Principles

Enforcement under the Land Drainage Act, 1991 will be carried out using the guiding principles as set out in the CES Enforcement Policy.

4.0 Process

a) Initial response

Where the Lead Local Flood Authority receives a complaint in relation to an ordinary watercourse, we will carry out an initial assessment to establish whether the actual or potential flood risk meets our threshold for intervention. We aim to complete this assessment within 21 days. However, there will be occasions when it is necessary to extend the period of assessment for more complex matters and/or to accommodate exceptional circumstances e.g. weather, flood conditions, etc. At the outset the complainant will be informed of the case officer who will follow up the enquiry and of the outcome of the assessment.

b) Initial assessment

The threshold for intervention will be based on the Lead Local Flood Authority's [impact criteria](#).

To assess the potential impact the initial assessment will consider the on-site conditions, any available historical data and high-level indicators of potential risk, such as Environment Agency (EA) Flood risk maps for surface water flooding and flooding from rivers. It will also consider any other status of land e.g. conservation designations, common land etc.

To substantiate incidents of actual flooding as part of the initial assessment we will need to be provided with one or more of the following types of evidence:

- I. An insurance claim
- II. Records from Risk Management Authorities i.e. Anglian Water, District Councils
- III. Dated photos of the event
- IV. Written report from a Risk Management Authority

The evidence supplied will be determined in line with the guiding principles as set out in the CES Enforcement Policy.

The Lead Local Flood Authority may close an enforcement case file, where there is a lack of physical evidence to corroborate the impact of a flood event. If further relevant evidence was to come forward, then the Lead Local Flood Authority may re-open the case file and undertake a further investigation.

C) Further Investigation

Where the initial assessment has identified an actual or potential risk of flooding that exceeds the adopted impact criteria, but where a site inspection has failed to identify the primary cause of the problem the authority may;

- consult with other organisations including other local authorities, Highway Authorities, Environment Agency, Natural England as appropriate.
- require or commission appropriate site surveys and inspections.

In deciding whether or not to carry out the above steps the LLFA will consider whether it is in the public interest to do so. Having regard to the actual and potential impacts of the flooding, the costs of carrying out the works and the likelihood of obtaining sufficient evidence to enable enforcement activity. Where the Lead Local Flood Authority is made aware of breaches of other legislation it will advise the appropriate authorities.

D) Outcome of initial assessment/Further Investigation

Once an initial assessment/further investigation has been carried out the complainant will be informed in writing as to the next course of action and this may include;

- I. Informing relevant party(s) of works that are required to be undertaken within the set timescale OR
- II. No further action by the LLFA and:
 - Providing advice to those affected on referral to the [First Tier Tribunal \(Property Chamber\), Agricultural Land and Drainage \(AL&D\)](#) or other relevant organisation, where appropriate
 - Informing relevant parties of their [riparian responsibilities](#)

Where it is considered that further action needs to be taken by the relevant landowner, person and/or Risk Management Authority responsible this will be explained within the letter that sets out the outcome of the initial assessment/further investigation. This will include the following:

- An explanation of the problem and the remedy required in accordance with the Land Drainage Act 1991.
- Depending on the nature of the problem we aim to ensure that remedial work is carried out within the timeframe specified in the letter (between 7 and 21 days of the date of the letter). However, there will be occasions when it is necessary to extend the period of compliance for more complex matters and/or to accommodate exceptional circumstances e.g. weather, flood conditions, etc. The time allowed will be reasonable in the circumstances. The extent of the work required will be proportionate to the scale of the problem.

- In certain circumstances practicalities may not allow for works to be done within the timeframe specified in the letter. The Lead Local Flood Authority will assess the circumstances with regards to enforcement and whether any works need to be deferred or amended to take into account the impacts of any works on wildlife. Examples where this may occur include:
 - Seasonal farming practices and Environmental Schemes can restrict access or time schedules to carry out works;
 - The nesting season for some birds occurs between the 1 March and 31 August and works might cause disruption if nests are present;
 - Presence of protected species will influence when it is most appropriate to carry out work.

Seeking resolution prior to serving notices

The Lead Local Flood Authority will seek to resolve the situation by means of negotiation with the person responsible and obtain compliance with a request to satisfactorily undertake the work required.

Serving notices under the Land Drainage Act 1991

If a positive response to the Lead Local Flood Authority's letter has not been received within the timescale specified and on inspection no work has been satisfactorily undertaken as required, a notice under the relevant section of the Land Drainage Act 1991 will be served. The notice will include the nature of the work to be carried out, the period within which it is to be carried out and any relevant right of appeal to a magistrates' court within 21 days of service of the notice (where applicable). A Notice under the Land Drainage Act 1991 is a legal document formally requiring specific work to be carried out within a set timescale.

A letter will accompany the notice and inform the responsible person that in the event of their failure to satisfactorily undertake the work, the Lead Local Flood Authority may carry out the work itself and recover from the person responsible the expenses reasonably incurred in doing so which will include recovering the costs of pursuing the case.

Enforcement of notices

Following service of the notice, one of four things will happen: -

- The responsible person will carry out the work to the satisfaction of the council.
- The responsible person may appeal the notice.
- The responsible person will fail to carry out the work to the satisfaction of the Lead Local Flood Authority and the Lead Local Flood Authority will seek to recover their expenses; and /or

- The Lead Local Flood Authority will, where appropriate, decide whether to take a prosecution against the responsible person, in addition to carrying out the work and seeking to recover the costs of that work.

Completion of proceedings

If the responsible person complies with the notice and completes the work to the satisfaction of the Lead Local Flood Authority, the Lead Local Flood Authority will write to the responsible person confirming the closure of the case and the end of the action.

No further action

The Lead Local Flood Authority may take no action where:

- there is no actual or potential risk to properties or infrastructure; and/or
- that the matter complained of is not the cause of the drainage problem; and/or
- the matter is trivial in nature

If this is the case, the complainant will be advised accordingly, and a written communication will be sent to the complainant explaining the reason why no action is to be taken. The complainant will also be referred, where appropriate, to the [*First Tier Tribunal \(Property Chamber\), Agricultural Land and Drainage \(AL&D\)*](#) or other relevant organisation. The riparian owner will also be informed, as appropriate.

Examples of matters not requiring action may include minimal silting of the watercourse, slight vegetation overgrowth, the accumulation of a small quantity of debris etc

Advice

The Lead Local Flood Authority will provide basic information and advice to individuals of their riparian ownership responsibilities and of the route for appeal against other riparian owners where appropriate. The Lead Local Flood Authority may suggest that independent legal and/or technical advice is sought, where appropriate.

Data Protection

Information may be shared with [Risk Management Authorities](#) under Section 13 and 14 of the Flood and Water Management Act 2010 in order to exercise flood and coastal erosion risk management functions.

This information will be held securely, and any processing will be performed in line with the requirements of the Data Protection Act 1998 and the General Data Protection Regulation from 25 May 2018. Norfolk County Council is registered as a Data Controller with the Information Commissioner's Office. Further details about how we process personal data can be found in our [Privacy Notice](#).

Further Information

Please consult the [Glossary of terms](#) document which supports this protocol.

Norfolk Fire and Rescue Service

Fire Safety Policy Directive

ENFORCEMENT POLICY STATEMENT (England and Wales)

Introduction

We are approachable and want to engage with and hear from you.

The following pages explain our enforcement policy. This document is supported by other documents required by the Regulators Code, namely our Service Standards and our Challenges, Appeals and Complaints procedure. This guidance has been produced in consultation with the Better Regulation Delivery Office (now Regulatory Delivery). This policy aims to explain our approach to our regulatory functions in relation to fire safety and public safety in our communities. It also explains the behaviours that business can expect receive from us and legal constraints and frameworks under which we operate.

Quick-guide

1. Introduction

The Norfolk Fire and Rescue Service (and its officers) will exercise its regulatory functions in accordance with the principles of better regulation and will comply with all relevant laws. Business should have a mainly positive experience of being regulated by the Service. To learn more, [click here](#).

2. Principles

The Service is tasked with seeing that people are safe in case of fire and believes that deaths and injuries caused by fire in regulated premises are preventable, if the right measures are taken. The Service and its officers will engage and work with business, in preference to enforcing fire safety standards. To learn more, [click here](#).

3. Regulation

The purpose of enforcement action is to bring about improvements in safety and in attitudes to providing safety. While the Service has laid down procedures for its officers, we will take each case on its merits. To learn more, [click here](#).

4. Helping Those We Regulate (Transparency)

The Service aspires to help regulated businesses and to work with them to resolve fire safety problems but will robustly enforce where the risk to people is highest and when those responsible refuse to help them. To learn more, [click here](#).

5. Targeting

The regulatory policy of the Service focuses on risk in case of fire and in places where we will be most effective in saving life. To learn more, [click here](#).

6. Accountability to Those We Regulate

The Service is accountable for its actions and is open to analysis and questioning of our regulatory work. To learn more, [click here](#).

7. Principles of Enforcement Action

A range of relevant factors will be considered before any enforcement action is taken by the Service. When action must be taken to improve safety, the Service will be clear about what is required. To learn more, [click here](#).

8. Our Enforcement Action

The Service would rather work with business to make places safe than enforce against them. When enforcement is needed; we will be clear about what must be done. Letters or notices may be sent to confirm what business needs to do to. All enforcement will be proportional to the risk. To learn more, [click here](#).

9. After Enforcement Action

The Service encourages dialogue and open communication during and after the enforcement process. Requirements for safety and how to challenge what we are asking for will be made clear. To learn more, [click here](#).

10. Failure to Comply With Requirements

When the Service makes an enforcement decision, there might be a route to appeal or challenge what we have said. How to do this (and how to complain about our behaviour) will be made clear. Business can talk to us. To learn more, [click here](#).

11. Simple Cautions and Prosecution

If an offence has been committed, it means the law has been broken and the Service can take the matter to court. In addition to going to court, there are other actions that the Service can take. To learn more, [click here](#).

12. Public Register

The Service must enter details of certain notices (called “relevant notices”) into a register to which the public have access. (In accordance with the Environment and Safety Information Act 1988). Further details are available on request or from the [CFOA public register web pages](#)

13. Other Duties of the Service

As well as ensuring that people are kept safe in case fire, the Service is also responsible for some other laws relating to public safety. To learn more, [click here](#).

14. Data Protection

The Service will comply with data protection laws. To learn more, [click here](#).

15. Freedom of Information

The Service is subject to the Freedom of Information Act, which provides a right of access to regulatory information held by the Service. To learn more, [click here](#).

-End-

More on the Introduction

1.1 This statement sets out the service that business and others being regulated by the Norfolk Fire and Rescue Service can expect from its regulatory and enforcement function and its appointed inspectors. It goes some way to satisfying the Regulators' Code by committing the Service and appointed inspectors to the principles of good enforcement with the assistance of effective procedures and clear guidance, which can be viewed by businesses and members of the public. [Policy](#)

1.2 This Enforcement Policy Statement has been prepared with regard to the following legislation and statutory guidance:

The Regulators Code - [\[more\]](#)

The Regulatory Enforcement and Sanctions Act 2008 - [\[more\]](#)

The Legislative and Regulatory Reform Act 2006 - [\[more\]](#)

The Legislative and Regulatory Reform (Regulatory Functions) Order 2007 - [\[more\]](#)

The Environment and Safety Information Act 1988 - [\[more\]](#)

The Regulatory Reform (Fire Safety) Order 2005 - [\[more\]](#)

The Licensing Act 2003 - [\[more\]](#)

The Explosive Regulations 2014 - [\[more\]](#)

The Petroleum (Consolidation) Regulations 2014 - [\[more\]](#)

1.3 The primary function of the regulatory part of the Service is to achieve safety in case of fire (in premise to which fire safety law applies).

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More on Our Principles

2.1 Fire safety regulation is founded on the principle that people should be kept safe in case of fire. We regulate to help secure this safety and through our regulation, we aim to provide a consistently high quality service to those we regulate. Our regulatory activity generally extends to premises in which there is a trade, business or other undertaking.

2.2 Non-compliance with fire safety law will mean that, in our view, people are at risk in case of fire. Where we identify people at risk in case of fire, we will respond

proportionately to that risk; taking account of the likelihood and severity of the risk, in line with our service standards.

2.3 The Service believes in firm but fair enforcement of fire safety standards. We aim to achieve this by:

- proportionally applying the law to secure safety;
- being consistent in our approach to regulation;
- targeting our resources and enforcement action on the highest risk;
- being transparent about how we operate and regulate; and
- being accountable for our actions.

2.4 We will have regard to the Regulators Code when developing the policies and procedures that guide our regulatory activities. We will encourage and promote fire safety while minimising the associated costs of providing safety from fire.

2.5 We believe that by fostering good relationships with our business community and by working with them, we can improve public safety, business resilience, and can remove any unnecessary burdens of complying with fire safety law.

2.6 The Service will endeavour to engage with the business community, to seek their views about our policies and practices. (Details of engaging with us are available on request and on our website)

2.7 In the most serious cases of danger in case of fire, we will take immediate and decisive action to secure safety, for example by serving a prohibition notice that can stop people from using the premises.

For more information see [\[CFOA fire safety law web pages\]](#).

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More on the way we approach regulation

3.1 In accordance with the Regulators Code, the Service takes enforcement action (and imposes sanctions and penalties) to:

- (a) change the behaviour of the offender;
- (b) change societal attitudes to the risks from fire;
- (c) eliminate financial gain or benefit from putting people at risk in case of fire;
- (d) exercise a proportionate response to the nature of the offence and the harm caused;
- (e) restore safety to premises where fire safety risks were found; and
- (f) encourage fire safety to be secured in future.
- (g) impose an appropriate sanction for the particular offender, which can include punishment through the courts (and the public stigma that should be associated with a criminal conviction);

[Click here for more information on the Regulators Code](#)

3.2 Avoiding fires is better than protecting people when fire occurs. Where fire is likely and / or the consequences of fire pose a hazard to people, it becomes necessary for us to take action (against the responsible person / duty holder) to reduce the risk. We have a wide range of enforcement action available to us. The actions we may take include:

- (a) no action;
- (b) providing advice;
- (c) informal action;
- (d) formal action (including enforcement, alterations and prohibition notices);
- (e) taking samples of dangerous materials or extracts of recorded information; and
- (f) securing information to prepare for prosecutions.

3.4 The enforcement actions listed above are not written in an absolute order of escalation. Enforcement action taken by the Service is scalable and appropriate to the risk to people in case of fire.

3.5 When formal enforcement action is necessary, each case will be considered on its merits. All enforcement decisions will be fair, independent and objective. They will not be influenced by issues such as ethnicity or national origin, gender, religious beliefs, political views or the sexual orientation of the suspect, victim, witness or offender. Such decisions will not be affected by improper or undue pressure from any source.

- 3.6 All enforcement activities, including investigations and formal actions, will always be conducted in compliance with the statutory powers of the officer and all other relevant legislation, including but not limited to the Police and Criminal Evidence Act 1984, the Criminal Procedure and Investigations Act 1996, the Human Rights Act 1998, and the Regulation of Investigatory Powers Act 2000, and in accordance with any formal procedures and codes of practice made under this legislation so far as they relate to the regulatory activity of the Service.

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More on helping those we regulate

- 4.1 We will help those responsible for delivering safety in case of fire (responsible persons and duty holders) to understand what is expected of them and what they should expect from the Service. Legal requirements will be clearly distinguished from best practice or non-statutory fire safety advice. We will publish guidance in a clear, accessible, concise, format using media appropriate to the target audience, in plain language.

- 4.2 (Details are available on request and on our website).

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More on Targeting

- 5.1 Our policy on inspections will be to focus primarily on those whose premises and activities give rise to the most serious risk to life in case of fire. In making an assessment of risk, we will take into account the fire safety record of those we regulate and the current risks to people in case of fire.
- 5.2 We will maintain a strategy that will identify and evaluate risks in premises as well as to the wider community and allocate resources to carry out inspections accordingly. We want to see fire safety provided in buildings and may take action against those regarded as putting people at risk in case of fire.
- 5.3 Earned recognition may be awarded to businesses for assurance of safety, including for example external verification of safety systems / practices.

5.4 Our Service Standards and plans including details of our risk-based approach to risk and are available on request.

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More on our Accountability

6.1 The Service is accountable to its community for its actions. This means we must have policies and standards against which we can be judged, and an effective and easily accessible mechanism for dealing with comments and for handling complaints.

6.2 (Details are available on request and on our website [Complaint](#)

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More on the Principles of Enforcement Action

7.1 In assessing necessary and proportionate enforcement action, consideration will be given to (amongst other things):

- the safety history at the premises,
- the history of operational attendances and false alarms at the premises,
- safety referrals to the premises from other authorities / interested parties,
- any Primary Authority relationship that might be in place with the business,
- the adequacy of fire safety arrangements at the premises,
- the attitude of the responsible person / duty holder to providing safety,
- statutory guidance,
- codes of practice, and
- legal advice.

7.2 Certain enforcement action, such as the decision to use a Simple Caution and / or the decision to investigate for prosecution, is further and specifically informed by those matters set out below at section 11

7.3 In every case, when we require action to remedy unsafe conditions, we will explain the nature of the unsafe conditions to those responsible and will confirm the same in writing.

7.4 Because, subject to any letter or notice we give, work must be done to improve or secure the safety of people in case of fire; we will agree reasonable timescales within which the work must be completed that are agreed with those responsible.

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More on Our Enforcement Action

- 8.1 The Service will offer duty holders information and advice both verbally and / or in writing. This will include an explanation of why any specified work is necessary and a time period within which the specified work should be completed. Educating, informing and advising responsible persons and duty holders about their duties under fire safety legislation will form a fundamental element of our enforcement regime. The Service will fulfil its obligation under section 6(2) of the Fire and Rescue Services Act 2004 to give on request, advice on fire safety free of charge.
- 8.2 Where we find risks to safety, we may deal with them by informal means or (where appropriate) we may take formal action by serving alterations, enforcement and / or prohibition notices. We may also issue Simple Cautions, and (in the most serious cases) may prosecute. Before formal enforcement action is taken, inspectors will provide the person responsible with an opportunity to discuss the circumstances of the case and, if possible, resolve points of difference without recourse to formal enforcement action (unless immediate action is required to reduce the risk to life or to prevent evidence from being destroyed).
- 8.3 In certain circumstances, after evaluating the safety at premises, no action may be required. This will be the case when the safety of people in case of fire has been adequately secured.
- 8.4 If the likelihood of fire is high and the consequences in case of fire are low, advice may be given on how the likelihood can be reduced. Advice may also be given where the consequences of fire might cause harm to people but can be simply avoided. Advice can also be given to point out good practice or to

signpost business continuity advice or other business protections, for example protection from flooding.

- 8.5 Where the likelihood of fire is low / medium or the consequences of a fire are slight, informal action will be taken. Informal action will take the form of a letter, pointing out that people are at risk in case of fire, where in the building they are located and what has led to them being put at risk as well as what should be done to provide safety and how to prevent the same danger from recurring. Informal action may also be taken, if those responsible have displayed clear intentions to undertake corrective action. Failure to respond to informal action can result in escalation to formal enforcement action.
- 8.6 Formal action will take the form of serving a Notice (alterations, enforcement, and / or prohibition notices). Formal action will be taken when the consequences of fire are such that people are likely to be harmed, suffer serious injury or death. It can require specific action to be taken or certain activities to cease.
- 8.6.1 Where a reasonable known change to premises or to the use of premises could result in a significant increase in the risks to people on the premises, we may serve an Alterations Notice, which requires the responsible person / duty holder to notify us, before making that known change.
- 8.6.2 Enforcement Notices require improvements in safety and will point out: that people are at risk in case of fire; where in the building they are located; and what has led to them being put at risk, as well as what should be done to provide safety and how to prevent the same danger from recurring. Enforcement Notices include a reasonable period of time for safety to be put in place. Failure to respond to a formal Notice can result in escalation to an investigation for prosecution.
- 8.6.3 Where immediate action is considered necessary to keep people safe from fire, a Prohibition Notice, which can prohibit or restrict the use of premises, can be served. An explanation of why such action is required will be given at the time and confirmed in writing. Whereas a Prohibition Notice requires action to remove imminent and immediate risks in case of fire, an Enforcement Notice might also be served to deal with less imminent risks in case of fire.

- 8.7 Fire Safety law gives power to warranted inspectors to take samples of dangerous materials or extracts of recorded safety information and documents. When we take materials or documents we will provide an appropriate receipt.
- 8.8 In the most serious of cases we will gather information and conduct an investigation to prepare for a prosecution. The decision to prosecute a case will be taken by those with authority to do so in accordance with our Scheme of Delegations.
- 8.9 All our members of staff that make enforcement decisions will be required to follow the Regulators Code.

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More about After Enforcement Action

- 9.1 When the Service takes enforcement action we will discuss what is required to achieve safety for relevant persons with the responsible person / duty holder (taking into account the circumstances of the case, if they have been explained to us).
- 9.2 The Service will clearly explain any advice, required actions or decisions taken at the time of our visit and will be willing to discuss such matters on any future occasion to ensure those responsible have clarity of what must be done.
- 9.3 Our letters and notices will provide details in writing of what must be done and how to appeal against any of our regulatory decisions. Our letters and notices will also explain what will happen next, especially if you do not undertake the work. Our web-site has details of how to complain about our conduct, if you should feel it necessary. [Complaint](#)
- 9.4 We encourage those responsible for providing safety in case of fire to contact us, especially if there are any questions or comments about our regulatory activity. We will also maintain regular communication (where required) until safety has been provided.

More on a Failure to Comply With Requirements

10.1 Rights of and routes to appeal will be clearly set out in writing and issued with our letters.

10.2 The failure to comply with an alterations, enforcement or prohibition notice constitutes an offence and may result in prosecution.

10.3 We can withdraw alterations, enforcement and prohibition notices at any time but they will generally be deemed to be in force until such time as the notice is complied with, withdrawn or cancelled by the court.

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More on Simple Cautions and Prosecution

11.1 There are a number of offences that can be committed under Fire Safety law.

Among the foremost of these are failure to comply with a formal notice and failing to provide safety in case of fire to such extent that one or more people are put at risk of death or serious injury in case of fire.

11.2 The Service can deal with offenders through prosecution and Simple Cautions.

These legal actions are important ways to bring to account those responsible for alleged legal offences. Where appropriate, we will use one of these measures in addition to issuing a formal notice.

11.3 A prosecution may be taken following full consideration of the many factors arising for the alleged breaches of the law. Penalties for offences are awarded by the courts and can include fines, imprisonment or both.

11.4 A Simple Caution will only be used where a prosecution could be properly brought and there is a realistic prospect of conviction. A Simple Caution includes a written submission from the person responsible that an offence has been committed.

11.5 A record of a Simple Caution will be kept on file for three years and if a conviction for a further offence is brought within that period, the written submission of the previous offence will be introduced to the court for consideration.

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More about the Other Duties of the Service

13.1 In addition to Fire Safety law the Service is also responsible for the following regulations.

- Licensing authority for the Petroleum Consolidation Regulations 2014
- The Explosive Regulations 2014.

13.2 The Service can request a review of a premises license under Section 51 of the Licensing Act 2003. The options available to the Licensing Committee are:

- i. Modification of the conditions of the Licence
- ii. Exclusion of Licensable activity from the scope of the Licence
- iii. Removal of the Designated Premises Supervisor
- iv. Suspension of the Licence for a period not exceeding three months
- v. Revocation of the Licence
- vi. Issue of a Warning Letter
- vii. No Action

13.3 The Service enforces the requirements of Explosive Regulations 2014 through application of the Health and Safety at Work (etc) Act 1974 and the serving of improvement notices and prohibitions orders. [Regulating and Enforcing Health and Safety](#)

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More on Data Protection

14.1 The Service will comply with the principles of the Data Protection Act 1998 governing the use of personal data received or obtained and will respect the rights and freedoms of those individuals when processing their details. The following document Information Management Strategy lays out our strategic

approach to meeting these legal requirements. (Details are available on request and on our website [\[Information Management Strategy\]](#)

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More on Freedom of Information

15.1 Under the Freedom of Information Act 2000, individuals are given ‘a general right of access to information held by public authorities in the course of carrying out their functions subject to certain conditions and exemptions’. Under Section 19 of that Act, public authorities are required to produce a publication scheme setting out details of the information routinely published or made available, how the information is made available (in hard copy and on-line), and whether it is available free of charge or on payment.

15.2 Details of The Service’s publication scheme are available on request and on our website [Publication Scheme](#).

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The Regulators Code

The Regulators Code is a statutory code of practice for regulators and makes six broad requirements:

- i. To carry out their activities in a way that supports those they regulate to comply and grow;
- ii. To provide simple and straightforward ways to engage with those they regulate and to hear their views;
- iii. To base their regulatory activity on risk;
- iv. To share information about compliance and risk;
- v. To ensure clear information, guidance and advice is available to help those they regulate meet their responsibilities to comply; and
- vi. To ensure their approach to regulatory activity is transparent.

The service has taken regard of the Regulators Code in producing this policy statement.

For the full version click here: [‘The Regulators Code’](#)

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The Regulatory Enforcement and Sanctions Act

The Regulatory Enforcement and Sanctions Act (The RES) established The Local Better Regulation Office (later renamed as the Better Regulation Delivery Office (BRDO)). It also imposed a duty on Regulators to: (a) have regard to any guidance issued by BRDO, (b) a duty to comply with guidance where the Regulator is directed to do so by BRDO, and (c) a duty to have regard to any list of enforcement priorities published by BRDO. As a listed Regulator, the Service is committed to these duties.

For the full version click here: [‘The Regulatory Enforcement and Sanctions Act’](#)

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Legislative and Regulatory Reform Act

Part 2 of the Legislative and Regulatory Reform Act, requires the Service to have regard to the Principles of Good Regulation. We recognise that our regulatory activities should be carried out in a way which is: (i) proportionate; (ii) accountable; (iii) consistent; (iv) transparent; and (v) targeted to situations which need action.

When we exercise a regulatory function, which for the Service includes: the Regulatory Reform (Fire Safety) Order, [[The Petroleum \(Consolidation\) Regulations 2014](#), [Explosives Regulations 2014](#) and the [Health and Safety at Work \(etc\) Act](#)] we have regard to the Regulators Code.

For the full version click here: [‘Legislative and Regulatory Reform Act’](#)

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The Legislative and Regulatory Reform (Regulatory Functions) Order 2007

The Legislative and Regulatory Reform (Regulatory Functions) Order imposes a duty on the Service to have regard to the Regulators' Code when determining general policies or principles. It requires that the regulatory activities of the Service are carried out in a way which is transparent, accountable, proportionate and consistent, as well as being targeted only at cases in which action is needed.

For the full version click here: '[Legislative and Regulatory Reform \(Regulatory Functions\) Order](#)'

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The Environment and Safety Information Act

The Environment and Safety Information Act requires the Service to make a publicly accessible record of formal enforcement action that we have taken.

For the full version click here: '[The Environment and Safety Information Act 1988](#)'

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The Regulatory Reform (Fire Safety) Order

The Regulatory Reform (Fire Safety) Order 2005 principally imposes a general duty on responsible persons and duty holders to take general fire precautions to keep people safe in case of fire and establishes enforcing authorities to enforce the provisions of the Order. The Service is an enforcing authority under the Order and is empowered to inspect premises and serve notices to improve safety standards (among others).

For the full version click here: '[The Regulatory Reform \(Fire Safety\) Order](#)'

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The Licensing Act 2003

The Licensing Act establishes the Service as a 'responsible authority' with whom the Licensing Authority must consult in connection with Licensable activities, including the sale or supply of alcohol or the provision of regulated entertainment or late night refreshment. The licensing objectives are to promote: the prevention of crime and disorder; public safety; the prevention of public nuisance; and the protection of children from harm.

For the full version click here: '[The Licensing Act](#)'

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The Explosive Regulations 2014

The Service is the local authority for the purposes of dealing with applications for registration or for a licence to store explosives (under certain prescribed conditions).

For the full version click here: [The Explosive Regulations 2014](#)

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The Petroleum (Consolidation) Regulations

The Service is the 'petroleum enforcement authority' and can grant 'storage certificates' for premises at which petrol is dispensed, and enforces The Petroleum (Consolidation) Regulations in premises to which those regulations apply.

For the full version click here: '[The Petroleum Consolidation Regulations](#)'

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November 2020

Norfolk County Council Highways Enforcement Protocol

1.0 Introduction

The Highways area teams receive a significant number of customer enquiries each year relating to enforcement matters. These range from trading on the highway, such as car sales on verges, caravans / motorhomes being parked on the highway, blocked public footpaths and trailer or van mounted advertising hoardings.

The CES enforcement policy is followed, although priority is given to highway safety matters. Increasingly, the teams work with District and Borough Councils and on a more local level with Town and Parish Councils to achieve successful outcomes.

In the majority of cases, the legal processes relating to enforcement are well established, such as dealing with public rights of way issues under various sections of the Highways Act. The following processes are less well established and have been the subject of recent Local Member interest.

2.0 Vehicles for sale on the Highway

When an enquiry is received or issue identified, the Highways Area team will notify the owner and ask them to remove it immediately. A phone call will suffice provided that a record is kept of the time and date.

The Highways Area team will re-inspect the site at least twice within the next calendar month, taking photos and noting the date and time of the inspections. If the problem persists after 4 weeks, the Highway Engineer and Area Manager will assess situation and identify a way forward.

3.0 Advertising Boards and Trailers on the Highway

At joint authority meeting, which included NPLaw, it was concluded that the most appropriate way forward in addressing the issue of illegal advertising boards and trailers was to use the Town & Country Planning Act 1990 rather than the Highways Act 1980, as this offered the best chance of a successful prosecution combined with deterrent fines. In these cases, District and Borough Councils would take be the Lead Authority.

However, where an enquiry is received and the issue identified is likely to cause a danger to other highway users, the Highways Area team will;

- Check whether route is subject to an advertising ban by-law (generally District/Borough Council imposed)
- Laminated notices can be attached to towable hoardings if they are found to be on Highway land, illegal and causing a safety issue for highway users.
- If the contact details for the trailer owner are known, they can be contacted direct to remove the trailer. This can be by either telephone or the use of letter
- If letter is sent or contact details are unknown, a formal notice must be attached to the advertising hoarding. All fees charged should recover all costs incurred including Officer time, administration costs and hoarding collection costs.
- Officers can request the removal of unauthorised A Boards. Photographic records can be taken and re-inspection may be required
- Request for removal, by formal letter, should be made to the offending party, in their absence, immediate removal can be arranged and cost recovered.
- If there is a significant problem with a particular shopping area, precinct or high street it may be helpful for the Highways Engineer to arrange a meeting with the traders, town Councillors or Town Centre Managers to explain the procedure and our Duty of Care for all highway users
- In exceptional cases Area Managers can consider whether offenders should be prosecuted in Magistrates Court.

November 2020**1.0 Introduction**

In November 2011 Norfolk was designated as a Civil Enforcement Area and, following the commencement of the Disabled Persons' Parking Badges Act 2013, local authority enforcement officers are now able to inspect and retain a blue badge without police presence, if they have reasonable grounds for believing that an offence has occurred.

Wrongful or misuse of a Blue Badge is a strict liability offence. The County Council employs a Blue Badge Investigator to carry out follow up investigations and prepare the evidence in support of enforcements – including giving written warning, or recommendations for formal prosecutions or simple cautions.

The Community and Environmental Services Enforcement Policy is followed, and this protocol is to be read in conjunction with that over-arching document. The Blue Badge Investigations service forms part of the Infrastructure and Development Section. There is a close working arrangement with Trading Standards, who process the legal disposals, and with the Customer Services Centre (CSC) who administer the Blue Badge Scheme.

There is close liaison with District Councils who employ Civil Enforcement Officers (CEO), including guidance on the policy requirements for evidence-gathering and operational arrangements.

The misuse of the Blue Badge Scheme can have serious consequences for legitimate users by denying them access to essential services and facilities. Norfolk County Council are committed to reducing the level of misuse and increasing compliance with the scheme in pursuit of our traffic management duties and aims, and to support vulnerable people in Norfolk.

2.0 Identifying Offences

Blue Badge Offences are identified in 3 ways –

- Reports by members of the public via the online form or the CSC
- Badge Inspections and seizures by CEOs as part of normal patrol duties.
- Badge Inspections and seizures by the Blue Badge Investigator during specific patrols.

The County Council publicised the commencement of work by the Blue Badge Investigator and continues to publish on its website the results of enforcement action where a person is taken to court.

<https://www.norfolk.gov.uk/care-support-and-health/disabilities/blue-badges/blue-badge-enforcements>

We have provided guidance to Civil Enforcement Officers who have the power to inspect and retain Blue Badges. This includes when and when not to inspect/retain

badges, what offences are likely to have been committed. How they should interact with members of the public in what is a stressful situation and the type of questions to ask to gather evidence.

3.0 Investigation Process

All investigations into alleged offences are conducted in accordance with statutory powers, relevant legislation and codes of practice.

Persons suspected of committing an offence will always where possible be formally interviewed in accordance with Police and Criminal Evidence Act 1984 (PACE). This is undertaken in 3 ways –

- Roadside interview by the Blue Badge Investigator
- Interview in person with the Blue Badge Investigator
- Postal Interview

The method chosen is dependent on how the alleged offence was identified.

The opportunity to demonstrate a statutory defence and offer mitigating information is, where possible, always offered during the PACE interview. Unsolicited information may also be recorded and used as part of the decision making process. We will also give an additional opportunity to offer mitigation following a road side interview by writing to the alleged person providing them with a copy of their responses.

4.0 Disposal

We are committed to giving advice, guidance and support to all those persons suspected of committing an offence and will do so at all stages of an investigatory process. Mitigating information where supplied will be used during the decision making process but, a formal disposal may still be the likely outcome.

There are four methods of disposal available to use in relation to the misuse of a Blue Badge.

1. No further Action (NFA) – the alleged offence may fall outside our jurisdiction, there may be insufficient evidence or formal action not in the public interest.
2. Written warning – The alleged offence was within our jurisdiction but there is insufficient evidence or formal action would not be in the public interest.
3. Simple Caution – In certain cases a simple caution may be offered instead of prosecution. When offering a simple caution, we will comply with relevant Home Office Circulars and the offender will be made aware of the impact the simple caution may have on their life.
4. Prosecution - We may prosecute using different pieces of legislation depending on what offences are alleged. The legislation we use is;
 - Section 115/117 of the Road Traffic Regulation Act 1981

- The Fraud Act 2006
- Forgery and Counterfeiting Act 1981
- The Theft Act 1968
- Proceeds of Crime Act 2002

A person could also be issued with a penalty charge notice for any parking contravention that occurs.

In cases where a badge holder lets a third party use a badge, the issuing local authority can withdraw the badge under regulation 9(2)(a) of the Disabled Persons (Badges for Motor Vehicles) (England) Regulations 2000 after a relevant conviction has been obtained.

In certain circumstances involving prolific offenders Courts are able to disqualify drivers for a period of time under section 46 of the Powers of Criminal Courts (Sentencing) Act 2000.

Safety at Sports Grounds Enforcement Protocol

Introduction

This Enforcement Protocol is supplementary to and published as part of the County Council's Enforcement Policy (Community and Environmental Services). It sets out the arrangements that Norfolk County Council has put in place for enforcement action in relation to its statutory duties concerning safety at sports grounds.

Legislation and Guidance

This protocol should be read in conjunction with the following legislation and guidance that applies to the safety of those present at sports grounds:

- Safety of Sports Grounds Act 1975 (the 1975 Act)
- Fire Safety and Safety of Places of Sport Act 1987 (the 1987 Act)
- Safety of Sports Grounds Regulations 1987
- Safety of Places of Sport Regulations 1988
- Regulatory Reform (Fire Safety) Order 2005 (enforced by Norfolk Fire and Rescue Service)
- Health and Safety at Work etc. Act 1974 (enforced by Health and Safety Executive / District/Borough Councils)
- Licensing Act 2003 (enforced by District/Borough Councils)
- Home Office Circular 71/1987 – which provides guidance relating to the issuing of prohibition notices

- Further advice contained in “Guide to Safety Certification of Sports Grounds” (known as the Green Guide) published by the Sports Grounds Safety Authority.

Scope

The sports grounds currently covered by these arrangements are listed below:

Designated Sports grounds in Norfolk requiring a General Safety Certificate:

- Norwich City Football Club

Regulated Stands in Norfolk requiring a safety certificate:

- Fakenham Racecourse
- Gorleston Football Club
- Great Yarmouth Greyhound Stadium
- Great Yarmouth Racecourse
- King’s Lynn Town Football Club (The Walks)
- King’s Lynn Speedway (Norfolk Arena)
- Wellesley Stadium

The 1975 Act defines a sports ground as a place where sports or other competitive activities take place in the open air, where accommodation has been provided for spectators, consisting of artificial structures or natural structures artificially modified for the purpose.

Under the provisions of section 1 of the 1975 Act the Secretary of State for Culture, Media and Sport may designate as requiring a safety certificate any sports ground that has accommodation for more than 10,000 spectators, or 5,000 in the case of Premier League and Football League grounds in England and Wales. These sports grounds are referred to as designated grounds.

A Regulated Stand is defined in the 1987 Act as any covered stand at a sports ground with accommodation for 500 or more spectators, whether seating or standing.

Under the provisions of section 10 of the Safety of Sports Grounds Act 1975 the Council has the power to issue a prohibition notice to limit the capacity, or totally prohibit the admittance of spectators to any sports ground within the County of Norfolk.

Choices of Enforcement Action

There are several courses of action open to the council's enforcement officers depending on the different circumstances that may be encountered or apply to the situation. The choices of enforcement action are:

- Informal Warning
- Reduction in Capacity
- Simple Caution
- Prohibition Notice
- Prosecution

Reduction in Capacity

Reducing the capacity of all, or part of, a sports ground is a formal action which would be appropriate in the following situations:

- if an incident suggests that the management of a sports ground is performing poorly; or
- if the Council's inspecting officers identify any deficiencies in the fabric, equipment, records or management systems, which the authority has not already taken into account when accepting calculation of the permitted capacity

Any new capacity should be properly calculated having regard to the change in circumstances and the procedures to be followed will be the same as during the routine annual review of the safety certificate. Ground management should be invited to submit its proposed revised (P) or (S) factor, but the Council reserve the right to overrule this if appropriate.

When reducing a capacity it is important that:

- officers act reasonably and in accordance with due process, not least because the certificate holder has a right of appeal against any reduction in capacity; and
- a formal amendment to the safety certificate is issued.

Prohibition Notice

Unlike the other provisions of the 1975 and 1987 Acts, the power to issue a prohibition notice applies to all sports grounds, as defined in section 17 of the 1975 Act, including those that are neither designated nor contain a regulated stand.

Section 10 of the 1975 Act empowers the Council to issue a prohibition notice in respect of all or part of any sports ground if it considers that “the admission of spectators to a sports ground or any part of a sports ground involves or will involve a risk to them so serious, that, until steps have been taken to reduce it to a reasonable level, admission of spectators to the sports ground or that part of the sports ground ought to be prohibited or restricted”.

A prohibition notice is therefore a measure of last resort and should only be used where an amendment of the safety certificate (where issued) is not considered an effective way of dealing with the risk(s).

When issuing a prohibition notice consideration should be given as to whether the risk to spectators is or may be imminent and if so, the notice should take effect as soon as it is served. In all other cases it should come into force at the end of the period specified in the notice.

A prohibition notice must specify:

- the nature of the risk to spectators; and
- the number of spectators that may be admitted to the sports ground, or any part of the sports ground, until appropriate steps have been taken to address those risks.

The notice may also include directions as to the steps which will have to be taken to reduce the risk to a reasonable level.

Appeals

Appeals against a reduction in capacity imposed by way of an amendment to a safety certificate or against a prohibition notice are to a Magistrates Court. Where an appeal is made against an amendment to a safety certificate the amendment cannot take effect until the appeal is heard. However, in the case of an appeal against a prohibition notice any reduction in capacity remains in place until the appeal is heard.

Penalties

It is an offence for any responsible person, not merely the certificate holder, to contravene the terms and conditions of a safety certificate or a prohibition notice. These offences and associated penalties, along with the defences of absence of consent and due diligence, are listed in section 12 of the Safety of Sports Grounds Act 1975.

Performance Data 2019/20

In response to a Member request in 2018, this appendix provides enforcement performance information in relation to those regulatory functions covered by the CES Enforcement Policy; Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Highways (networks, maintenance and blue badge enforcement) and Norfolk Fire and Rescue Service.

1. Trading Standards

1.1 Outcomes of investigations and prosecutions

Number of defendants convicted	6
Number of offenders to whom simple cautions issued	2
Number of years imprisonment (immediate and suspended sentences)	72
Fines awarded	£9,367
Costs awarded from court cases	£7,408
Community Punishment Orders (hours)	350
Proceeds of Crime Act (POCA) benefit ordered to be paid in the year	£74,405
Proceeds of Crime Act (POCA) benefit paid in the year	£55,463

1.2 Redress obtained/detriment prevented by service actions

(£) not handed over to criminals (e.g. rapid response outcomes)	£61,330
Total number of Scam victims subject to interventions by the Service	867
Detriment (£) over the following 12 months prevented by service actions	£225,085

1.3 Business compliance

Percentage of businesses that were compliant when visited, brought into compliance at the time of the visit or brought into compliance during the period, subsequent to the visit	98%
Number of counterfeit items/products removed from or prevented from entering the supply chain and value	11 £242
Number of unsafe items/products removed from or prevented from entering the supply chain and value	68,203 £2,255,473
Number of businesses identified as supplying misdescribed food, or not correctly declaring allergens, or selling food containing toxic or illegal components, or involved in fraud involving food	110
Number of businesses found in breach of animal health and welfare legislation	185

1.4 Tackling the availability of illegal tobacco

Number of premises from which products were seized	10
Number of cigarettes seized and value	32,460 £6,898
Weight of Hand Rolling Tobacco seized and value	6,175 g £1,235

1.5 Businesses tested for compliance with the law utilising underage volunteers or compliance with mandatory Challenge 21/25 conditions

Number of individual premises tested for Alcohol	6
Failure rate (%)	50%
Number of individual premises tested for Tobacco	0
Failure rate (%)	0%
Number of individual premises tested for Other Products	6
Failure rate (%)	17%

2. Planning Services

Over 100 programmed inspections of authorised developments were undertaken during 2019/2020 and 61 inspections were undertaken as a result of ongoing complaint investigations.

Levels of complaints received have reduced compared to previous years with 38 complaints reported. As can be seen from the above figures individual complaints can generate a number of site visits until matters are fully resolved.

The chargeable site monitoring regime has generated £20,357.

Two Breach of Condition Notices and three Planning Contravention Notices were served in 2019/2020.

3. Flood and Water team

No enforcement action, beyond advisory letters being sent, has been required due to a) matters being resolved or b) not meeting the required thresholds for action.

4. Highways

4.1 Highway obstructions

- South Area - no enforcement action taken beyond advisory letters being sent, following which matters were resolved.
- North Area – Enforcement Notice served under Section 149 Highways Act 1980 to clear a road of mud
- West Area –. no enforcement action taken beyond advisory letters being sent, following which matters were resolved.

4.2 Highways development

Enforcement action covering development management is all undertaken by the District Council as part of their remit. Enforcement action for highway obstructions (highway boundaries) is undertaken by area.

4.3 Blue badge enforcement

Total investigations by disposals, reporting, location of incident and residency of badge-holder (latest 2 years):

Investigations of Blue Badge Infringements	2018-19	2019-20
Disposals:		
Formal prosecution including caution*	7 (+9) **	6 (+1) **
Advisory/warning letter or verbal advice from BBI	15	42
Details forwarded to parking team for CEO awareness	24	15
No action required (including insufficient or incorrect information to pursue further)	26	20
Investigation in progress/pending	15	-
Reporting:		
Reports from others (incl. public)	42	40
Identified by CEO	52	72
Identified by BBI	3	1
Location of incident:		
Norfolk	83	93
Outside Norfolk	15	7
Insufficient information to determine	6	3
Residency of badge-holder:		
Norfolk resident badge-holder	71	83
Non-Norfolk resident badge-holder	14	20
Insufficient information to determine	6	8
Not BB related	2	4
Total investigations:	93	115
* A summary of all prosecutions is available to view on the NCC website under Blue Badges		
** Pending prosecutions in brackets.		

5. Norfolk Fire and Rescue Service*

815 Fire Safety Audits (FSA) were completed in 2019-20. Of these:

- 144 premises were issued with informal notices for deficiencies.
- 14 premises were issued with formal notices for deficiencies.
- 0 formal prosecutions were concluded.

*Norfolk Fire and Rescue Service is required to provide detailed operational statistics to the Home Office on an annual basis. Further information regarding this is available from Jon Wilby, Group Manager – Fire Protection, Norfolk Fire and Rescue Service.

November 2020

Summary of Stakeholder Engagement

Since 2014 the following have been consulted on and contributed to the development of the CES Enforcement Policy:

1. Norfolk County Councillors
2. Local businesses
3. Business organisations/forums
4. Members of the public
5. Charity or community organisations/groups
6. Suffolk County Council Trading Standards Service
7. Other Local Authorities
8. Enforcement partners such as the Police and HMRC
9. Planning Services (NCC)
10. Highways Maintenance (NCC)
11. Blue Badge Enforcement (NCC)
12. Norfolk Fire and Rescue Service
13. Trading Standards Service (NCC)
14. Flood and Water Management Team (NCC)
15. Economic Development (NCC and other local authorities)
16. Nplaw (Chief Legal Officer)
17. CES Equalities representative

Regulations covered by the joint enforcement approach by Trading Standards, the Norfolk Constabulary and the seven Local Authority Environmental Health Services

The Regulations covered are:

[The Health Protection \(Coronavirus, Restrictions\) \(No. 4\) \(England\) Regulations 2020](#)

the “No. 4 Regulations”, which came into force on 5 November 2020.

[The Health Protection \(Coronavirus, Restrictions\) \(Obligations of Undertakings\) \(England\) Regulations 2020](#)

the “Undertakings Obligations” Regulations, which came into force on 18 September 2020.

[The Health Protection \(Coronavirus, Collection of Contact Details etc and Related Requirements\) Regulations 2020](#)

the “Contact Details Regulations”, as amended, which came into force on 18 September 2020.

[The Health Protection \(Coronavirus, Restrictions\) \(Self-Isolation\) \(England\) Regulations 2020](#)

The “Self-Isolation Regulations”, which came into force on 28 September 2020.

[The Health Protection \(Coronavirus, Restrictions\) \(England\) \(No. 3\) Regulations 2020](#)

the “No. 3 Regulations”, which came into force on 18 July 2020.

[The Health Protection \(Coronavirus, Wearing of Face Coverings in a Relevant Place\) \(England\) Regulations 2020](#)

as amended, which came into force on 24 July 2020, and

[The Health Protection \(Coronavirus, Wearing of Face Coverings on Public Transport\) \(England\) Regulations 2020](#)

as amended, which came into force on 15 June 2020.

Jointly, the “Face Coverings Regulations”.

The split of enforcement duties is summarised below:

Regulations	Enforcement		
“No. 4 Regulations”	Police	Local Authorities Part 4 only	County Council Part 4 only
“Undertakings Obligations” Regulations	Police	Local Authorities	County Council
“Contact Details Regulations”	Police	Local Authorities	County Council
“Self-Isolation Regulations”	Police	Local Authorities	County Council
“No. 3 Regulations”	Police		County Council
“Face Coverings Regulations”	Police		

Cabinet

Item No. 12

Decision making Report title:	Norfolk Strategic Infrastructure Delivery Plan (NSIDP) refreshed for 2020.
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Councillor Graham Plant (Cabinet Member for Growing the Economy)
Responsible Director:	Tom McCabe (Executive Director, Community and Environmental Services)
Is this a key decision?	No

Introduction from Cabinet Member

The NSIDP is a shared plan that contains Norfolk's high-level strategic infrastructure priorities for the next 10 years, pulling together information on key projects needed to support planned development and deliver economic growth in Norfolk. It is a living document that provides a clear message of Norfolk's strategic infrastructure needs to Government and its agencies. The NSIDP is focussed on strategic transport, utility and sustainability projects; there are other infrastructure schemes and projects important across the county but not included in this strategic plan. The NSIDP sits alongside Children's Services Local Growth and Investment Plan and the Norfolk Public Health Strategy. Most notably, NSIDP has been recognised as a case study for best practice in supporting housing and infrastructure needs by the Town and Country Planning Association.

Executive Summary

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

- Road infrastructure at Attleborough and Long Stratton to deliver 5,800 homes;
- Weavers Way providing walking and cycling infrastructure to support the Broadland Growth Triangle's planned 13,500 homes
- East Norwich Regeneration scheme which could deliver up to 4,000 homes and 100,000 square metre of employment

Projects are placed in one of two groups, those grouped in Local Authority control and those to be delivered by external organisations. This creates a pipeline of projects and allows for informed discussions to co-ordinate implementation, prioritise activity and respond to any funding opportunities.

The production of the 2020 NSIDP began in April with officers from the County and District Councils working jointly to update progress on existing projects and consider any additional emerging projects. The NSIDP has been reviewed by officer groups: Norfolk Strategic Planning Group, Norfolk Growth Delivery Group, and the Norfolk Chief Executives Group (consisting of Chief Executives from all the District Councils). It has

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

The key changes made to the 2020 NSIDP compared with the 2019 NSIDP are:

- The inclusion of new projects that meet the criteria – East Norwich Regeneration Area, Great Yarmouth Operations and Maintenance Campus, Burlingham Country Park and Smart Energy Technology Institute;
- The addition of a new section titled “Regeneration” to capture schemes that have a revitalising effect on an area that do not easily fit into a singular infrastructure category
- Thetford SUE, Increased Surface Water Capacity North Lynn, Local Full Fibre Network and Internet of Things Innovation Network have been added to the funded project list on page
- The previously titled Broadband section has been renamed to “Digital Connectivity” to incorporate a comprehensive range of projects associated with digital communication
- The recognition of potential impact of the Offshore Transmission Network Review on the energy sector in the County

Recommendations

- 1. To approve the 2020 NSIDP as set out in Appendix A.**
- 2. To agree to continue to review and update the NSIDP annually.**

1. Background and Purpose

- 1.1 Since 2012 a refresh of the Norfolk Infrastructure Plan has been carried out annually. This means longer term projects and priorities can change accordingly. Since 2017 the NIP has become the Norfolk Strategic Infrastructure Delivery Plan (NSIDP) with a greater focus on delivery.
- 1.2 2020 is an extraordinary year deeply affected by the global pandemic of Covid-19. At the time of producing this Plan, the social, economic and political impacts of the pandemic are still unravelling. This will further highlight the importance of the role of a Strategic Infrastructure Delivery Plan in helping to bring forward schemes that are designed to stimulate economic growth and thus pave a long-term route of recovery from the fallouts of the pandemic. The addition of some of the new projects are a timely reflection of the times we live in and shift in direction of Government's agenda.

2. Proposals

- 2.1. The 2019 NSIDP can be found at: <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/policies-and-strategies/business-policies> and sets out Norfolk's high level strategic infrastructure priorities for the next 10 years and has an accompanying online map <http://arcg.is/2u75ooY> presenting all the projects in the NSIDP as one vision for Norfolk. This will be updated once the final 2020 NSIDP has been adopted. For the draft 2020 NSIDP, please see Appendix A.
- 2.2. The production of the 2020 NSIDP began in April with officers from the County and District Councils working together to update the progress of existing projects

and consider whether there are any additional emerging projects that meet the criteria for inclusion. In May officers from Norfolk Strategic Planning Group and Growth Delivery Group collectively agreed that the following new projects be added to the 2020 NSIDP:

- East Norwich Regeneration Area (Regeneration section – lead by a LA)
- Great Yarmouth O&M campus (Regeneration section – lead by a LA)
- Burlingham Country Park (Sustainability section – lead by a LA)
- Smart Energy Technology Institute (SETI) (Digital section – lead by external organisation)

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

- 2.3. In this iteration of the NSIDP, a new section titled "Regeneration" has been added to capture developing schemes that encompass a wide range of infrastructure activities that have a profound revitalising effect on an area that do not easily fit into a singular category such as road and rail. The context to this is there are several such schemes that are currently being developed across the County and it felt appropriate to recognise the current ones as well as potential new projects in the same vein with a dedicated category.
- 2.4. The previously titled Broadband section has been renamed to Digital Connectivity to incorporate a comprehensive range of projects associated with digital communication. The projects in the NSIDP are focussed on transport, utilities, regeneration and sustainability and align with the County Council's priority for improved infrastructure, the ambitions of the Norfolk and Suffolk Economic Strategy (NSES) and the District Council Local Plans.
- 2.5. The potential impact of Offshore Transmission Network Review by BEIS on the energy sector in the County is also recognised.
- 2.6. Some projects are further forward than others. The more developed projects have robust investment requirements and implementation timelines; others are in the early stages of design and are less well known. In some cases, the funding sources are clear, for example where Section 106 (S106) funding or Community Infrastructure Levy (CIL) collected from developers will provide a significant contribution. Additional details on costs and sources of funding, such as contributions from utility companies like Anglian Water will be added as projects are firmed up. Several new projects such as Great Yarmouth North Quay Regeneration have been added to the Up and Coming project list in the plan where a pipeline of potential schemes sit and could graduate to the main section of the NSIDP in the future.

3. Impact of the Proposal

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

- 3.2. In addition, many of these projects have also received funding from the Business Rates Pool in a coordinated approach to ensure projects progress as planned over the coming year and the next stage for delivery has been identified. This approach to infrastructure planning allows the County Council to collaborate with its partners to focus on the delivery of strategic infrastructure projects, understanding what is required to progress schemes most efficiently to delivery.
- 3.3. Norfolk County Council and its partners are using the NSIDP to help accelerate infrastructure delivery to support growth. There are several projects featured in the previous plan that have successfully moved forward to the fully funded status and due to start construction such as Thetford SUE Energy Supply and Increased Surface Water Capacity in North Lynn. Last year we also accelerated our work on priority schemes at Long Stratton and West Winch to meet Government's timetable for the Major Road Network funding stream. This proved successful and these projects are now prioritised for that funding stream, and the Council received funding support from the Government to further development work on Long Stratton Bypass. We will continue to align development of the projects' key milestones to match opportunities for their progression.

4. Evidence and Reasons for Decision

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

5. Alternative Options

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

6. Financial Implications

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

7. Resource Implications

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

8. Other Implications

- 8.1. **Legal Implications:**

None

8.2. Human Rights implications

None

8.3. Equality Impact Assessment (EqIA)

The Council's Planning functions are subject to equality impact assessments. No EqIA issues have been identified.

8.4. Health and Safety implications (where appropriate)

None

8.5. Sustainability implications (where appropriate)

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

8.6. Any other implications

None

9. Risk Implications/Assessment

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

10. Select Committee comments

- 10.1. The Infrastructure and Development Select Committee considered the attached Norfolk Strategic Infrastructure Delivery Plan on 11 November 2020. Members wanted greater contextualisation of the strategic projects contained in the plan against a drive towards a more green and sustainable growth agenda.

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

11. Recommendations

- 11.1. **1. To approve the 2020 NSIDP as set out in Appendix A.**
2. To agree to continue to review and update the NSIDP annually.

12. Background Papers

- 12.1 The 2019 NSIDP can be found at: <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/policies-and-strategies/business-policies/norfolk-infrastructure-delivery-plan>

- 12.2 Accompanying online map [Norfolk Strategic Infrastructure Delivery Plan Map](#) presenting all the projects in the current (2019) NSIDP

Officer Contact

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

Draft Norfolk Strategic Infrastructure Delivery Plan 2020

October 2020

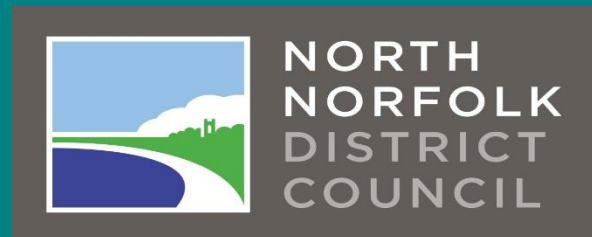


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Introduction

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

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

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

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

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

There are many other infrastructure schemes and projects important across the county. Not every project can be included in the NSIDP. For example, sitting alongside the NSIDP, there are numerous more detailed work streams generating projects in areas such as sustainability, renewable energy and green economy. The details of some of these projects can be found in proposed works supporting the Norfolk County Council's Environmental Policy and Norfolk Strategic Planning Framework amongst others. All these works form part of a comprehensive range of infrastructure schemes that will support an inclusive and sustainable economy.

The NSIDP includes the **most strategic level projects** on which the county council alongside partners are actively working to progress and which have a recognised

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

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

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

The scheme development of these projects is demonstrated by a tick system, shown below:

- No ticks = Issue identified but no work carried out to identify project/solution
- ✓ = Feasibility work on scheme has begun to identify options
- ✓✓ = Feasibility/development work underway on preferred option
- ✓✓✓ = Project is shovel ready

Norfolk Strategic Infrastructure Delivery Plan 2020

The 2020 version of the NSIDP reflects the latest update on all the collectively agreed strategic infrastructure projects (both newly added and existing projects) across the County. As fresh schemes emerge, a new section called **Regeneration** has been added to this year's plan to capture developing schemes that encompass a wide range of activities that have a profound regenerating and revitalising effect on an area and community and will require supporting infrastructure.

East Norwich Regeneration scheme represents an "once in a generation" opportunity to unlock and shape the comprehensive development of a new high quality, sustainable urban quarter of East Norwich, linking the city centre with the Broads, delivering exemplar design and creating a highly attractive location for living and working. The riverside regeneration potential of the sites could be maximised to create a distinct sense of place and provide enhanced connectivity with high quality pedestrian and cycle links. The scheme has the potential to deliver significant new housing and employment development, and act as a catalyst for regeneration of both East Norwich and wider city. This could realise the long-held vision of the East Norwich as a productive quarter of for the future growth of the city, that could generate up to 4,000 homes, 100,000 square meter of employment space and up to 6,000 jobs. The scale of the vision has helped stimulate Homes England's interest in this scheme, given its remit to accelerate delivery.

In rail projects, there are also significant progress achieved in **Ely area enhancement** scheme which is lead by Network Rail. Network Rail has secured £13.1m funding from Department for Transport and £9.3m funding from Cambridgeshire and Peterborough Combined Authority, New Anglia LEP and Strategic Freight Network to understand the scale of the challenge to increase capacity through Ely and progress early design options for public consultation. Enhancement will significantly improve train connectivity between Norfolk and Cambridgeshire and Stansted Airport as well as the Midlands and the Northern part of UK.

There are also significant projects in development in the Up and Coming section of this plan, where a list of “bubbling under” projects is included and could graduate to the main section of the plan as these projects become more developed in the future. One such example is the **A149 King's Lynn bypass**. This route is subject to extensive queuing and delays. Some pre-feasibility work has been carried out into more extensive local widening improvements on the southern section of the route between the hospital and the Hardwick junction with the A47. A key finding from that work is that traffic flows are currently about 38,000 vehicles per day. If a new road was being planned for to accommodate this level of traffic it would need to be of a dual carriageway standard. This illustrates the inadequacy of the current road. The A149 is not part of the governments new Major Road Network (MRN) where it could be considered for funding from that programme. However, a full dualling scheme from the Hardwick Junction to the Knights Hill roundabout would cost more than the ceiling for that fund which is £50m. Therefore, a more appropriate source of funding for such an improvement would be the governments Large Local Major (LLM) scheme funding pot if it were an agreed priority for the region.

Impacts of the Pandemic

2020 is an unprecedented and extraordinary year deeply affected by the global pandemic of Covid-19. At the time of producing this Infrastructure Delivery Plan, the social, economic and political impacts of the pandemic are still unravelling and ever changing. The social restriction measures put in place to contain the spread of the disease have meant millions of employees across the Country have been forced to stop working and supported financially by the Coronavirus Job Retention Scheme. Office of Budget Responsibility has forecasted a 35% decrease in GDP in second quarter of 2020 and a peak of 12% unemployment rate in the fourth quarter of 2020.

In this challenging time, strategic infrastructure projects that are designed to stimulate economic and social wellbeing of the community are more vital than ever to ensure the long term route of recovery from the fallouts of the pandemic. There is also a clear shift in direction from the Government towards an emphasis on developing **greener and cleaner economy**. Most notably the addition of the **Great Yarmouth Operations and Maintenance** for the offshore wind energy sector in this year's Delivery Plan is a timely reflection of this agenda. Change in social behaviour prompted by the pandemic including greater level of working from home and significant increase in online business activities meant that digital infrastructure in Norfolk needs further significant improvement. This Delivery plan recognises this, as reflected in inclusion of ongoing development of existing projects in the Digital Connectivity sector and the addition of the **East of England Smart Emerging Technologies Institute**.

This year NCC launched the Norfolk Strategic Fund of £6.75 million to provide funding for Norfolk local authority/New Anglia LEP led projects aimed at achieving the above-mentioned purpose through specific target projects or by bringing forward the delivery of key Infrastructure. One example of this is funding has been secured for the Snetterton Heath through the Norfolk Strategic Fund which will enable work to commence Autumn 2020 aimed at identifying solutions to the infrastructure necessary to deliver the intended growth at this site.

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

The Norfolk Strategic Planning Framework 2019 suggests Norfolk authorities will need to collectively plan for at least an additional 75,186 (approx. 4,200 per annum) homes by 2036. **Figure 1** outlines the key strategic housing sites that will deliver the majority of this growth, with growth focussed around key urban areas that have existing infrastructure and services that have the capacity to support high levels of growth. It also identifies all the places in our area that are expected to grow by at least 1,000 homes over the relevant local plan period. As well as the major urban areas of Norwich, King's Lynn and Great Yarmouth there are groupings of towns along the A11 as well as key individual market towns that can make a significant contribution to growth.

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

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

Figure 1 Key housing growth sites

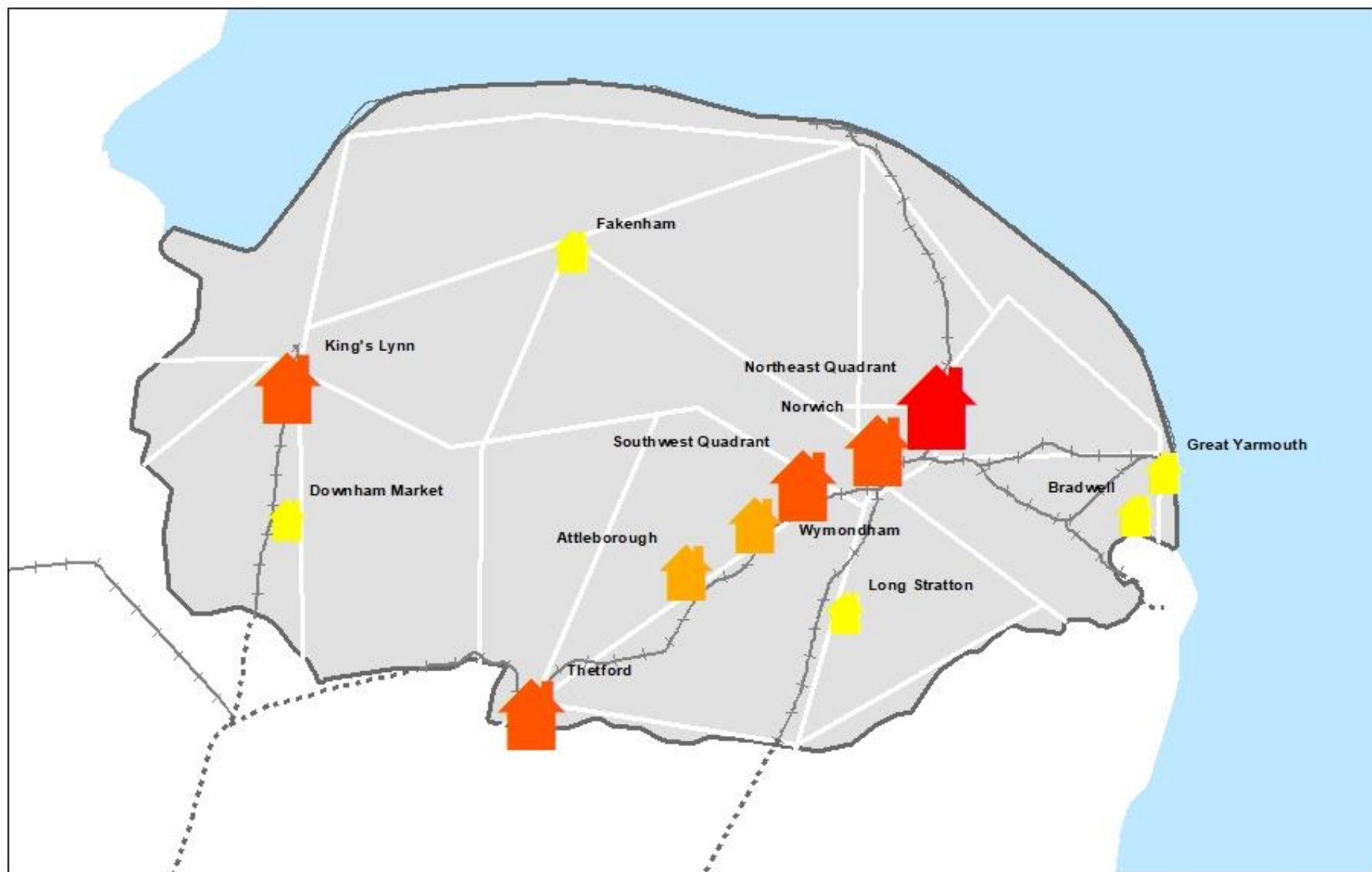


Figure 2 Key employment sites

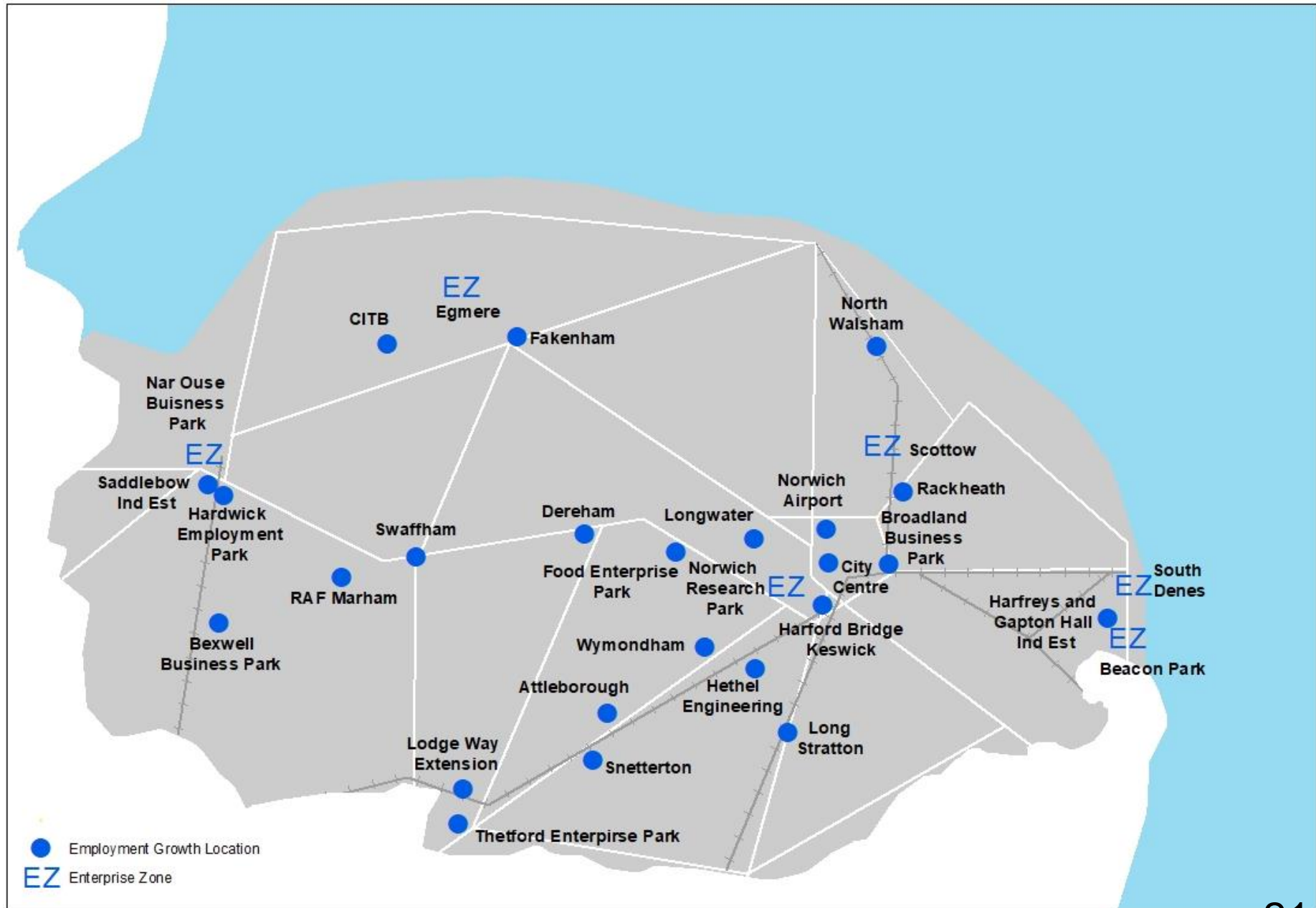
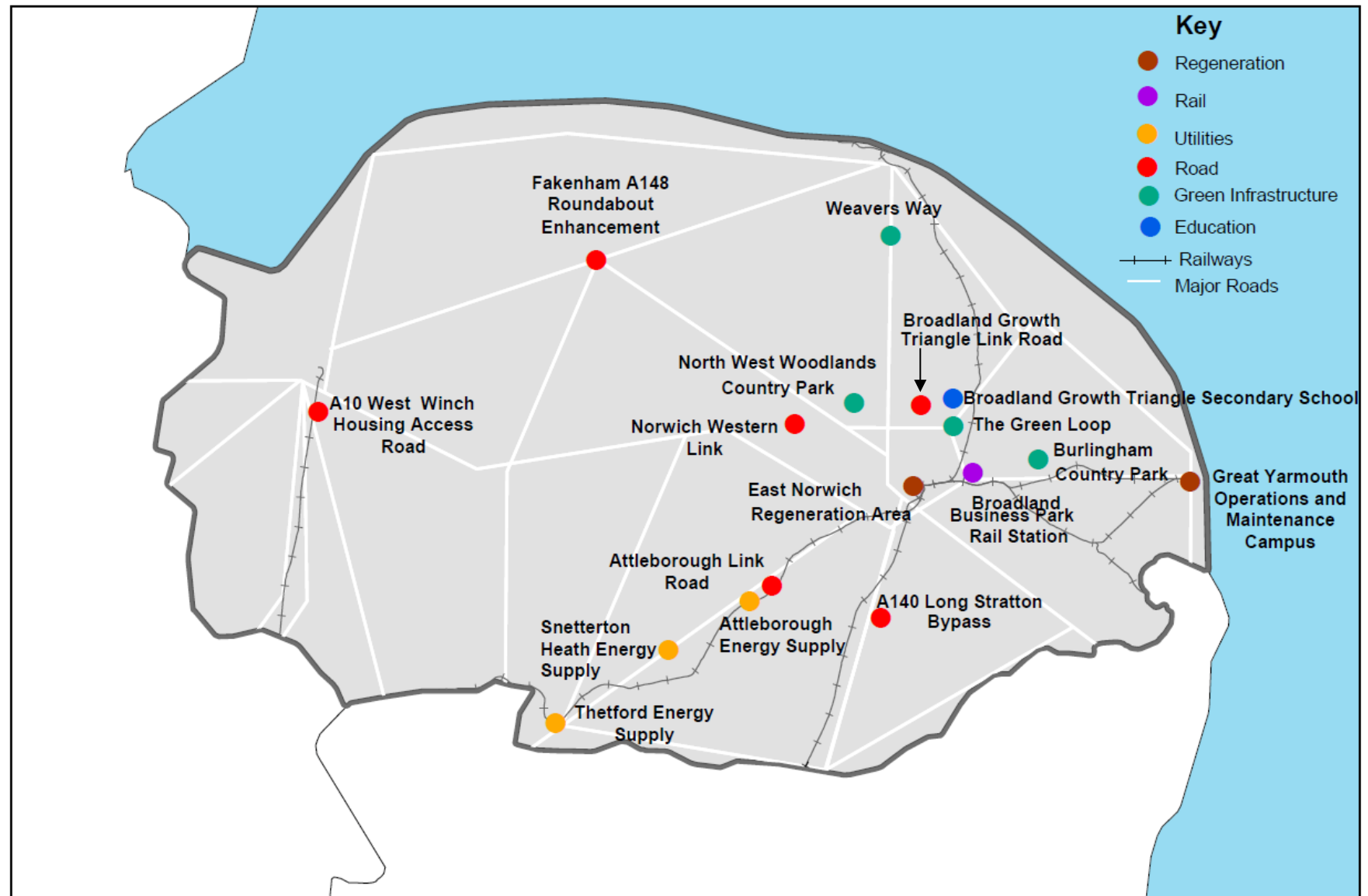


Figure 3 shows all of the projects in Local Authority control that require further development, it does not show projects that are funded, which are listed on page 12. These projects are in alignment with housing growth, jobs growth and NSES key places, and will create better places to live and work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

Figure 3 Strategic Infrastructure projects in Local Authority control



Funding Opportunities

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

- Growing Places Fund
- City Deals
- Business Rates Pool (BRP)
- Growing Business Fund
- Enterprise Zone accelerator fund
- Enterprise Zone business rates retention challenge fund
- Local Investment Fund (LIF)
- Local Major Transport Schemes
- New Anglia Local Enterprise Partnership (NALEP)
- Homes and Communities Agency
- Housing Infrastructure Fund
- Private Investment
- National Productivity Investment Fund (NPIF)
- Developer funding (S106 and CIL)
- Transforming Cities Fund
- Government Major Road Network
- Access for All
- Future High Streets Fund
- Sovereign Wealth
- Industrial Strategy related funding
- Norfolk Strategic Fund

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

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

Housing Infrastructure Fund

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

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

		and parking, water, electricals and gas	
Cringleford, South Norfolk	£7.8m	Infrastructure (Homes England's Accelerated Construction Fund.)	350
Forward funding (upper tier authorities)			
Broadland growth triangle	£57m	Infrastructure	7,720
Total	£86.75m (currently – not including Broad Growth Triangle)		14,300

The £57m bid put forward for the Broadland Growth Triangle was unsuccessful. NCC and partner authorities will continue to seek other funding opportunities to progress this forward.

Transforming Cities Fund

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

In January 2019, TfN was awarded £6.1m from Tranche 1 of the TCF to deliver six improvement schemes for delivery during 2019/20. These schemes were as follows:

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

Following an initial application for Tranche 2 TCF funding in November 2019, we were advised in March 2020 that although there were significant elements of our TCF application that they liked, some additional work was needed and that a resubmission was required. This was to secure a share of £117m of TCF funding, which had been set aside for Norwich, Portsmouth and Stoke-on-Trent to competitively apply for. We were advised to submit a core package requiring an investment of circa £32M from the DfT, with options for a high or low package of

£32M +/- £5M respectively. DfT has recently confirmed that we will receive £32m from the Transforming Cities Fund. The funding will deliver vital infrastructure improvements to improve travel times for bus passengers on the most popular transit routes, giving city bus operator, First Eastern Counties, confidence to invest a further £18m in its fleet and local services.

We have prioritised corridors and schemes that will maximise benefits and value for money and are deliverable within the challenging timescales of the funding programme. We have also tried to deliver the best possible balance between bus, walking and cycling schemes, which will be supplemented by a co-ordinated and sustained behaviour change programme that will be locally funded and delivered.

We have considered the impacts that COVID-19 is currently having on travel behaviours, employment, education and training and how our programmes will need to be delivered to help mitigate these impacts in the short / medium term as lockdown measures are eased and support longer term recovery.

We are seeking to continue investing in the city centre and key transport corridors because the transport network in Norwich radiates out from the historic city centre in a hub-and-spoke arrangement. This has been in place for a considerable time and is the basis on which the current transport network has evolved. Our TCF programme retains investment in the following areas / corridors:

- Norwich city centre;
- Wymondham to city centre;
- Easton to city centre;
- Airport to city centre;
- Sprowston to city centre;
- Rackheath to city centre.

The TCF programme will be delivered through three linked approaches:

Transforming the bus network. Transforming the transport network will be achieved by creating six clean transport priority corridors that link key transport hubs, economic growth areas, existing and new homes and educational provision across the Greater Norwich Region. On these clean transport priority corridors, the programme will:

- Provide a minimum 8-minute daytime service frequency on key corridors, timetable co-ordination between operators and more evening and weekend services;
- Support Park & Ride and other express bus services;
- Provide dedicated bus priority measures along the clean transport priority corridors;
- Provide direct, low-carbon bus corridors into the city centre for residents;
- Prioritise buses and cycling to ensure shared and clean modes are competitive with the private car;

- Promote shared transport interventions through a sustained and co-ordinated behaviour change programme to reduce single-vehicle occupancy.

Transforming the city centre. This will be achieved through:

- Delivering a step-change in the quality of infrastructure that supports public transport, walking and cycling in the city centre;
- Redesigning bus stops so that buses can easily access and vacate bus stops;
- Improving walking connections within the city centre;
- Removal of through-traffic from specific areas and providing extra inner ring road junction capacity;
- Providing additional bus stop capacity.

Transforming the passenger experience. This will be achieved through:

- Roll out of mobility hubs at key locations;
- Enhancing the role of Park & Ride in Norwich;
- Improving real-time service information with disruption and punctuality alerts;
- Working with transport providers to promote and increase the use of multi-operator, multi-modal and contactless ticketing;
- Accelerating the delivery of capped ticketing for individual and multiple bus operators;
- Improving value for money measured through Transport Focus customer satisfaction surveys;
- Significantly improving vehicle quality and on-vehicle information through investment by bus operators.

Infrastructure Funding Statement

The amended CIL Regulations came into force on 1 September 2019, which introduced the requirement for all Local Authorities to produce an Infrastructure Funding Statement (IFS) where they charge CIL or collect planning obligations contributions through S106 agreements. Local Authorities are required to set out clearly in their IFSs how much monies they have been collected through CIL and planning obligations contributions and where these monies have and will be spent.

The County Council continues to work with all the Local Authorities across Norfolk to ensure a joined-up approach to infrastructure delivery through developer funding. This builds on existing arrangements relating to the preparation of Local Authority Infrastructure Delivery Plans.

Funded Projects at October 2020

The following projects have successfully been funded since 2013

Completed:

- Broadland Northway (Norwich Northern Distributor Road (incl Postwick)) - £205m
- Norwich Pedal ways -£14m
- Great Yarmouth Beacon Park Link (A47/143 Link) - £6.8m
- A11 dualling Barton Mills to Thetford- £105m
- Great Yarmouth Right Turn at the rail station - £400,000
- Great Yarmouth Rail Station to the Market Place improvement- £2m
- Great Yarmouth sustainable transport package (Part 1) - £2.5m
- Thetford Enterprise Park Roundabout- £1.5m
- Bacton Walcott Landscaping - £19.3m
- King's Lynn Lynnsport Link Road- 3.5m
- A140 Hempsall Roundabout - £4m
- A11/Outer Ring Road Daniels Road junction improvement- £2m
- Great Yarmouth congestion-busting projects- £3.3m
- Norwich (various projects including Dereham Road roundabout- £2m, Cycle link extension to Wymondham- £1.3m, City centre Prince of Wales Road- £2.6m, Dereham Road widening- £3m)

Under construction or part-completed:

- Attleborough Town Centre Improvements- £4.5m
- Snetterton Energy Supply - £3.6m
- Great Yarmouth sustainable transport package (Part 2) - £3.5m
- Thetford Water Supply – £9.8m
- Thetford Sewerage Scheme - £2m
- Easton, Hethersett and Cringleford sewerage upgrade - £11m
- Local Full Fibre Network (LFFN) - £12m
- Internet of Things Innovation Network - £735,000

Planned, not yet started:

- Great Yarmouth Third River Crossing- £120m
- A47 improvements £2-300m (incl Thicketthorn (Norwich) and Great Yarmouth junction improvements, and dualling Blofield to North Burlingham and Easton to North Tuddenham)
- Increased Surface Water Capacity North Lynn
- Snetterton Energy Supply Short term power needs £6.1m
- Thetford SUE - £14m

Digital Connectivity

When Better Broadband for Norfolk (BBfN) implemented its first fibre enabled cabinet during summer 2013 there were two infrastructure providers that deployed fibre infrastructure capable of delivering Superfast broadband (24Mbps+); BT Openreach and Virgin Media. Commercial investment from these two companies provided access to Superfast broadband for 42% of Norfolk properties.

To date, BBfN has seen access to Superfast broadband increase from 42% in summer 2013, to 95% of Norfolk properties during spring 2020. These figures are taken from the independent organisation "[Think Broadband](#)" data.

As well as continued investment from Openreach and Virgin Media, new broadband infrastructure providers have also started to implement in Norfolk.

The BBfN Programme signed a third contract during 2019, as a result a further £13 million will be invested to implement Fibre to the Premises for over 10,000 Norfolk properties that do not have access to Superfast broadband. As a result, by spring 2023, Superfast broadband coverage across Norfolk is expected to increase to 97%.

Provisions within the BBfN contract provide rebates from BT if take-up of services using BBfN funded infrastructure are higher than expected. This has already provided over £5 million Better Broadband for Norfolk funding, helping to reach 95% Superfast coverage. An expected further £11 million will contribute towards the third BBfN rollout, along with a £2 million grant from DEFRA which will provide access to Full Fibre for some of Norfolk's significant rural businesses. Overall, this will allow the county to move towards its aim of achieving 100% coverage.

UK Digital Strategy

In July 2018 the Government published The Future Telecoms Infrastructure Review that set clear, ambitious targets for the availability of full fibre and 5G networks.

The aim is to see 15 million premises connected to full fibre by 2025, with coverage across all parts of the country by 2033 and that the majority of the population will have 5G coverage by 2027. The review addressed key questions about the evolution of the UK's digital infrastructure such as the convergence between fixed and mobile technologies, and the transition from copper to full fibre (gigabit-capable) networks.

As a result of The Future Telecoms Infrastructure Review, the Chancellor announced a £5 billion commitment to fund gigabit capable broadband for the 20% of UK premises that would be unlikely to receive commercial access to gigabit capable broadband. The Rural Gigabit Connectivity (RGC) programme began on 19 May 2019 and will run until the end of March 2021.

The RGC programme aims to assist Building Digital UK which is part of the Department for Digital, Culture, Media and Sport , and partner organisations, in delivering nationwide gigabit-capable connections in locations that are unlikely to benefit from commercial investment.

Full Fibre

Working with partners NCC has secured circa. £8 million in 2019 via the Government's Local Full Fibre Network programme and a further £2m in 2020 from Ministry of Housing, Communities and Local Government. This will provide Fibre to the Premises for over 400 public sector sites, and importantly also offers potential for nearby homes and businesses to access Full Fibre connectivity via a Government Gigabit Voucher Scheme:

Scheme for rural properties with speeds of less than 100Mbps

The £200m RGC programme, remains open for new applications until 31 March 2021 (or until the funding runs out).

The scheme is accessible through broadband service providers who have registered to provide connections through the scheme.

Homes and businesses in rural areas of the UK may be eligible for funding towards the cost of installing gigabit-capable broadband when part of a group scheme.

Rural premises with broadband speeds of less than 100Mbps can use vouchers worth £1,500 per home and up to £3,500 for each small to medium-sized business to support the cost of installing new fast and reliable connections. These are available at the [Gigabit Broadband Voucher Scheme website](#).

Gigabit-capable broadband connections offer the fastest and most reliable speeds available, and the Government is committed to a vision of a digitally connected Britain.

Planning Regime reforms

Planning Regime reforms will support the mobile industry in the rapid rollout of 4G technology, to help reach more people, more quickly.

The Electronic Communications Code

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

Mobile connections

There are four main mobile network operators (MNOs) in the UK; EE, O2, Three and Vodafone. Coverage is increasing both nationally and locally over 2G/3G/4G and now 5G. Coverage improvements have been relatively slow in rural parts of Norfolk reflecting the less stringent business cases for investment in areas as there are fewer residents. The most significant improvements in rural coverage will be delivered through the Shared Rural Network programme which is described below.

Shared Rural Network

The Shared Rural Network (SRN) will see the four main mobile operators and

government jointly invest £1bn in improving mobile coverage in rural areas. The target is to deliver 4G coverage to 95% of the UK by 2025. The work started in 2020, initially with £500m investment from the four MNOs to share masts in areas where there is coverage already available from one or more MNO, but not all four. The next stage will entail a further £500m investment from government to fund coverage improvements in areas where there is no existing coverage.

Through shared and new infrastructure, the Shared Rural Network is planned to increase the parts of the UK that get 4G coverage from all operators from 66% to 84%, improving consumer choice.

The mobile operators expect the Shared Rural Network will extend mobile coverage to an additional 280,000 premises and for people in cars on an additional 16,000km of the UK's roads, boosting productivity and investment in rural areas

Norfolk local authorities will continue to work proactively and collaboratively with the MNOs and their network build partners to improve mobile phone coverage including fast data services availability over 4G & 5G services.

Norfolk & Suffolk Innovation Network

A Long Range Wide Area Network is being created across Norfolk and Suffolk to accelerate Internet of Things innovation across the region.

Working closely with the New Anglia Local Enterprise Partnership, Norfolk & Suffolk County Councils are installing the largest free-to-use public long-range radio network in the UK.

The network is already in use and serves businesses, private individuals and the public sector. They can use Internet of Things sensors on the network to sense, monitor, manage and report.

Coverage can be viewed on the [TTN Mapper site](#).

Local Industrial Strategy

The Local Industrial Strategy under Information and Communications Technology and Digital Creative wants to develop the economic case for a Smart Emerging Technology Institute and testbed (SETI) – a unique advanced high-speed optical and wireless network (including 5G) which interlinks Internet of Things testbeds to support large-scale experiments and data transfer. This is a new project for 2020 see page 83.

Education

The [Schools' Local Growth and Investment Plan \(SLGIP\)](#) for pupil place provision (for ages 4-16) sets out the strategic direction of pupil place supply for those areas of the County where pupil numbers are expected to increase in the next 5-10 years. The Plan is a response to the District Local Plan frameworks and is presented as the basis for discussion, planning and decision-making for the County Council and its partners across the increasingly diverse educational landscape. The Plan links to the County Council's schools' forward capital programme which was reported and approved at the NCC Committee in January 2020.

Major growth areas which will require multi-school solutions:

- Thetford Sustainable Urban Extension (SUE) -5,000 new dwellings;
- North Norwich Growth Triangle (formerly called Broadland Growth Triangle) (Sprowston/Old Catton/Rackheath) -12,000+ new dwellings; and
- Attleborough SUE - 4,000 new dwellings.
- West Winch/North Runcton - 4,000 new dwellings

Thetford

Primary School places within Thetford are provided by eight schools, a mix of infant, junior and all-through primary, six of these are academies plus two community schools. A total of 360 places are available each year group across the primary phase. Pupil forecasts indicate that for 2020 admissions the catchment cohort in Thetford may rise by one form of entry which can be managed within existing schools.

Working with the land promoters on the Thetford SUE sites have been secured free of charge for three new primary phase schools each of 420 places. In early 2018 the first reserved matters application for phase 1a of the development was permitted and commenced on site in 2019. This phase of development is for 344 homes of which 92 have commenced and 6 completed. This phase includes the site for the first new primary school with a potential opening date of 2021. The design for the new school has begun along discussions with Pigeon on access and road infrastructure.

Pupil forecasts indicate that the current provision of places is sufficient until the new housing commences. There is some spare capacity, which will be useful once housing commences and until first new school is built.

In the longer term the three new 420 place primary schools for Thetford will meet the need in the current local plan to 2026 and beyond. The timescales for these schools depend on the progress rate of new housing in Thetford.

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

North Norwich Growth Triangle (Broadland Growth Triangle)

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

A new primary school opened at White House Farm in September 2019 and will grow year by year up to 420 places to accommodate children from the housing within the area it is situated.

The Beeston Park outline planning application for 3,500 dwellings is being promoted by TOWN on behalf of U+I plc. The site continues to progress and NCC have been regularly updated. As with most large scale, complicated developments progress has been slow. Phase 1 of the scheme (733 dwellings) is progressing relatively well: a detailed scheme for the 1st phase link road is under consideration and negotiation with house builders are understood to be ongoing. Subject to the grant of consent for the link road, and negotiations with house builders being successfully concluded, development could start on site in the next 1-3 years. Timely progress of phases 2 and 3 will depend on further funding availability, given the unsuccessful outcome of Norfolk's HIF bid.

To the west of the growth triangle, Orbit homes (225 dwellings) are planning to commence shortly with first completions in 2020 and land at the Norwich Rugby Club has a developer interested. A development of 340 homes in Old Catton by Taylor Wimpey has commenced and expect first occupations in 2020.

The large allocation in Rackheath for 3,000 dwellings, although the final scheme may be closer to 4,000, is moving slowly and may not commence for a few years yet. However, several smaller developments to the south west of Rackheath potentially totalling around 800 dwellings are taking shape and will impact on local school provision. The large development planned south of Salhouse Road for circa. 1,200 dwellings continue to progress well. Two developers have now secured detailed planning permission for 600+ dwellings and these have either commenced or will soon do so. Negotiations are ongoing with a further development partner in respect of the remainder of the scheme.

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

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

NCC has made a commitment for a new secondary phase school in the Sprowston area. Although a preferred site has been identified on the current Sprowston Park

and Ride site, as some time has passed NCC Children's Services are reviewing all options both new and existing.

Attleborough

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

Breckland District Council granted planning permission to provide up to 4000 dwellings on land to the south of Attleborough; construction of new link road between Buckenham Road and London Road, pedestrian footbridge across the railway line to connect with Leys Lane, provision of two, 2 Form Entry primary schools; Local centre including shops and other uses including a petrol filling station, Community Uses, two further neighbourhood centres, sports pitches, public open space and amenity greenspace with sustainable drainage systems and associated infrastructure.

NCC, Breckland District Council and the applicant are working together to bring forward early the key element of infrastructure of the link road. It is anticipated that housing will commence no later than 2023/24.

In summer of 2019, NCC Children's Services agreed with Breckland and the land promoters the amount of £25m towards additional primary and secondary school provision as an impact of the urban extension.

In the short-term school places will be monitored through the annual admissions round. In the longer term there is planning for the provision of two new primary schools for Attleborough understanding the parental preference to surrounding villages and how that will impact on the new schools.

West Winch/North Runcton (King's Lynn and West Norfolk)

Up to 4000 dwellings are proposed in West Winch and North Runcton to be delivered in 2 phases, with 1600 up to 2026 and a further 2400 post 2026. West Winch village is served by one primary school of 210 places. The size of this school is adequate for the current numbers of primary age children living in the area. A desktop exercise indicates that the school site could allow expansion of this school to 2 forms of entry. North Runcton does not have its own school but the nearest school for children to attend is in Middleton. Middleton Primary (academy) is on a small site and there is limited scope for expansion.

This allocation has been slow to progress but NCC have been consulted again in October 2019 as the Borough Council wish to masterplan the whole site, NCC responded and proposed the expansion of West Winch Primary school in the first instance then sites secured for up to 2 new primary phase schools. Secondary

provision will be provided in King's Lynn, but it is anticipated that an expansion of one or more of the Kings Lynn secondary schools will be required longer term.

In short term, the response is to monitor the progress of housing commencement and annual admissions to ensure sufficient places for the area.

In longer term, the response is to expand West Winch Primary School, with one new Primary phase school in the northern phase of development and one new primary post 2026 on the Southern part of the housing development. Pressure for places is now being seen within the secondary system in this area so discussions with the three secondary schools will continue.

In addition to these major growth areas which require multi-school solutions the SLGIP also sets out development locations where one new school is expected and growth areas with implications for existing schools.

Offshore Transmission Network

The Department for Business, Energy and Industrial Strategy are currently overseeing an Offshore Transmission Network Review (OTNR). This comprises various “studies/projects” being undertaken looking into the wider issue of grid connection associated with the offshore wind energy sector, which include:

1. National Grid (Electricity System Operator - ESO) – Assessing the grid connection options associated with an expanded offshore wind energy sector (see below – Offshore Coordination Project);
2. Business Energy and Industrial Strategy (BEIS) –BEIS are currently assessing the **regulatory regime** in respect of grid connection to facilitate a more sustainable and efficient electricity distribution network. This is complementary to the above technical work being carried out by the NGESO; and
3. Crown Estates as part of the Fourth Round licensing are undertaking strategic studies around onshore environmental and community sensitivities to support the Round 4 pre-application discussions.

Offshore Coordination Project - Consultation

National Grid ESO have published for consultation (October 2020) proposals for a coordinated approach to connecting the electricity generated from offshore wind farms to the grid. This is a non-statutory consultation, which is largely technical and aimed at the electricity companies; offshore renewable energy businesses; and other stakeholders, including local authorities involved in any new transmission networks. The consultation forms part of a wider Offshore Transmission Network Review (OTNR) exercise being led by the Department for Business, Energy and Industrial Strategy (BEIS).

The consultation sets out a comprehensive and integrated option for a future offshore and onshore electricity transmission network designed to manage the growth of the offshore wind energy sector, which is expected to deliver 83 GW of the UK's electricity by 2050 compared to current levels of just over 10 GW. The strategic proposals put forward for a future transmission network have the potential for significant environmental and community benefits through reducing the number of onshore grid connection points and the amount of onshore infrastructure required.

While there are clear and demonstrable benefits to an integrated approach as set out in the above Consultation documents, there is a need for further detailed assessments to be carried out covering, for example:

- (a) Consideration and opportunities to secure secondary inter-connection along the cable route/s to the local networks (132 kV). Allowing for secondary inter-connection could provide a significant benefit to those more isolated parts of Norfolk and provide a stimulus for future housing and employment growth in such areas;

- (b) Consideration of the wider onshore environmental implications of any new transmission network/s, including any drainage and/or flood risk;
- (c) Consideration of the economic opportunities for those coastal areas affected; and
- (d) consideration of enhanced community engagement in the decision making process as well opportunities for those local communities to benefit from any new onshore infrastructure.

Infrastructure projects in Local Authority Control

Infrastructure Projects in Local Authority control

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

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

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

Scheme Development key:

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

✓ = Feasibility work on scheme has begun to identify options

✓✓ = Feasibility/development work underway on preferred option

✓✓✓ = Project is shovel ready

Road Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Broadland Growth Triangle Link Road	2021	£38m	✓✓✓	Developer finance, CIL, BRP, HIF
Attleborough Link Road	TBC	£18m	✓✓	BRP, developer finance, NALEP, Homes England loan, HIF
A10 West Winch Housing Access Road	2024	£30-50m	✓✓	Developer funding, DfT Major Road Network
A140 Long Stratton Bypass	2023	£37.5m	✓✓	Developer funding, NALEP, CIL, NPIF, Government Major Road Network

A148 Fakenham Roundabout Enhancement	2022	£3.5m	✓✓	NPIF, NALEP
Norwich Western Link	2023	£160m	✓✓	NALEP, Local major transport scheme

Rail Projects

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

Utilities Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Thetford Energy Supply	2021	£6.5m-£9.5m	✓✓	BRP, NALEP,
Attleborough Energy Supply	TBC	£22m	✓✓	BRP, NALEP, Private Sector
Snetterton Heath Energy Supply	TBC	TBC	✓	NALEP, Private Sector, BRP

Sustainable Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
Weavers Way	2019	£3.1m	✓✓	RDPE, HLF, NALEP
The Green Loop	2019/20	£5.8m	✓✓✓	DfT, NALEP, Sustrans, Lottery, Developer contributions, CIL
North West Woodlands Country Park	2020/21	£2m	✓	Broadland District Council, CIL, BRP
Burlingham Country Park	2021	TBC	✓✓	BRP, CIL, NCC, Developer contribution

Education Projects

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

Regeneration Projects

Project Name	Estimated Start Date	Estimated Cost	Scheme Development	Potential Funding Source
East Norwich Regeneration Area	2020 – for master planning	TBC, £50k for master planning	✓	Norwich City Council, LEP, Homes England, Developer Contribution
Great Yarmouth Operations & Maintenance Campus	2022/23	TBC- £10.4m	✓✓	Enterprise zone Income, NCC, GYBC, Getting Building Fund

Road Projects

Broadland Growth Triangle Link Road

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

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

	Work on a permanent link between Repton Avenue and Meteor Close still to start. Construction complete by March 2020.	successful delivery is expected by March 2021.	subject to funding bid.	
Potential funding source	CIL, developer finance	CIL, BRP, HIF, developer finance	CIL, HIF, developer finance	Developer finance
Scheme Development	✓✓✓	✓✓✓	✓✓✓	✓✓✓

Attleborough Link Road

A key transport priority for Attleborough, required for planned strategic growth (4,000 dwellings) on the Attleborough Sustainable Urban Extension (SUE), is a link road between the B1077 near Bunns Bank to London Road to the south of the town. The link road will distribute new and existing traffic away from the town centre and enable traffic management measures to be implemented within the town centre such as HGV restrictions. Delivery of the link road will be a planning requirement of the scheme and will be phased so that up to 1,200 homes can be built before the link road is required to be opened in full. The Attleborough SUE is allocated and has planning permission. Discussions are ongoing with development interests and key partners in order to bring forward the full completion of the road before the requirements of the planning obligations are triggered. Funding was secured from the 2018/19 Norfolk Business Rates Pool towards developing a Strategic Outline Business Case for the road and work has commenced in this regard.

Attleborough Link Road		
Description of stage	Development phase: Preliminary Design; Statutory procedures and powers; Construction preparation	Construction phase
Estimated cost to deliver the stage	Circa £1.8m	£18m
Indicative timeframe to deliver stage and start date	Two years	TBC
Potential funding source	BRP, local authority, developer finance	BRP, developer finance, NALEP, Homes England loan, HIF
Qualifications for BRP and or NALEP funding	Required for 4,000 new houses and 1,500 new jobs. Strategic scheme identified in the NSIDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation.	Required for 4,000 new houses and 1,500 new jobs. Strategic scheme identified in the NSIDP. Funding would be for construction.

Scheme Development	Completion of this stage will take the project from ✓ to ✓✓	Completion of this stage will take the project from ✓✓ to ✓✓✓
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A10 West Winch Housing Access Road

The West Winch Housing Access Road (WWHAR) is required to provide additional highway capacity to facilitate planned housing growth in the South East King's Lynn Growth Area (SEKLGA). It will enable distribution of trips from the new development and alleviate congestion on the A10 through West Winch and at the Hardwick junction. The principle of this new route is set out in the King's Lynn and West Norfolk Local Plan.

The scheme includes some improvements at the Hardwick junction and dualling of a short length of the A47. The WWHAR is supported by Transport East as a priority for Major Road Network funding and a draft Strategic Outline Business Case (SOBC) was submitted in 2019. NCC intend to submit an updated SOBC including a full economic appraisal by the end of 2020. After this, if approved by DfT, an Outline Business Case (OBC) will be prepared.

A10 West Winch Housing Access Road			
Description of stage	Stage 1: Scheme development	Stage 2: Preparation of planning application and business cases	Detailed design and procurement
Estimated cost to deliver the stage	£280k	Est. £1.98m	TBC
Indicative timeframe to deliver stage and start date	Jan- Dec 2018	Jan 2019-spring 2022	2022 onwards

Potential funding source	Being funded by BRP, NCC and KLWNBC	Being funded by BRP, NCC and KLWNBC	Detailed design and procurement will be funded by DfT if the business case is accepted. Funding for construction is anticipated from the DfT Major Road Network fund as the scheme has been prioritised by Transport East. However, a local contribution of at least 15% will be required which should come from developers. Homes England support may also be available in the form of loans or grants.
Scheme Development	Completion of this stage will take it from ✓ to ✓✓	Initial stage to take from ✓✓ to ✓✓✓	Completion of this stage will take it to ✓✓✓

A140 Long Stratton Bypass

Long Stratton is located approximately 10 miles south of Norwich on the A140 Norwich to Ipswich road. There is planned growth in Long Stratton of at least 1,800 dwellings in the period 2008-2026 to deliver a bypass but this growth is also highly dependent on the provision of water supply, sewerage and improved electricity supply. The need for a bypass has long been a priority and is considered to be a prerequisite to provide for the needs of the proposed growth. South Norfolk District Council has adopted an Area Action Plan for Long Stratton. A revised planning application is due to be submitted by the developer in 2020.

A140 Long Stratton Bypass			
Description of stage	An economic viability study for the Long Stratton bypass. This will be carried out by an expert consultant to provide a professional opinion on the: estimated cost of the bypass; estimated funding gap; direct and indirect economic benefits of the bypass; and added benefits of early delivery of the bypass	Development phase: Preliminary Design; Statutory procedures and powers; Construction preparation NB: This work could be broken down into the three above phases	Construction phase
Estimated cost to deliver the stage	£200,000 (funded)	Circa £5m	Circa £32m

Indicative timeframe to deliver stage and start date	Dec 2017 to July 2018	Two and a half years	2023 start on bypass DfT Major Road Network (The scheme has been prioritised by Transport East. Government gave a positive decision on funding and progression to the next stage of development in 2019. Construction of the road is programmed to start in 2023.) 2019 Hempnall Crossroads (construction completed following successful NPIF bid by the county council in 2018)
Potential funding source	Funded from: Pooled Business Rates: £100,000 SNC: £15,000 HCA: £35,000 NCC: £50,000	BRP, local authority, developer, Government Major Road Network	BRP, Developer, NALEP, HIF, Government Major Road Network
Qualifications for BRP and or NALEP funding		Required for 1,800 new houses and to overcome traffic problems on A140. Strategic scheme identified in the NSIDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Required for 1,800 new houses and to overcome traffic problems on A140. Strategic scheme identified in the NSIDP. Funding would be for construction
Scheme Development	Will take scheme from ✓ to ✓✓	Completion of this stage will take it from ✓✓ to ✓✓✓	

Fakenham A148 Roundabout Enhancement

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

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

Norwich Western Link

This link – to connect the Broadland Northway at Taverham to the A47 west of Norwich – has been identified as one of the NCC’s priority road infrastructure schemes.

Norwich Western Link		
Description of stage	Development phase: Preliminary Design; Completion and submission of Outline Business Case; Statutory procedures and powers; Procurement and Detailed Design for Construction preparation	Construction phase
Estimated cost to deliver the stage	£12m	Indicative £160m including development phase costs, fees, risk and other items
Indicative timeframe to deliver stage and start date	Three years (2020-2023) -(2020/2021) Prelim Design, OBC development submission and procurement - £4m -(2021 – 2023) Statutory process (development and delivery) and detailed design/construction prep - £8m	Two years (2023 to 2025)
Potential funding source	BRP, NALEP, local major transport scheme, local authorities	NALEP, local major transport scheme, local authorities

Qualifications for BRP and or NALEP funding	<p>Strategic scheme identified in the NSIDP.</p> <ul style="list-style-type: none"> • Support sustainable housing growth in the western quadrant • Improve the quality of life for local communities • Support economic growth • Protect and enhance the natural environment • Improve strategic connectivity with the national road network <p>Funding for detailed technical work designed to progress strategic schemes towards readiness for implementation</p>	<p>Strategic scheme identified in the NSIDP.</p> <ul style="list-style-type: none"> • Support sustainable housing growth in the western quadrant • Improve the quality of life for local communities • Support economic growth • Protect and enhance the natural environment • Improve strategic connectivity with the national road network <p>Funding would be for construction</p>
Scheme Development	<p>Will take scheme from ✓✓ to ✓✓✓✓</p>	

Rail Project

Broadland Business Park Rail Station

Currently services operate every hour between Norwich and Sheringham. New rolling stock has recently been delivered across the whole of the franchise. However, further capacity improvements are required to accommodate passenger demand and local partners have been pressing for services every half hour (rather than hourly). Broadland Business Park is a strategic employment site located adjacent to the rail line just east of Norwich. Initial feasibility work establishing the benefits of adding a new station at this location is complete. Dialogue is ongoing regarding next stages for the project.

Broadland Business Park Rail Station				
Description of stage	Feasibility GRIP 2 and option selection GRIP 3	Further work to develop single option	Development phase: Preliminary Design; Statutory procedures and powers; construction preparation	Construction phase
Estimated cost to deliver the stage	£140k	Not known. Likely to be Circa £250,000	Circa £2m	Circa £20m
Indicative timeframe to deliver stage and start date	Dec 17 (completed)	2021 1 year	2022-2026 3-5 years	Circa 2027 1 year
Potential funding source	Funded through BRP and BDC	BRP, local authorities, Network Rail	BRP, Growth Deal, local authorities, Network Rail	BRP, Growth Deal, local authorities, Network Rail
Qualifications for BRP and or Growth Deal funding	Strategic scheme identified in the NSIDP.	Strategic scheme identified in the NSIDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Strategic scheme identified in the NSIDP. Funding would be for detailed technical work designed to progress strategic schemes towards readiness for implementation	Strategic scheme identified in the NSIDP. Funding would be for construction
Scheme Development	✓	To take scheme from ✓ to ✓✓	To take scheme from ✓✓ to ✓✓✓	

Utility Projects

Thetford Energy Supply

There are two major areas of committed growth within Thetford – the Thetford SUE and the Thetford Enterprise Park (TEP). Thetford SUE is allocated, and has outline planning permission, for 5,000 dwellings and 22.5 ha of commercial land. Construction of sub-phase 1A of the SUE commenced on site in spring 2018 with the first 343 units now in contract. Construction of a new Primary Substation to be located on the Thetford SUE is due to start early 2021. This is fully funded through the Housing Infrastructure Fund (HIF). The new primary substation will have sufficient capacity to serve the housing development and a large employment area on the SUE as well as the adjacent large employment area to the west known as the Thetford Enterprise Park (TEP). However, in order to serve the TEP, further network reinforcement works would be required, and these are identified in the table below. The two employment sites have a joint capacity for circa. 140,000sq m of B1, B2 and B8 development and potential to create 3,600 jobs. A feasibility study has been undertaken which considers options of delivering power to the TEP.

Thetford Enterprise Park		
Description of stage	Delivery of power infrastructure sufficient to meet the short-term power needs of Thetford Enterprise Park.	Delivery of power infrastructure sufficient to meet the medium to long-term power needs of Thetford Enterprise Park.
Estimated cost to deliver the stage	Current estimate £3m	Current estimate £6.5m
Indicative timeframe to deliver stage and start date	TBC	TBC
Potential funding source	BRP, NALEP	BRP, NALEP
Qualifications for BRP and or NALEP funding	Required to unlock the TEP employment site	Required to unlock the TEP employment site
Scheme Development	✓✓	✓✓

Attleborough Energy Supply

Attleborough Sustainable Urban Extension (SUE) is allocated, and has outline planning permission, for 4,000 dwellings and 10 ha of commercial land.

A feasibility study has been undertaken which considers options of delivering power to the SUE.

Attleborough SUE		
Description of stage	Delivery of power infrastructure sufficient to meet the short to medium-term power needs of Attleborough SUE	Delivery of power infrastructure sufficient to meet the long-term power needs of Attleborough SUE
Estimated cost to deliver the stage	TBC	Current estimate £22m
Indicative timeframe to deliver stage and start date	TBC	TBC
Potential funding source	BRP, NALEP, Private Sector	BRP, NALEP, Private Sector
Scheme Development	✓✓	✓✓

Snetterton Heath Energy Supply

Snetterton Heath is Breckland's largest employment site within excess of 150 acres of undeveloped/under-developed employment land. With Phase One (delivering short term power needs) of a major electricity upgrade scheme fully funded and due to commence Autumn 2020, work has begun to identify further infrastructure projects which may be required to support major developments on the site.

Already envisaged is Phase Two of the electricity upgrade scheme which will be required for developments beyond the 6MVA which Phase One will support. Funding has been secured through the Norfolk Strategic Fund which will enable work to commence Autumn 2020 aimed at identifying solutions to the infrastructure necessary to deliver the intended growth at this site.

Snetterton Heath Energy Supply	
Description of stage	Delivery of power infrastructure sufficient to meet the medium to long-term power needs of Snetterton Heath Employment Area
Estimated cost to deliver the stage	TBC
Indicative timeframe to deliver stage and start date	TBC
Potential funding source	BRP, NALEP, Private Sector
Scheme Development	✓

Sustainable Projects

Weavers Way

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

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

The Green Loop

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

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

North West Woodlands Country Park

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

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

Burlingham Country Park

NCC has owned land at Burlingham for 100 years and has been discussing the best use of this site for several years: the site is currently tenanted by two county farms and a small community woodland well-used by local dog walkers and families.

The Burlingham Estate is one of the largest areas of land owned by NCC at over 12.5 km². The site was originally purchased 100 years ago as part of an NCC strategy to re-settle returning servicemen into agricultural businesses.

This project will take an innovative approach to the way new community recreational spaces are conceived and designed. It is no longer enough to just provide open space for people, green space must be multifunctional and deliver on many levels; access for all regardless of ability, the space must improve health and wellbeing, mitigate for climate change and biodiversity loss, be easily accessible by public transport, benefit the economy of the local area as well as alleviating recreational pressure on nearby designated areas and finally provide a legacy that can also be valued by future generations.

Burlingham		
Description of stage	Stage 1- Design Feasibility and Master-planning	Stage 2- Phased deliver of infrastructure identified through the master planning work
Estimated cost to deliver the stage	£60,000	TBC
Indicative timeframe to deliver stage and start date	July 20- April 21	April 21 TBC
Potential funding source	BRP	CIL, BRP, NCC, Developer Funding
Qualifications for BRP and or NALEP funding	Project delivers green infrastructure mitigation that alleviates the impact of growth in the Greater Norwich area.	
Scheme Development	✓✓	✓

Education Project

Broadland Growth Triangle Secondary School

NCC has made a commitment for a new Secondary phase school in the Broadland Growth Triangle area and to date the only site available to us is within the Rackheath Strategic Development. However, another potential site is being considered in the Local Plan consultation. Some work on site assessment has taken place but all options for additional secondary school places need to be considered.

Broadland Growth Triangle Secondary School			
Description of stage	Scoping & option assessment & design feasibility	Planning	Construction Phase
Estimated cost to deliver the stage	£100k	£400k	£26M
Indicative timeframe to deliver stage and start date	Initially the Park & Ride was considered but plans to relocate this facility have been reconsidered since the opening of the NDR. The 'fall back' site at Rackheath is now the only confirmed available site within the Local Plan but another site is being considered more central in the growth triangle. This site is being evaluated for school purpose.	April 2022 to March 2023, subject to a suitable site being secured and development progress in Broadland Growth Triangle.	April 2025 to March 2026, subject to a suitable site being secured and development progress in Broadland Growth Triangle.
Potential funding source	NCC	NCC	NCC, CIL
Qualifications for BRP and or NALP funding	Required to support 13,500 planned homes in Broadland Growth Triangle. In principle agreement exists for BRP funding to support scheme development.	Required to support 13,500 planned homes in Broadland Growth Triangle.	Required to support 13,500 planned homes in Broadland Growth Triangle.
Scheme Development	Completion of this stage will take it from ✓ to ✓✓	Completion of this stage will take it to ✓✓✓	Delivery phase takes scheme beyond ✓✓✓

Regeneration Project

East Norwich Regeneration Area

This project is aimed unlocking development in the East Norwich sites, which includes the long term vacant and heavily constrained Deal and Utilities sites and the vacated Britvic/Unilever sites. There is a significant potential to attract public sector investment in the infrastructure needed to ensure delivery. The comprehensive redevelopment of the sites has the potential to create a highly sustainable new quarter for the city, linking the city centre with the Broads, delivering exemplar design and a highly attractive location for living and working. The emerging planning framework for Greater Norwich – The Greater Norwich Local Plan – identifies the “East Norwich Strategic Regeneration Area” which includes the three sites, and stipulates the proposals must meet the requirements of an area-wide masterplan with the potential for a minimum of 2000 homes in a mixed use development.

East Norwich Regeneration Area	
Description of stage	A masterplan is due to be procured shortly to guide the comprehensive development of the Deal Ground, Utilities and Carrow Works sites in East Norwich, with a view to leveraging in significant public sector investment in the infrastructure needed to ensure delivery. The comprehensive development of the 3 sites has potential to deliver a new mixed use quarter in Norwich with up to 4,000 new homes and 100,000 sqm of employment. The masterplan will identify the specific infrastructure requirements (including bridges, roads, cycle and footway infrastructure, and marina) required to kick start development, The phased delivery of comprehensive development and associated infrastructure will follow the masterplanning stage.
Estimated cost to deliver the stage	500k
Indicative timeframe to deliver stage and start date	Commence master planning July 2020, complete by mid - late 2021 (TBC)
Potential funding source	For masterplan: Norwich City Council, landowners / developers of the key sites, NALEP, Broads Authority, South Norfolk Council (all TBC). Subsequent delivery: potentially Homes England, developer finance, NALEP, others TBC
Scheme Development	✓ (as work is soon to commence on feasibility / masterplanning)

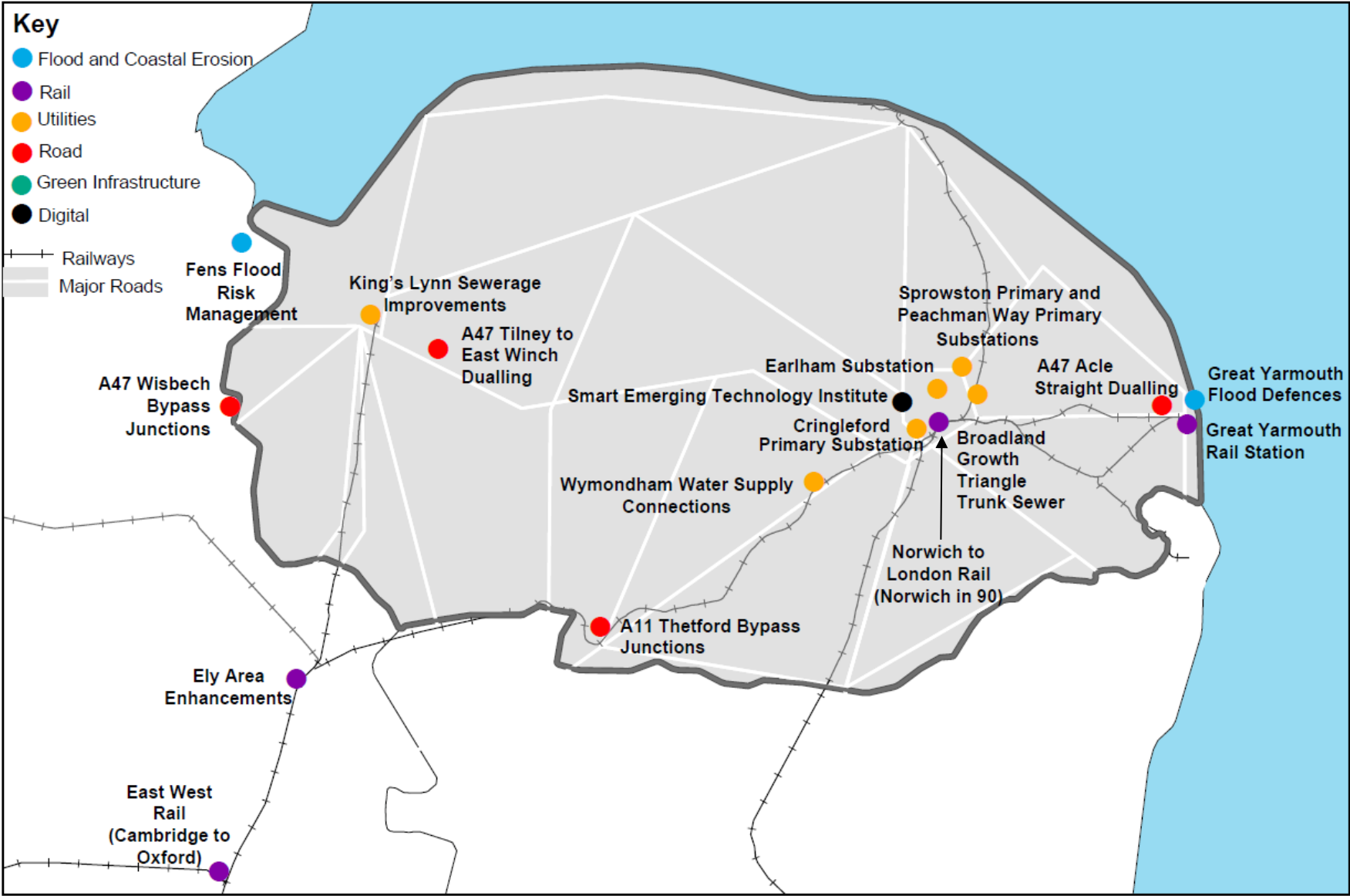
Great Yarmouth Operations and Maintenance Campus

Creation of an Operations and Maintenance Campus for the energy sector in Great Yarmouth. The sector provides the town, and the wider area, with arguably the single most important economic opportunity for a generation. The project will capitalise on land in Great Yarmouth Borough Council ownership, close to the Southern North Sea wind farm arrays with access to deep water as well as the river port. Repairs and an enhancement package are required to make the facility more accessible and attractive for businesses investing here. Detailed demands and needs analysis have shown that 650 new jobs could be located here. The scheme has recently received funding of £6m from the Government's Getting Building Fund.

Great Yarmouth Operations & Maintenance Campus	
Description of stage	Feasibility
Estimated cost to deliver the stage	£10.4m - TBC, costs to be confirmed after feasibility work complete. Report due August 2020
Indicative timeframe to deliver stage and start date	Feasibility report concluded by August 2020 Report to be taken to Cabinet. If approved, procurement would commence 2020/21 and capital project 2021-2022/23
Potential funding source	Reclaimed Pot B Enterprise Zone income, in addition to £1m contribution from NCC and £1m contribution from Great Yarmouth Borough Council
Scheme Development	✓✓

Infrastructure projects to be delivered by other organisations

Figure 4 Infrastructure projects to be delivered by other organisations



Road Projects

A11 Thetford Bypass Junctions

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

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

The Thetford Network Improvement Strategy considered the town as a whole and, as a result, the county council will undertake further work to investigate the feasibility of a package of measures including looking at alternate solutions to the A11 junctions and the A134 Major Road Network route through the town. This work will be completed during 2020.

Infrastructure	A11 Thetford Bypass Junctions
Location	Breckland
Delivers	5,000 homes and 5,000 jobs
Lead authority	Highways England, NCC, Landowners, Breckland District Council
Estimated start date	2020-2025
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	NPIF, Highways England Roads Investment Strategy 3 (2025-2030), Major Road Network Funding
Benefits	Improves congestion, required for growth
Link to other Information	Thetford Area Action Plan
Status	Improvements, likely to be signalisation of the junctions, will be phased with the delivery of the housing growth. None yet are programmed. More extensive improvements, required to maintain the strategic function of the A11, would be delivered as part of a future Highways England programme, but is not yet committed. NCC will investigate an alternative involving rerouting the A134.

A47 Wisbech Bypass Junctions

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

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

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

A47 Tilney to East Winch Dualling

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

A number of schemes are committed for construction on the A47 between 2020 and 2025. These are shown on page 16.

Infrastructure	A47 Tilney to East Winch dualling
Location	King's Lynn and West Norfolk
Delivers	There are strategic site allocations in West Winch and North Runcton, adjacent to A47, which provide for 1,600 homes and 1ha employment land, while employment land is identified at Hardwick (27 ha) and Saddlebow (23ha).
Lead authority	Highways England
Estimated start date	2025-30
Estimated cost	£130m
Unfunded cost	£130m
CIL contribution	No
Funding opportunities	Highways England Roads Investment Strategy 3 (2025-2030)
Benefits	Improves connectivity and reliability
Link to other information	A47 Alliance Website
Status	Tilney to East Winch is a current priority of the A47 Alliance.

A47 Acle Straight Dualling

As well as Tilney to East Winch, dualling the Acle Straight is a priority.

Infrastructure	A47 Acle Straight dualling
Location	Broadland, Great Yarmouth
Delivers	The Enterprise Zone covering large parts of Great Yarmouth and Lowestoft will help bring forward 9,000 direct and 4,500 indirect jobs across the area. Furthermore, approximately 14,000 new homes are planned across Great Yarmouth and Lowestoft. The plans for 37,000 new homes and the creation of 27,000 jobs in the Greater Norwich area will further increase demand along the A47 between Greater Norwich and between the Enterprise Zone.
Lead authority	Highways England
Estimated start date	2025-30
Estimated cost	£79m
Unfunded cost	£79m
CIL contribution	No
Funding opportunities	Highways England Roads Investment Strategy 3 (2025-2030)
Benefits	Improve accessibility between Norwich and Great Yarmouth and improve the safety record of the road
Link to other information	A47 Alliance Website
Status	The Acle Straight is a current priority of the A47 Alliance.

Rail Projects

Norwich to London Rail (Norwich in 90)

As part of the franchise agreement there has been complete replacement of the rolling stock and some services (two each way every day) have journey times of 90 minutes. A service frequency of every 20 minutes is also part of the franchise commitment although this has not yet been implemented. Even these improvements however will not deliver sufficient capacity or frequent (at least one every hour) services in 90 minutes.

In recognition of the strength of the study work and lobbying, government formed a Great Eastern Main Line Task Force to define how the ambition for a faster, more reliable, better quality service with more capacity could be delivered to serve the needs of Essex, Suffolk and Norfolk. The Task Force is currently undertaking study work to identify exactly what infrastructure is required to deliver the required level of service, and the business case for it. This work is due for completion towards the end of 2020.

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

Great Yarmouth Rail Station

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

Infrastructure	Great Yarmouth Rail Station
Location	Great Yarmouth
Delivers	Improvements to Great Yarmouth Rail Station
Lead authority	Greater Anglia
Estimated start date	2019- 2024
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	Network Rail Control Period 6
Benefits	Facilitate jobs growth and encourage inward investment into the energy coast. Help meet objectives as set out in Policy CS17 of Great Yarmouth Core Strategy
Link to other information	N/A
Status	Potential for inclusion in Network Rail spending programme 2019-2024

Ely Area Enhancements

A large number of rail services pass through Ely: King's Lynn to Cambridge; Norwich to Cambridge; Norwich to Peterborough; Ipswich to Peterborough; and freight services from Felixstowe. Major rail infrastructure improvements are required to accommodate all services committed within franchise agreements and for further frequency improvements in the future. Local authorities are working with local enterprise partnerships, government and Network Rail to bring forward the improvements for delivery. Network Rail has secured £13.1m funding from Department for Transport and £9.3m funding from Cambridgeshire and Peterborough Combined Authority, New Anglia LEP and Strategic Freight Network to understand the scale of the challenge to increase capacity through Ely and progress early design options for public consultation. Between September and November 2020, there will be the first phase of public consultation. Further design and development of the EACE programme, including future consultation events later in 2021 and 2022, and authorisation will be subject to future funding decisions by the Department for Transport following the Rail Networks Enhancements Pipeline (RNEP) process.

Infrastructure	Ely Area Enhancements
Location	East Cambridgeshire
Delivers	£120m wider economic benefits, and 1,000 homes and 1,000 jobs.
Lead authority	Network Rail
Estimated start date	Mid 2020s
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	Network Rail Control Period 6, NALEP
Benefits	Supports better connectivity on the Cambridge Norwich and King's Lynn Cambridge corridors.
Link to other information	New Anglia website
Status	Currently Network Rail are undertaking £9.3m of feasibility and design work which will be published in 2019 for inclusion in National Rail spending programme 2019/24.

East West Rail (Cambridge to Oxford)

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

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

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

Infrastructure	East West Rail (Cambridge to Oxford)
Location	Cambridge to Oxford
Delivers	Establishes a railway connecting East Anglia with central, southern and western England.
Lead authority	East West Rail Company. Working with local authorities along the route, DfT and Network Rail
Estimated start date	Late 2020s
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	No
Funding opportunities	Government via special purpose delivery vehicle
Benefits	Connects Oxford and Cambridge to major economies in New Anglia.
Link to other information	East West Rail website
Status	Phase 1 Oxford to Bicester complete Phase 2 Bicester to Oxford commenced late 2019 with services from end of 2023 Phase 3 Bedford to Cambridge expected to be built by the mid-2020s. Work is ongoing to identify how services might extend to Norwich and Ipswich (on existing tracks) following completion of Phase 3.

Utility Projects

Sprowston Primary and Peachman Way Primary Substations

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

Infrastructure	Sprowston Primary	Peachman Way Primary
Location	Broadland	Broadland
Delivers	A possible 10,000 homes	A possible 10,000 homes and Broadland Business Park
Lead authority	UK Power Networks	UK Power Networks
Estimated start date	TBC	TBC
Estimated cost	£2.5-10m	£2.5-10m
Unfunded cost	£2.5-10m	£2.5-10m
CIL contribution	Yes	Yes
Funding opportunities	CIL, private sector	
Benefits	Support the delivery of 10,000 homes and job development at airport and Rackheath	
Link to other information	GNDP Local Investment Plan and Programme link	
Status	Baseline requirement	

Earlham Substation

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

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

Cringleford Primary Substation

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

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

Broadland Growth Triangle Trunk Sewer

There is no significant capacity constraint from the existing works at Whitlingham or Belaugh, but there is in the existing sewerage network. An existing trunk main connecting from Sprowston to Whitlingham has a limited amount of capacity. After capacity within this main is used, new infrastructure would be required to give a connection of adequate capacity to the Whitlingham Water Recycling Centre. Connections to the foul sewerage networks to serve development sites are an on-going project which is driven by developers applying to Anglian Water to connect to the public sewerage network.

Infrastructure	Northeast Norwich Trunk Sewer
Location	Broadland
Delivers	A possible 10,000 homes
Lead authority	Anglian Water
Estimated start date	2011-2026
Estimated cost	TBC
Unfunded cost	TBC
CIL contribution	Yes
Funding opportunities	Private sector
Benefits	Supports the delivery of 10,000 homes to the northeast of Norwich
Link to other information	GNDP Local Investment Plan and Programme link
Status	Baseline requirement

Wymondham Water Supply Connections

Water resource is available in principle for up to 4,400 dwellings for Wymondham (commitment for approximately 2,600 homes at 2018). However, network improvements will be required before connection can take place. Connections to the water supply are an on-going project which is driven by developers applying to Anglian Water to connect to the water supply network.

Infrastructure	Wymondham Water Supply Connections
Location	South Norfolk
Delivers	Up to 4,400 homes
Lead authority	Anglian Water
Estimated start date	TBC
Estimated cost	£22m
Unfunded cost	TBC
CIL contribution	Yes
Funding opportunities	Private sector
Benefits	Supports the delivery of up to 4,400 homes
Link to other information	GNDP Local Investment Plan and Programme link
Status	Baseline requirement

King's Lynn Sewerage Improvements

To help facilitate growth in King's Lynn, sewerage improvements may be required. Connections to the sewerage network are an on-going project which is driven by developers applying to Anglian Water to connect to the foul sewerage network.

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

Sustainable Projects

Great Yarmouth Flood Defences 2017 onwards (Epoch 2)

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

Infrastructure	Great Yarmouth Flood Defences 2019 onwards Epoch 2 (2016 – 2021), Epoch 3 (2021 – 2026), Epoch 4 (2026 – 2046), Epoch 5 (2046 – 2061)
Location	Great Yarmouth
Delivers	The Environment Agency is currently delivering Epoch 2 (2016 –2021) to refurbish and improve approximately 4km of flood defences and the supporting quayside. A Limpet Dam will be used to enable patching of the corroded pile sections and installation of cathodic protection to stop future accelerated low water corrosion. It is anticipated that adopting this approach will allow a further 30 years of life to be gained from the assets for an estimated 30% of the cost of replacement and manage the flood risk to around 2000 homes and 700 businesses. The challenge is to secure funding to deliver the next epoch of work required to manage the flood risk to the town grows. The partners are working together to identify a sustainable income stream to ensure the vital investment for the next phase of work and continued maintenance. All opportunities and beneficiaries should be explored.
Lead authority	Environment Agency (lead technical partner) working in partnership with Great Yarmouth Borough Council, NCC, NALEP, Peel Ports, Broads Authority and the Tidal Defence Business Partnership (representing local businesses).
Estimated start date	Epoch 2 construction work began in October 2019. The current estimated start for the Epoch 3 construction work is mid-2023, but this will be subject to obtaining adequate partnership funding.
Estimated cost	Epoch 2 has a construction cost of £40.3m with an additional £6.2 million required to maintain the Epoch 2 defences over the next 30 years. Epoch 3 has an estimated construction cost of £29.5m, however refined and revised through options appraisal and design.

Unfunded cost	Epoch 2 requires a further £1.5m of future maintenance commitment from local sources. Epoch 3 is at an early stage. The project's viability is likely to depend on securing around 75% of the cost through partnership funding.
CIL contribution	No
Funding opportunities	Partners of the project, growth and regeneration investment, developer contributions, critical infrastructure providers and businesses
Benefits	The flood defences support the economic growth and development of Great Yarmouth with the potential to support 34,000 jobs and £1.5 billion to the economy over the lifetime of the Epochs. Enabling 50ha of prime location undeveloped land and opportunity to enable appropriate resilient development, in line with local development strategies and supporting policies.
Link to other information	Great Yarmouth Tidal Defence Project
Status	<p>The Epoch 2 construction works are in progress addressing 40 walls across the town with completion planned for spring 2021. £18m Partnership funding has been secured to gain approval to spend £27m FDGiA (capital and revenue).</p> <p>Epoch 3 is at an early stage of business case development. A substantial amount of partnership funding will again need to be secured in order for this project to progress as planned. Partners are beginning work to identify funding sources for Epoch 3 and to identify a sustainable income stream to meet future investment required to manage flood risk to the town.</p>

Future Fens – Flood Risk Management

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

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

Infrastructure	Future Fens – Flood Risk Management
Location	Area around Southery, Denver, Upwell, Outwell, Kings Lynn
Delivers	<p>The Great Ouse Fens considered in the project covers 2,184km² of Cambridgeshire and Norfolk adjacent to the lower reach of the Great Ouse catchment from Earith to The Wash. The area includes around 130,878 residential properties, 13,068 non-residential properties and 184,895 hectares of agricultural land.</p> <p>This project will provide the evidence base for the consideration of future and potential flood risk investments required across the Fens. Phase 1 of FCERM in the Fens is the baselining stage, bringing asset and investment information together to determine the scale of the challenge, which in turn will enable visualisation and engagement with a vast array of interested parties.</p> <p>Phase 2 will involve the strategic appraisal of the adaptive infrastructure choices available to decision makers within the Fens. Given the scale and complexity of this, it is estimated that Phase 2 may take between 5 to 10 years to develop and conclude.</p>
Lead authority	Environment Agency
Estimated start date	Ongoing project. Implementation phase from ~2030.
Estimated cost	Phase 2 Strategy cost approximately £10-15M. Predicted future capital investment need in flood risk management over next 100 years is £2.7bn, with approximately £1.1bn from Government.
Unfunded cost	Approximately £1.6bn required from contributors. TBC - from £100m to 2120 CIL
CIL contribution	Possibly
Funding opportunities	Central Government (Flood and Coastal Erosion Risk Management Grant in Aid); Local Government (Regional Flood and Coastal Committee Local Levy), Internal Drainage Boards, and other funding sources from beneficiaries.

Benefits	Land protected for economic growth, appropriate housing development and new transport infrastructure enabled, particularly East Wisbech, West Winch and A10 and A47 improvements.
Link to other information	Great Ouse Tidal River Baseline Report 2017
Status	The Environment Agency have begun study work to plan the best way of managing future flood risk in the Great Ouse Fen Area, including investment needs. Existing cost estimations are based on initial understanding of the core, tidal river area of the Fens; needs for the Fens as a whole will be significantly in excess of these currently known figures.

Digital Project

Smart Emerging Technology Institute (SETI)

The East of England Smart Emerging Technologies Institute is a planned research and innovation initiative aiming to create the fastest collaborative research testbed in Europe. It will be a science, technology and business asset for the region that will push the boundaries of leading science research. SETI (a virtual institute led by UEA) will nurture a unique ecosystem, supporting research, innovation, benchmarking and validation of new applications and services, through large scale testbed experiments using the latest machine learning, artificial intelligence (AI) and digital communications technologies across the region's key sectors.

Smart Emerging Technology Institute (SETI)	
Description of stage	Initial feasibility study has been completed. Development of detailed business case is due to start summer 2020.
Estimated cost to deliver the stage	c. £50k
Indicative timeframe to deliver stage and start date	December 2020
Potential funding source	NALEP Innovation fund and in-kind staff contribution from UEA, SNC and CNTC (all secured)
Scheme Development	✓✓ Feasibility/development work underway on preferred option

Up and Coming Projects

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

- North Walsham Link Road
- Trowse Rail Bridge
- Thetford A134 to A11 connection
- Longwater additional access
- Transport Infrastructure to support Norwich East
- A149 King's Lynn Bypass
- A10 Setchey (south of West Winch)
- A17 Pullover Roundabout
- A140 north of Long Stratton
- Great Yarmouth North Quay Regeneration
- Great Yarmouth Outer Harbour Southern Terminal
- Great Yarmouth Town Centre Improvements

Cabinet

Item No: 13

Decision making report title:	No Wrong Door
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr John Fisher (Cabinet Member for Children's services)
Responsible Director:	Sara Tough, Executive Director of Children's Services
Is this a key decision?	No
If this is a key decision, date added to the Forward Plan of Key Decisions.	NA

Introduction from Cabinet Member

As Lead Member for Children's Services I was delighted to provide my endorsement to Norfolk County Council's application to the Strengthening Families Programme to become an adopter authority for the No Wrong Door model.

The No Wrong Door model has a powerfully evaluated evidence base, delivering better outcomes for young people and significant cost reductions. The application received wide support from Members and officers alike having been favourably discussed on 18th June 2019 at NCC's Corporate Board followed by a further review on 19th July 2019 at the People and Communities Select Committee where the proposal was again supported.

We're already making significant investments to further strengthen our work with children, young people and their families. This includes creating more properties for our care leavers, recruiting more foster carers and investing in direct work with children and families so we really understand their needs. The No Wrong Door approach completely fits with our way of working and will further accelerate the work we're already doing to transform children's lives.

Executive Summary

Norfolk has been successful in securing £5m of Department of Education (DfE) funding to enable the development and implementation of the No Wrong Door model in Norfolk.

No Wrong Door is a non-traditional approach to working with adolescents experiencing complex journeys - with an innovative residential 'Hub' at the heart of the service. It provides short term placements and edge of care support through a range of specialist and wrap

around services to help young people on their journey, supporting our vision to reduce the number of looked after Norfolk Children.

The model is endorsed by the DfE and is one of the three DfE sponsored projects within the Strengthening Families Protecting Children (SFPC) Programme. Each project has a lead innovator authority, who will work with each adopter authority to implement the chosen model in their own area. North Yorkshire County Council pioneered the model and so are the adopter authority and will work with Norfolk to implement the Norfolk No Wrong Door model.

This paper explains the rationale of Children's Services adopting No Wrong Door, the background of No Wrong Door itself and the expected benefits this will bring to children and young people.

Recommendations

- 1. To endorse the No Wrong Door model, the benefits this delivers to young people and their families and the rationale for the service level decision to implement No Wrong Door in Norfolk**
- 2. To acknowledge and endorse the proposed plan for how No Wrong Door will be implemented in Norfolk**
- 3. To support / agree the decision made by the Children's Services Leadership Team to develop and implement the No Wrong Door Model in Norfolk**

1. Background and Purpose

- 1.1 'Together, for Norfolk' sets out three overriding ambitions which drive the Council's priorities: A growing economy, thriving people, and strong communities. Our Plan also underpins and contributes to the delivery of the New Anglia Local Enterprise Partnership Norfolk and Suffolk Economic Strategy.
- 1.2 The plan provides a whole-Council view of significant activities, including, service change or redesign, infrastructure, assets and technology, including capital programmes or projects, strategy or policy development. Our services support our ambition by ensuring children and young people have the best start in life, protecting vulnerable people, developing strong infrastructure and helping improve the economy.
- 1.3 The Council's transformation programme is core to the Council's objectives and ambitions. In all that we do, we continue to be guided by four core principles that frame transformation work:
 - Offering our help early to prevent and reduce demand for specialist services;
 - Joining up work so that similar activities and services are easily accessible, done once and done well;

- Being business-like and making best use of digital technology to ensure value for money; and
- Using evidence and data to target our work where it can make the most difference.

1.4 Aligned to the Council's overall ambitions, in February 2019, Sara Tough, Executive Director of Children's Services, communicated that our 'Vital Signs for Children' vision would be delivered by taking a whole system and whole family approach that is:

- Relationship Based – enabling practitioners to have the time to focus on doing direct work with families and being the intervention rather than referring for an intervention
- Strengths oriented - recognising the strengths which can exist in the wider family and community networks and the resilience they can create
- Outcome focused - the handoffs in the system will be reduced. An increased focus will be placed on pre-proceedings work to improve the quality of assessments and Public Law Outline (PLO) work to offset the need to commission additional work such as residential assessments.
- Whole system – at its heart the No Wrong Door model bring partners from different agencies together with a shared practice culture and a commitment to never give up on young people.
- Whole-family – the No Wrong Door model has a proven track record of building resilient networks around young people – reaching out to wider family networks and community support as well as supporting young people to return to their birth families after a period of support where this is the right thing for them

To help deliver the Council's ambitions and priorities and realise the Vital Signs for Children vision, a significant programme of change has been established called Safer Children and Resilient Families (SCARF) with a focus on supporting families earlier to prevent escalation of need.

1.5 The Vital Signs for Children vision recognises the need to improve edge of care services and how this could be delivered:

- Where required, intensive and sustained support will be provided, holding cases out of care by offering consistent support over an extended period. This recognises that every case is different, so we need to provide intensive support to achieve outcomes where very complex needs exist rather than having escalation into care as the only option. This means no fixed rules about how long cases are open.
- To support this we plan to introduce, integrate and better use a wider range of skills in front line teams to complement case holding social workers and family focus practitioners. We want to include support roles focusing on areas such as Clinical Psychology, Domestic Violence, Substance Misuse and Adult Mental health, to ensure our focus is on supporting the whole family.
- This will also be complemented by new edge of care services, some alternatively qualified practitioner roles, integration and alignment with partners, and social workers and family focus workers co-working cases where required to bring together the whole system.

- 1.6 To help realise this, we are introducing the No Wrong Door model, which is a Department for Education (DfE) sponsored programme, with Norfolk County Council (NCC) receiving a £5m grant from the DfE to develop and implement this service in Norfolk.
- 1.7 **Strengthening Families, Protecting Children (SFPC) Programme**
The SFPC programme will support up to twenty local authorities with high or rising demand for children's social care. The programme aims to improve social work practice and decision making, support more children to remain safely at home with their families, and where appropriate, reduce the number of children entering care.
- 1.8 Once on the programme, local authorities will work with one of the three innovating authorities to adopt their model in their own area. Each of the three innovating authorities have designed their own approach to implementation, but all will be underpinned by consistent principles of delivery.
- 1.9 The first adopter authorities commenced implementing their preferred model in Autumn 2019, with the implementation by other adopter authorities staggered between April 2020 and September 2023.
- 1.10 The evaluation of the programme will be led by the What Works Centre for Children's Social Care who will design and develop the methodology and evidence base for the evaluation. All authorities will be expected to take part in the evaluation, and the SFPC programme will provide yearly updates on the programme's progress and learning and will share this with all local authorities.
- 1.11 No Wrong Door was developed by North Yorkshire County Council (NYCC), with NYCC being the innovator authority for the No Wrong Door model.
- 1.12 Evidence from the implementation of NWD in Norfolk demonstrates how this can support the delivery of the Children's Services vision for practice, 'Vital Signs for Children' in a way that addresses the drivers for change.
- 1.13 In May 2019 Norfolk County Council submitted an expression of interest to the DfE Strengthening Families Protecting Children (SFPC) Programme Board to become an adopter authority for the No Wrong Door model. In October 2019 we received confirmation from the DfE, through their acceptance of our statement of readiness, that our application to become an adopter authority of No Wrong Door was successful.

2. Proposals

- 2.1 Following the submission of our expression of interest in adopting the No Wrong Door model a series of discovery days were held with North Yorkshire to understand how the model could work in Norfolk. This included representatives from Children's Services and Norfolk Police visiting the North Yorkshire No Wrong Door hubs to witness the service in operation, and representatives from North Yorkshire coming to Norfolk to assess our suitability. This enabled NCC to develop a fully costed No Wrong Door model and a submission to the DfE

to adopt No Wrong Door as part of the Strengthening Families Protecting Children programme.

2.2 Following confirmation from the DfE of the success of this bid NCC Children's Services Leadership Team made the decision to proceed with implementing the No Wrong Door Model in Norfolk.

2.3 The NWD Model

2.3.1 The NYCC No Wrong Door innovation provides an integrated service for young people, aged 12 to 25, who either are in care, edging to or on the edge of care, or have recently moved to supported or independent accommodation whilst being supported under No Wrong Door.

2.3.2 The flexible and resilient integrated team supports the young person throughout their journey to ensure that they are not passed from service to service but instead are supported by a dedicated team of edge of care and residential workers, a clinical psychologist, speech and language therapist and a Police Intelligence worker. Some young people are placed in the hubs, and others are supported by outreach while either in foster care or living with their families. Central to the No Wrong Door innovation is that all staff are trained in Signs of Safety, and restorative and solution-focused approaches.

2.3.3 No Wrong Door is a non-traditional approach to working with adolescents experiencing complex journeys - with an innovative residential 'Hub' at the heart of the service.

It provides:

- Short term placements and edge of care support (in and out of care)
- A range of services, support and accommodation options
- Embedded specialist roles working together (shared practice framework)
- An integrated service with a defined culture and practice model
- An integrated team that 'sticks with' young people on their journey.

2.3.4 Through a whole Children's Service systemic change, authorities implementing NWD have seen an improvement in outcomes for those young people being supported. These improved outcomes include, a reduction in total time spent in residential settings and a total reduction in the number of looked after children (LAC) for the local authority, as well as a reduction in missing episodes, arrests, and hospital admissions.

2.3.5 No Wrong Door is a whole system approach to practice with stated characteristics:

- Thinks differently – about risk management & safeguarding adolescents
- Psychologically informed systemic practice across children's services
- Reduces handoff's and episodic planning

- Right services, right time, right place to meet need
- Always striving for permanence in family/community setting (connectivity)
- Strengths based and restorative approaches and practice
- Is aspirational – building self-esteem, foundations for the future and improving the lived experience for young people.

This leads to a systemic service wide integrity and delivering against the ambition of 'sticking with' young people.

2.4 Norfolk NWD Model

- 2.4.1 To enable NCC to embed the No Wrong Door model two of the existing children's homes, 'The Lodge' and 'Norwich Road' have been identified as being the most suitable sites for converting into No Wrong Door hubs.
- 2.4.2 Both hubs require physical adaptations to make them fit for purpose, including expansion to 6 beds, as well as changes to the staffing structure that will operate within the homes. The hubs will continue to provide residential beds for emergency placements; however, the hubs will also provide greater wrap around support for both residents and young people on an outreach basis.
- 2.4.3 Each hub will be supported with:
- A dedicated Semi-Independent Accommodation (SIA) unit. This will either be new SIA provision or re-purposed existing SIA unit
 - 'High Needs Supported Lodgings (HNSL) hosts. The hosts will be able to provide a room within their home and be the stepping stone for young people moving towards living independently. Placements will be planned and can be on a short term, medium term, or respite basis dependent on the young person's circumstances and their Care Plan
 - Two Hub Community Families. These will be supported and supervised by NCC Fostering team
 - The HNSL hosts and Hub Community Families will provide relief work at the hub when they have no young person placed with them.
- 2.4.4 Placements with the HNSL and SIA units will be supported on an outreach basis by the staffing team based at each hub. This support is provided by staff who will remain consistent for those young people and will help young people move on in their lives.
- 2.4.5 The hubs will operate against a different staffing structure to Norfolk's existing Childrens residential homes. The actual number of full time equivalent (FTE) roles for each of the hubs is significantly greater than the existing FTE for both Norwich Road and The Lodge, therefore we will be seeing a net increase in positions available in the new structure.

- 2.4.6 Some of the current roles at Norwich Road and The Lodge can be matched to new NWD positions at the hubs. There are some deleted roles which will impact on some staff in those positions, although there will be similar roles within the NWD structure which impacted staff can be considered for.
- 2.4.7 NCC's position is that we wish to retain all staff currently employed at both the Lodge and Norwich Road, and any employees who do not secure a position at the NWD hub will be offered a comparable redeployment option within the residential service. There are no expected redundancies from this consultation.
- 2.4.8 No Wrong Door is the name of the service designed by and operating in North Yorkshire. As the innovator authority they are encouraging all adopter authorities to develop their own adapted service. Whilst the Norfolk service model will adopt the core elements, the 'non-negotiables' of the North Yorkshire model it will be adapted to reflect the specific requirements of the young people of Norfolk, and as such the Norfolk service will have its own distinct name to differentiate it from North Yorkshire.
- 2.4.9 It is important that the name of the service portrays what the service is and how it can help young people. As young people in care, or on the edge of care will be at the heart of this service, we believe it will be most appropriate for representatives from this group to decide what the service should be called. We have received numerous suggestions of an appropriate name from a variety of sources, with a shortlist developed which will be taken to the in-care council for this group to agree on the name for the Norfolk version of No Wrong Door.
- 2.4.10 The Norfolk service will go live on 1st June 2021. The implementation plan leading to this date has been jointly developed with North Yorkshire, based on their experience with their own service and the other authorities they have supported to implement their own No Wrong Door model. The go-live date has also been approved by the DfE. This date is now 7 months later than originally expected due to Covid, having initially been put back by 4 months at the start of the pandemic.
- 2.4.11 Staff recruitment, appointment, and training is being phased from the start of December, commencing with the recruitment of the Hub Managers. It is anticipated that all staff will be in position by 3rd May 2021 to allow for a sufficient induction process ahead of the service going live. Section 7 of this paper outlines the impact for current staff and the selection and appointment process.

3 Impact of the Proposal

- 3.1 The objectives of the Norfolk No Wrong Model will be to:
- Build on and enhance family networks to support more children in being able to live with their families
 - Meet the strategic objective of a reduction in looked after children, and a reduction in the numbers of children in residential settings

- Deliver the expectations of the Strengthening Families Protecting Children programme requirements in 2020/2021
- The proposal also supports the objective of a locality focus of the service, by designing the No Wrong Door structure around two existing Childrens residential homes
- Provide an enhanced support service to some of our most vulnerable young people
- Achievement of net cost saving by 2024/2025 when DfE funding ceases

3.2 The outcomes that we want the new proposed structure to support in delivering are:

- A successful proven model which reduces time spent in residential settings
- Having fewer children in residential homes on a long term or permanent basis
- Fewer children and young people in local authority care
- A reduction in the number of Norfolk children residing out of county, thus keeping them closer to the family, friends and their communities
- A reduction in missing episodes, arrests and hospital admissions.

3.3 In designing the proposed structure and planning for its implementation we have:

- Adopted the existing framework designed by North Yorkshire Council
- Applied the DfE conditions required to be part of the DfE funded Strengthening Families Protecting Children Programme:
 - For North Yorkshire to directly employ the Hub Manager and Deputy Manager at both hubs for the first 2 years of the programme
 - To adopt the DfE approved hub staffing structure at both hubs

3.4 Financial Benefits

3.4.1 The primary drivers for the implementation of the No Wrong Door model are the positive outcome for young people this will deliver. However, we forecast that these outcomes will also deliver substantial financial benefits for the Council.

3.4.2 We have applied the data trend analysis from North Yorkshire to our own placements to determine the potential financial benefit through a reduction in placement time, a reduction in out of county placements and a reduction in total looked after children numbers. This has enabled to financial cost savings to be forecasted as;

Financial year	Year 1	Year 2	Year 3	Year 4	Total
Cost impact £m	-2.200	-5.100	-3.500	-2.000	-12.800

4 Evidence and Reasons for Decision

4.1 The Childrens Service leadership decision to implement the No Wrong Door service in Norfolk is in recognition of the drivers for change in Norfolk and the evidence from North Yorkshire of how the No Wrong model has delivered improvements.

4.2 Drivers for Change

- 4.2.1 The recent transformation of Norfolk's front door service, 'CADS' (Children's Advice and Duty Service) has resulted in an improved performance in this area, as recognised by Ofsted, which creates a stable platform for now focussing on service improvements for children and young people once they are in the system.
- 4.2.2 Although the number of children in care in Norfolk is now consistently reducing it remains higher than our statistical neighbour authorities and we believe the No Wrong Door model will help us to further reduce the need for young people to be in care.
- 4.2.3 Partially due to the historically high levels of LAC, there remain challenges in relation to the sufficiency of placements, and associated difficulties in being able to make a consistently good match for each child in care. This has generated a reliance on external agencies, private sector providers and out of county residential placements which not only creates less good outcomes for children and young people, but also results in increasing and unsustainable placement costs.
- 4.2.4 We have begun to see early trends in relation to slowly reducing numbers of LAC which should impact on some of these sufficiency issues, however the successful role out of NWD is a critical part of us maintaining this positive momentum.
- 4.2.5 There is significant drive in Norfolk to enhance the support available to vulnerable adolescents across Norfolk, both in rural areas and in our urban hubs. County Lines activity, alongside Child Criminal Exploitation (CCE), Child Sexual Exploitation (CSE) and Domestic Abuse requires ongoing and increasing input from social work teams as well as the police. Ensuring we have services that can address this growing issue is important in keeping children in Norfolk safe.
- 4.2.6 Reducing the number of children and young people in care also supports the Childrens Services Cost Savings plan for 2021/22 and future years. As of October 2020:
- LAC Placements costs are still tracking at circa £55M pa
 - Almost 100 young people have a placement costs of over £3K per week
 - Currently 9 young people have placement costs for £6k per week or greater, with highest currently at £12k per week
- 4.2.7 Children's Services have proposed initiatives to deliver an additional net £5m of savings within 2021/22 in support of the Councils approximate £40m budget gap (as per October 2020 Cabinet agenda); total proposed savings for Children's Services for 2021/22 including

the existing Medium Term Financial Strategy commitment would be £11.4m. NWD is forecast to deliver £12.8m of savings over the next 4 financial years, with £2.2m in year 1 of the programme.

- 4.2.8 In Sept 2017, the Policy and Resources Committee agreed the set-up of the Children's Services Transformation programme. From this the 'Vital Signs for Children' strategy was established, providing a clear direction for the development of services, such as NWD to enable more effective service delivery.

Note: In the section above the statistics referenced are those which apply prior to the beginning of the Covid lockdown period.

4.3 No Wrong Door benefits in North Yorkshire

- 4.3.1 The SFPC Briefing Document 'The Impact of NWD in North Yorkshire - the First Four Years' evidences the success of the No Wrong Door Model in North Yorkshire;

- Financially: by highlighting that No Wrong Door has allowed North Yorkshire County Council to keep the vast majority of their young people out of external residential placements and reduced significantly the number of Independent Fostering Arrangements (IFA's) used. It also illustrates that they are keeping young people out of care, on in care for less time, especially in residential placements
- Reduced criminalisation of our young people: by less involvement with the police via arrests and charges
- Greater safety: by reduced missing episodes, keeping our young people close and with processes to manage risk
- Impact of health partners: to improve mental health and wellbeing and identify previous unknown speech and language communication issues
- Improve outcomes for our young people: by highlighting specific case studies of young people who have worked with NWD.

- 4.3.2 The detailed evaluation within the report evidenced substantial improved positive outcomes for young people in North Yorkshire. These include:

- The time young people spent in the residential placement for closed residential placements has decreased. In Year One, the average time was 131 days, and this reduced steadily over the proceeding years to a low of an average time of just 72 days in Year Four.
- During the first four years of No Wrong Door, there have only been two occasions where NYCC have used an external placement for a care need only with none used for Year Three and Year Four. This has enabled NYCC to keep their young people within the NYCC area, close to their families, friends and communities.
- In NYCC there are no young people in No Wrong Door who are currently in Independent Fostering Arrangements (IFA's), which is a significant cost avoided and improved outcome. This has helped NYCC to reduce the total use of IFA's for all

ages. In 2013/14, there were 52 IFA's in use by NYCC, since the introduction of No Wrong Door this has reduced year on year to 3 young people in Year Four.

- Another key principle of No Wrong Door is that unlike traditional residential care, the service does not stop working with young people once they turn 18. If they still need help and support from No Wrong Door, NYCC remain committed to sticking with them until they are 25. In Year Four, NYCC have worked with 42 young people who are aged 18 and over, and they expect this to continue to increase, as more of the early cohort turn 18.
- Part of No Wrong Door's performance tracking is ascertaining to what extent the service meets its objectives. For closed interventions for Year Four, a total of 83% of those worked with were deemed to have either partially or fully achieved their objectives, with 63% fully achieving.

4.3.3 No Wrong Door has been successful in preventing young people on the edge of care becoming looked after. In Year Four, No Wrong Door worked with 136 young people who were on the Edge of Care. Of these young people, only 33 (24%) are currently LAC. Of the 33 LAC young people, 8 were LAC before No Wrong Door started and only 13 (10%) came into care in Year Four.

5 Alternative Options

5.1 The option of creating our own version of NWD was considered as an alternative way to meet our strategic objectives of a reduction in looked after children, and a reduction in the numbers of children in residential settings. There are some potential benefits through adopting our own version independently of North Yorkshire and the DfE such as having greater autonomy with the design and operation of the model, however there are also significant disadvantages to this approach;

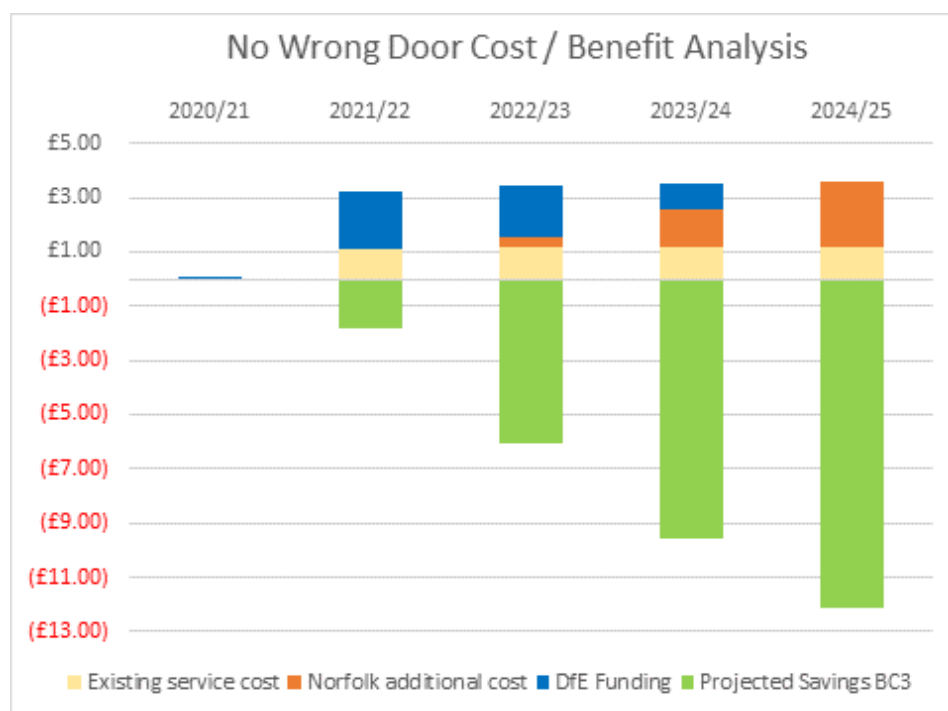
- The significant investment into additional roles across Childrens Residential Homes. This investment would be required up front, without the DfE grant providing a subsidy until the financial benefits can be realised. This would require reallocating funds planned spending on other services within the Council.
- We would not benefit from the expertise and learning of North Yorkshire in developing and implementing the Norfolk No Wrong Door model.
- Cost pressures on the Council may result in a dilution of the service. This is not a risk with adopting the DfE funded model, as the funds from the DfE are ring fenced for No Wrong Door.

5.2 Whilst some of the benefits of NWD can be delivered through this alternative approach, given the comparable disadvantages, it only becomes a serious consideration should we not have been successful with our bid to the DfE.

6 Financial Implications

- 6.1 Section 3 of this paper details the forecasted financial benefits which No Wrong Door will deliver to the Council, with the supporting evidence from North Yorkshire County Council providing a level of confidence in these cost saving forecasts.
- 6.2 The No Door Wrong model does require a significant level of revenue investment through the employment of a larger workforce at both the hubs when compared to the our standard Residential Childrens homes staffing structure. This includes the funding required for those positions which are not directly employed by the Residential Children's service.
- 6.3 The fully costed proposal, which we developed jointly with NYCC, has forecasted the total additional cost at £6.22m over the first three years of the No Wrong Door project.
- 6.4 The DfE have confirmed the capping of funding for all pilot schemes through the Strengthening Families Protecting Families Programme in line with funding agreed at the expression of interest application stage. We have received confirmation from the DfE of a guaranteed grant of £5.02m for the implementation of No Wrong Door in Norfolk.
- 6.5 Norfolk commits existing revenue funding for current homes. Initially, Norfolk expects the DfE funding to cover the additional cost for running the enhanced model. Over time the DfE funding tapers and NCC contribution increases as the higher costs are easily outstripped by forecasted savings; the current expected funding profile is built into the financial modelling and deliverable net savings.

6.6



- 6.7 One off set up costs of £82,400 have been budgeted for, based on the bid model from NYCC. These costs include the costs for recruitment to the additional posts, providing IT and telephonic equipment for all new staff where required and a comprehensive No Wrong Door training programme for all staff. The first DfE grant payment will be received within 2020/21 and will cover start-up costs that occur in this financial year.
- 6.8 The project will require some capital expenditure to establish the No Wrong Door hubs and the associated support services around them. As detailed in section 7.2.1 below the refurbishment of the main hubs can be undertaken within existing identified budgets for the refurbishment of the residential estate. In addition, one of the ongoing implementation workstreams relates to the creation of linked semi-independent flats and high needs supported lodgings where young people can live whilst still being supported within the overall NWD model. Capital funding of between £1-1.5m is estimated to be required to support the purchase and renovation of these flats. These requirements will be resourced through the department's capital programme.

7. Resource Implications

7.1 Staff:

- 7.1.1 The proposed model redefines the structure for the residential service delivered at Norwich Road and The Lodge Childrens residential homes based on the No Wrong Door framework/model. It is aimed at changing and re-aligning existing roles and staffing resources to improve delivery of services for children and young people in care and on the edge of care.
- 7.1.2 On the 9th November 2020 NCC commenced consulting with staff on the proposed new structure for both Norwich Road and The Lodge. Staff will have the opportunity to comment on the proposed structure and post selection approach.
- 7.1.3 There is a net increase in posts at both hubs. The proposed headcount of NCC employed staff at The Lodge increases from 11.0 fte to 21.0 fte. The proposed headcount of NCC employed staff at Norwich Road increases from 12.0 fte to 20.0 fte. There is also an additional 1.0 fte post, 'Performance and Intelligence' officer, which will cover both hubs.
- 7.1.4 Some roles are not changing, and those staff will remain in their existing posts in the new structure. Some roles are changing into a redesigned post where there is no change to the job grading and the posts have comparable and similar responsibilities, the proposal is for staff to be slotted into those new posts.
- 7.1.5 New roles of Hub Manager and Deputy Hub Manager will be directly advertised by North Yorkshire County Council. Following a period of employment by North Yorkshire County Council of two years, it is anticipated staff in these posts will transfer under the Transfer of Undertakings (Protection of Employment) regulations (TUPE) to Norfolk County Council and be employed by Norfolk County Council.
- 7.1.6 Employees currently employed as Senior Practitioner, and Team Manager will be placed at risk and will be individually consulted with for redeployment roles and given priority to

reasonable and suitable vacancies. Given the number of increased posts within the NWD model and the wider expansion of the NCC in-house residential provision any member of staff who does not secure a position within the No Wrong Door model will be offered a comparable redeployment post. We do not envisage any redundancies as a result of No Wrong Door and will be actively recruiting into the service as a result of the significant net increase in posts.

- 7.1.7 Recruitment of NCC No Wrong Door roles will only take place once all existing staff have been appointed. Any additional roles will be recruitment to internally and externally on an application and interview-based process.
- 7.1.8 There are also additional roles which are funded by NCC, although not directly employed by the Children's Residential Service. These include a Police Liaison officer at each hub, and a Police Intelligence analyst covering both hubs, as well as specialist health roles; a life coach, and a communication support worker at each hub.

7.2 Property:

- 7.2.1 Both Norwich Road and The Lodge require refurbishment and improvement work to bring them up to an improved aesthetic standard, as well as improvements to some safety features of the properties. A rear extension is also being considered at The Lodge to provide additional office space for up to eight people. The requirement of these works was identified prior to the agreement that both homes would become No Wrong Door hubs, as part of the Children's Residential Service property wide repair and maintenance assessment conducted by the Corporate Property Team (CPT). CPT have secured funds of £4m for the completion of all repairs and refurbishment work across all Children's Residential homes, with a proportion of this budget being allocated to Norwich Road and The Lodge. No further Capital funding is therefore required to enable the Norwich Road and The Lodge to convert to No Wrong Door hubs.

7.3 IT:

- 7.3. There will be a minimal impact on IT requirements for the Council as the service will operate from two existing children's residential homes which already have the IT infrastructure required in place. There will be additional IT hardware requirements through an increased workforce, with the usual processes for acquiring equipment for new starters followed.

8. Other Implications

8.1 Legal Implications

- 8.1.1 Within our costed proposal to the DfE we confirmed our agreement to the DfE requirement that North Yorkshire would directly employ the Hub Managers and Deputy Managers for the first two years. Both the DfE and North Yorkshire believe this is a necessity to ensure true adoption of the model by all adopter authorities. North Yorkshire County Council and Norfolk County Council have comparable employment terms and conditions, including rates of pay and remuneration. Following a period of employment by North Yorkshire County

Council of two years, it is anticipated staff in these posts will transfer under the Transfer of Undertakings (Protection of Employment) regulations (TUPE) to Norfolk County Council and be employed by Norfolk County Council.

9. Recommendations

- 9.1
- **To endorse the No Wrong Door model, the benefits this delivers to young people and their families and the rationale for the service level decision to implement No Wrong Door in Norfolk**
 - **To acknowledge and endorse the proposed plan for how No Wrong Door will be implemented in Norfolk**
 - **To support / agree the decision made by the Children's Services Leadership Team to develop and implement the No Wrong Door Model in Norfolk**

10. Background Papers

- 10.1
- 1 Strengthening Families, Protecting Children Programme. Expression of Interest form and guidance. NCC submission May 2019
- 2 Strengthening Families, Protecting Children Programme. Statement of Readiness form and guidance. NCC submission August 2019
- 3 SFPC Briefing Document The Impact of NWD in North Yorkshire - the First Four Years. North Yorkshire County Council. 2019

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Department
for Education

Strengthening Families, Protecting Children Programme

Expression of Interest form and guidance

Valid 15 April-31 May 2019

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Ministerial foreword



In this, the 30th anniversary year of the landmark 1989 Children Act, I am proud that the government can continue to demonstrate our commitment to the values of strengthening families and protecting children. The Act's principles of parental responsibility, family support, and the welfare of our most vulnerable children, are at the core of everything we do and in the heart of every child and family social worker in the country.

As such, my department is investing £84 million in the Strengthening Families, Protecting Children programme over the next five years in order to expand the three Innovation Programme projects that have shown the most promising evidence of supporting more children to stay safely at home with their families.

Working in close partnership with the three local authorities who designed them, we will be expanding Leeds Family Valued, Hertfordshire Family Safeguarding and North Yorkshire No Wrong Door to up to twenty local authorities. These innovative practice systems will help build resilience in more vulnerable families and improve how local authorities design and run services, supporting our social workers to confidently identify where families can stay together in the home safely without putting children at risk of harm.

By creating safer and more stable homes for our most vulnerable children, we hope to see a reduced need for them and their families to access services – and, most crucially, to give them the best possible chance in life.

I have asked that learning from the models, their implementation, and their effects are shared with all children's social care departments across the country regularly and in a final evaluation to ensure we are sharing practice and maximising impact.

I am excited to see the impact of these innovations felt more widely and hope that you will consider joining us on this journey.

How will the programme work?

The Strengthening Families, Protecting Children (SFPC) programme will support up to twenty local authorities with high or rising demand for children's social care. The programme aims to improve social work practice and decision making, support more children to remain safely at home with their families, and where appropriate, reduce the number of children entering care.

The programme will invest £84m over five years from April 2019 to support local authorities to adapt and adopt one of three promising Innovation Programme projects developed by Leeds, Hertfordshire, and North Yorkshire.

The first adopter authorities will start implementing their preferred model in Autumn 2019. We will then stagger start dates for all other adopter authorities between April 2020 and September 2023. Decisions on which LAs will be part of the programme will be taken by September 2019.

The evaluation of the programme will be led by the What Works Centre for Children's Social Care who will design and develop the methodology and evidence base for the evaluation. All authorities will be expected to take part in the evaluation, and we will provide yearly updates on the programme's progress and learning and will share this with all local authorities.

Three authorities will begin implementing one of the models from April 2019 to enable us to test how best to deliver the programme and the evaluation. These 'trailblazers' meet the eligibility criteria and have demonstrated they have the conditions in place to both adopt and commit to the models.

Which models are we expanding?

Leeds

The Leeds Family Valued Innovation Programme strengthened practice and improved outcomes for children by redefining the relationship between statutory children's services and families.

'Family Valued' is based on a relational approach to practice; with children and families, between partners and within organisations. To support this cultural change staff in children's services and partner agencies were trained in the principles of relational practice. Intensive 'deep dives' in relational practice development took place with managers, social workers and other front-line practitioners. Systems and processes within Children's Services, from early help and the front door to interventions for looked after children, were reviewed, and where necessary improved to ensure that they provided a context in which practitioners could undertake relational practice. To strengthen the voice and involvement of families the Family Group Conferencing Service

was extended to enable it to be offered whenever children's services were considering a statutory intervention and additional new services were commissioned to find restorative approaches to domestic violence.

Hertfordshire

Family Safeguarding was developed by an alliance of Hertfordshire County Council, East and North Herts and Herts Valley CCGs, Police and Probation services, with the support of a DfE Innovation Grant in 2015. It was designed to improve how services are provided for children in need and children in need of protection by establishing multi-disciplinary teams with children's social workers, probation officers, adult recovery workers and mental health practitioners coming together to resolve the main family problems that cause harm to children's health and development.

The new arrangements focus on a whole family approach and make it easy for parents to access all the support they need from within one team, to help them deal with the complex issues of domestic abuse, mental health and drug/alcohol abuse that harm their lives and those of their children. By using motivational practice to enable many more parents to accept help, Family Safeguarding provides specially designed individual and group work programmes to change abusive behaviours, improve parental mental health and reduce harmful substance misuse. It was shown to keep many more children safely within their families, drastically reducing their exposure to harmful parental behaviours, admissions into public care, improving their school attendance and their life chances.

By strengthening bonds within the families, the new model also produced significant reductions in expenditure across the participating public services, notably an estimated £2.6m for the local authority within the first year.

North Yorkshire

The North Yorkshire County Council No Wrong Door (NWD) innovation provides an integrated service for young people, aged 12 to 25, who either are in care, edging to or on the edge of care, or have recently moved to supported or independent accommodation whilst being supported under NWD.

The flexible and resilient integrated team supports the young person throughout their journey to ensure that they are not passed from service to service but instead are supported by a dedicated team that includes a clinical psychologist, police intelligence and a speech and language therapist. Some young people are placed in the hubs, and others are supported by outreach while either in foster care or living with their families. Central to the NWD innovation is that all staff are trained in Signs of Safety, and restorative and solution-focused approaches.

Once on the programme, local authorities will work with one of the three innovating authorities to adopt their model in their own area. Each of the three innovating authorities have designed their own approach to implementation, but all will be underpinned by seven principles of delivery.

Expressing an interest

Now that you have requested this expression of interest form (EOI), we will invite you to one of two information events in:

- Leeds or Sheffield exact venue to be confirmed on 29 April 2019; and
- London on 02 May 2019

The events will be an opportunity for you to learn more about the models, the conditions for successful adoption, and our expectations of you throughout the programme.

You should have enough information at this point to decide which model you have most interest in and why it would work within your local authority. Once you have made this decision, we will expect you to complete the expression of interest form contained in this guidance.

The final date for submitting your EOI is 23.59 on 31 May 2019 and it should be emailed to strengthening.families@education.gov.uk. We are unable to accept hard copies.

The eligibility criteria

Applicant local authorities must be able to evidence that they met the following criteria on 31 March 2019:

- A current overall Ofsted inspection judgement of 'requires improvement to be good'; **and**
- Official DfE statistics for looked after children rates that have seen rises in each of the past three years; **and/or**
- Official DfE statistics for looked after children rates that are, and have been, higher than their statistical neighbour median in each of the past three years

The eligibility criteria have been set in in agreement with HM Treasury, and have been shared with sector partners.

Next steps and making an application

We will check your form to verify that you meet the eligibility criteria, and that you have clearly identified which of the three models you think will fit with your overall practice system and why. If your EOI is compliant you will then be invited you a conversation with either Leeds, Hertfordshire, or North Yorkshire, depending on what you tell us in your EOI.

We may ask you for additional information in advance of these discussions, for example your most recent self-assessment and/or your latest quarterly data set. We are likely to

share this with Leeds, Hertfordshire, or North Yorkshire to help with the conversations, but we won't share the information wider than that, and we won't use it for any other purpose.

The conversations will be an opportunity for you to discuss how your preferred model will work for your practice system and to understand what is expected from each model.

You will then be asked to complete a statement of readiness (we'll send you a template) that will describe to us why the model is right for you; your suitability for taking part based on what you have learned from the detailed conversations; and your staff, senior manager, and senior officer and political leadership's commitment to the model.

Decisions

You may also be asked to attend the DfE Strengthening Families, Protecting Children Board to make your case for participation in the programme. Decisions will be made based on the evidence you provide through the EOI, the statement of readiness and feedback from Leeds, Hertfordshire, and North Yorkshire.

Bringing all this information together, we will then make a recommendation to the Minister on the chances of success of implementing the model in your authority, and you will be notified of our decision.

Other things you need to know

Evaluation

We will be evaluating the programme and we are currently working with the What Works Centre for Children's Social Care to decide the exact methodology and requirements. You will be expected to participate in the evaluation if you are successful in the process.

We want to make sure that all authorities can learn from this programme and we are planning to publish interim findings and a full evaluation once the programme comes to an end.

Trailblazers

We are working with three trailblazer authorities, one per model. These authorities have been chosen using the same criteria we will use to decide on your participation. The learning from these pilots will help us with further programme delivery and with setting up the evaluation.

Darlington will be working with Leeds; Cambridgeshire with Hertfordshire; and Middlesbrough with North Yorkshire.

Expression of interest form

About your organisation

Local authority	Norfolk County Council
Region	East of England
Lead contact	James Wilson
Position	Business Design and Change Lead
Email address	James.Wilson@norfolk.gov.uk
Phone number	07450668402
Postal address	Norfolk County Council County Hall, Martineau Lane Norwich NR1 2DH

Your chosen model

Please name the model you would like to be considered for
North Yorkshire: No Wrong Door
Please outline how the model will support your practice and organisational strategy
<p>Our newly launched vision and strategy called Vital Signs for Children has a striking read-across to the practice values underpinning the No Wrong Door model. In particular, the focus within the NWD model on family-based care, on the vital importance of stability, on building positive relationships with young people, on strengths-based support and on doing whatever it takes to achieve the best outcomes are all explicitly stated at the heart of our vision; so the fit between NWD and our agenda is ideal.</p> <p>Our current picture of care and performance shows the potential impact of NWD. Our aspiration is to safely reduce the number of children needing to be looked after (which is currently higher than statistical neighbours at 70.2). We want to significantly reduce the proportion of out of county placements (currently 21%). We want to achieve a form of family-based care for all children but currently 11% of our children in care live in long term residential homes and we want to reduce our reliance on independent fostering agencies (currently 45% of care placements).</p>

Although those statistics show the distance we still need to travel, we are already making rapid transformational progress and have several existing initiatives which align seamlessly, including;

- A new social work operating model with a focus on reducing hand-off points and episodic support and instead facilitating sustained relationship-based work with children, young people and families
- A transformation of our fostering service which is already allowing us to rapidly expand the availability of fostering households which could work alongside the residential hubs in NWD
- The creation of an Enhanced Fostering Model with specialist carers and wrap-around support which aims to provide family-based care for children with more complex needs – this could be incorporated within the overall NWD model as the follow-on to support from the hubs
- The Valuing Care Programme and needs tool which provides a much richer picture of children and young people in care, focuses on who they are rather than risks or labels and supports a conversation about how to achieve positive outcomes (rather than just contain risks)
- A £5m investment in new in-house semi-independent provision and a dedicated accommodation support model for care leavers with complex needs which again could be incorporated within the NWD framework
- An exciting emerging agenda around vulnerable adolescents with the local constabulary fully committed to investment in a joint model

In addition to the strong strategic alignment, we also have the infrastructure and leadership in place. Norfolk is fortunate to have 9 in-house children's homes and the service leadership are excited to develop this provision into the holistic service hubs in the NWD model. Our Children's Senior Leadership Team, Council Leader, Cabinet Member, Head of Paid Service and Strategic Partnership Board have all given endorsement to the model.

Our service now includes a dedicated Transformation Team to support implementation, members have allocated an annual £2m transformation fund for Children's Services with scope for some this funding to work alongside the investment from the SFPC programme.

500 words

Your eligibility

Please confirm* which of the eligibility criteria your local authority meets:

A current overall Ofsted inspection judgement of 'requires improvement to be good'	X
Official DfE statistics for looked after children rates that have risen consistently over the past three years	X
Official DfE statistics for looked after children rates that are, and have been, higher than your statistical neighbour median for the past three years	x

*mark with 'x'

Partnership

<p>Please outline any engagement and conversations you have had with your local partners and the extent of support between all of you for the chosen model</p>
<p>Working collaboratively with local partners is a critical factor to the success of this model, and the strong relationships already in place with our key stakeholders gives us confidence that it can be effectively implemented in Norfolk.</p> <p>We presented the Strengthening Families, Protecting Children opportunity to local partners via the Norfolk Children and Young People Strategic Board which brings together leaders from a range of organisations including:</p> <ul style="list-style-type: none"> - Police and Crime Commissioners Office - Norfolk Constabulary - Education - VCSE - Health - District Authorities; and - DWP. <p>This Board is Chaired by Norfolk County Council and provides collaborative leadership and governance across the key themes affecting children and young people in Norfolk.</p> <p>The Board have unanimously endorsed NCC's application and confirmed their support for the No Wrong Door model citing a number of parallels between demographics, challenges and opportunities in North Yorkshire and Norfolk.</p> <p>The board were particularly keen to explore how a wider definition of a "family" could be developed so that the whole system works together to support children in our care to stay engaged, happy and safe. This includes ensuring that children receiving support feel welcomed by and are a part of their local community. In some cases this might</p>

include redefining the relationships they have with organisations supporting these communities including the police, housing associations and education providers.

The Board are enthusiastic about this programme and ready to seize the opportunity of a new approach to supporting children and young people in Norfolk.

The Chair of the Norfolk Safeguarding Children's Board has also been consulted and expressed strong support for the model and our engagement in the programme.

250 words

Commitment

Do you have the consent of your Leader, Chief Executive, and Lead Member to take part in the EOI stage of the Strengthening Families, Protecting Children programme?

Yes

x

No

Evaluation

Are you content to participate in the evaluation of the Strengthening Families, Protecting Children programme, throughout the evaluation period?

Yes

x

No

Do you, in principle, agree to work with your partners to provide data relevant to the evaluation?

Yes

x

No

Sending your completed expression of interest

Completed forms should be emailed to strengthening.families@education.gov.uk before 23.59 on 31 May 2019. Hard copy forms will not be accepted.

The submitting email address will receive an automated acknowledgement of receipt by return. If you have not received an acknowledgement in good time, please contact us at strengthening.families@education.gov.uk to request confirmation.



Department
for Education

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Strengthening Families, Protecting Children Programme

**Statement of Readiness form and
guidance**

Valid 24 June – 2 August 2019

Statement of Readiness

We congratulate you on passing onto the next stage of the assessment process for the Strengthening Families, Protecting Children Programme.

The purpose of this statement is to give you the opportunity to outline in further detail your need for and suitability and commitment to your selected model. We want you to use this statement needs to explain:

- why you think your chosen model will work for you;
- how you expect your chosen model to benefit children and families and your staff, organisation, and ways of working; and
- how new ways of working will positively benefit your systems, finance, and delivery.

As in the expression of interest stage of the process, we are asking you to provide this information under the need, suitability and commitment criteria, with up to 1000 words for each.

In addition to completing the readiness statements, we ask that you include the most recent quarterly data for your local authority. This can be done by either completing the table in the form below, or by including the information as an Annex. Secondly, we ask that you attach your most recent Ofsted self-assessment. Thirdly, please attach written confirmation from either the Council Leader, Chief Executive or the Lead Member for Children's Services, to evidence the Council's commitment to the programme and chosen model.

If you have any questions or queries, please do not hesitate to contact the team at: Strengthening.FAMILIES@education.gov.uk.

About your organisation

Local authority	Norfolk County Council
Region	Eastern
Lead contact	James Wilson
Position	Business Design and Change Lead
Email address	James.Wilson@norfolk.gov.uk
Phone number	07450 668402
Postal address	County Hall, Martineau Lane, Norwich NR1 2DL

Your chosen model

Leeds: *Family Valued*

Hertfordshire: *Family Safeguarding*

North Yorkshire: *No Wrong Door*

Please name the model you would like to be considered for (as per your EOI):
No Wrong Door
Please provide the date of the discussion with either Leeds, Hertfordshire or North Yorkshire:
29 July 2019
Please provide the details of who you had the conversation with:
Stuart Carlton Martin Kelly Janice Nicolson

Statement of Readiness

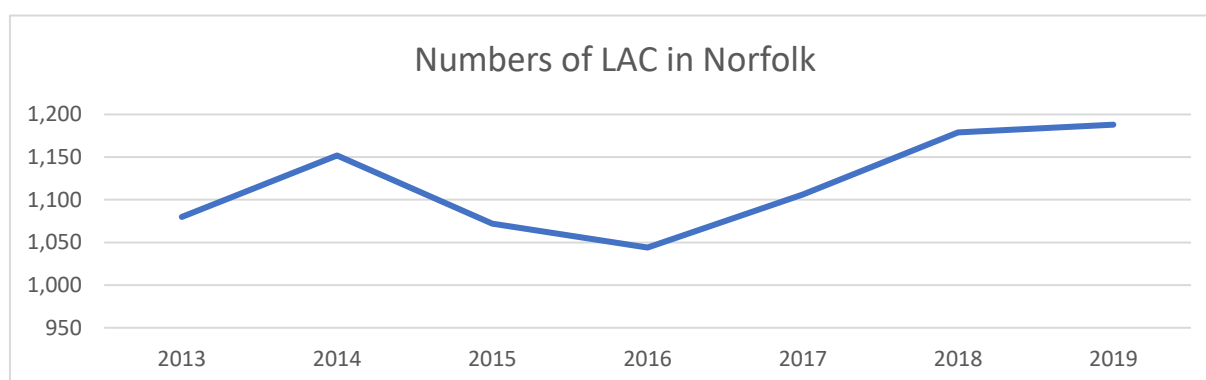
Need

Please set out your understanding of the issues driving demand and current practice and why you think your preferred model would fit with your local needs, priorities and your local vision for change. This should include:

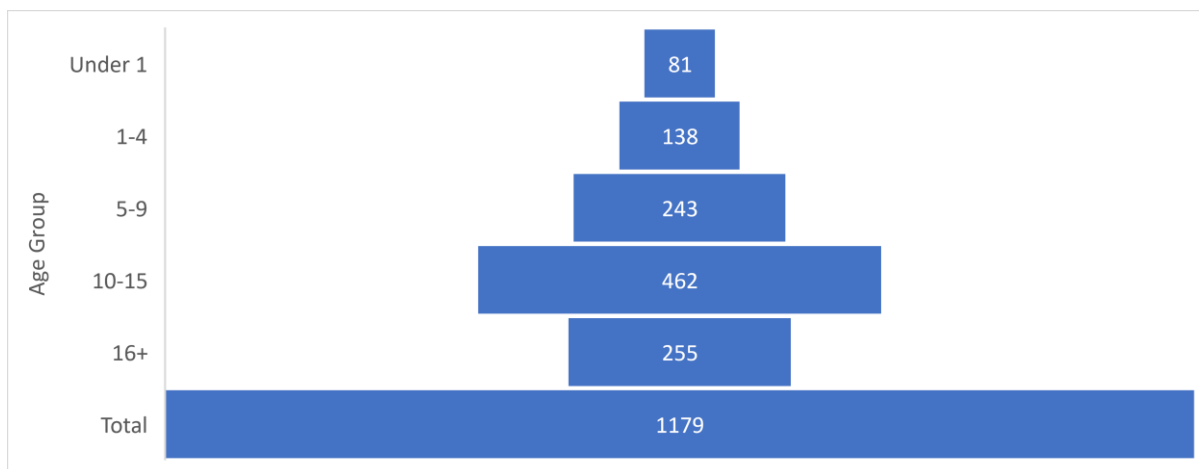
- How need/demand is distributed geographically, by age etc
- How practice operates currently, existing training and development plans/priorities etc
- Why you think you need support from the Strengthening Families, Protecting Children programme
- How your local data supports this narrative
- The impact that current practice and your high looked after children numbers has on your local system (resources, priorities etc)
- What your vision is for refocussing resources if the programme succeeds in supporting more children to remain safely at home with their families, and where appropriate, reduce the number of children entering care
- The impact that you expect the programme to have in terms of supporting more children to remain safely at home with their families, and where appropriate, reduce the number of children entering care, e.g. on looked after children numbers, out of area placements and outcomes for looked after children
- How much you anticipate saving as a result of your participation in the programme and how this will be reinvested in services

Norfolk's geography and demographic profile as a large rural county is very similar to that of North Yorkshire with a small number of urban hubs - Norwich, Great Yarmouth and King's Lynn - alongside coastal communities and market towns. The demand for services typically mirrors population density but includes significant pockets of rural deprivation and geographically isolated communities.

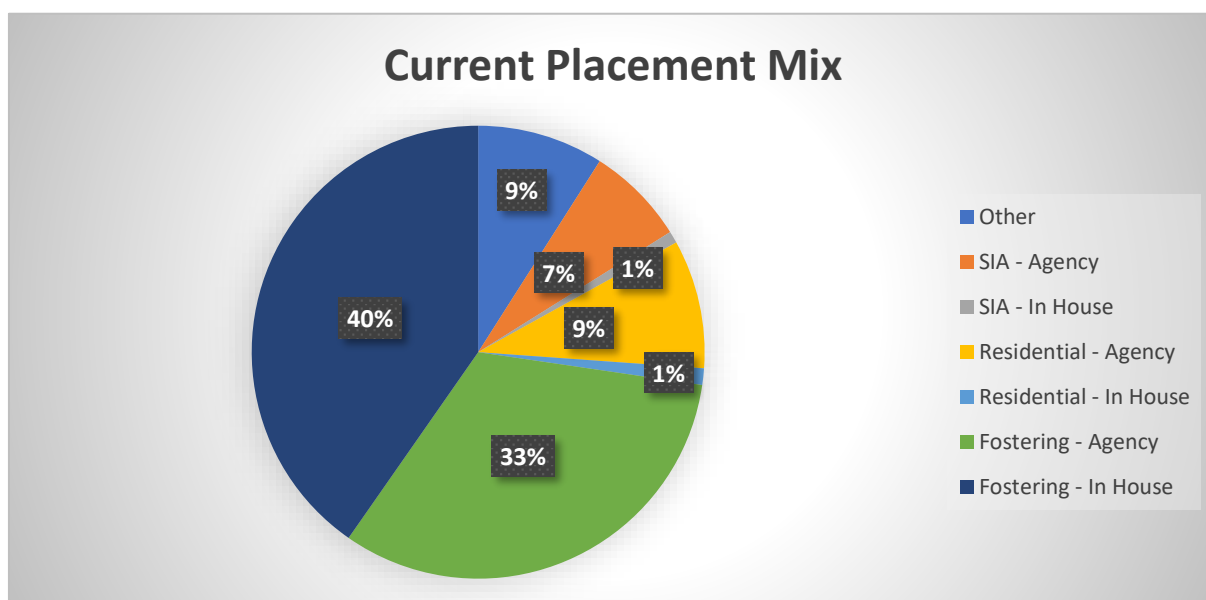
LAC numbers have historically tracked higher than national averages and statistical neighbours.



The breakdown of our LAC cohort by age reveals a very significant proportion of young people aged 10-15 and 16+ who might be part of a No Wrong Door cohort.



Increasing LAC numbers places huge strain on the sufficiency of placements with demand consistently outstripping supply. The result of this is clear in the high numbers of children accommodated in residential (11%), independent sector (48%) and out of county placements (21% of all residential placements). A recent analysis of our LAC cohort in residential care confirmed that there are some who could be supported by a foster carer were the sufficiency and wraparound support in place. There is a significant opportunity in Norfolk to disrupt and re-shape the care market, challenge the traditional placement model and provide a new approach supporting all children and young people to grow up within a stable family and community environment.



In response to the trend of increasing numbers of LAC we have placed additional emphasis on enhanced Early Help to keep families together including the launch of our “Stronger Families” Social Impact Bond which works within families’ homes providing therapy to the whole family. It aims to repair relationships, encourage better communication and enable parents to support and influence their children.

This is available to families where children are on the edge of care, but we know that many children, particularly those already accommodated in our residential homes, have a strong wish to return home and remain emotionally attached to their family unit regardless of any other goals around permanency. 8 out of 9 of our residential home and rated Good to Outstanding and we have skilled staff in our residential homes who would like to work differently, enabling families to reunite or stay together, but who don't currently have the capacity to undertake outreach work. We want to significantly shift the use of these homes to short stay alternatives with assertive outreach to families. No Wrong Door provides an opportunity to enhance the role they can play in stabilising families, supporting re-unification and preventing some of the crisis' that result in children becoming accommodated.

Alongside improving our outreach to vulnerable families, for children already in care, we are interested in how implementing No Wrong Door in Norfolk could support us to:

- radically reduce our reliance on independent sector and out of county placements;
- boost numbers of in-house foster placements; and
- reduce a reliance on long-term residential placements and instead support young people to move into stable family and community based care

We know we need to be better at supporting stepdowns from residential care into the right foster placements. From an analysis of our stepdowns in the last year we learned that:

- 66% of all stepdowns were unsuccessful
- Only 40% of successful stepdowns were the first stepdown experience
- Over their time in care the cohort analysed experienced 61 unsuccessful foster placements across 27 children (more than 2 per child). The highest number of unsuccessful stepdowns for a single child was 7.

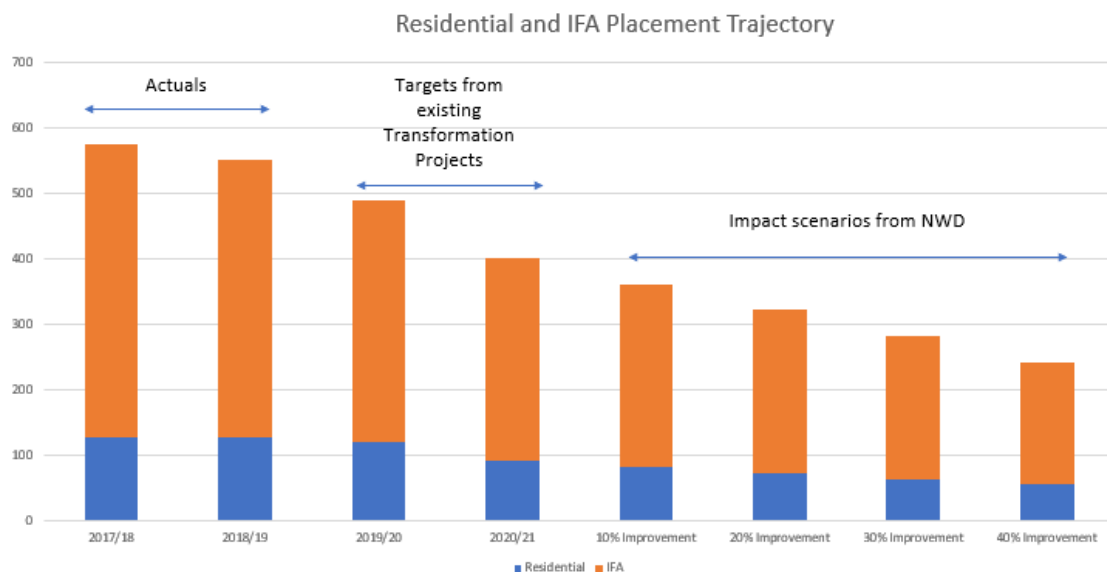
The scope for NWD to improve our practice and the outcomes we achieve for children is significant, and we feel the timing is right for this programme to have the most impact. Over the last year we have been embedding Signs of Safety into our practice model (more detail in question 2) and training frontline staff. We are also generating a focused picture of needs for each child in our care. Social Workers are trained in our Valuing Care Tool which maps needs over 13 specific measures as part of the matching process and at LAC reviews. It tracks progress over time to illustrate whether placements are meeting known needs sufficiently. Importantly, it also seeks to shift the emphasis away from risk and towards needs including a focus on strengths and aspirations of young people rather than challenges.

We are keen to learn from North Yorkshire's experience in leading a cultural change around the stickability of key workers and how they have introduced a methodology that disrupts the system and generates flexible staff capacity without destabilising the relationship with staff or providers.

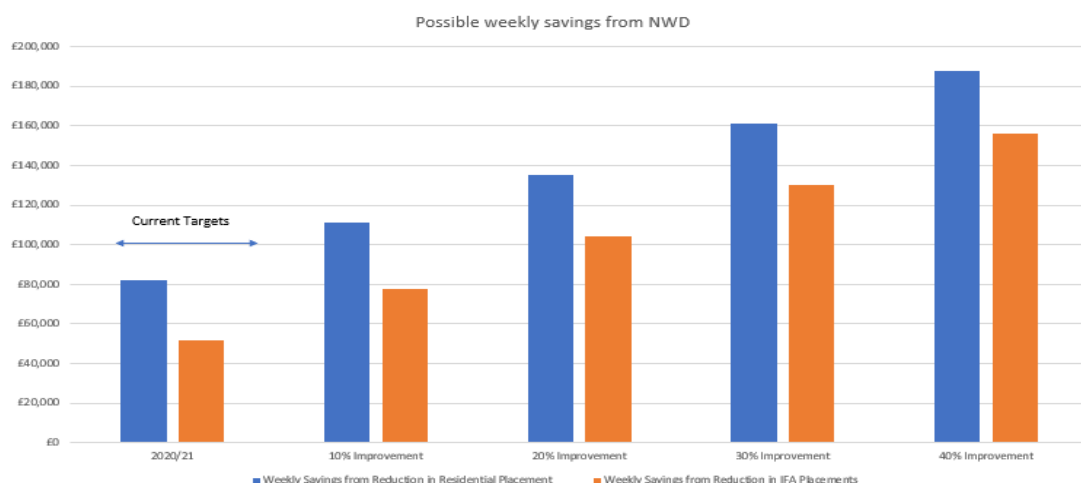
The results that have been achieved in North Yorkshire track well with our own goals including:

- Ensuring children leave care with a good future ahead of them – a consistently large proportion of children leave our care aged 18+: we need to prepare them better
- Reducing Out of County placements: we want to care for children locally
- Building capacity and resilience across our in-house carers – 32% of LAC are in IFA placements.

Alongside these goals, reducing our reliance on long term residential and IFA placements would generate significant savings. The table below sets out our residential and IFA placements from 2016 – 2019 together with the trajectory for 2020/21 we expect our existing programme of transformation to deliver. Reducing the time spent in care would also be hugely impactful.



Based on current average placement costs these changes in placements could generate the following weekly savings.



In the longer term, successful implementation of NWD will allow us to build resilience in families on the edge of care through more targeted and responsive outreach activity. Importantly, it would also allow us to focus on building better relationships with children who do end up in our care driven by a desire to prepare them for adult life and ensuring they feel the support we put around them is the right for them and consistent. This programme can help us redefine how we act as a Corporate Parent.

1000 words

Suitability

Please set out how you think that local models and systems will need to change and adapt to accommodate the new way of working required by your preferred model. This should include:

- Explaining your commitment to implementing the model locally, including changing existing ways of working
- How you are planning for implementation of the new way of working needed in your preferred model and what contingency plans you have to mitigate potential issues that might result, e.g. the model changing the way that you work with staff and partners
- The view of staff on the proposed new model
- The view of partners on the proposed model and how it will impact them and how you work with them
- Whether you have had conversations with Ofsted about your interest in the programme and any issues or concerns emerging from those discussions

Our newly launched vision and strategy called Vital Signs for Children (details in Ofsted Self Assessment) has a striking read-across to the practice values underpinning the NWD model and is already establishing the culture of change required for NWD to be a success. In particular, the focus on family-based care, on the vital importance of stability, on building positive relationships with young people, on strengths-based support and on doing whatever it takes to achieve the best outcomes are all explicitly stated at the heart of our vision; so the fit between NWD and our agenda is ideal.

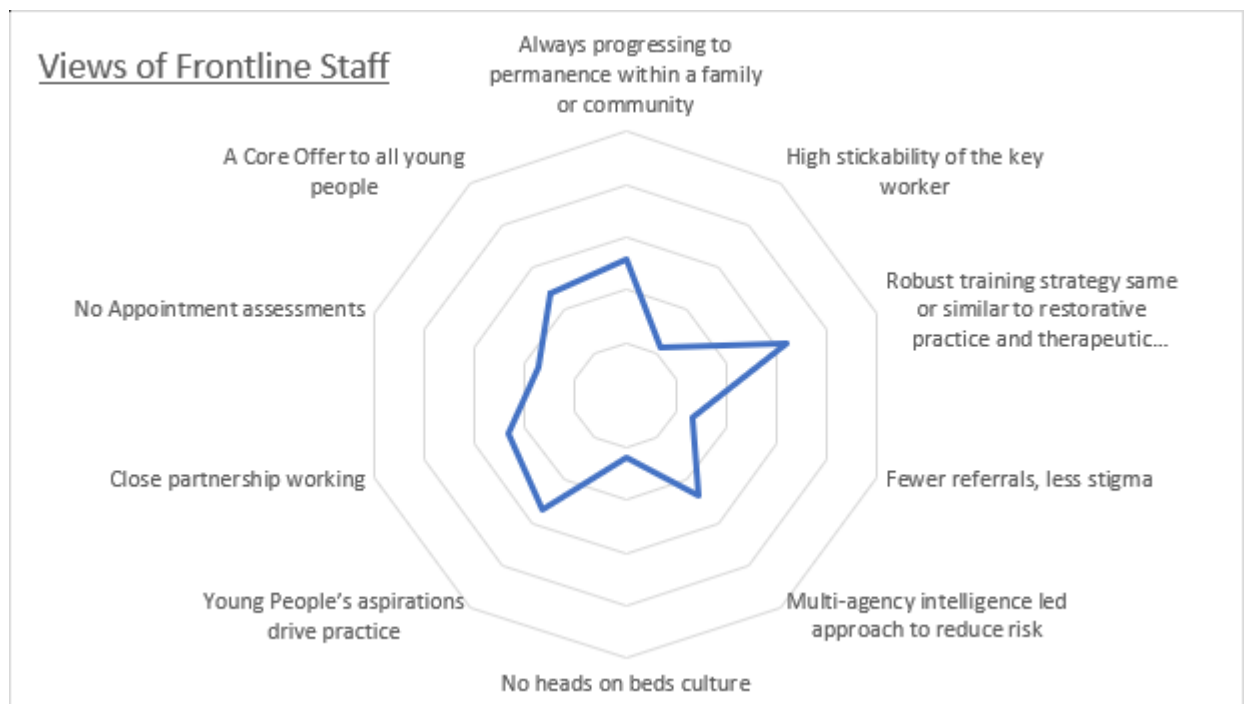
Over the last year NCC has been making rapid transformational progress and a collaborative, communications-based approach with staff has been critical in making this happen. In recent months we have designed a new model of social care and launched tools such as Valuing Care so frontline staff realise that our Vital Signs strategy has real change at the heart of it and they have embraced this in many ways.

The focus on change management within our new operating model for social work will bolster the implementation of NWD – encouraging staff to embrace the new approach and mitigating against any issues. The Signs of Safety methodology is embedded within our teams' practice model, and there will continue to be an emphasis on maturing this through an ongoing programme of training. Alongside 10 other authorities, we are members of the DfE England Innovation Project. This has provided support in implementing SoS with attention to the operation and cultural change required for it to flourish – this includes integration of SoS into our Liquid Logic reporting system. However, we recognise the need to further drive the depth of SoS practice in all areas, as well as the breadth of usage.

In addition, last year we sought support from Kevin Campbell, international Family Finding lead, to develop our approach to Family Networking and promoting lifelong family links as an extension of Family Group Conferencing. We have rolled out this approach across our early help and social work teams through a major workforce

development initiative. We see engaged and mobilised networks as critical to supporting the NWD model. However, we are relatively reliant on agency Social Workers which does impact the consistency of application. To make a success of NWD we will need to be reduce turnover and build resilience amongst our existing staff through change management. We are fully committed to a permanent and stable workforce, eradicating agency use. Alongside investing heavily in our new operational model, where supporting practitioners and their capacity to undertake high quality practice is central to what we do, we are ambitiously revising our CPD, career pathway and reward offer.

The No Wrong Door model has been welcomed by front-line staff who recognise it as an opportunity to facilitate closer working with some of our most vulnerable young people and their families where they don't currently have capacity to do so. We have consulted widely with front line staff at our residential homes about the scope for change this model offers – they feel a more inclusive approach and the opportunity to work more flexibly could reduce the prevalence of missed opportunities to keep families together and prevent the types of crises that have seen children become permanently accommodated in the past. Using the 10 distinguishing factors of the NWD model they have self-assessed and scored the effectiveness of our existing practice. This establishes from a front line perspective where the areas of No Wrong Door could have the most impact and shows a self-awareness amongst teams about the potential to do things differently and improve on existing ways of working.



Their views reveal some comparative strengths in:

- Offering a robust training strategy similar to restorative practice and therapeutic approaches – this may reflect the launch of programmes including our Stronger Families SIB (based on a therapeutic approach to whole family), Signs of Safety, Family Networking and Valuing Care

- Ensuring young people's aspirations drive practice – this demonstrates the good relationships that many of our social workers and key workers share with the LAC cohort.
- Core partnership working – this is an area which has been strengthening over time as we work increasingly closely with health colleagues and the police.

The areas where we need to make the most progress include:

- High stickability of key worker – this is the area where the highest number of staff felt we needed to improve and where the biggest impact could be achieved.
- Fewer referrals less stigma – through our partnership working this is an area we hope NWD can support an improvement; and
- No heads on bed culture – the current average number of days our LAC cohort spends in a residential placement is high - we are clear that we want all children to have the opportunity to grow up within a family setting. Reducing this number is a critical success measure for us.

We have also spoken to young people about the No Wrong Door model with the support of the IRO team. They have identified the following areas as being the most important to them and we would like to maintain an emphasis on this throughout our delivery:

- I was supported to keep in contact with my family
- I had good support when I was moving to independence
- I have had the same PA or keyworker for a long time
- I always knew what the long term plan was for me
- If my long term plan changed I was told and the reasons were explained to me.
- I find it easy to contact and have conversations with my PA when I need to speak to them.

Although articulated differently they reflect many of the views expressed by frontline workers.

1000 words

Commitment

Please explain how your commitment to participation in the programme and your preferred model is demonstrated locally. This should include:

- Whether your participation in the programme and your preferred model specifically has been agreed by the Leader, Chief Executive, and lead member for children's services
- The level of understanding the council and elected members have about the changes that will be required in implementing your chosen model, and their commitment to it

- Any plans for building your programme participation into council oversight and scrutiny functions
- The level of funding that your local authority anticipates contributing to the programme and the implementation of your preferred model
- The level of engagement, discussion and agreement with local partners about your participation in the programme and your preferred model specifically
- The level of understanding among local partners of the programme, your preferred model and the impact that it will have on children's services and other local services (including the benefits that it might have for local services more broadly)
- Whether local partners anticipate being able to contribute funding to the programme and the level of such a contribution

Our political leaders are fully committed to the NWD approach, with a view to transforming the experiences of our most vulnerable young people. There is a drive to improve how we operate as a Corporate Parent, and to ensure young people who come into care, or into contact with our services, are enabled and encouraged to get the right start in life. Rebuilding and re-investing in Norfolk's in-house provision is also a critical priority in terms of reducing reliance on out of county and independent provision.

Prior to the submission of our EoI, support was sought from the Leader to explore the NWD model. Subsequently, the proposal was presented to NCC's Corporate Board: chaired by the Leader and comprising all Heads of Service. The approach was welcomed by Adult Social Care in particular as it resonated with their strengths based social care model, early intervention and prevention approach. The session was useful in setting out how the whole Council can adopt the role of a Corporate Parent.

In July, further discussion took place at the People and Communities Select Committee, where members discuss key policy initiatives. Particular interest was expressed in supporting our most vulnerable families and young people. Members were keen to play a role in adapting the model for Norfolk ensuring an emphasis on long term goals alongside immediate support. For them, planning for the long term is critical.

There are key outputs that we aim to achieve through NWD as set out in question 1 but there are also critical outcomes for development including deepening the relationship we have with children as a Corporate Parent and using partnership working to widen the interpretation of this concept. Throughout the implementation and delivery of NWD there will be regular scrutiny not only of the measurable indicators but also the key outcomes for children, NCC and partners.

We are already making rapid progress against our transformation objectives and anticipate incorporating some of these projects into the delivery of NWD. We have identified 2 locations from our existing residential estate which could operate as hubs:

Location	Capital Value	Existing revenue budget
Norwich Road	£542,000	£561,160
The Lodge	£1,051,000	£576,520

We understand that the residential hubs do not sit in isolation and are at the heart of the map of care provision and the operating model of social work and early help services. In addition, there is scope to match a proportion of the funding ringfenced to deliver activity including:

- A new social work and early help model with a focus on reducing hand-off points/episodic support, and facilitating sustained relationship-based work with children, young people and families. This is a significant project, supported by investment, which could be enhanced through alignment with NWD.
- An Enhanced Fostering model with specialist carers and wrap-around support to provide family-based care for children with more complex needs – this could be incorporated within the overall NWD model as the follow-on to support from the hubs. The value of this programme is £600k
- A £5m investment in new in-house semi-independent provision which could also align with the NWD framework providing placement for some young people as they move towards independence.

While there is potential for NWD to boost the pace and quality of the services we provide to vulnerable children and young people this will only be maintained in the long term through close partnership working. As per the graph in question 2 our frontline staff already consider partnership and multi-agency working to be a comparative strength in our ways of working and we would like to enhance this through NWD. We sought input and support from Norfolk's Children and Young People's Strategic Board in selecting the right Strengthening Families model for Norfolk as well as input into how this model might operate locally. The purpose of the Board is to provide collaborative leadership and governance across the key themes affecting children and young people in Norfolk and it brings together leaders from a range of organisations including.

- Norfolk Constabulary
- Education
- VCSE
- Health

- District Authorities; and
- DWP.

The Board confirmed their support for NWD, citing parallels between the demographics, challenges and opportunities in North Yorkshire and Norfolk. There is scope to work collaboratively and creatively with all the partners above in delivering better outcomes for young people engaging with our services but at the initial stages we intend to work most closely with the police, health and education. As the model matures and starts to engage directly with young people we would like to capitalise on opportunities to tackle social inclusion, employment and housing with our other partners.

The newly appointed Associate Director for Children, Young People and Maternity (a jointly funded post between the LA and Norfolk CCGs) participated in our pre-submission discussions with North Yorkshire and colleagues from health are keen to be involved from an early stage recognising the opportunity to deliver joint outcomes. There is firm commitment locally to a fully integrated partnership around the mental health services available to adolescents – this includes co-located teams, shared outcomes and a stronger multi-agency vision. This partnership approach extends to Speech and Language Therapy and how current provision could be expanded to support not just the 0-5 cohort but the older cohort where persistent and patient support around SLT has not always been available. This type of support can radically improve family relationships and prevent children coming into care because of family breakdown.

We are also working closely with Norfolk Constabulary with whom we have a shared strategy around Reducing the Criminalisation of LAC. They have made a commitment of 8-9 officers to support the vulnerable adolescent's agenda and development of a joint Vulnerable Adolescent Strategy – many of whom will be our target cohort for NWD. We are entering into a co-design phase with police colleagues and others around a more joined up, co-located and coordinated response for young people into adulthood whatever their vulnerability and whether at the edge of care, criminal justice, school exclusion or homelessness.

1000 words

Current data

What are your current levels of looked after children, and looked after children rates	
Looked after children numbers	1182
Looked after children rates	69.5
Please provide your latest social work data	
Number FTE Children's Social Workers	258
Children's Social Workers agency rates	£275 per day Agency fees: £27.60 per day on the day rate
Children's Social Workers turnover rates	18%
Children's Social Workers average caseloads	15 (Lowest 1: Highest 36)

Declarations

Please indicate below whether you have completed the Need, Suitability and Commitment Statements (mark with 'x')

Yes	x	No	
-----	---	----	--

Please indicate below whether you have included your most recent quarterly data (mark with 'x')

Yes	X (data tables completed)	No	
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Please indicate below whether you have included your most recent Self-Assessment (mark with 'x')

Yes	x	No	
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Please indicate below whether you have included letters of support from either the Council Leader, Chief Executive or Lead Member for Children's Services (mark with 'x')

Yes	x	No	
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Strengthening Families,
Protecting Children Programme
North Yorkshire County Council

SFPC Briefing Document

The Impact of NWD in North Yorkshire - the First Four Years

Requested by:	Janice Nicholson
Version	1.1
Date	November 2019
Produced by:	David Gillson

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Introduction

The purpose of this report is to provide an overview on the impact that the No Wrong Door (NWD) service has had in North Yorkshire over the first four full years since it was implemented in April 2015. In order to do this, this provides evidence of impact:

- **Financially:** by highlighting that NWD has allowed North Yorkshire County Council to keep the vast majority of our young people out of external residential placements and reduced significantly the number of IFAs used. It also illustrates that we are keeping young people out of care, on in care for less time, especially in residential placements;
- **Reduced criminalisation of our young people :** by less involvement with the police via arrests and charges;
- **Greater safety:** by reduced missing episodes, keeping our young people close and with processes to manage risk;
- **Impact of health partners:** to improve mental health and wellbeing and identify previous unknown speech and language communication issues;
- **Improve outcomes for our young people:** by highlighting specific case studies of young people who have worked with NWD.

The Impact of No Wrong Door

This section uses data from the last four financial years of NWD (2015/16, 2016/17, 2017/18 and 2018/19) to look at the impact of NWD in North Yorkshire over those years. From here on in, they will be referred to as Year One (2015/16), Year Two (2016/17), Year Three (2017/18) and Year Four (2018/19)

1.1 NWD Model – evidencing the impact

The data below provides evidence of the impact of NWD across a range of key areas. This includes a positive impact across the service and outcomes for young people, and cost avoidance benefits for partners.

1.2 Demand for NWD remains high, and we are constantly aiming to work with our young people quicker and that our interventions are working

The graphic below shows that demand has decreased in Year Four, with 214 referrals compared to 319 in Year Three.

Referral times continue to improve, with 77% of referrals actioned within 24 hours in Year One, increasing to 84% in Year Two. Our Year Four target was to work with 85% of young people within 24 hours of referral – and we achieved in excess of 99%.

Referrals into NWD			
Year One	Year Two	Year Three	Year Four
243	317	319	214

Referrals within 24 hours			
Year One	Year Two	Year Three	Year Four
77%	84%	90%	99%

1.3 Occupancy Levels in the NWD hubs

Occupancy levels at the residential hubs decreased notably over the first two years of NWD, down to about 45% for both years. Occupancy has increased in the last 2 years, up to 51% in Year Three and 64% in Year Four. However, this is still better than the 97% occupancy rate in 2014/15 (prior to NWD).

Hub Occupied Beds				
Year Zero	Year One	Year Two	Year Three	Year Four
97%	45.6%	44.9%	50.5%	64.3%

Hub Empty Beds				
Year Zero	Year One	Year Two	Year Three	Year Four
3.0%	24.8%	28.5%	18.6%	9.7%

1.4 Time spent in residential placements.

There have been periods of significant stress on the availability of residential placements so far in 2018/19. In Year Four, there have been 33 weeks when Stepney Road didn't have a free bed, and 13 when Dovedale were also full to capacity.

The number of young people who have required a residential placement can be variable – for example:

- In Year One, 25 young people were supported in a residential placement at one of the hubs
- In Year Two, this increased to 34
- In Year Three, the two hubs supported 44 different young people in a residential bed
- This has decreased to 35 in Year Four.

The time young people spent in the residential placement for closed residential placements has decreased – for example:

- For those that started in Year One, the average time was 131 days
- For new residential placements in Year Two, the time in placement decreased to 119 days
- In Year Three, the average time spent in residential care for new cases is 82 days
- In Year Four, this has fallen again to 72 days.

This shows that despite times of increased pressure on the system, NWD is continually improving in reducing the time each new young person is requiring a residential placement – which is a considerable achievement that evidences the ongoing drive around the embedding of the NWD culture and practice and the fidelity to the NWD '10 Distinguishers'.

Young people in Residential Placements			
Year One	Year Two	Year Three	Year Four
25	34	44	35






Time spent in Residential Placements				
Year Zero	Year One	Year Two	Year Three	Year Four
131	119	147	82	72

1.5 Out of county placements

During the first four years of NWD, there have only been 2 occasions where we have used an external placement for a care need only and we have not used one for two years. Other than that we have continued to keep our young people within the NYCC area, to keep them close to their families, friends and communities.

1.6 IFAs

There are no young people in NWD who are currently in Independent Fostering Arrangements (IFA's), which is a significant cost avoided and improved outcome. This has helped us to reduce the total use of IFA's for all ages. In 2013/14, there were 52 IFA's in use by NYCC, since the introduction of NWD this has reduced year on year to 3 young people in Year Four. The remaining 3 are all in long term settled placements.

Use of Independent Fostering Agreements					
2013/14	2014/15	Year One	Year Two	Year Three	Year Four
52	 27	 19	 13	 8	 3

1.7 OFSTED rating

Part of the core offer of NWD is that both the hubs should be at minimum rated as "Good" by OFSTED. The tables below show that both hubs have achieved this over the past 4 years, with Stepney Road rated as "Outstanding" for the last 2 full inspections. Of note, when Dovedale was inspected in Year Four it was again rated as "Good" with further achievement of moving towards "Outstanding", with outstanding leadership and management at the hub.

OFSTED – NWD East Hub				OFSTED – NWD West Hub			
Year One	Year Two	Year Three	Year Four	Year One	Year Two	Year Three	Year Four
Good	Outstanding	Outstanding	Outstanding	Good	Good	Good*	Good*

*with outstanding leadership and management

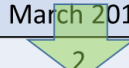
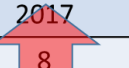



The reports for the hubs are available at:

(NWD East Hub) Stepney Road: <https://reports.ofsted.gov.uk/provider/2/SC034235>

(NWD West Hub) Dovedale: <https://reports.ofsted.gov.uk/provider/2/SC034189>


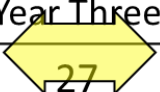

1.8 Serious incidents

The number of serious incidents that have been notified to OFSTED as a Schedule 5 report have been on an increase since 2016/17. This peaked at 22 in the last 6 months of Year Three (Oct 17-Mar 18). However, this has decreased notably in Year Four, with 5 incidents in total and none in the last 6 months (Oct 18-Mar 19).

Schedule 5 incidents in Residential Placements					
Apr-Sep 2016	Oct 2016- March 2017	Apr-Sep 2017	Oct 2017 – March 2018	Apr-Sep 2018	Oct 2018 – March 2019
15	 2	 8	 22	 5	 0

1.9 "Sticking with" our young people

Another key principle of NWD is that unlike traditional residential care, we do not stop working with our young people once they turn 18. If they still need help and support from NWD, we are committed to sticking with them until they are 25. In Year Four, we have worked with 42 young people who are aged 18 and over. We expect this to continue to increase, as more of our early cohort turn 18.

Working with 18 plus			
Year One	Year Two	Year Three	Year Four
19	 27	 27	 42

1.10 Effectiveness of NWD

As part of NWD's performance tracking, to what extent our service meets its objectives. For closed interventions for Year Four, a total of 83% of those worked with were deemed to have either partially or fully achieved their objectives, with 63% fully achieving.

For all other closed interventions there was limited achievement (5%) and no effect (14%) this is possibly due to lack of engagement from the young person or family.

Effectiveness of NWD			
Year One	Year Two	Year Three	Year Four
Not recorded	86%	82%	82%

1.11 Working with young people on the Edge of Care

In Year Four, NWD worked with 136 young people who were on the Edge of Care. Of these young people, only 33 (24%) are currently LAC. Of the 33 LAC young people, 8 were LAC before NWD started and only 13 (10%) came into care in Year Four.

Young People		
Worked with	Currently LAC	
136	33	24%

LAC young people	
Became LAC in Year four	
13	10%

1.12 Keeping young people out of care in emergencies

NWD is often called in to support where there are cases of emergencies where a young person may be close to coming into care, or, are already in care and there is a high risk their placement will break down. These are often outside normal working hours. For example: in Year Four, there were 59 referrals for emergency work to NWD, which involved 46 different young people:

- of the 46, 21 (46%) have not become LAC since the emergency referral
- of the remaining 25 who have been LAC, 12 (48% of those LAC) were already LAC before the emergency referral, and
- 12 became LAC after referral but of these, only 5 are currently LAC
- at present, 11 (44%) remain LAC - of note, this also includes 3 young people who were UASC and so automatically become LAC.

Of these 46 young people in total, only 6 (8.7%) were placed in residential care in Year Four, evidencing that NWD is keeping young people from unnecessarily coming into residential care and supported to remain in their family or community.

Emergency Referral			
Number	Young people	LAC	Not LAC
59	46	25	21

Of the 25 who were LAC			
Already LAC Before referral*	LAC after referral	Still LAC**	Residential Care (Year Four)
12	14	11	6

* These figures do not add up to 25 as one young person was LAC one referral, and then LAC after a different referral

** For those who are no longer LAC, some are care leavers.

Partner Updates

2.1 Health impact:

2.1.1 Life Coach

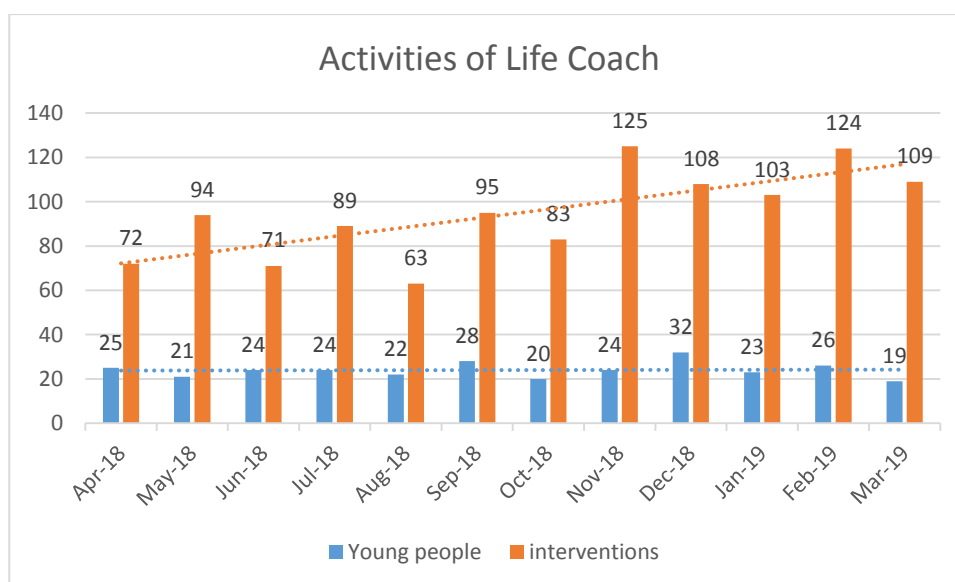
Young People		
East	West	TOTAL*
30	39	66

Interventions		
East	West	TOTAL
500	636	1136

*This adds up than less to the sum of East and West as some young people had been seen by the life coach from both hubs

In NYCC we have 1 FTE Life Coach (Clinical Psychologists) in each of our hubs.

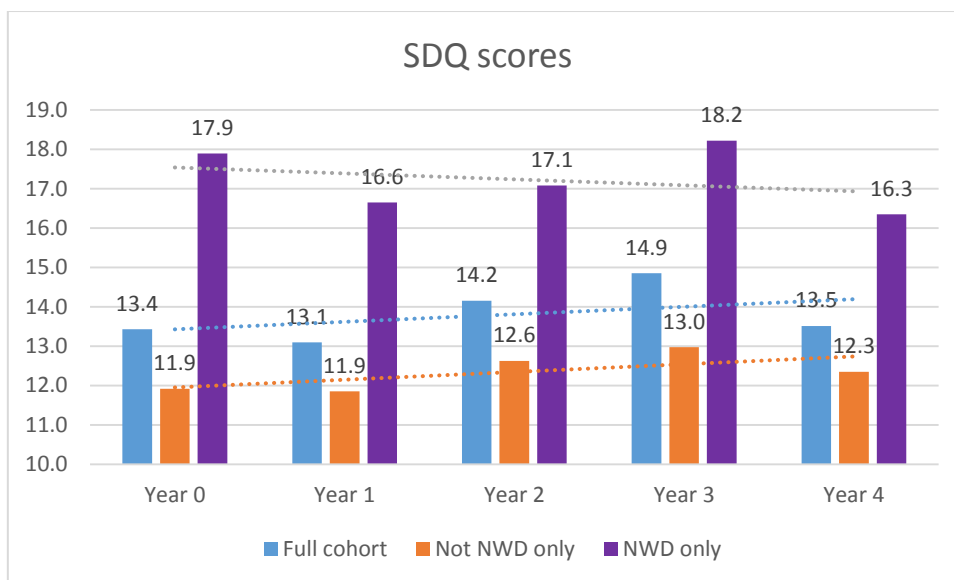
The graph below shows that the number of young people worked with each month has stayed relatively static, whereas the number of interventions has increased, from 72 in April 2018 up to a highpoint of 125 in November 2018 and remains on an upward trend.



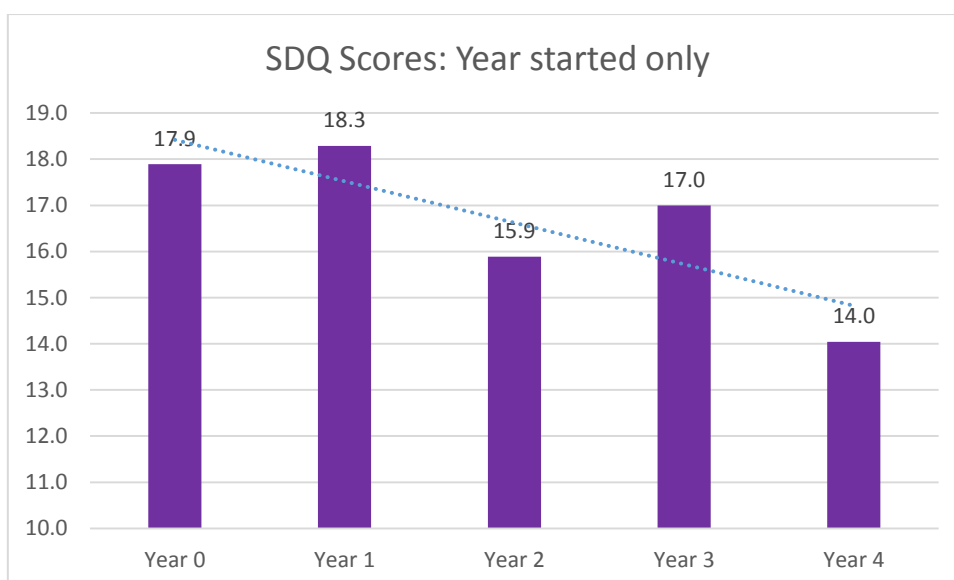
SDQ scores

Looking at SDQ scores for Year Four, the graph below shows the average SDQ scores for NWD young people depending upon which year they were taken in, compared to all young people aged 12-17 year olds with an SDQ score, and also the 12-17 year olds who have not been open to NWD.

The graph shows that the full cohort average is on an increasing trend. It started at an average of 13.4 in Year Zero (prior to NWD) this increased to a peak of 14.9 in Year Three. Looking at SDQ scores for those 12-17 year olds who have not been supported by NWD, then they are also on an upward trend. Whereas, young people supported by NWD have SDQ scores which are on a downward trend, for example – starting at 17.9 in Year Zero, the average has decreased to 16.3 in Year Four – despite a slight increase to 18.2 in Year Three.



Looking at SDQ scores for those young people who were referred to NWD in a specific year then the average scores are on an even more noticeable downward trend, as indicated in the graph below.



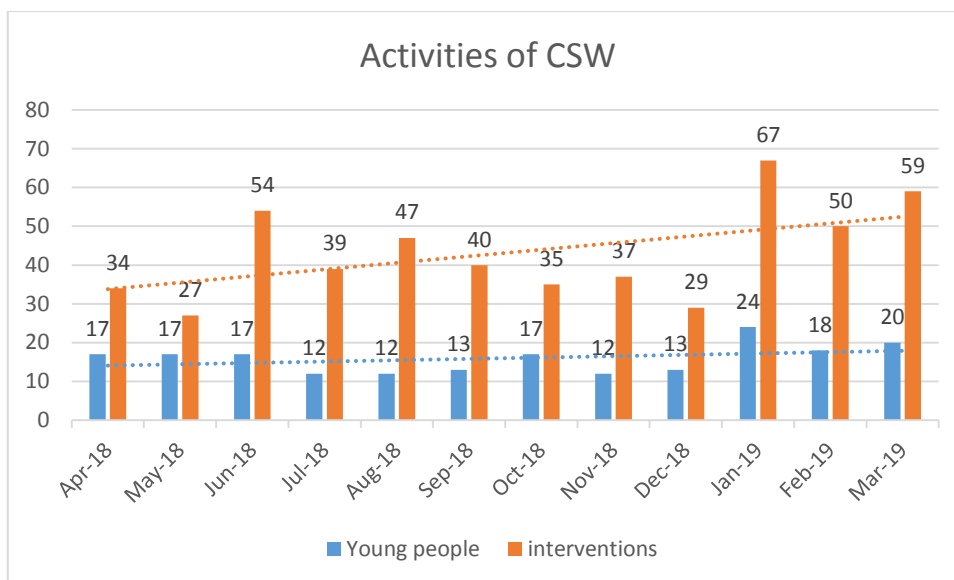
2.1.2 Communication Support Worker (CSW)

Young People		
East	West	TOTAL*
29	42	67

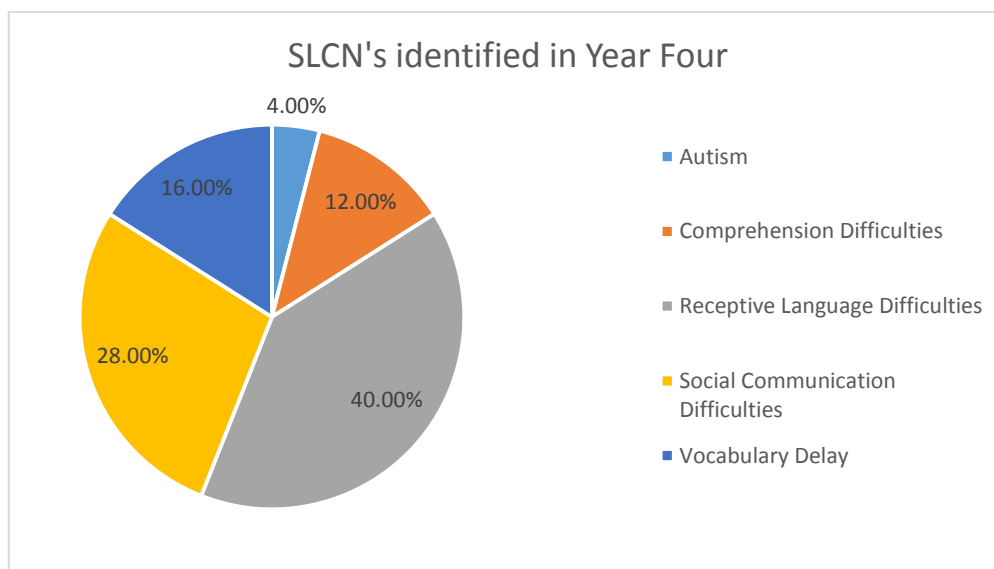
Interventions		
East	West	TOTAL
298	214	512

*This adds up than less to the sum of East and West as some young people had been seen by the CSW from both hubs

The number of interventions by the CSW roles (Speech and Language Therapists) have increased over the past year which means that more of our young people will be screened for speech, language and communication needs, with 0.5 FTE at each hub. We know that there is a correlation between some of the key embedded roles such as the CSW and for example reductions in missing episodes.



Of the 67 young people worked with by the CSW in Year Four, 31 (46%) were found to have a Speech and Language Communication Need (SLCN). The chart below shows a snapshot of the main SLCNs identified were Receptive Language Difficulties (40%), Social Communication Difficulties (28%) and Vocabulary Delay (16%). These figures will fluctuate, depending on the cohort of young people being supported.



2.2. Police impact:

2.2.1 Missing from Home

The graphic below shows the missing incidents from the NWD hubs for the last 4 calendar years broken down into six monthly periods. In the first 6 months of NWD there were 142 incidents, but this decreased to only 12 for October 2015-March 2016. Since then incidents have increased, peaking at 199 in April-September 2017, but this has now reduced to 70 in the last 6 months.

Missing from Home incidents – Residential young people							
Apr-Sep 15	Oct – Mar	Apr-Sep	Oct – Mar	Apr-Sep	Oct – Mar	Apr-Sep	Oct-Mar
142	16 12	16 61	17 94	17 199	18 153	18 106	19 70

For the whole NWD cohort the levels stayed at similar levels, over the first two six month periods, and there was not the notable decrease in incidents for October 2015-March 2016 as there was in the residential hubs. This would indicate that the incidents being reported to the police were more often from outreach cases. There was then a decrease in April-September 2016, but levels rose to a peak in April-September 2017 (327 – more than double the incidents in the first 6 months of NWD). However, since then levels have decreased down to 109 in the last 6 months of Year Four. Again, these figures will fluctuate depending on the young people being supported.

Missing from Home incidents									
Apr-Sep 14	Oct-Mar 15	Apr-Sep 15	Oct – Mar 16	Apr-Sep 16	Oct – Mar 17	Apr-Sep 17	Oct – Mar 18	Apr-Sep 18	Oct-Mar 19
336	370	152	154	125	182	327	210	184	109

2.2.2 Criminality

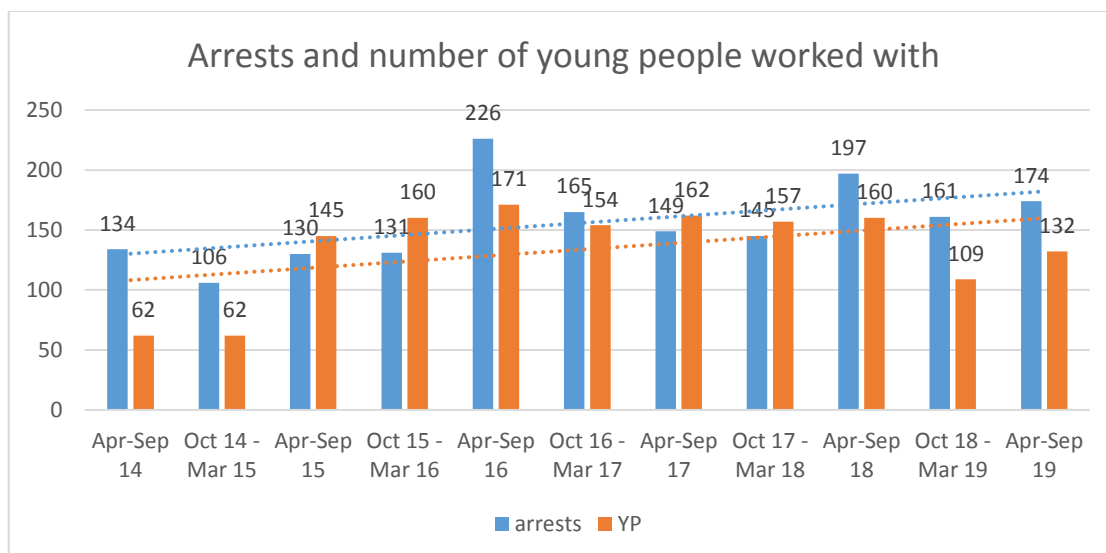
As with missing from home, when young people are referred to NWD, due to the complex nature of their life experiences they may already have had high levels of criminality and this can take time to reduce. In addition, as there are more young people being supported by NWD then the figures could be expected to rise exponentially.

Arrests

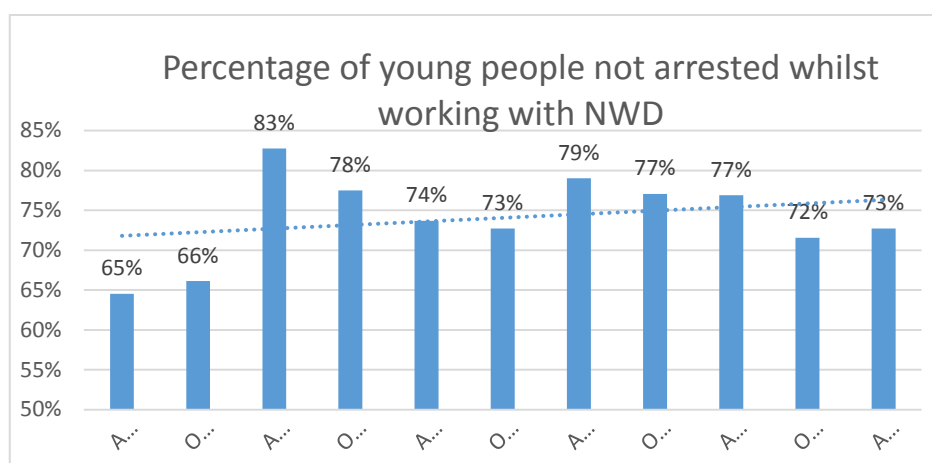
Arrests across the full NWD cohort were on an upward trend after the first 6 months, peaking at 226 in April-September 2016, but then decreased to a low point of 149 in April-September 2017.

NWD young people arrested									
Apr-Sep 14	Oct-Mar 15	Apr-Sep 15	Oct – Mar 16	Apr-Sep 16	Oct – Mar 17	Apr-Sep 17	Oct – Mar 18	Apr-Sep 18	Oct-Mar 19
134	106	130	131	226	165	149	197	161	174

Since then levels have varied, and increased in the last 6 months of Year Four to 174. However, when you look at the number of young people worked with it shows a different picture. The graph below suggests arrests are on an upward trend, however, this directly correlates to the services ability to work with an increasing number of young people.



Of the number of young people we work with in each 6 month period, the graph below shows that the majority are not arrested whilst working with NWD, and that this continues to improve. For the initial cohort of 62, in the 6 months prior to NWD, 21 (or 35%) were arrested, and 65% were not. In April to September 2015, the first 6 months of NWD, the proportion of young people we worked with who were arrested fell to 17%, or 25 out of 145 young people – the remaining 83% did not get arrested whilst referred to NWD.



Charged

As with arrests, charges peaked in April-September 2016 (133) but then incidents fell for the next 3 periods, down to an all-time low of 68 charges in October 2017-March 2018. The levels have increased slightly to 88 for the last 6 months of Year Four – however, this is still below pre-NWD levels.

NWD young people charged with offences									
Apr-Sep 14	Oct-Mar 15	Apr-Sep 15	Oct-Mar 16	Apr-Sep 16	Oct-Mar 17	Apr-Sep 17	Oct-Mar 18	Apr-Sep 18	Oct-Mar 19
108	111	106	94	133	85	73	68	92	88

Criminalisation of young people has also decreased. In order to be criminalised they need to be charged with an offence. When NWD started, in the first 6 months, the proportion of arrests leading to charges was at 82%. This has decreased every period since until the first 6 months of Year four when it remained static at 47%. There has been a slight increase in the last 6 month of Year Four, up to 55% - but this is still notably lower than prior to NWD.

% of NWD young people charged with offences									
Apr-Sep 14	Oct-Mar 15	Apr-Sep 15	Oct-Mar 16	Apr-Sep 16	Oct-Mar 17	Apr-Sep 17	Oct-Mar 18	Apr-Sep 18	Oct-Mar 19
82%	105%	82%	72%	59%	52%	49%	47%	47%	55%

2.2.3 Gravity of offences

By using the Youth Justice Service (YJS) scale of gravity for offences, it has been possible to look back to the beginning of 2016 and compare the average severity of crimes committed over the last two years. The YJS scale goes from levels 1 to 8, with 8 being the most serious of offences (for example, murder, attempted murder and rape). Examples of level 1 crimes are drunk and disorderly, littering and breach of the peace.

Over time, the average gravity of offences has remained relatively static, between 3.1 to 3.3. In the last 6 months of Year Four, it was 3.2

2.2.4 Location of Offences

Also key to reducing the criminalisation of our young people in care, is reducing the number of offences that occur within the residential hubs. This information only started to be collated in July 2017. There was a peak of incidents at the hubs in July to September 2017 (25) and this has steadily decreased over time, except with a peak in April to June 2018 (17). In the last 2 quarter of Year Four, this has been at the lowest level (6 incidents).

Offences in NWD Hubs						
Jul-Sept 2017	Oct-Dec 2017	Jan-Mar 2018	Apr-Jun 2018	Jul-Sep 2018	Oct-Dec 2018	Jan-Mar 2019
25	17	9	17	7	6	6

2.3 RAISE (risk analysis, interventions solutions evaluation)

RAISE is an intelligence led approach to risk management for adolescents with complex needs. Based on Signs of Safety, it rings together multi-agency key players with an overarching goal. It uses deep dive case analysis and real time intelligence from police and other agencies. The approach helps practitioners to work with 'safe uncertainty' and to identify, consider and manage potential and current risks impacting young people who are receiving a service from NWD. The meetings look at the connecting systems impacting on behaviours within a systemic approach with the aim being to develop a shared strengths based, solution focussed plan. Each agency identifies and provides actions to reduce risk and more safely maintain young people within their placement, family or community, and each agency has the responsibility of implementing identified actions and for disseminating information in their organisation.

The number of RAISE meetings being held at the hubs continues to increase year on year, with only 9 recorded in Year One, increasing to 34 in Year Two, 60 in Year Three and 90 in Year Four. Our RAISE approach is key to holding on to our young people, and the impact of this approach is evidenced by no external placements being required for adolescents in North Yorkshire over the last two years.

RAISE MEETINGS			
Year One	Year Two	Year Three	Year Four
9	34	60	90

3.0 Case Studies

Case Study – Young Person CE

No Wrong Door (NWD) Intervention, Placement (LAC) and Support

Pre-Care Issues

The Local Authority were worried that CE was hit in the face by dad in 2017, causing some swelling and considerable distress. Children's Families Services (CFS) were concerned that this, as a punishment for stealing, was unduly excessive. CE became distressed stating a fear of dad and a request not that to return home. CFS believed that this form of reprimand was common and may happen again to CE.

CE had repeatedly moved from the care of one parent to another and was also placed in several foster care families over an eighteen month period. This left CE feeling unsettled and angry. Both parents and stepmother regularly spoke to CE in a negative way and appeared to care for CE in a different way to other siblings. CE was abandoned at a train station whilst in father's care and subsequently refused to have CE return to his care. Mother also stated she was not prepared to look after CE. Both parents claimed that CE was unlike the rest of their children, was a threat in the family home, and needed to learn discipline before returning to either parent's care. Whilst CE was in foster placements, father would demand a return to his care, and then revert to refusing to look after CE – as CE's behaviour did not improve. CE stole from the family, foster carer's and the local community, and went missing several times. CE also set fires in one foster placement, and became increasingly aggressive.

CE was made subject to S20 in 2018. NWD initially provided outreach for foster carers, and then an activity placement and a further bespoke placement to avoid CE living in a residential home. This was due to agreed vulnerability and risk assessment. When missing episodes and aggressive behaviour escalated CE moved into NWD residential care.

Young Person's Profile and Risks

CE appears happy living in NWD residential care, with the agreement to work towards a return home to father's care and/or a foster placement. CE has built strong, positive relationships with all staff members & enjoys 1:1 time. CE has been on day trips to museums, activities such as snooker and an overnight to watch a football match.

CE has been out of education for a period of time, and due to the geography of residential placement, an alternative provision is being sought. CE's behaviour towards adults can be confrontational and aggressive, in particular after phone contact with family members. NWD staff are aware of disagreements between CE and father over the phone and support CE to cope with the feelings related to this. CE has been aggressive towards staff members when challenged about behaviours. CE can be easily influenced by older young people and has been drawn into criminal activity to steal on request for the older young people. CE is at medium risk of CSE.

Accommodation Pathway & Interventions

When CE was placed with NWD there was careful matching with two key workers who are experienced in mediation and building strong and trusting relationships. NWD staff are providing support to rebuild the relationship between CE, parents and step mum. Staff work therapeutically to address CE's confrontational behaviour, and CE has worked with the NWD Life Coach to look at aggressive outbursts. CE has worked with the Portfolio Lead for Education to explore the present difficulties within school and there is currently a package in place, which includes home tutoring and educational visits. The NWD Communication Support Worker has also screened CE in order to meet CE's speech & language communication needs. CE's behaviour and demeanour have significantly improved since coming into our care. Contact with father has been consistent and strong relationships have been built between CE and key staff members.

Outcomes

Safety
<ul style="list-style-type: none"> The plan is for CE to return to father's care or foster care, in a planned way, and with ongoing support provided by NWD. NWD has provided a non-judgemental, safe and stable placement for CE, where CE has been able to express wishes and feelings openly. Therapeutic work has been undertaken to address CE's challenging behaviour. CE has built trusting relationships with key adults. NWD staff support CE to manage contact with family members in a safe environment.
Emotional and physical wellbeing
<ul style="list-style-type: none"> CE has enjoyed age appropriate activities. CE is involved in decision making in the home and about future placements. CE receives praise for achievements, such as participating in education, and is able to celebrate success. CE has an achievable education package in place to provide routine in line with wishes to continue with classroom based work alongside physical activities.
Emotional & Physical Wellbeing
<ul style="list-style-type: none"> CE has been able to 'relax' in residential care, removing the need for constant hyper vigilance. Free from negative messages and violent responses from parents. CE understands reasons for being in care and that returning home or to foster care is the next Step. This will be planned over time in line with CE's wishes and feelings. CE has felt comfortable to talk to NWD staff about feelings and past experiences. This enables staff to provide support and understanding; listening and discussing solutions to CE's anxieties. Feelings of safety and secure attachments are developing through the stickability of staff members. CE is working with the NWD Life Coach around aggressive behaviour and using alternative methods to manage emotions.
Reduced Criminal Activity
<ul style="list-style-type: none"> CE has, through restorative practice, worked through issues relating to aggression towards family members and carers. There has been a huge reduction in criminal activity since CE settled into our care.
Engagement
<ul style="list-style-type: none"> CE has grown in confidence, talking to key staff members about personal experiences. Staff have built strong, trusting relationships with B, showing empathy, compassion, and active listening. CE has enjoyed a wide variety of activities and holidays.
Reduced Costs to Society
<ul style="list-style-type: none"> Key worker has worked with CE around high aspirations and future plans for education. CE has reduced his missing episodes is no longer going missing for long periods of time.

No Wrong Door (NWD) Intervention, Placement (LAC) and Support

Pre-Care Issues

CB came to the attention of CSC whilst at infant and then junior school when CB lived at home with mother. Referrals were received concerning two incidents of inappropriate sexualised behaviour with other children. An Initial assessment was carried out and CB was closed to services pre-teen.

In 2106, CSC received a referral from CB's father. CB, currently staying with father had disclosed that CB and siblings had been hit by their mother. CB's father advised that the children's mother does physically and emotionally abuse them and that there is verbal abuse in the maternal home. A CAF meeting concluded that CB was not at risk as was remaining in the care of father.

In 2017, CB returned to live at the maternal home and no longer had contact with father. Mother struggled with CB's challenging behaviours including, fire starting, stealing and challenging behaviour at school. Behavioural issues escalated and relationships deteriorated further resulting in the police removing CB to grandfather's care overnight following a disagreement with mother. Mother blamed CB's recent stay at father's home for the decline in behaviours. Mother now felt threatened by CB and was worried how this would impact on siblings.

A referral was made by Prevention Services in 2018 and a CAF Assessment concluded CIN support was necessary. CB was staying out all night, often going missing (once for over 48 hours), using drugs, not attending school, stealing food and being confrontational towards family members. Mother started to lock CB out of the home at night and was not consistent in reporting CB missing. A referral was made to Restorative Practice Lead and NWD for family support and specific support for CB.

CB was placed by EDT in a foster placement as an emergency following further incidents with mother and returned home after a short period. CB was again placed in emergency foster care, and from there changed placements several times over a four month period. CB was excluded from school at this point.

CB did move back into the maternal home. Despite significant support, restorative work, mediation and NWD support, the placement broke down again. Mother took legal advice and was clear that she would not have CB at her home due to the risks she believed CB posed to her other children. CB became Looked After and was accommodated in NWD residential care.

Young Person's Profile and Risks

CB has experienced sustained rejection from mother who once stated to CB that she wished CB had never been born and she should have had an abortion. This has had a detrimental impact on CB's self-esteem and identity. It is unclear whether CB experienced sexual abuse as a young child.

CB did witness violent domestic abuse between mother and father, and then mother and step-father. CB experienced physical and verbal abuse from mother. CB also witnessed alcohol use and cannabis use by parents/parental figures. CB experienced the loss of his paternal grandmother, and this bereavement had a significant impact on his emotional wellbeing.

CB can use derogatory language towards women. CB can be verbally aggressive and abusive towards adults, and bullish towards younger peers. CB has a history of missing episodes and has taken part in drug use and criminal behaviours. CB has been arrested several times for assault, theft, anti-social behaviour and burglary.

Accommodation Pathway & Interventions

NWD has been involved with CB since early 2018 in an outreach role. CB was placed with No Wrong Door with a view to working with family to rebuild relationships; restorative practice lead continues to be involved to help repair fractured family relationships. Positive relationships are maintained and the “stickability” approach adopted to show CB that they are worth investing in. CB has been given tools to help deal with anger and encouraged to talk about feelings so they did not become overwhelmed. CB enjoys horse riding, fishing, go-karting and has expressed a wish to visit London. This will be looked at in the New Year.

Outcomes

Safety
<ul style="list-style-type: none">• Since being placed in this current NWD Hub, CB has not been reported missing.• NWD provided a non-judgemental, safe and stable placement for CB.• Work was undertaken to address risk-taking behaviours, including smoking cannabis.• CB is starting built trusting relationships with key professionals, including our Life Coach and manager.
Stability
<ul style="list-style-type: none">• CB takes part in age appropriate activities and is involved in decision making in the home.• CB has remained in this current placement, partly at CB’s request, and is supported in pursuing hobbies and interests.• CB is supported with independence skills – in particular, personal hygiene and laundry.• CB can still access the educational provision set up in foster care.
Emotional & Physical Wellbeing
<ul style="list-style-type: none">• CB is encouraged to continue in hobbies and have outside interests.• CB is able to approach and discuss anxiety and other feelings of low mood with a staff team and key worker who actively listens and supports with solution focussed approaches and a non-judgemental attitude.• CB is working with our Life Coach to look at feelings of anger towards mother and mother’s boyfriend.• CB has spoken openly to key staff members about family history, past criminal behaviour and wishes for the future.
Reduced Criminal Activity
<ul style="list-style-type: none">• Criminal activity has decreased dramatically since moving into our residential home – there has been one incident since placement where CB took part in anti-social behaviour, within the home, with another resident.
Engagement
<ul style="list-style-type: none">• Starting to forge strong, positive relationships with the staff team.• CB is beginning to have contact with father again and so far this is going very well.• CB is starting to engage in education provision and has talked about future plans and aspirations.
Reduced Costs to Society
<ul style="list-style-type: none">• Minimal criminal activity.• No missing episodes since this placement began.

No Wrong Door (NWD) Intervention, Placement (LAC) and Support

Pre-Care Issues

Children's Social Care (CSC) first became involved with F's family in 1999. The family had moved to NYCC from another area. Whilst in the care of mother, F and siblings were considered to be at risk due to significant neglect and F was subject to a child protection plan. In 2002 F became looked after. F was placed on a full care order in 2003. F was allocated a temporary foster placement and following this, it was deemed that mother had made sufficient progress around safe parenting for F to return home. However, F was removed from mother's care again due to significant neglect.

F was placed in several longer term foster placements from 2002, with the last long-term placement lasting for approximately five years. In 2012, this placement broke down as a result of a referral being made from F's school. F had refused to return back to the foster carers and school staff reported that the foster carer's response appeared disproportionate. There was an investigation by the local authority and police, and F was placed in a respite foster placement. The investigation resulted in no formal action being taken.

Following respite foster care F soon began to present with challenging behaviour. At this point F began a phased reintroduction back the previous long-term foster carers. At the same time CSC completed new assessments with F's birth family, resulting in the decision that at this point F's needs could not be met by any wider family members.

There were on-going placement difficulties with the foster carers: F received several school exclusions, was taking part in risky behaviours including using cannabis and anti-social behaviour. In 2014, following numerous placement breakdowns between the long-term foster carer and respite foster carers, F was moved to a residential home. F's risk-taking behaviours escalated, resulting at times with police involvement. F began to abscond from the placement, leading to concerns about vulnerability in the community. F began using NPSs and alcohol. There were several assaults on staff and police officers during this period. Due to the levels of concern there were a number of strategy meetings held. Respite foster care was again found to support the residential placement - this included the previous long-term foster carers with whom F still held a positive relationship. There was a formulated strategy between the residential home and carers to offer emotional support with a goal being to reduce the risk of missing episodes.

Following this, F was moved back to the long-term foster carers in 2014. F's reintroduction quickly resulted in a number of missing episodes. It was also reported that F's behaviour started to impact significantly on other young people in the same care arrangement. As a result, the decision was made for F to be placed in a private children's home.

Initially, this placement went well with F responding to the boundaries which were put in place. However, following this positive period, F's behaviour once again began to escalate. By the end of 2014, presenting behaviours included self-harm and suicidal thoughts. There followed a more settled period and a decision was made to continue in this placement until F completed secondary education.

There was a period of more dangerous behaviours being shown soon after, including using ligatures to self-harm and walking into busy traffic. F also went missing for up to four days at a time. A short term solution was to place F with 2:1 staffing. In 2015, F was placed on a 'bespoke' arrangement with NWD as an alternative to a secure order on welfare grounds.

This bespoke placement offered an opportunity for F to spend some quality, supervised time with an older sibling as the most appropriate option, to settle previous patterns of risk-taking behaviour. This placement was supported on a 2:1 basis with one staff member working alongside F and the other supporting the older sibling and wider family group.

NWD staff were able to build relationships whilst being able to assess the nature of interactions and potential risks in the family home. This staffing support was then transferred from the bespoke placement into the family home, where daily observations took place. During this period F had reported an incident of sexual assault from an adult in the community. This was investigated whilst F was supported by family members. Following this, elder sister wished for F to live with her. This arrangement began with significant reductions in risk-taking behaviours from F. The arrangement received 20 hours of support a week using two NWD key workers. For a period of two months there were no reported missing episodes and support continued to the family - to build stronger relationships and develop family resilience.

Young Person's Profile and Risks

F was placed in care at two years old and was returned to the care of family members on a number of occasions. Whilst there were concerns about significant risks of neglect whilst in mother's care, F has held onto a belief that it would be possible to return there. F has experienced settled periods living in care and has been able to form some positive attachments. In particular with long-term foster carers and NWD key workers. F has also spent some time living with siblings.

F's risk-taking behaviour escalated significantly during adolescence. Throughout F's placements it has been observed that F can initially settle well. However, when it seems likely that a placement can become more long-term/permanent F responds by increasing levels of risky behaviour. F's behaviours escalate, rejecting the idea that security and wellbeing could be achieved outside the care of mother.

During adolescence young people can often struggle to self-regulate and understand their own vulnerabilities. This applies to F, with reference to concerns around sexual exploitation and individual group dynamics. F's poor emotional well-being has been consistently presented for several years. The high level of risk-taking has become more prevalent over the last two years with negative connections/peer relationships in several residential placements. These have resulted in concerns about the potential harm to self and others.

Accommodation Pathway & Interventions

During adolescence F has found it difficult to manage feelings of positive self-worth. As this became more difficult to manage there were a number of placement breakdowns. These were fostering and residential placements both in local authority and private placements. Within the private sector there were three separate residential placements, each one offering increased supervision.

In 2015, F was offered a bespoke placement with NWD. The NWD family placement offered an opportunity for F to be reintroduced to living with her older sibling. This was to mitigate against high levels of community risk/vulnerability and as an alternative to secure accommodation.

Prior to the NWD placement, there was consultation with CAMHS. The formulation was that by offering the supportive environment with sister F's wishes and feelings were being acknowledged. This was considered necessary so that F could therapeutically work through the process of trying to live with family.

Overall there has been a significant reduction in self-harming behaviour with some development of resilience and positive peer relationships. Work in the family placement consisted of 20 hours of support a week from the NWD

services. This offered a joined up approach to working with the family - supporting the family through mediation and offering practical and support and coping strategies. This was all underpinned by 24-hour emergency support from the NWD children's home. This meant that the family always had a point of contact to talk through any emerging issues and to access support wherever needed.

F has now reached adulthood and has moved into accommodation near to family, with continued support from NWD and Leaving Care. F has made a very good start to independent living and continues to hold positive attachments to key professionals. F recently received 'Care Leaver of the Month' for outstanding progress.

Outcomes

Safety
<ul style="list-style-type: none"> • Significant reduction in missing episodes whilst in NWD care. • Significant reduction in self-harm incidents whilst living in NWD care. • Whilst living independently, there have been no issues of concern; either self-harm or criminality.
Stability
<ul style="list-style-type: none"> • F enabled to have a therapeutic family placement. • Developing improved relationships with family members which have lasted over time. • Building of family links and improved familial resilience. • F started to engage in mainstream education. • F has continued with either work experience or education. • F now has a positive and safe relationship with immediate and wider family members.
Emotional & Physical Wellbeing
<ul style="list-style-type: none"> • Effective collaboration with CAMHS including clinical formulations to inform effective care planning. • Continued work around developing improved emotional well-being and developing better coping skills. • Reduction in periods of low mood and thoughts of self-harm. • Developing some positive peer relationships. • Building of skills to improve future life chances.
Reduced Criminal Activity
<ul style="list-style-type: none"> • No recorded incidents of criminal activity.
Engagement
<ul style="list-style-type: none"> • Fully engaged with care support by NWD key workers. • Family starting to develop improved relationship with CSC. • F is engaging fully with adult services. • F has worked through YJS orders to completion. • F is working with Job Centre Plus and takes advice and guidance. • F has a positive and close relationship with Leaving care workers.
Reduced Costs to Society
<ul style="list-style-type: none"> • Significant reductions in recorded missing's with reduced costs to partner services i.e. police. • High cost secure placement not required. • High cost out of county placement not required. • Developing education opportunities which will impact on life chances. • Developing social capital by attending education and making improved decisions.

Cabinet

Item No: 14

Decision making report title:	Norfolk Carers Social Impact Bond: Young Carers and Families Expansion
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr John Fisher (Cabinet Member for Children's Services)
Responsible Director:	Sara Tough, Executive Director Childrens Services
Is this a key decision?	No
If this is a key decision, date added to the Forward Plan of Key Decisions.	

Introduction from Cabinet Member

We have a great deal to be proud of in Norfolk in our work to support young carers and their families. As a council, we have clear duties to support young carers, young adult carers and their families. NCC has invested in specialist services to young carers and their families for over two decades and this has been recognised nationally.

Norfolk County Council's Carers' Charter is at the forefront of action to strengthen support for carers and the Council's overall ambition to raise the profile of carers and to ensure better support for them in all walks of life.

We now have the opportunity to expand the current social impact bond led by Adult Services to include young carers and their families, increasing the support to young carers even further by securing additional funding from the Life Chances Fund (LCF).

Executive Summary

Children's Services has the opportunity to join the current social impact bond led by Adult Services to include young carers and their families from April 2021, enabling the support for families to increase, and improve outcomes for children and young people who are young carers. This will support our responsibility to reduce inappropriate or excessive caring by children, reduce escalation to statutory services and improve educational outcomes for young carers.

It will support the development of an integrated service, strengthening a whole family approach through improving the continuity of support and transition for young carers, whilst bringing additional funding through the expansion of the social impact bond, which will be invested into the service to enhance support and improve outcomes for children and young people. We have submitted an application to the Department of Culture, Media and Sport / Life Chances Fund (LCF), which, if successful, would attract additional funding of £841,000 from LCF over the life of the project to further invest in services for young carers in Norfolk.

Recommendations

To expand the Carers SIB to include support for young carers and their families.

1. Background and Purpose

- 1.1. Norfolk County Council has a duty under the Children and Families Act 2014, The Care Act 2014, and the Young Carers Needs Assessment Regulations 2015 which strengthened local authority duties to adopt a whole family approach to the identification, assessment and provision of support to young carers, young adult carers and their families. This legislation revised the definition of a young carer to 'someone under the age of 18 who provides regular and ongoing unpaid care to a family member or friend who is physically or mentally ill, disabled or misuses substances. The child or young person has caring responsibilities that are important and relied upon within the family in maintaining the health and safety, or the day to day wellbeing, of the person receiving care or of the wider family.'
- 1.2. In response to these statutory duties, Children's Services have previously commissioned Carers Matters Norfolk to deliver a young carers and families service. This contract commenced in April 2019 and runs until 31 March 2022, at an annual contract value of £300,000.
- 1.3. In the summer of 2019, Adult Services submitted a successful bid to the Life Chances Fund (LCF) for up to £4.1m of funding to deliver outcomes-based contracts through a social impact bond (SIB) with multiple projects focused on promoting independence. Following scoping work with the social investor, Bridges Outcomes Partnerships (Bridges), it was agreed to refine the scope of the project to focus on carers, creating an opportunity to transform services and improve outcomes for adult carers and those they care for, through adopting an innovative demand management approach that aims to secure significant financial benefits across the health and social care landscape. Working with Bridges and the providers of support for adult carers who shared this ambition, including Carers Matter Norfolk, the service was successfully launched in September 2020.
- 1.4. Children's Services now has the opportunity to join the current social impact bond led by Adult Services to include young carers and their families from April 2021, enabling the support for families to increase, and improve outcomes for children and young people who are young carers.

- 1.5 We have submitted an application to the Department of Culture, Media and Sport (DCMS) / Life Chances Fund (LCF), which if successful, would attract additional funding of up to £841,000 paid by LCF as top up payments to agreed outcomes being achieved, in the same way as the adult's SIB operates. These top up funds are managed by Bridges as the social investment partner and used to invest in services for young carers over the life of the project.
- 1.6 Work is underway, as part of the DCMS / LCF SIB application process, with Bridges as the social investor, NCC and service providers to shape the detail on the future service model and outcomes that would form the basis of our contract with Bridges.
- 1.7 Our application to DCMS / LCF is currently being assessed with their decision due in December 2020. If successful, the new service arrangements would mobilise in April 2021.

2. Proposal

- 2.1. The proposal is to expand the adult SIB to include young carers and their families, supporting the development of a more integrated service, and strengthening a whole family approach to supporting carers that includes closer working with other adults within young carers' support networks such as family, friends, neighbours etc. It will also improve the continuity of support and transition for young carers as they move into adult life.
- 2.2 Our aim is to secure services that reduce inappropriate or excessive caring by children, reduce escalation to statutory services and improve educational outcomes for young carers.
- 2.3 Children's Services will need to maintain our current annual commitment of £300,000 for supporting young carers and their families, though this funding will be paid for outcomes through joining the current adults SIB. Our annual financial liability will be capped at £300,000.
- 2.4 Whilst discussions are underway with DCMS / LCF and Bridges to determine the details on outcomes and how they will be evidenced, we have agreed they will be based on the identification of young carers needing support, their health and wellbeing, and their education.
- 2.5 The current opportunity to join the adult's SIB through our application to DCMS / LCF, if successful, will mean that DCMS / LCF will provide an additional 44.5% top up payment linked to these outcomes, representing a maximum value of £841,000 additional funding over the life of the SIB. As part of DCMS / LCF support, we will also be able to benefit from access to advice and support from a range of national experts.

2.6 Joining the adult SIB will require a contract variation with Bridges to include the Children's Services element for the remaining 4-and-a-half-year period.

2.7 The current young carers and families contract with Carers Matters Norfolk is in place until 31 March 2022. There will be a need to serve notice on this contract if this proposal is agreed. We have worked closely with Carers Matters Norfolk, alongside Bridges, and Carers Matter Norfolk are in agreement with the proposal as they will continue to deliver the service for young carers and their families under the new SIB arrangement.

2.8 Bridges will manage the adult carers service and the young carers and families service as one service. Bringing the young carer and adult carer elements together will support a more seamless service and enable more efficient and effective operational delivery, ensuring that the delivery partners are better coordinated across the two programmes and that the time front-line staff spend supporting service users is maximised. It will also simplify the performance and monitoring process, with one case management system and one set of performance reviews.

3. Impact of the Proposal

3.1. Enhancing support for young carers and their families reflects the Council's ambition to improve the wellbeing of its young carers and young adult carers, recognising that they are children and young people first.

3.2 By joining the adult carer SIB, we expect to increase the number of young carers accessing support, improve the wellbeing of young carers and reduce the burden of inappropriate care from more young people. The opportunity to develop an integrated service for carers will provide a simpler and more accessible experience for carers, many of whom often struggle to navigate the complex system of support, by providing a single point of contact for all carer support matters.

3.3 In summary, the expansion of the adult carer SIB to include young carers and their families would support:

- An increase in the number of young carers known to us and benefiting from support.
- Improved opportunities for co-production and representation of young carers in services.
- Work with the whole family and family networks to ensure that carers and cared for are supported.
- Coordination of the young and adult carer programmes to maximise resources.
- Integration of the advice line and community support teams and an extension of operating hours.
- Improved quality and standards with a better understanding of performance and how to improve delivery.
- Improved continuity of support and transition for young carers and support a whole family approach to the identification, assessment

and provision of support to young carers, young adult carers and their families.

- A reduction in inappropriate or excessive care which should help to decrease escalation to statutory services and improve educational outcomes.

3.4 The additional, external funding will transform and enhance service delivery, improving outcomes and life opportunities for children. It will create more capacity to identify and support 'hidden' young carers, supporting them at an earlier stage and set ambitious targets to identify up to 400 new young carers every year.

4. Evidence and Reasons for Decision

4.1. In the Carers Charter, the Council has signalled its overall ambition to raise the profile of young carers and to ensure better support for them in all walks of life, and the SIB offers us opportunity to move closer towards this ambition. It will support the development of an integrated service, strengthening a whole family approach fulfilling the duty under the Children and Families Act 2014 and the Care Act 2014.

4.2 The Children's Society estimates there are more than 700,000 young carers currently in the UK. The University of Nottingham and BBC news research suggested there were more than 12,000 young carers living in Norfolk in 2010 (8% of all Norfolk's children).

4.3 We know that many young carers' lives are impacted by the disability or illness of family members or friends – research by the Children's Society highlighted that:

- 27% of young carers miss school or experience educational difficulties – this increases to 40% where children care for a relative with drug or alcohol problems.
- Young carers are 1.5 times more likely than their peers to have a special educational need or disability.
- According to the 2011 Census young carers are twice as likely to report 'not good health' – this increases to five times as likely when caring for over 50 hours per week.
- Young carers have said that caring made them feel stressed. A school survey also found that 38% of young carers had mental health problems.
- Young carers have significantly lower educational attainment at GCSE level and are less likely to go on to higher or further education.
- Young carers are more likely than their peers to be not in education, employment and training between the ages of 16–19.

5. Alternative Options

- 5.1. Rather than expand the current SIB to include young carers and their families, the Council could maintain the current contract for the young carers and families service until March 2022 and seek to commission and directly contract a new service after this date.
- 5.2 This will maintain the separation of how carer services are managed and, in addition, young carers will not benefit from the additional LCF funding that would be attracted through joining the SIB.

6. Financial Implications

- 6.1. There would be no additional costs to the Council over the life of the project beyond maintaining the current annual commitment of £300,000 per annum for 4 and a half years from April 2021.
- 6.2 The proposal provides a low risk option for the Council, with payments capped at the current budget level and with LCF providing top up to the contact through additional outcomes payments worth up to 44.5%. This will require a total contribution of £1,350,000 from Children's Services over that period (equivalent to the current £300,000 pa commitment) with the benefit of an additional £841,000 from LCF.
- 6.3 Bridges as the social investor will pay the provider on the basis of service delivery agreed and as a result Carers Matters Norfolk (and partners) income will not be affected by the outcome payments. Norfolk County Council, as commissioner, will only pay Bridges on the basis of outcomes. This means the financial risk is held by Bridges as they will pay for service delivery but only receive outcome payments where these are achieved. This approach protects the voluntary, community and social enterprise (VCSE) sector from the uncertainty of outcome payments.
- 6.4 The LCF funding received through outcome payments will be utilised by Bridges for innovation, the development of technology to support ongoing project infrastructure after the end of the SIB and project management.
- 6.5 As the contract will be based on payment by results there will be a time lag for the payments made. Commitments will need to be recorded in the accounts for the relevant year or an equalisation reserve will be needed, depending upon which is the most appropriate accounting treatment, to ensure that the funds are available when outcome payments are due. The cash flow model is as follows:

Cash Flow	Y1	Y2	Y3	Y4	Y5	Y6
	31/08/2021	31/08/2022	31/08/2023	31/08/2024	31/08/2025	31/08/2026
Current Budget	0.300	0.300	0.300	0.300	0.150	
Payment to Bridges	0.063	0.283	0.339	0.339	0.225	0.075
Accrual / Reserve Movement	0.237	0.017	-0.039	-0.039	-0.075	-0.075

The outcome payments to Bridges from both NCC and LCF as modelled are shown below:

Outcome Payments to Bridges	Y1	Y2	Y3	Y4	Y5	Y6
	31/08/2021	31/08/2022	31/08/2023	31/08/2024	31/08/2025	31/08/2026
Cumulative NCC	0.063	0.347	0.686	1.025	1.250	1.325
Cumulative LCF	0.165	0.437	0.708	0.842		

7. Resource Implications

7.1. Staff:

None beyond the existing commitments for managing the current Young Carers and Families Service contract.

7.2. Property: none

7.3. IT: none

8. Other Implications

8.1. Legal Implications

None

8.2. Human Rights implications

None

8.3. Equality Impact Assessment (EqIA) (this must be included)

This proposal is to enhance and maintain service for young carers as a vulnerable group and we would therefore not envisage any adverse impacts

8.4. Health and Safety implications (where appropriate)

N/A

8.5. Sustainability implications (where appropriate)

N/A

8.6. Any other implications

N/A

9. Risk Implications/Assessment

- 9.1. As above, the financial risk rests with Bridges as the social investor. Operational risks will be managed by Bridges through their contract with the providers and through ensuring that intervention and activity secures the outcomes required.

Quarterly and annual reviews of the arrangement will allow all parties to operate with confidence about progress, risk and outcomes.

10. Select Committee comments

10.1. N/A

11. Recommendations

11.1. To expand the Carers SIB to include support for young carers and their families

12. Background Papers

12.1. [Update and Next Steps on Norfolk County Council Carers' Charter – People and Communities Committee 15 November 2019](#) (page 17)

12.2. [A Social Impact Bond for Carers – Cabinet 2 December 2019](#) (page 272)

Officer Contact

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Cabinet

Item No. 15

Decision making report title:	A Social Impact Bond for the Prevention of Homelessness
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr Bill Borrett - Cabinet Member for Adult Social Care, Public Health and Prevention
Responsible Director:	James Bullion - Executive Director of Adult Social Care
Is this a key decision?	Yes

Introduction from Cabinet Member

During the Pandemic Norfolk County Council (NCC) successfully worked with Norfolk Strategic Housing Authorities (SHAs), Health and other partners to support the 'Everybody In' initiative (providing rough sleepers and those who were homeless with emergency accommodation) and has signed up to the 'No Homelessness in Norfolk' project which seeks to take a long term strategic approach to reducing homelessness in Norfolk.

Historically Norfolk County Council has provided funding to each of the SHAs to support the prevention and alleviation of homelessness and rough sleeping. The current tranche of funding is due to cease in March 2021 but is factored into ongoing budgets.

The funding provides crucial support for vulnerable people and forms part of an overall, multiagency, funding approach supporting those who are homeless and/or rough sleeping. Continuation of this funding is consistent with NCC's strategic priorities and has not been identified as an area where savings are to be made.

NCC have been successful in working with the Department of Culture, Media and Sport (DCMS) and the Life Chances Fund (LCF) to secure funding through a Social Impact Bond (SIB) to support the objectives of reducing homelessness in Norfolk. The additional funding from DCMS is £635k over the four-year term of the project and facilitates a structured, evidence based, approach to the support of people who are homeless or at risk of homelessness.

Discussions and plans have been agreed in partnership with six of the seven Norfolk SHAs and represent a positive collaboration with both the SHAs and third sector providers.

This is a bold approach – but it will protect spending on this vulnerable group for the next three years, and offers real prospects of attracting additional investment, through the social investment route.

Executive Summary

Following endorsement by the DCMS, NCC, in partnership with Bridges Outcome Partnerships, has been successful in gaining up to £635k of funding to deliver outcome-based contracts through a SIB focused on reducing homelessness and promoting independence.

Work has been focused on developing the Business Case with details of the principles, outcomes and payments agreed. This work has progressed positively, negotiating with the social investors

on the detailed content that will form the contract between NCC and Bridges Outcome Partnerships. The Social Impact Bond has been approved by DCMS and, if agreed by Cabinet, services would be mobilised in April 2021.

Approval of the proposal by NCC Cabinet will result in a 35% top-up payment, based on the value of the contract, that could amount to £635k, over the four-year duration of the project. Reducing homelessness by provision of better and more focused support will have financial and qualitative benefits across the system in addition to leveraging external expertise and improving the understanding the needs of those who are homeless or at risk of homelessness through better data collection.

This is an opportunity for system transformation that has the potential to improve outcomes for those who are homeless and at risk of homelessness that will have significant financial benefits across the health and social care landscape.

Recommendations

Cabinet are recommended:

a) To delegate the approval of the final contract for ‘A Social Impact Bond for the Prevention of Homelessness’ to the Executive Director of Adult Social Care and Executive Director of Finance and Commercial Services

1. Background and Purpose

- 1.1. The purpose of this report is to provide detail of the Social Impact Bond which has been approved by DCMS and, if agreed by Cabinet, would result in mobilisation of services in April 2021.
- 1.2. In response to the outbreak of the Global Pandemic of the Coronavirus, known as Covid-19, Dame Louise Casey wrote to all Local Authorities across England requesting that anyone who was street homeless or currently living in dormitory style emergency housing was to be accommodated within 24 hours, to minimise the risk of them contracting Covid-19. This has subsequently been known as ‘Everybody In’. A Norfolk partnership of all district authorities, health, Public Health, Registered Housing Providers, the Police and the County Council supported over 600 homeless people into safe accommodation.
- 1.3. The task now is to build on the approach in safely accommodating rough sleepers and those in temporary accommodation to make a lasting change. There is a system wide ambition and resolution not to return to pre Covid-19 levels of homelessness and rough sleeping and a determination to work on an inclusive housing recovery plan coupled with a long-term strategic aim of ‘No homelessness in Norfolk’. Evidence tells us that the health of people experiencing homelessness is significantly worse than the general population, and the cost of homelessness experienced by single people to the NHS and social care is considerable. The last conservative estimate (2010) of the healthcare cost associated with this population was £86m per year with a total system cost of over £1bn.
- 1.4. NCC has signalled its overall ambition to support reducing rough sleeping and homelessness in Norfolk to ensure better support for them in all walks of life. A SIB provides the opportunity to build on and increase the historical funding provided to SHAs to achieve this ambition.
- 1.5. A partnership between NCC and Bridges Outcome Partnerships, under the auspices of a SIB, will facilitate the provision of a targeted, outcome-based service in six of the seven SHAs which will directly support the prevention of homelessness and the human and system costs that result from it. It will leverage expertise in delivery, contract management

and additional funding at a time when homelessness and the risk of homelessness is increasing.

- 1.6. The SIB, for those who are homeless or at risk of homelessness, will create and manage a local dedicated social enterprise that would result in district specific services, managed by Bridges Outcome Partnerships. The service will ensure that preventative services and products for those that are homeless or at risk of homelessness are provided, reducing costs across the system, and explicitly supporting Norfolk communities to address the negative financial and human impacts of homelessness.
- 1.7. It has been agreed with one SHA that an alternative mechanism will be agreed to ensure a clear focus on the prevention of homelessness and those stepping down from institutional environments into the community.

2. Proposals

- 2.1 The Social Impact Bond will result in a contract with Bridges Outcome Partnerships that has a three year delivery period (three years of referrals and one year to allow all referrals to complete the service) and will focus on reducing homelessness and those at risk of homelessness in Norfolk. Payments to Bridges Outcome Partnerships will be based on achieved outcomes and will attract a 35% top up, for each outcome achieved. The contract will enable the initial risk of the outcome-based payments to be borne by the social investor rather than the third sector providers currently contracted with. These providers would then work under the guidance of Bridges Outcome Partnerships who would bear the risk of the outcome-based payments from NCC.
- 2.2 The proposed model will combine £393k p.a. for three years (aligned to each year of referrals) of existing NCC budgets focused on supporting those who are homeless or at risk of homelessness and would be explicitly targeted at supporting districts with their prevention duty and stopping the escalation of needs of those who are homeless/at risk of homelessness. This budget is part of an ongoing budget commitment, does not present an additional funding pressure and leverages additional funding from central government of up to £635k. Outcomes will be consistently measured and will include personal housing plans, sustainment of existing, at risk, tenancies, access to the private rented sector and successful sustainment of tenancies over time.
- 2.3 Delivering the SIB under the auspices of the DCMS/LCF will provide the opportunity to leverage advice and support from national experts in addition to attracting a 35% top up from LCF. This represents a maximum value of £635k over the four year delivery period. Importantly, it represents one of the multiple funding strands and services that will be required to reduce homelessness across Norfolk.
- 2.4 We have begun discussions with third sector and other providers supporting those who are homeless and rough sleeping and, following agreement from Cabinet on the approach, will work with them to engage those using services. It will be essential to success that third sector partners help shape and guide the configuration of future services
- 2.5 Bridges Outcome Partnerships currently operate 11 SIBs focused on homelessness and those at risk of homelessness and have demonstrated expertise and experience in supporting people to achieve sustainable accommodation options.
- 2.6 This project will effectively protect and lock in our spending on supporting those who are homeless/at risk of homelessness for the next three years, a demonstration of the high-level commitment to tackle what the Council has identified as a priority. Providing a clear commitment to the 'No Homelessness in Norfolk' project and gaining significant value for NCC is a key aim of this project. Undertaking it under the auspices of a SIB brings the

opportunity for robust evaluation and national focus on the partnership approach that states 'homelessness is everybody's' problem.

3. Impact of the Proposal

- 3.1. The ambition of NCC is to reduce the incidence of homeless and the financial and human consequences that result. Undertaking this through a Social Impact Bond in partnership with Bridges Outcome Partnerships will create an outcomes focused service, that is accountable both to the SHAs and NCC. It will ensure that value for money and success in achieving outcomes is evidenced.
- 3.2. The proposed impact of the proposals is as follows:
- a) An effective and consistent prevention offer across the six SHAs
 - b) Contract management of the service in partnership with SHAs
 - c) Creation of an evidence base of interventions and outcomes
 - d) Reduction of people becoming homeless and an increase in people sustaining their tenancies
 - e) A reduction of people's needs escalating and associated costs to health, Adult Social Care and Children's Services
 - f) Increased funding of prevention will enable a greater number of people to be provided with a dedicated service decreasing the number of people who fail to maintain their tenancies or remain homeless
 - g) An increase in the use of privately rented accommodation through explicit focus of the SIB in building relationships with private landlords
- 3.3. National predictions of numbers of people who will become homeless as a result of the pandemic demonstrate that the need for prevention services is rising. The current single homeless population of 40,000, based upon average estimates could accrue annual public expenditure of up to £1.38 billion¹.

4. Evidence and Reasons for Decision

- 4.1. The provision of NCC funding to districts to support them to discharge their statutory duties to those who are homeless, at risk of homelessness and rough sleeping has a benefit to NCC in preventing escalation of need and eventual presentation to adult social care.
- 4.2. As demonstrated in the 'No Homelessness in Norfolk' report, it is complex to allocate financial or qualitative benefits from the prevention of homelessness, to individual agencies however the broader community benefits are evidenced nationally. NCC has committed, together with all Norfolk SHA Chief Executives, to support the alleviation and prevention of homelessness. Data will be collated throughout the approach to support NCC funding and identify where and how related benefits, financial or qualitative, are gained to support NCC or multiagency funding approaches.
- 4.3. Utilising a partnership approach with Bridges Outcome Partnerships has clear financial and operational benefits and represents one strand of the multiple funding and strategic approaches that will be needed to achieve the benefits identified in 'No Homelessness in Norfolk'. Continued work with Norwich City Council will align their focus on those with complex needs with NCC's commitment to support prevention of homelessness and those stepping down into the community from institutional environments.
- 4.4. This type of social investment uses funding from a mix of sources, but predominately government and charitable trusts. If the project is successful in achieving the target outcomes a small return is expected from the investment, but this is focused on the suite of projects being undertaken nationally rather than any single project. The aim for the

investors is to ensure that financial support (which in the past may have been given via grants) is focused on achieving clear outcomes; supporting wider benefits for society and is enabling an opportunity to test new ideas and approaches that could be used by others in the future.

5. Alternative Options

- 5.1. Undertaking this project under the auspices of the LCF provides a unique opportunity to secure additional, external, funding for homeless prevention while providing the scope to explore innovative approaches using an outcomes approach.
- 5.2. The Department of Culture, Media and Sport have approved the bid subject to NCC Cabinet approval. Should that not be achieved it is recommended that the recommissioning of support is undertaken by Commissioners with the reduced amount available.

6. Financial Implications

- 6.1. At this stage of development there are no immediate financial implications to note as there are no savings related to the Social Impact Bond in the current NCC 2020-24 budget planning.
- 6.2. The proposal is for the core contract to be funded through the current annual budget of £393k p.a. designated to provide support to the SHAs. No savings are currently built into the council's medium-term financial plan against this budget line and the proposed arrangement would require a commitment to that budget for a three-year period. This provides a low risk option for the Council as payments would be driven by a mix of outputs and outcomes and capped at the budget level. The total NCC budget of £1,179,177 (£393k x 3) over the life of the contract would need to be held in a reserve throughout the four years of delivery to make payments as and when outcomes are reached. In addition, the LCF will top up the contract through additional outcome payments worth 35%. This would increase the total budget from £1,179,177 to £1,814,115.
- 6.3. Current costs of supporting the business case for the SIB are being managed within the Adult Social Care budget.
- 6.4. No savings against this budget are currently built into the council's medium-term financial plan and there is commitment to the 'No Homelessness in Norfolk' from all partners. At the end of the contract the aim will be for NCC to be able to evidence the financial and qualitative impact of the optimal investment for services for people who are homeless or at risk of homelessness in Norfolk, with effective support services in place.

7. Resource Implications

- 7.1. Staff resource from ASD has been dedicated to the project in addition to drawing resources from Commissioning and Finance. This input has enabled the bid to be developed and the business case constructed to the strict guidelines outlined by DCMS
- 7.1.1 Assuming approval by Cabinet, work will continue to deliver the SIB by the mobilisation date of April 2021.
- 7.2. **Equality Impact Assessment (EqIA)**
- 7.2.1 Please see **Appendix 1 – Equality Assessment – Findings and Recommendations**

8. Risk Implications/Assessment

- 8.1. Risks and opportunities will be managed through the contract with Bridges Outcome Partnerships and through ensuring that flexibility to undertake interventions is paired with the accountability for outcomes. Annual reviews of the arrangement will allow all parties to operate with confidence about progress, risk and outcomes.
- 8.2. Delivery partners would be contracted on a 'fee for service' basis ensuring that risk to smaller, usually voluntary or community sector providers, is minimised. If outcomes are not achieved the financial risk sits with Bridges Outcome Partnerships. At the end of the contract the aim will be to ensure that expertise and operational practice is embedded in the partners (NCC, SHAs and delivery partners) to ensure sustainable practice and delivery models.

9. Recommendations

- 9.1. **Cabinet are recommended:**
 - a. **To delegate the approval of the final contract for 'A Social Impact Bond for the Prevention of Homelessness' to the Executive Director of Adult Social Care and Executive Director of Finance and Commercial Services**

Officer Contact

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

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ⁱ https://www.crisis.org.uk/media/20680/crisis_better_than_cure_2016.pdf



A Social Impact Bond for the Prevention of Homelessness

Equality Assessment –Findings and Recommendations

01/11/2020

Sera Hall

This assessment helps you to consider the impact of service changes on people with protected characteristics. You can update this assessment at any time so that it informs ongoing service planning and commissioning.

For help or more information please contact Neil Howard, Equality & Accessibility Officer, email neil.howard@norfolk.gov.uk, Tel: 01603 224196

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The purpose of an equality assessment

1. The purpose of an equality assessment is to enable decision-makers to consider the impact of a proposal on different individuals and communities prior to the decision being made. Mitigating actions can then be developed if adverse impact is identified.

The Legal context

2. Public authorities have a duty under the Equality Act 2010 to consider the implications of proposals on people with protected characteristics. The Act states that public bodies must pay due regard to the need to:
 - Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act¹
 - Advance equality of opportunity between people who share a relevant protected characteristic² and people who do not share it³
 - Foster good relations between people who share a relevant protected characteristic and people who do not share it⁴

[The full Equalities Act 2010 is available here.](#)

The assessment process

3. This assessment comprises two phases:
 - **Phase 1** – evidence is gathered on the proposal – looking at the people who might be affected, the findings of related assessments and public consultation, contextual information about local areas and populations and other relevant data. Where appropriate, engagement with residents, service users and stakeholders takes place, to better understand any issues that must be taken into account
 - **Phase 2** – the results are analysed. If the assessment indicates that the proposal may impact adversely on people with protected characteristics, mitigating actions are identified

When completed, the findings are provided to decision-makers, to enable any issues to be taken into account before a decision is made.

The proposal

4. The proposal is to create a contract with Bridges Outcomes Partnership (BOP) via a Social Impact Bond (SIB) through the auspices of Life Chances Fund (LCF). Bridges will work with local delivery partners to deliver a service that provides advice and support to those who are homeless or at risk of homelessness. The outcome of service delivery will be an increase in people supported to sustain their tenancy or access housing if they are homeless.

The primary aim of the project is to support the reduction of rough sleeping and homelessness in Norfolk. People who are homeless and at risk of homelessness are often vulnerable with high

levels of poor mental ill health and long term conditions – this service will be specifically designed to engage and support the needs of these individuals

Norfolk County Council (NCC) has signalled its overall ambition to support reducing rough sleeping and homelessness in Norfolk to ensure better support for them in all walks of life

The partnership between NCC and BOP, under the auspices of a SIB, will facilitate the provision of a targeted, outcome-based service in six of the seven SHAs which will directly support the prevention of homelessness and the human and system costs that result from it. It will leverage expertise in delivery, contract management and additional funding at a time when homelessness and the risk of homelessness is increasing.

The service will ensure that preventative services and products for those that are homeless or at risk of homelessness are provided, reducing costs across the system, and explicitly supporting Norfolk communities to address the negative financial and human impacts of homelessness.

Who is affected?

5. The proposal will affect adults, children and staff with the following protected characteristics:

People of all ages	No
A specific age group (please state if so):	Adults
Disability (all disabilities and long-term health conditions)	Yes
Gender reassignment (e.g. people who identify as transgender)	Yes
Marriage/civil partnerships	Yes
Pregnancy & Maternity	Yes
Race (different ethnic groups, including Gypsies and Travellers)	Yes
Religion/belief (different faiths, including people with no religion or belief)	Yes
Sex (i.e. men/women/intersex)	Yes
Sexual orientation (e.g. lesbian, gay and bisexual people)	Yes

Analysis of the people affected

6. The national trend for homelessness is rising and is likely to be significantly exacerbated by the C19 pandemic. Unemployment has risen significantly, and many sources are warning of a major recession which will have an impact on numbers becoming homeless due to economic reasons.

The **Homelessness Reduction Act** 2017⁵ came into force on 3 April **2018** (with limited exceptions). It has made significant changes to Part VII of the 1996 **Act**. The main effect is to place increased duties on local authorities to assess an applicant's needs and to prevent and relieve **homelessness**. In addition to new duties for local authorities under this act a new methodology was introduced for collecting data on homelessness – this new methodology makes it difficult to compare official statistics prior to April 2018.

From April 2018 data has been reported to central government in a variety of forms. For the purposes of this report data is presented which illustrates pressures on LHAs from presentations of those who are owed either 1. *A duty of prevention* or 2. *A duty of relief*.

Figures for Norfolk are shown in Table 1 below

Table 1 – Assessments of households owed a duty (prevention or relief)*

	April 18- March 19	April 19- Dec 19
Breckland	465	429
Broadland	193	205
Great Yarmouth	954	709
Kings Lynn	409	302
North Norfolk	421	316
Norwich	1311	554
South Norfolk	292	173
Total	4045	2688

*<https://www.gov.uk/government/statistical-data-sets/live-tables-on-homelessness>

Key facts about people seeking help from local authorities related to homelessness or risk of homelessness are reported as follows:

- The gender split in was approximately equal – this does not reflect national data indicating that more males than female are recorded as experiencing rough sleeping but may reflect the gender balance of those seeking advice and support rather than solely rough sleeping
- In each year approximately 25% of those seeking help reported being physically disabled
- In each year c. 25% were recorded as previously rough sleeping – which does not reflect the official counts (which only record a snapshot on one day each year).
- The main reason recorded for contact with the services was rent arrears (27-34% respectively)
- Approximately 88% of those approach local housing authorities for help were recorded as White British ethnicity
- The most common reason for support is listed as mental health in all areas

This is a dynamic EQiA which will be updated during the life of the project. The numbers of and defining characteristics of those who are homeless or at risk of homelessness can change rapidly. Data collected as part of this project will continue to inform delivery and the EQiA.

Potential impact

7. Our proposal aims to improve and expand information, advice and support for those who are homeless or at risk of homelessness.

People will receive a targeted service and will be supported with the co-operation of the local housing authority. People will receive an improved service, which means the proposals will not have an adverse effect on anyone, including anyone with a protected characteristic.

Accessibility considerations

8. Accessibility is a priority for Norfolk County Council.

Norfolk has a higher than average number of disabled and older residents compared to other areas of the UK, and a growing number of disabled young people.

This project will be delivered by local delivery partners and Bridges Outcomes Partnership. Accessibility considerations will be written into this contract and as examples are expected to include:

- Accessible digital information which, for example, is compatible with screen reading software
- Easy read versions of key posters, leaflets, and other information
- Access to the advice line via textphone
- Flexibility on where meetings are held to ensure venues are accessible to those with a range of disabilities
- We know that some homelessness people are disabled people/people whose first language is not English, information will be made available in other formats and in conjunction with interpreting services to ensure engagement is accessible

Evidence used to inform this assessment

- 9.
- Equality Act 2010
 - Public Sector Equality Duty
 - Relevant business intelligence:
 - Census figures
 - BI reporting on our baseline knowledge of carers
 - Carers JSNA

Further information

10. For further information about this equality impact assessment please contact Sera Hall,



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¹ **Prohibited conduct:**

Direct discrimination occurs when someone is treated less favourably than another person because of a protected characteristic they have or are thought to have, or because they associate with someone who has a protected characteristic.

Indirect discrimination occurs when a condition, rule, policy or practice in your organisation that applies to everyone disadvantages people who share a protected characteristic.

Harassment is “unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual’s dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual”.

Victimisation occurs when an employee is treated badly because they have made or supported a complaint or raised a grievance under the Equality Act; or because they are suspected of doing so. An employee is not protected from victimisation if they have maliciously made or supported an untrue complaint.

2 The protected characteristics are:

Age – e.g. a person belonging to a particular age or a range of ages (for example 18 to 30 year olds).

Disability - a person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

Gender reassignment - the process of transitioning from one gender to another.

Marriage and civil partnership

Pregnancy and maternity

Race - refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

Religion and belief - has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (such as Atheism).

Sex - a man or a woman.

Sexual orientation - whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

3 The Act specifies that having due regard to the need to advance equality of opportunity might mean:

- Removing or minimizing disadvantages suffered by people who share a relevant protected characteristic that are connected to that characteristic;
- Taking steps to meet the needs of people who share a relevant protected characteristic that are different from the needs of others;
- Encouraging people who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such people is disproportionately low.

4 Having due regard to the need to foster good relations between people and communities involves having due regard, in particular, to the need to (a) tackle prejudice, and (b) promote understanding.

⁵ https://england.shelter.org.uk/legal/homelessness_applications/introduction_to_homelessness

Cabinet

Item 16

Decision making report title:	Review of outdoor learning services at Holt Hall
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Cllr John Fisher, Cabinet Member for Children's Services.
Responsible Director:	Sara Tough – Executive Director Children's Services
Is this a key decision?	No

Introduction from Cabinet Member

Norfolk County Council is committed to ensuring that outdoor learning continues to be a valuable experience for children and young people, and we are fortunate that in Norfolk, there is a wealth of fantastic outdoor opportunities on our doorstep. There are many providers of outdoor learning in Norfolk and children and young people really value the experiences they provide.

We have conducted a review of our role in providing outdoor learning. Holt Hall attracts just 7% of residential visits from Norfolk schools. Our review has concluded that it is better for us to become an enabler – supporting other providers and giving guidance and advice on outdoor learning, rather than continuing a service at Holt Hall.

Given that Holt Hall is operating at a deficit each year, we owe it to the children and the taxpayers of Norfolk to make the most effective, targeted use of our support and our limited financial resources.

Executive Summary:

Outdoor learning is a key part of a balanced school curriculum, helping the development of skills including problem solving, communication and resilience. However, it is not a statutory council service. Outdoor learning is also delivered by a range of providers in Norfolk, many of which provide a similar offer to that provided by the council at Holt Hall.

Despite several reviews and marketing work over the last decade, Holt Hall is used by under 3,000 Norfolk pupils per year, out of a total of 112,000. Holt Hall attracts only 7% of all residential visits by Norfolk schools. It is clear that most schools use other providers.

We have conducted a review of the outdoor learning service provided at Holt Hall. The evidence leads us to conclude that ceasing direct provision in 2021 and

becoming an enabler is a more realistic reflection of the current market for outdoor learning and our need to prioritise spending.

Shifting to an enabling role would increase the market share for other providers, provide a better use of public money and improve and increase the opportunities for children and young people to learn outdoors. For these reasons the council should, therefore, become an enabler of such services through advice and support, making Holt Hall surplus to Children's Services requirements.

The costs of continuing direct provision are challenging in the current financial climate. Holt Hall has accumulated a £270,000 deficit from the last three years alone and requires £600,000 of maintenance over the next decade.

Recommendations

That Cabinet agree:

- 1. That the council should become an enabler of outdoor learning through providing advice, support and access to resources.**
- 2. To discontinue delivering outdoor learning provision from the Holt Hall site, with immediate effect.**

1 Background and Purpose

- 1.1. Norfolk County Council has undertaken a review of its approach to outdoor learning in the county because the current arrangements, which include the council acting as a direct provider of outdoor learning services at Holt Hall, are not financially sustainable.
- 1.2. Failure to take appropriate action to address these financial pressures will require savings to be made in other services in order to continue to subsidise the council's operation of Holt Hall.
- 1.3. The council is not under a legal duty to provide outdoor learning but given that part of the school curriculum requires access to outdoor learning, the council must consider its role in ensuring that our children do have access to outdoor learning in the Norfolk area.
- 1.4. The review has considered the opportunity for the council to adopt a strengthened leadership role in relation to outdoor learning, acting as an enabler across the wide range of providers within the county, so that through working together we can deliver the best outcomes for Norfolk's children, young people and families.

- 1.5. Holt Hall is a Grade II listed Victorian country house set in 75 acres of woodland, lakes and gardens. It was purchased by Norfolk County Council in 1946 and has been used for educational purposes since the early 1950s.
- 1.6. Holt Hall offers residential experiences and day visits for school groups, conference space for meetings, training and events, camping within the grounds, occasional Open Gate events for the public and school-holiday activities for children and their families. Holt Hall also works commercially in partnerships with organisations for event hire, including use of the Hall and grounds, and a small family campsite open during weekends and school holidays. It is open for use all year midweek and weekends on request. Residential bookings occur in every month of the year, with the summer term being the busiest.
- 1.7. Outdoor learning can mean many different things to different people. The Institute for Outdoor Learning, the professional body for organisations and individuals who use the outdoors to make a difference for others defines it as: *“a broad term that includes discovery, experimentation, learning about and connecting to the natural world, and engaging in adventure activities and outdoor sports”*.
- 1.8. Outdoor learning in its many forms, from structured learning to informal experiences and outdoor sports and activities, positively impacts academic, personal and social development alongside increasing wellbeing, mental health and care for the environment.
- 1.9. Outdoor learning is used by teachers to enrich learning, enhance school engagement and improve pupil health and wellbeing. It covers a wide range of activity and approaches to learning outside of the classroom. Ofsted’s framework for inspecting schools reinforces the duty on schools to have a co-ordinated, whole-school approach across key stages.
- 1.10. The council has a role to work with schools to continue to develop curriculum approaches that include learning outside of the classroom, as part of an early years to adulthood approach, with progressive and regular outdoor learning experiences that enthuse, engage and support children of all learning abilities in reaching curricular aims alongside securing positive improvement to their health and wellbeing.
- 1.11. There is an opportunity to capitalise on opportunities for outdoor learning to help deliver the council’s educational, economic and environmental priorities such as inclusive growth and improving health and wellbeing through connecting people with the environment.
- 1.12. We want to build a strong partnership approach with the diverse range of outdoor learning providers operating in Norfolk and with those working with children, young people, and families so that they can access and obtain maximum benefit from safe, high-quality outdoor learning experiences throughout their lives. In order to do

this, we need to maintain a clear understanding about the breadth of outdoor learning provision in Norfolk and support its capacity to offer a wide and beneficial range of experiences, including residential activities.

2. Proposal

2.1. That the council focuses on its leadership role to be an enabler for outdoor learning rather than a provider of outdoor learning at Holt Hall.

2.2. This would involve:

- Developing the council's strategic leadership role for outdoor learning and building partnerships across the sector, so that we can promote collaborative working, support practice development, link with national research and secure outdoor learning investment opportunities that benefit Norfolk.
- Retaining and expanding the council's role as adviser, including health & safety oversight, training and support to schools, and community groups, through the Covid pandemic and beyond.
- Relinquishing the council's role as an outdoor learning provider and ceasing to directly provide outdoor learning which constitutes day and residential visits at Holt Hall.

2.3. We believe this approach provides us with the best way to shape and develop high-quality, accessible, comprehensive and progressive outdoor learning experiences for children, young people, and their families, as part of fully developing and delivering our vision for outdoor learning in Norfolk. We want outdoor learning in Norfolk to:

- be for every child, irrespective of their background, location, deprivation, or ability
- support a long term, early years to adulthood, progressive approach to how individuals engage with and value the outdoors and the environment
- make the best use of the breadth of resources across the county, including the voluntary and privately-run provision that already makes up the vast bulk of outdoor learning
- promote access for all to high quality and safe outdoor learning opportunities, regardless of who the provider is
- be recognised and valued as a contribution that supports the council's wider strategies and priorities, including our focus on the environment
- be able to be offered as part of an integrated school curriculum and cross subject teaching
- aspire to be a model of excellence, taking account of best practice nationally and opportunities for Norfolk's children, young people, families and communities to engage in national programmes and opportunities.

- 2.4. Based on the national research considered as part of this review, our analysis of best practice, contact with national leaders for outdoor learning, and initial engagement with a range of local providers at the start of the year, it is clear that the council is well placed to fulfil the leadership role that is required across the outdoor learning sector to deliver this ambition.
- 2.5. It is appropriate for the local authority to fulfil this leadership role given the compelling evidence that outdoor learning can positively contribute to the council's ambition and strategic priorities. The council is committed to all children in Norfolk achieving their full potential and having their needs met at the earliest possible opportunity so that no child in Norfolk is left behind. Norfolk's Vital Signs for Children are focused on us:
- being outcome-focused and building partnerships that enable a whole system approach, alongside recognising the importance of prevention and early intervention in order to reduce demand for services.
 - promoting inclusion and increasing the proportion of children educated in mainstream schools.
- 2.6. Through adopting this role, over time we can help ensure that the outdoor learning offer for children, young people, families and communities in Norfolk is coordinated and delivers the following key impacts:
- Children's, young people's and families' lives are enhanced through participating in outdoor learning experiences
 - Norfolk is leading in achieving and sustaining high levels of knowledge, standards and good practice in outdoor learning
 - The wider strategic benefits of outdoor learning are maximised.
- 2.7. The council has considered how it meets this task of providing strengthened leadership for outdoor learning through a partnership approach with a multi-disciplinary group of professionals especially schools. This will include:
- Developing easy-to-access information and resources for individuals, groups and professionals wanting to develop outdoor learning opportunities, including tools and guidance, professional development and training, research and a comprehensive guide to Norfolk's outdoor learning offer.
 - Promoting the benefits of outdoor learning to all and improving the skills and confidence of those working with children, young people and families through engagement, outreach and training.
 - Providing effective guidance and support to practitioners around planning, organising and booking outdoor learning experiences, through the Covid pandemic and beyond.
 - Promoting outdoor learning opportunities, campaigns and social action opportunities with children, young people, families and wider communities to raise awareness of the benefits of outdoor learning, increase care for the natural world and unlock latent demand.

- Developing and leading strategic and operational partnerships to build evidence, improve practice, attract investment and grow influence at a local, regional and national level.

2.8. The breadth of leadership activity we aspire to deliver to support participants, practitioners and partners and policy makers can be summarised as:

Leading Norfolk's Outdoor Learning Offer

Participants

Promotion of the personal benefits of engagement with the natural world - Promotion of physical and mental health and wellbeing information, challenges and campaigns including Active Norfolk and Outdoor Citizens Campaign

Information and resources - Guides to activities, experiences, events and courses - 'How to' links to creating activities at home and in the community

Support to improve availability and accessibility of outdoor experiences throughout people's lives - Promotion of free/low cost outdoor learning, e.g. Norfolk Trails, country parks - Development of targeted activities for groups including children in care, children with SEND, children with disabilities, and Young Carers, working alongside specialist providers - Promotion of bursaries and charitable funding for disadvantaged groups to access structured outdoor learning experiences

Involvement and influence in key campaigns and programmes - Promotion of local, regional and national campaigns such as This Girl Can, Still Young Enough, National Park Week

Practitioners

Information and resources - Directory of outdoor learning in Norfolk - 'How to' link to creating activities for schools and groups - Information on planning, organising and booking outdoor learning experiences - Help to understand and 'sell' the benefits of outdoor learning – information around curriculum alignment

Outreach, guidance and support - Site visits, planning and delivery support and guidance - Health & Safety advice for on and off-site experiences

Training - Support and nationally accredited training for Educational Visit Coordinators and Visit Leaders - Teacher training sessions - Promotion and delivery of nationally accredited courses for educators, groups, provider and individuals including Outdoor Education Advisors' Panel (OEAP) courses

Accreditation and champion roles - Support to achieve and promotion of awards/accreditations including LoTC Quality Mark/Badge - Promotion of accredited outdoor learning providers and information around what this accreditation means for customers

EVOLVE visit booking system - Management of EVOLVE system for educational visit planning and approval

Partners and policy makers

Promotion of Norfolk as a prime outdoor learning destination - Campaigns, information, links to wider outdoor offer including Broads National Park and Norfolk Coast AONB

Community social action opportunities - Promotion of local, regional and national campaigns and schemes including #iwill, National Citizen Service, Prince's Trust, Duke of Edinburgh Award, outdoor volunteering

System collaboration - Provider forums to identify, develop and share policy, practice and improvement opportunities – Policy, practice and research partnerships, academic, cross-authority and with national bodies

Community outreach events – promotion of outdoor learning at key events including Norfolk Show and education conferences, local community and economic development events

Support to schools and communities to make the most of their green spaces – Outreach and online advice and information – support to identify and apply for funding

Attraction of funding/investment – collaborative partnership funding and investment bids such as LEP and Sport England funding

Alignment and collaboration with wider priorities and initiatives – Ongoing research and liaison to build evidence and demonstrate outdoor learning's contribution to local, regional and national priorities – Active membership of regional/national bodies including OEAP, Institute for Outdoor Learning, Council for Learning Outside the Classroom – Policy and campaign involvement and influence

**Norfolk
Outdoors**
*progressive
outdoor learning
for all*

3. Impact of the Proposal

- 3.1. Based on the national research considered as part of this review (as detailed in the footnotes to this report) and our analysis of best practice, this logic model sets out the key impacts, outcomes and determinants underpinning the proposed approach:

Impact Statement	Outcomes	Determinants on outcomes
Children, young people and families' lives are enhanced through participating in outdoor learning experiences	For participants <ul style="list-style-type: none"> Children, young people and families have the knowledge and skills to protect and thrive within the natural environment Improved educational engagement and attainment aided by the impact of participating in effective outdoor learning Improved personal, social and character development, including behaviour Improved emotional health and wellbeing Healthier, more active residents Improved social mobility 	<ul style="list-style-type: none"> Availability, promotion and ease of access of comprehensive, up to date and relevant information and resources Access to appropriate, scaled formal and informal outdoor learning opportunities at home, school and in communities Access to affordable and accessible outdoor learning experiences Confidence in the quality and safety of outdoor learning in Norfolk Young people, families, and communities are informed and empowered to take part in outdoor learning campaigns and programmes
Norfolk is leading in achieving and sustaining high levels of knowledge, standards and good practice in outdoor learning	For practitioners: <ul style="list-style-type: none"> Norfolk's outdoor learning offer is comprehensive and coordinated across providers Practitioners are confident in understanding and promoting the benefits of outdoor learning Practitioners are confident and capable in developing and delivering on and off-site outdoor learning experiences Outdoor learning providers are confident and capable in developing offers aligned to learning and development outcomes Outdoor learning is part of a progressive and integrated school curriculum and cross subject teaching 	<ul style="list-style-type: none"> Support to engage children, young people and families through a diverse range of approaches User-friendly, supportive systems, advice and guidance Access to high quality, co-ordinated practitioner training and accreditation Alignment of the outdoor learning offer to key learning and developmental outcomes Affordability and accessibility of off-site outdoor learning experiences Effective guidance and health and safety management of educational visits
The wider strategic benefits of outdoor learning are maximised	For partners and policy makers: <ul style="list-style-type: none"> A sustainable, best value traded outdoor learning advice and support service is provided Outdoor learning actively contributes to corporate and national priorities Increased social action conserves and enhances the natural environment Knowledge, understanding and appreciation of the natural world is increased Optimum economic benefit of outdoor learning in Norfolk is realised Norfolk is a source of outdoor learning knowledge and best practice Norfolk is recognised as a destination leader in outdoor learning NCC and Norfolk communities are involved and influential in national policy, programmes and campaigns 	<ul style="list-style-type: none"> Development of a cost-effective, benefits driven outdoor learning offer for Norfolk Effective promotion of Norfolk's outdoor learning offer, aligned with the wider outdoor offer in Norfolk Active promotion of social action opportunities Development of policy, practice and research partnerships Alignment with wider strategic priorities, campaigns and initiatives System-wide collaboration to drive sustainability, quality and growth Knowledge, understanding and evidence informs direct improvements and wider influence Identification, development and support of collaboration opportunities

4. Evidence and Reasons for Decision

4.1. Unsustainability and narrow reach of the council's current delivery of outdoor learning provision at Holt Hall

- 4.1.1. The operation of Holt Hall by the Council has been previously considered by Members. In April 2010 Cabinet entered into formal consultation on the future of both Holt Hall and Wells Field Study Centre. Following consultation, the Cabinet report in October 2010 recommended the disposal of Wells Field Study Centre, whilst retaining Holt Hall as a residential outdoor learning provision until at least 2013 on a full cost recovery model, with development of a business plan to mitigate the record of operational losses. This led to the operation of Holt Hall being incorporated into the traded arm of the integrated advisory service, with the expectation that this would enable a phased tapering of the need for a subsidy from the core budget.
- 4.1.2. In 2010 therefore, Holt Hall was expected to continue to provide outdoor learning services to schools for at least the next two academic years, during which time a full evaluation of the centre's viability could be undertaken. Highlighting the financial risk through the significant and ongoing costs of maintenance and repair, recommendations for improving the financial viability within the report included:
- Marketing and promotion within and beyond Norfolk to be developed and improved
 - The use of the grounds to be reviewed to expand the offer
 - Mutually beneficial partnerships, evolved over the past year and as a result of the consultation, should be built on effectively and become part of the future development plans of the centre
 - That the potential for work in the area of vocational qualifications for more vulnerable young people is recognised
 - That there is a sound business plan in place for future financial sustainability
 - That a revitalised and more focused / relevant theme for the school's core residential activity should be developed, implemented, communicated and marketed
 - That business support be secured for the development of the holiday and weekend periods and that appropriate targets are developed for the overall viability of Holt Hall.
- 4.1.3. In 2016 management and marketing arrangements were established to provide a more business-like approach:
- The marketing and promotion for Holt Hall was improved with a dedicated brand, website, social media channels and the support of the central marketing team to promote residential and day visits through attendance at key events (such as the Eastern Education Show, Norfolk Headteachers' conference) and direct email campaigns to schools and academies in Norfolk, surrounding counties and places that would benefit from the geographical features of North Norfolk in their studies

- There was a focus on securing additional repeat bookings from educational establishments
- The grounds have been used for event hire by several groups
- A camp site onsite, run by a commercial partner Swallowtail Holidays, on a sublet basis, provides family camping and glamping during weekends and school holidays between April (or Easter weekend) through to end of October
- Open gate events have been held three times a year
- The Stables have been hired to organisations for meeting and training and 1:1 work. The Educational High Needs service has recently used the Stables as a base for 1:1 or 1:2 work with young people who are not in mainstream schools
- Work experience placements have been offered and the Youth Offending Team have used Holt Hall as a placement for community work, and working in the grounds
- Residentials, planned with schools, have been offered on a range of curriculum-focused Key Stage relevant activities, delivered by qualified teaching staff, that relate to science, environment and geography and other curriculum subjects as well as adventurous activities and team building
- Summer holiday activities were piloted at Holt Hall during 2018 and 2019
- Since 2019 Holt Hall has been actively promoted as a venue for group accommodation bookings during weekends and holiday periods. This offer requires minimal staff expenditure and resources (as opposed to other weekend and holiday use such as weddings which would require a long commitment and significant investment).

4.1.4. Despite the above, Holt Hall has continued to account for a very small proportion of educational visits undertaken by Norfolk schools, as set out in paragraph 4.1.10 below.

4.1.5. For school residential and day visits, Holt Hall operates within a commercial marketplace and has therefore adopted a position of offering these services at a competitive price. We have kept the pricing structure under continual review, maintaining an awareness of pricing across alternative third-party provision. The strategy for Holt Hall has been to charge within the top 50-75% of the pricing range in relation to competitors.

4.1.6. Prices have been increased each year, between 2.5-3% with a 4% increase for 2020/21 prices. Cost savings were also being made to try to improve profitability without affecting the price to the customer. We introduced pricing differentials to attract more use of the Hall during the low season as the Summer and Easter terms were always fully booked.

4.1.7. Notwithstanding the efforts made, the latest financial profile for Holt Hall shows that the centre has continued to run at a significant financial loss to Norfolk County Council. The requirement to subsidise Holt Hall has been a consistent cost to the

council over a number of years. The operating deficit for Holt Hall over the last three financial years alone exceeds £270,000 (not including apportioned corporate overheads). An independent review by Grant Thornton conducted in 2019 reviewed opportunities and concluded that “under current circumstances Holt Hall is not financially viable in the long term without continued financial support from NCC.”

4.1.8.

Holt Hall net operating costs	2017-18	2018-19	2019-20
Traded Income	£395,266	£340,853	£374,961
<u>Direct Costs</u>			
Employee related	£231,870	£249,910	£252,169
Premises	£70,966	£60,385	£77,045
Supplies & Services	£113,083	£115,467	£129,391
Total direct costs	£415,918	£425,762	£458,606
Operating Surplus/(Deficit)	(£20,651)	(£84,909)	(£83,645)
<u>Indirect Costs</u>			
Educator Solutions overheads	£25,785	£29,199	£29,878
Total indirect costs	£25,785	£29,199	£29,878
Gross Surplus/(Deficit)	(£46,436)	(£114,108)	(£113,523)

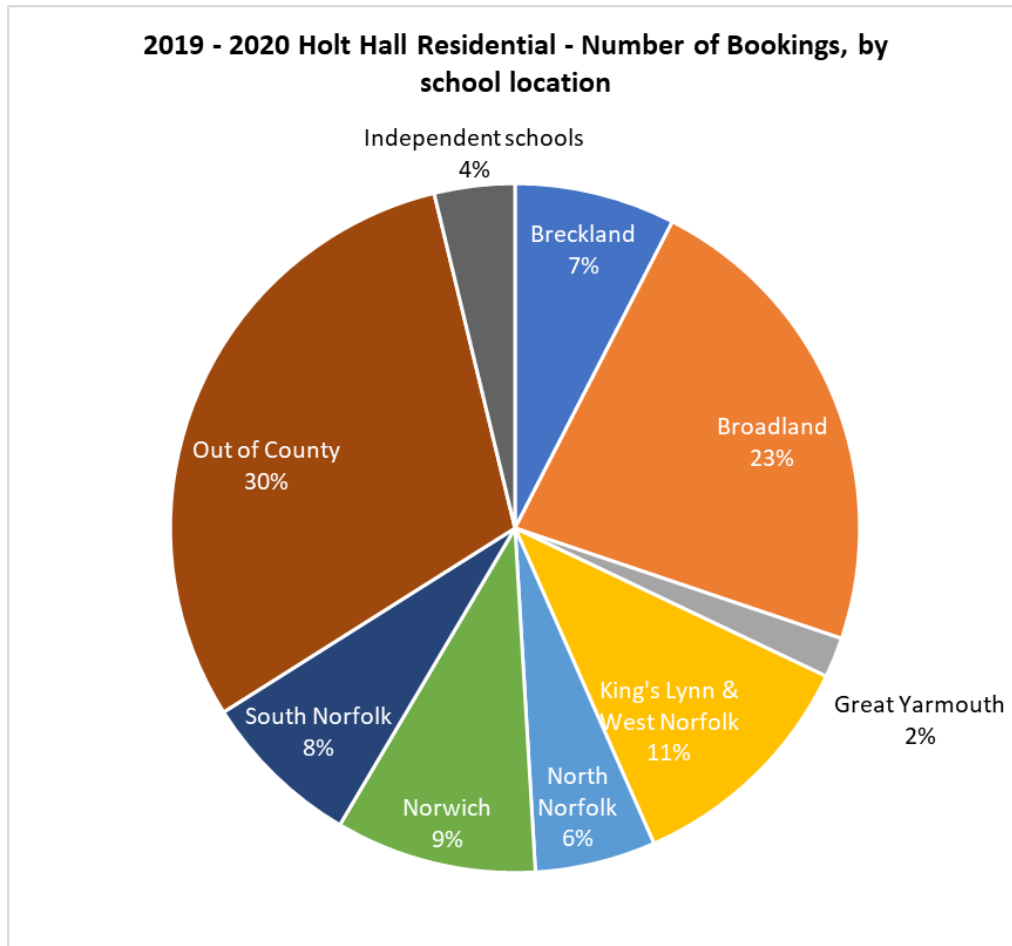
4.1.9. In addition, a report by the council’s property advisers, NPS Group dated February 2018, indicated there is significant building work required simply to maintain Holt Hall, the capital cost of which is estimated to be approximately £600,000 over the next 10 years.

4.1.10 The following data are taken from the local authority’s system to manage educational visits used by 95% of Norfolk’s schools, showing that:

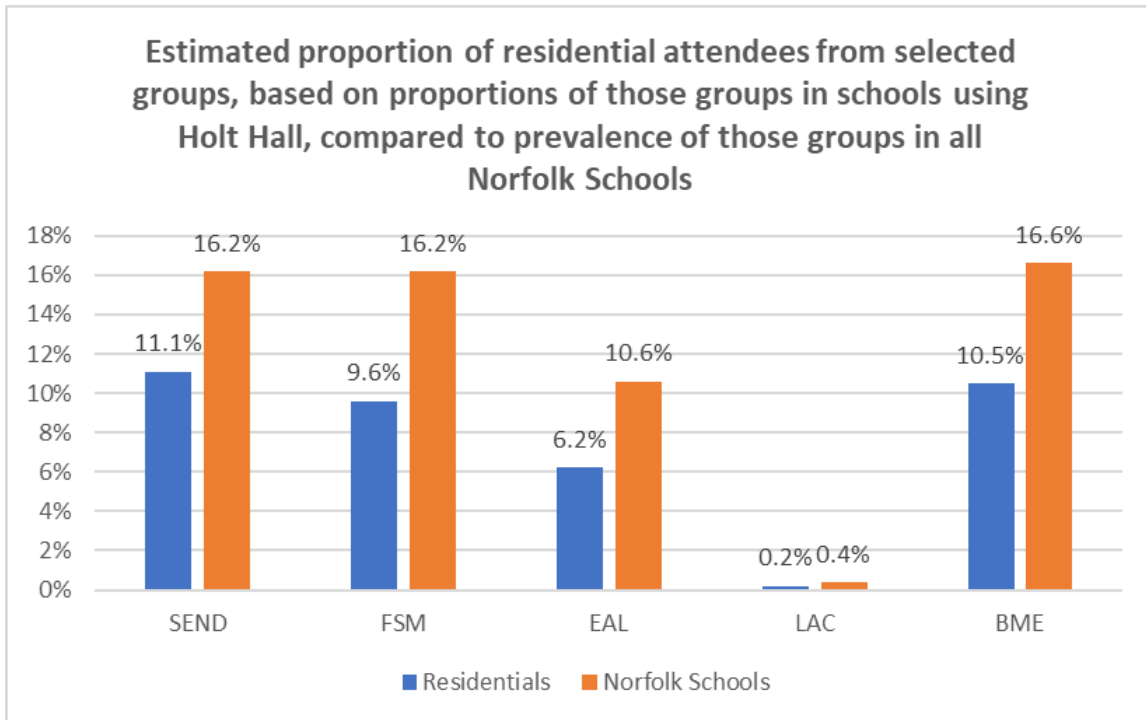
- Of the 621 residential outdoor learning visits undertaken by Norfolk schools during 2019 to a residential venue in the UK, 6.8% or 42 of these residential visits were hosted at Holt Hall.
- The 42 residential visits to Holt Hall involved 1,548 pupils, or 7.9% of the total number (19,645) of pupils participating in residential outdoor learning trips undertaken by Norfolk schools during 2019.
- During 2019, 40 individual Norfolk schools made use of Holt Hall for a residential visit, highlighting that the majority of schools using Holt Hall do so only once a year. These visits are on average 2 nights and the majority involve pupils at key stage 1 and 2, with an average group size of 37 pupils.
- During 2019 there were 22 day-visits to Holt Hall from 13 schools in Norfolk. This reflects 0.55% of the total number (3974) of day visits across the UK that were undertaken by Norfolk schools, where there was a focus on outdoor learning.
- There were 944 pupils that participated in the day-visits hosted at Holt Hall in 2019, reflecting 0.87% of the total number (108,215) of Norfolk pupils engaged in day-visits where there was a focus on outdoor learning. The average size of the groups was 43 pupils.

- 30% of residential visits at Holt Hall are from schools or organisations out of Norfolk which highlights that, in continuing to fund Holt Hall, the council is subsidising activities for children from outside of Norfolk.
- 4% of residential visits are from independent schools in Norfolk.

4.1.11 Use of Holt Hall is very low by schools in some districts, including areas with the most disadvantaged children.



4.1.12 The schools that use Holt Hall for a residential have a lower than average population of children with SEND, children eligible for Free School Meals, pupils with English as an Additional Language and Minority Ethnic children. Taking these pupil characteristics into account for schools who use Holt Hall, we can draw the conclusion that children with SEND, those eligible for Free School Meals or who are Looked After, are underrepresented given only 11% of the children attending Holt Hall for a residential are likely to be those with special educational needs and just under 10% use the Hall for a day visit.



4.1.13 The 'Friends of Holt Hall' is an independent registered charity which operates a bursary scheme providing one-off grants to maximise opportunities for disadvantaged young people to engage in environmental and outdoor activities, mainly at Holt Hall. In 2019-20, seventeen grants were awarded to the sum of £2,577, which supported 173 young people. For the period of 2016 to March 2020, a total of 19 Norfolk schools, (4% of Norfolk Schools) benefited from the bursary scheme. Alongside the Friends of Holt Hall, some other providers operate a bursary scheme to support disadvantaged children attend their provision.

4.2 Alternative options for children and young people to access a wide range of outdoor learning provision operating in Norfolk

4.2.1 In addition to the outdoor learning provision operated by the council at Holt Hall, a wide range of third parties offer outdoor learning to children, young people and families. Twelve of these venues offer significant programmes including a core offer of residential activity packages. There has been initial engagement with these providers as part of the review (a list of these providers is attached as Appendix 1 to this report). Some providers operate under the auspices of an umbrella organisation such as the Scouts/Guides or the National Trust and there is also a mix of small local businesses, charities and charitable trusts and large national and international commercial concerns.

4.2.2 Schools are the core client group for these providers, with key stage 2 and 3 pupils forming the majority of the demand. The use by Norfolk schools of these providers ranges from 20-95% of their customer base, with the average split across the residential market being about 50/50 between Norfolk and non-Norfolk schools.

4.2.3 Some providers formally align some or all of their activities to curriculum subjects and all will create bespoke packages for schools and groups to meet their desired

learning and personal development outcomes. All provision is designed to challenge and build self-belief, confidence and team skills in children and young people. There is scope with some providers to extend the curriculum-based offer and reach a wider age range.

- 4.2.4 One of the providers offers a specialist provision for children with disabilities and has a fully accessible site, significant accommodation and a wide range of accessible activities. All other providers have accessible bathrooms/toilets and some accommodation suitable for wheelchair users. All providers have experience in adapting activities for children and young people with a range of disabilities and are committed to adapting services wherever possible to enable those with additional needs to join in activities. Some sites, including Holt Hall, have limited physical access for children with disabilities.
- 4.2.5 Accommodation and activity packages are comparable across the sector within Norfolk, with some variation according to location, specialism and/or equipment. All providers open all year, with fluctuations in demand aligned both seasonally and to school term time. For the majority of providers, peak season is May-July and September, where residential provision runs at about 90% capacity, falling to as low as 20% full in quieter months.
- 4.2.6 Whilst spare capacity is limited in peak times, from the picture we have so far it appears there is capacity within the sector to absorb residential and day visit demand across the year should this be required. Providers are keen to work with existing and prospective customers to demonstrate the benefits of year-round outdoor learning.
- 4.2.7 Discussions with third party providers operating in Norfolk have highlighted the consequence of the local authority operating both as a provider and strategic enabler of outdoor learning. Several providers are reluctant to share information on activity details, pricing and capacity for commercial reasons, seeing themselves in direct competition to council operated provision.
- 4.2.8 The duality of the council's role is clearly constraining our ability to act impartially and strategically as an enabler and 'honest broker' of partnerships related to outdoor learning. The County Council is seen as a direct competitor by outdoor providers, restricting our ability to fulfil an effective leadership role for the outdoor learning sector in Norfolk. Evidence from other local authorities has highlighted that this challenge is not unique to Norfolk.
- 4.2.9 There will be a positive opportunity for third party outdoor learning providers in Norfolk to improve their financial viability and secure a greater market share of provision as a consequence of the council ceasing to act as a provider of outdoor learning at Holt Hall.
- 4.2.9 More recently, we have engaged with third party providers to understand the impact of the current pandemic on their services, on an assumption that this will be affecting their businesses. One such impact is the DfE guidance that they will only

allow day visits to take place this Autumn term, which has major implications for those providers offering residential outdoor visits.

- 4.2.10 Centres are currently closed for residential visits. In some cases, providers have been able to offer a limited programme of day visit activities. In many cases staff have been furloughed at the current time. Most intend to reopen, including for residential visits, at some point next year.

4.3 National and local policy drivers emphasising the role of the council to act as an enabler for outdoor learning

- 4.3.1 There is a wide range of national and local policy aims, priorities and commitments which link strongly to the benefits which can be realised through effective leadership of a coordinated outdoor learning offer. This includes:
- The aims of the council's environmental policy which reflect *A Green Future: Our 25 Year Plan to Improve the Environment*, published by the Government in January 2018 setting out a generational plan for environmental improvement and the importance of connecting people with the environment, focusing on improving their health and wellbeing and encouraging children to be close to nature, in and out of school.
 - Norfolk and Waveney's Joint Health and Wellbeing Strategy which focuses on working together as system leaders to drive forward improvement in the health and wellbeing of people and communities, including a focus on creating healthy environments for children and young people to thrive in resilient, safe families, and helping people to look after themselves and make healthier lifestyle changes.
 - The 'Together for Norfolk' Business Plan which is focused on people being socially active and connected to their communities, and access to quality, accessible, natural spaces close to home and work.
- 4.3.2 Outdoor learning, as a part of providing experiences in the natural environment and outside of the classroom, has the potential to improve many areas of a person's life. Outdoor learning can be delivered formally with defined outcomes and impacts within an education setting, but it can also occur more informally within a person's life such as through their participation within community projects or simply engaging with the natural environment.
- 4.3.3 Outdoor learning helps people of all ages, backgrounds and abilities to reflect and learn about themselves, each other and their environment. The positive memories and lasting benefits impact on academic achievement, new skills learning, personal and social development, care for the environment, career and professional development, wellbeing and mental health.
- 4.3.4 At its core outdoor learning enables people to experience the natural world and through this to engage in the process of learning; gaining skills, knowledge and an understanding of the natural world and themselves in terms of character and resilience, providing experiences and opportunities for collaborative learning and

team building. The nature of these experiences can be varied however and range from sleeping under a blanket in a classroom, camping or being catered for within a residential centre.

- 4.3.5 At any point in time there is often a range of national initiatives in place that relate to outdoor learning, such as the Outdoor Citizens campaign being led by the Outdoor Council, seeking to ensure an early years' connection to nature is established and maintained through to adulthood. The ambition is to ensure the estimated 750,000 four-year olds in the UK entering reception in 2022 will have access to high quality outdoor learning throughout their school life. This would equate to approximately 8,500 children in Norfolk. In addition, as part of the Government's 25-year Environmental Plan, funding has been pledged to connect children to nature and to boost educational visit delivery, as well as supporting Nature Friendly Schools.
- 4.3.6 There is an opportunity, through the council adopting a leadership role for outdoor learning, to make more use of these initiatives and to actively promote such opportunities to children and young people and their families, schools and community groups in Norfolk.

5. Process of the review

- 5.1 In November 2019, given the continued significant operating deficit, a wide review of outdoor learning was initiated, following the review that was commissioned from Grant Thornton which considered the financial viability of provision of services from Holt Hall. Its purpose was to understand the budgetary reality of operating and directly providing outdoor learning, as well as to explore opportunities for how the council might best use resources to benefit more children and young people and enable their access to high quality outdoor learning opportunities.
- 5.2 Background research was undertaken between December 2019 and February 2020, including engagement with national leads for outdoor learning, other local authorities, with third party organisations offering significant outdoor learning provision in Norfolk and with key stakeholders including the Friends of Holt Hall.
- 5.3 A series of engagement sessions were held with council staff within the outdoor learning service on the 5 March 2020, where the review's initial findings were shared, and staff were invited to comment. Following these staff sessions, Members were briefed on the review taking place, including the local Member for Holt.
- 5.4 The initiation of the review was shared with school leaders via Educate Norfolk in early March and a series of stakeholder and school engagement sessions were planned over the following weeks. However, on 23 March 2020 the review was paused due to the impact of the Covid pandemic and national lockdown and all engagement sessions were postponed.

- 5.5 At the start of July, the decision was made that it was possible to recommence the review. In the context of managing our response to Covid, alongside maintaining 'business as usual', the decision was made to complete the review in three phases: phase 1 to review the council's role as a direct provider of outdoor learning at Holt Hall, phase 2 to review the council's role in provision of outdoor learning at Whitlingham and phase 3 to review the council's educational visits advisory service. This approach and the recommencing of the review was communicated to staff.
- 5.6 This was followed up with a presentation to staff by the Director of Learning and Inclusion in August 2020, outlining the financial challenges to the council and the necessity for all non-statutory services to be financially viable, with time allowed for staff to ask some initial questions.
- 5.7 Staff feedback was formally gathered through providing staff with the opportunity to submit questions via their line manager, to provide direct feedback with a dedicated email address, and through group feedback sessions.
- 5.8 As part of our regular communication with Norfolk schools, the review was highlighted in the weekly alert to schools on the 17 July with the opportunity for schools to make initial comment on services that the local authority provides to schools and their thoughts on which should continue or cease. 32 schools (approx. 5% of all Norfolk schools) responded in relation to outdoor learning indicating a desire these activities should continue.
- 5.9 This was followed up with a survey to all schools in September 2020, advising that the outdoor learning review, focused on Holt Hall, had recommenced. We also directly emailed the survey to schools who had made bookings at Holt Hall within the last two years, as well as those who had responded to the July alert.
- 5.10 We received 94 completed questionnaires from 67 schools, 59 of which were Norfolk schools, (57 LA maintained schools and academies and two independent schools).
- 5.11 Key stakeholders were also notified that the review had recommenced, and this led to direct engagement with the Friends of Holt Hall, Swallowtail Holidays – the independent operator of the campsite in the grounds of Holt Hall and 3 sessions with Holt Hall volunteers.
- 5.12 A report summarising the Holt Hall phase of the outdoor learning review and a recommendation to cease delivery of day visits and residentials from Holt Hall was presented to Children's Services Leadership Team on 8 October and the decision was made to formally consult with staff on the proposal to cease delivery of outdoor learning at Holt Hall.
- 5.13 As well as notifying staff of this decision, schools, the Friends of Holt Hall, Holt Hall volunteers, Swallowtail Holidays, and the local Member for Holt were also notified.

- 5.14 The formal HR consultation process commenced on 15 October and ran until 6 November. A formal response to the issues raised through this consultation will be sent to staff, following any decision by Cabinet.
- 5.15 Outdoor learning was discussed at Scrutiny Committee on 18 November, following which it was confirmed that the final decision in relation to outdoor learning at Holt Hall would be made by Cabinet on 7 December.
- 5.16 On the 16 November, the Executive Director of Children's Services was informed of an online petition supporting the continuation of the Outdoor Learning Service for children at Holt Hall, with 4720 signatures. 55% of those signing the petition were resident outside of Norfolk. The comments recorded in the petition reflect the value that many individuals place in children being able to access outdoor learning and residential visits, their own and their children's positive experiences at Holt Hall and a view that it offers a unique environment.

5.17 Summary of feedback from our engagement with staff and key stakeholders:

- 5.17.1 We engaged with schools to determine the impact if we stopped delivering day visits and residential visits at Holt Hall:
- 75% of those that responded (10% of all Norfolk schools) indicated that they would see a reduction, some a significant reduction, in their ability to run school residential visits should we cease to provide this from Holt Hall.
 - 51% of those that responded (7% of all Norfolk schools) indicated that they would see a reduction, including some a significant reduction, in their ability to run school day visits should we cease to provide this from Holt Hall.
 - A small proportion of schools, particularly those who regularly use Holt Hall, do foresee difficulties from the council ceasing to provide outdoor learning at this venue.
 - For schools who do not use Holt Hall, there only appears limited concern.
- 5.17.2 We also engaged with staff and key stakeholders to gather their feedback on the impact if we stopped delivering day visits and residential visits at Holt Hall.

5.17.3

Views about curriculum choice & resources

For example, feedback said:

- The service at Holt Hall offers a 'progressive curriculum-focused programme' that benefits all Key Stages.
- Holt Hall is an ideal location for on-site and off-site fieldwork with a biodiversity that other providers do not have.
- The provision at Holt Hall is unique and is not offered elsewhere.

Our response:

Holt Hall does offer a curriculum-focused programme, which has the potential to benefit all key stages. However, it is almost entirely accessed by schools at Key Stages 1 and 2. The use of expertise at Key Stage 3 – 5 is minimal, only two Norfolk school visits for this age range took place in the last two years.

Holt Hall does provide a range of opportunities for fieldwork, but some of this is off-site. There is a wide range of opportunities for fieldwork across the county.

Holt Hall does have a unique offer, given its geographical location, but all outdoor centres equally have a unique offer. No two centres do exactly the same thing. For most schools, at Key Stages 1 and 2, where we see the greatest use of Holt Hall, the specific features of the location are less relevant. It is residential experiences in rural locations which provide opportunities for learning outside the classroom and the geography of the county provides significant opportunities to enable schools to broaden their approach to delivering an outdoors and fieldwork curriculum.

Our ambition is to offer professional development, advice and resources to expand our support for all curriculum areas and key stages.

5.17.4

Views about inclusivity

For example, feedback said:

- The provision at Holt Hall has a greater focus on inclusivity than other centres.
- Holt Hall supports pupils with SEND
- The value of Holt Hall provision supports pupil's well-being and personal and social development

Our response:

Our data indicate that many schools with high populations of pupils with SEND do not use Holt Hall. In fact, approximately 11% of those attending residential last year are likely to have a special educational need. For those that do, a customised experience has been appreciated, however this approach is not unique to Holt Hall.

There are other providers who offer a similar service and promote a varied offer for all pupils including a specialist offer for SEND children. As explored within the equality impact assessment, due to the nature of the grade 2 listed building Holt Hall does not operate as a specialist residential provider for groups of children with significant additional needs and disabilities. Adaptations have been made, but only the ground floor is suitable for some provision.

Other providers design their offer around the needs of children's personal and social development. Others also specifically cater for children with special educational needs offering highly accessible accommodation, including disability aids and offering tailored activity programmes to meet learning needs, e.g. being autism friendly.

5.17.5

Views about the engagement process

For example, feedback said:

- The process was not robust enough and should have included wider consultation.
- The timing was not good for schools

Our response:

We engaged with stakeholders and staff in a number of ways, giving schools, staff, volunteers and other stakeholders who were directly affected an opportunity to share their views on the impact of the proposal.

The suggestion that we might cease the service was communicated through social media, and in the press. We issued a number of statements which made clear our proposal and our process.

The chairs of the Headteacher Associations were briefed about our intention to review the future of the provision at Holt Hall in March 2020. They were alerted to our intention to re-start our review in July 2020. We contacted schools in July to ask them their views about re-opening the service and then followed up with a more detailed survey asking them about the impact of proposing to cease the service running at Holt Hall. The timescale was two weeks as schools did not need a protracted period of time to give their views. No school has indicated that they did not have time to respond to our survey.

All schools received the questionnaire through the schools' alert, which is well used and an effective communication route with school leaders. We recognise that the response rate is relatively low. As this was a voluntary survey. It is our view that only those schools which held strong opinions responded. The responses from those schools we directly emailed was also low. Schools in Norfolk have a track record of making their views known if they feel strongly.

5.17.6

Views about capacity and expertise

For example, feedback said:

- There is insufficient capacity and expertise in the area to provide a similar offer to that provided at Holt Hall.
- 'there is a 'void in provision'
- There will be a reduction in choice for schools

Our response:

Whilst we have been proud of the work that has been delivered at Holt Hall, we do not agree that there is insufficient capacity in the county to deliver a similar offer for all those schools that wish to access it. There is expertise in the team at Holt Hall, however other centres equally have a level of expertise, and in some cases a wider range of activities are offered.

Schools have the option to offer residential experiences in different ways. They do not have to be outdoor learning or outdoor activity based. Prior to the current Covid context, and going forwards, schools provide the experience of living away

from home in a wide range of ways, including visits to cities, other locations nationwide and abroad. Outdoor learning experiences can be residential, but do not have to be. It is our view that there will be sufficient capacity locally or regionally for schools to undertake a residential trip related to outdoor learning if they wish to.

This proposal will enable a larger share of the market for other providers in Norfolk, and therefore other providers will be potentially more viable as a result.

5.17.7

Views about financial investment and support for sustainability

For example, feedback said:

- Insufficient time and effort have been given to developing other options to increase income and sustainability
- Using the Hall even more outside of term-time
- Using the Hall for other Children's Services activity
- Working in partnership with other organisations
- Changing the operating model to e.g. expand the day visit programme
- More investment in Holt Hall

Our response:

Members agreed in 2010 that Holt Hall should continue in the short term, but should become self-financing, not requiring subsidy or further investment.

Since 2010 there have been a number of developments in the offer from Holt Hall. There has been a change of leadership and in recent years a growth in the number of ways in which income has been generated at Holt Hall. From 2016 onwards there has been a concerted approach to the marketing and promotion of the use of Holt Hall. This included:

- Promoting residential and day visits across Norfolk and beyond
- Increasing bookings at weekends and in school holidays
- Seeking other forms of income, that did not disrupt provision or safety for visiting schools. This included leasing land, greater use of renting the building to wider Norfolk County Council teams and other agencies and renting the Hall and gardens for events.

As stated at 4.1.7 above the independent review by Grant Thornton conducted in 2019 reviewed opportunities and concluded that “under current circumstances Holt Hall is not financially viable in the long term without continued financial support from NCC.”

The review also considered ideas put forward by management to reduce the deficit and concluded:

“We assessed the NPV (present value of cash inflows less the present value of cash outflows discounted at an appropriate rate) over a ten-year period from 2019 to 2029 associated with five of the proposed opportunities. Under each of the five opportunities in isolation, and cumulatively, the NPV is negative.

6 Alternative Options

- 6.1 Retaining the council's approach as it is, with the local authority acting as both provider of outdoor learning at Holt Hall and as an adviser including providing health and safety oversight will result in a continued need to subsidise delivery costs, invest significant capital in maintaining Holt Hall, and continue to restrict our ability to fulfil our leadership role across the outdoor learning sector in Norfolk.

6.2 Options Appraisal

- 6.2.1 Three future service delivery options have been considered:

Option 1	Continue to provide outdoor learning at Holt Hall - The council continues to operate and directly provide outdoor learning at Holt Hall.
Option 2	Explore a partnership approach - that enables a 3rd party to take over responsibility for operating Holt Hall and delivering outdoor learning activities onsite.
Option 3	Focus on leading an outdoor learning offer for Norfolk - The council ceases to operate and directly provide outdoor learning at Holt Hall and focuses on developing and enhancing the council's role and capacity to lead an outdoor learning offer.

- 6.2.2 The appraisal of these options, as detailed below, has informed the recommendation set out in this report, namely that the council focuses on its leadership role to be an enabler for outdoor learning rather than a provider (Option 3).

6.2.3

Option 1	Continue to provide outdoor learning at Holt Hall - The council continues to operate and directly provide outdoor learning at Holt Hall.
Advantages	<ul style="list-style-type: none">• The council maintains a presence in the outdoor learning marketplace.• There is continuity for schools who use these services for visits and for advisory support.

Disadvantages	<ul style="list-style-type: none"> • The council by acting as both a competitive provider of outdoor learning at Holt Hall and as an adviser (including providing health & safety oversight) causes a tension and compromises the council's ability to be able to be regarded as a trusted and impartial leader for outdoor learning by local providers. • Holt Hall is not achieving full cost recovery and retention of the site will require significant continued financial subsidy by the council. • It is unlikely that the financial position at Holt Hall will be addressed in any reasonable timeframe and will still require significant financial support from the council. The financial track record also suggests that savings would need to be made in other services to fund the activities at Holt Hall on an ongoing basis. • Retention of Holt Hall will necessitate initial and thereafter periodic capital investment to maintain the building and to ensure it continues to be fit for purpose. • There is no capacity to develop the council's strategic leadership role and a build a strong partnership approach for outdoor learning in Norfolk.
Summary	<p>This option does not support the development of the council's strategic leadership role for outdoor learning and requires ongoing financial subsidy, necessitating savings from other budgets. Therefore, taking into account the financial deficits and Cabinet's resolution in October 2010 for full cost recovery for outdoor learning, this is not considered a viable option.</p>

6.2.4

Option 2	Explore a partnership approach - that enables a 3rd party to take over responsibility for operating Holt Hall and delivering outdoor learning activities onsite.
Advantages	<ul style="list-style-type: none"> • The council maintains a presence in the outdoor learning marketplace. • There is continuity for schools who use these services for visits and for advisory support. • The outdoor learning experience may be enhanced through the sharing of expertise. • Exploring a transfer to a third party could result in a solution which partially offsets some of the financial burden by sharing the ongoing building costs. • Longer term, this option may reduce the amount council needs to subsidise Holt Hall. • A third party may have the resources and immediate financial support to further develop the overall offer at Holt Hall in a way which may improve the overall community

	offer as well as the wider support to Norfolk's children and young people.
Disadvantages	<ul style="list-style-type: none"> • The council by acting as both a competitive provider of outdoor learning at Holt Hall (albeit in partnership) and as an adviser (including providing health & safety oversight) causes a tension and compromises the council's ability to be able to be regarded as a trusted and impartial leader for outdoor learning by local providers. • There may be little appetite from potential partners in the current climate to pursue a partnership approach. • Children's Services will need to retain the financial burden until this option can be pursued. • There is a risk that the council is ultimately unable to secure a partnership arrangement for a third party to take over the operation at Holt Hall and a further review of Holt Hall will be required in the future. • Any potential third party may be unwilling to take on the responsibility for the building. Even if the building is leased out, a third party is unlikely to agree to take this on a full repair and maintenance basis, with the council still retaining at least a proportion of the financial liability associated with the forecasted ongoing maintenance. • It is unlikely that the financial position at Holt Hall will be addressed in the short term and will still require significant financial support from the council. The financial track record also suggests that savings would need to be made in other services to fund the activities at Holt Hall on an ongoing basis. • To make this option work, when previous attempts have not been wholly successful, suggests a different approach would be required, such as bringing in external support to focus on the commercial delivery. This is likely to drive additional costs in the short term.
Summary	<p>This is a high-risk option with limited benefit, which is unlikely to remove the necessity for sustained council subsidies. Given the financial deficits and Cabinet's resolution in October 2010 for full cost recovery for outdoor learning this is not considered a viable option.</p>

6.2.6	Option 3	<p>Focus on leading an outdoor learning offer for Norfolk -</p> <p>The council ceases to operate and directly provide outdoor learning at Holt Hall and focuses on developing and enhancing the council's role and capacity to lead an outdoor learning offer.</p>
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Advantages	<ul style="list-style-type: none"> • The council will lead the development and have a key role in an outdoors offer for all of Norfolk's children and young people. • Cabinet previously agreed a full cost recovery model and as Holt Hall runs at a financial loss, this option would eliminate the revenue liability. • The capital budget to ensure Holt Hall remains fit for purpose would not be required. • There will be a capital receipt from the sale of Holt Hall as a council owned site if the building is subsequently disposed of. • Statutory duties to support maintained schools to fulfil their health and safety responsibilities in relation to educational visits would continue to be delivered by the council. • The council will no longer be a competitor and will be trusted by providers as an impartial leader in developing Norfolk's outdoor learning. • There is continuity for Norfolk schools, children's homes and local authority teams who use the advisory support service.
Disadvantages	<ul style="list-style-type: none"> • Disposing of Holt Hall may attract negative public feedback, with significant emotional connection to the venues as it is recognised that many local people have visited Holt Hall and used the services. • There will be a one-off cost to decommission the service – the exact amount being dependent on exercising opportunities to transfer assets and/or functions.
Summary	<p>Ceasing provision of outdoor learning at Holt Hall will eliminate the financial risk for the council and will enable the council to fulfil a clear leadership role for outdoor learning, develop partnerships and engage with national practice and developments without being distrusted as a competitor.</p> <p>This is the recommended option.</p>

7. Financial Implications

- 7.1. Executive Directors have responsibility for managing their budgets within the amounts approved by the County Council and are required to take measures throughout the year to reduce or eliminate potential over-spends.
- 7.2. The main financial implications for outdoor learning provision are those relating to
 - Staff and running costs
 - Property costs

- 7.3. Financial analysis for Holt Hall has been based upon the best information available at the time of preparation. Operating Holt Hall has resulted in recurrent annual operating losses, reflected by the total deficit over the last 3 financial years of £274,000.
- 7.4. The proposed shift to be an enabler rather than provider of outdoor learning would remove the annual requirement to subsidise the operation of Holt Hall.
- 7.5. The disposal of Holt Hall would prevent the need for approximately £600,000 of capital expenditure estimated to be required in order to simply maintain the building over the next 10 years. This estimate is taken from a report by the council's property advisers, NPS Group dated February 2018.
- 7.6. More widely, taking account of emerging priorities within the context of the current Covid pandemic, exploration will be given to how the department can deploy resources to enable the integration of outdoor learning as part of a wider recovery approach to support both the educational and wellbeing needs of children and young people.

8. Resource Implications

8.1. Staff:

- 8.1.1 Staffing at Holt Hall is a mix of part- and full-time staff, managed by 1 shared Head of Centre (0.5FTE). There are 6 teaching & learning staff (2.2 FTE), 3 housekeeping staff (1.8 FTE), 3 business services staff (2.2 FTE), and 3 grounds staff (2 FTE).
- 8.1.2 Under these proposals, staff at Holt Hall will be at risk of redundancy. We will explore redeployment for the individuals concerned under the council's redeployment and retention policy in the first instance. For anyone in a redeployment situation, our aim is to retain skills within the council and to redeploy people where possible, with redundancy as a last resort. Should redundancy be the final outcome, any redundancy and pension strain costs will be borne by the council.
- 8.1.3 The council will follow established processes and timescales for formally notifying directly affected employees (and relevant trade unions) that they are at risk of redundancy and where eligible, provide them with access to redeployment opportunities. The timing in terms of issuing any notice will be dependent on decisions by Cabinet including any proposed date for closure.
- 8.1.4 Catering services at Holt Hall are provided by the Norse Group and although the council will not be liable for any redundancy costs in this respect, we will ensure that Norse are fully informed to enable them to fulfil their obligations in respect of their staff.

8.2 Property:

- 8.2.1 This paper sets out the formal proposal for the council to cease delivery of outdoor learning services from Holt Hall. If Cabinet approves this proposal, then there will be no requirement for the building to be retained by Children's Services on the basis that the vast majority of usage of Holt Hall by Children's Services is for outdoor learning activity.
- 8.2.2 The Executive Director for Children's Services has communicated to the Director of Property that subject to the approval of the recommendations in this paper the site will be surplus to Children's Services requirements
- 8.2.3 Elsewhere on the agenda is a separate report from the Cabinet Member for Commercial Services which will, subject to the decision on this agenda item, seek to declare Holt Hall as surplus to the requirements of Norfolk County Council.

8.3 IT:

- 8.3.1 ICT services would need to be decommissioned from Holt Hall.

9. Other Implications

9.1. Legal Implications

- 9.1.1 The council has no statutory duty to provide outdoor learning.
- 9.1.2 The council, as the employer of staff within Norfolk's maintained schools, has responsibilities related to educational visits under a range of legislative duties, including the Health and Safety at Work Act 1974 and the Corporate Manslaughter and Corporate Homicide Act (2007).
- 9.1.3 There is no statutory duty to consult around the provision of outdoor learning in Norfolk. However, the council recognises the role of Holt Hall and took the view that it was appropriate to consult with stakeholders including schools and other interested parties. This decision is based on all of the information collated within this report and takes into account, as demonstrated by paragraph 5.17 the various views and comments of a wide range of stakeholder and interested parties.
- 9.1.4 A summary of the feedback from this engagement is included in this report and available for Cabinet to consider.
- 9.1.5 The process undertaken in coming to this decision has been considered as requested by the Scrutiny Committee and is considered to be robust.

9.2. **Human Rights implications**

9.2.1 There are no Human Rights implications arising from this report.

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

- 9.3.1. As this report has detailed, children and young people greatly benefit from access to outdoor learning. There is evidence to suggest that this may be especially the case for children and young people with particular characteristics, such as disability.
- 9.3.2. This proposal is not seeking to reduce young people's access to outdoor learning, but rather, to reposition the council to be an enabler of outdoor learning in Norfolk, rather than a direct provider.
- 9.3.3. An equality impact assessment has been undertaken to examine the potential of this proposal to impact either positively or adversely on people with protected characteristics and consideration has been given to the demographic profile of children and young people currently using services, how existing services could change, and the accessibility and inclusion of outdoor learning currently offered by alternative providers.
- Phase 1 (understanding the impact): This equality impact assessment considers the potential impact of this proposal on people with protected characteristics. It draws conclusions based on the evidence available.
 - Phase 2 (development and implementation): If the proposal goes ahead, work will take place to develop the council's strategic leadership role for outdoor learning and expand the council's role as adviser to schools and community groups.
- 9.3.4. This equality impact assessment will continue to be updated to guide phase 2 of this process, specifically to maximise outdoor learning to the widest number of young people possible and those who are less likely to participate in outdoor learning for social, cultural and economic reasons. If any further equality impacts are identified, they will be brought to Cabinet to be determined. The equality impact assessment is attached to this report.

9.4. **Health and Safety implications**

9.4.1 The extent of the council's health and safety liabilities would depend on the approach agreed. This will be evaluated with support from the Health, Safety and Well-being Team together with any resource implications of that.

9.5. **Sustainability implications**

9.5.1 The proposals set out in this paper have the potential to contribute to sustainability improvements by:

- Increasing engagement with, understanding and conservation of the natural world through encouraging progressive, life-long outdoor learning
- Reducing transport carbon footprint by working to promote Norfolk-based outdoor learning experiences to Norfolk's schools, groups and communities

9.6. **Any other implications**

None

10. Risk Implications/Assessment

10.1. In assessing the risks of the proposed changes to the council's role in terms of outdoor learning, the risks associated with maintaining the existing outdoor learning delivery model have also been considered. These risks have informed consideration of any other options for future delivery. The information below summarises the key risks and issues from a customer, staffing and financial perspective.

10.2. **Summary of existing risks and issues:**

Customers: High

Being a provider of outdoor learning, within a competitive marketplace impedes the council from having open and impartial conversations with third party providers, thus constricting the council's ability to work across the sector to lead a coordinated and comprehensive outdoor learning offer.

Staffing: Low

Whilst maintaining the current outdoor learning model and approach may have little immediate direct impact on staff, the unsustainable financial position of Holt Hall will have to be considered even if the proposal does not proceed. This could potentially impact on staffing levels and working practices.

Financial: High

Holt Hall requires significant ongoing subsidy to maintain their current service operation. Additional capital investment in maintenance is required to sustain the level of health and safety, and customer experience.

10.3. **Summary of risks linked to this proposal:**

Customers: Medium

Any changes in staffing models or the operation of Holt Hall will have some impact on customers, reducing overall availability and choice for customers. Schools and other customers who do not currently use Holt Hall may still be impacted through the creation of greater demand elsewhere.

Engagement with alternative providers indicates that this risk is relatively low in terms of the sufficiency of other provision; however, all provision is currently impacted on by the current level of uncertainty due to the Covid pandemic.

Removing Holt Hall as a subsidised competitor is likely to make other offerings in Norfolk more financially viable and in the long run may encourage investment by other providers.

Whilst bookings at Holt Hall are often made 12 months in advance, this has been mitigated through a suspension of bookings being in place since March 2020 when Holt Hall was closed due to the Covid epidemic.

Staffing: High

There is a risk that members of the Holt Hall staffing team are made redundant. For those staff this will have a significant impact, and potential challenge in being able to seek alternative employment in the outdoor learning sector.

For the council there is a risk of a loss of a small number of highly skilled staff with particular expertise. This can be mitigated through providing staff with early access to redeployment opportunities.

Financial: Low

There will be an expected financial cost linked to decommissioning Holt Hall and the associated service. These costs will be relatively minor.

11. Select Committee comments

This report has not been considered by a Select Committee.

12. Recommendations

1. That the council should become an enabler of outdoor learning through providing advice, support and access to resources.
2. To discontinue outdoor learning provision from the Holt Hall site, with immediate effect.

13. Background Papers

13.1. [Cabinet Report](#) 6th April 2010 (Item 15)

[Cabinet Report](#) 11th October 2010 (Item 12)

[Cabinet Report](#) 24th January 2011 (Item 9.2)

[Children's Service Committee Report](#) 28th June 2016 (Item 9)

Grant Thornton report review of Holt Hall 12/09/2019 (Annex A)

Officer Contact

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

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

APPENDIX 1

List of 3rd party outdoor learning providers in Norfolk offering residential visits and engaged as part of the review

- Aylmerton Field Study Centre (North Norfolk)
- Brancaster Activity Centre (North Norfolk)
- Eaton Vale Activity Centre (Norwich)
- Hautbois Activity Centre (Broadland)
- Hilltop Outdoor Centre (North Norfolk)
- The Horstead Centre (Broadland)
- How Hill Trust (Broadland)

- Norfolk Lakes Activity Centre (Manor) (Breckland)
- Kingswood - Overstrand Hall (North Norfolk)
- Kingswood - West Runton (North Norfolk)
- Whitwell Hall Country Centre (North Norfolk)
- Thorpe Woodlands Adventure Centre (Breckland)



Norfolk County Council

Review of outdoor learning services at Holt Hall

Equality Impact Assessment – Findings and Recommendations
9/11/2020

Chris Snudden

This assessment helps you to consider the impact of service changes on people with protected characteristics. The assessment can be updated at any time to inform service planning and commissioning.

For help or more information please contact Equality & Diversity team, email: equality@norfolk.gov.uk or tel: 01603 223816.

The purpose of equality assessments

The purpose of an equality assessment is to enable elected members to consider the potential impact of decisions on different people and communities prior to decisions being taken. Mitigating actions can be developed if detrimental impact is identified.

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

The Legal context

Public authorities have a duty under the Equality Act 2010 to consider the implications of proposals on people with protected characteristics. The Act states that public bodies must pay due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act¹;
- Advance equality of opportunity between people who share a relevant protected characteristic² and people who do not share it³;
- Foster good relations between people who share a relevant protected characteristic and people who do not share it⁴.

The full Act is available [here](#).

The assessment process

Dynamic equality impact assessment:

Phase 1 - (understanding the impact): This equality impact assessment considers the potential impact of this proposal on people with protected characteristics. It draws conclusions based on the evidence available.

Phase 2 - (development and implementation): If the proposal goes ahead, work will take place to develop the Council's strategic leadership role for outdoor learning and expand the Council's role as adviser to schools and community groups.

Phase 3 - This equality impact assessment will continue to be updated to guide Phase 2 of this process, specifically to maximise outdoor learning to the widest number of young people possible - particularly those who are less likely to participate in outdoor learning for social, cultural and economic reasons. If any further equality impacts are identified, they will be brought to Cabinet to be determined.

Children's Services proposal

That the council focuses on its leadership role to be an enabler for outdoor learning rather than a provider of outdoor learning at Holt Hall.

This would involve:

- Developing the council's strategic leadership role for outdoor learning and building partnerships across the sector, so that we can promote collaborative working, support practice development, link with national research and secure outdoor learning investment opportunities that benefit Norfolk.
- Retaining and expanding the council's role as adviser, including health & safety oversight, training and support to schools, and community groups, through the Covid pandemic and beyond.
- Relinquishing the council's role as an outdoor learning provider and ceasing to directly provide outdoor learning which constitutes day and residential visits at Holt Hall.

Who is affected?

The proposals will affect all children and young people in Norfolk, including those with protected characteristics; it will also affect staff:

People of all ages	YES
Disability (all disabilities and long-term health conditions, including but not limited to people with, for example, reduced mobility; Blind and partially sighted people; D/deaf and hearing impaired people; people with mental health issues; people who are neurodiverse; people with learning difficulties and people with dementia).	YES
Gender reassignment (e.g. people who identify as transgender)	YES
Marriage/civil partnerships	NO
Pregnancy & Maternity	YES
Race (different ethnic groups, including Gypsies and Travellers)	YES
Religion/belief (different faiths, including people with no religion or belief)	YES
Sex (i.e. men/women/intersex/people who identify as non-binary)	YES
Sexual orientation (e.g. lesbian, gay and bisexual people)	YES

Analysis of proposal and potential impact

1. If the proposal goes ahead, it will impact on all children and young people in Norfolk, including those with protected characteristics. The nature of the impact will differ depending upon the young person's circumstances.
2. For example, over the longer term, for most young people, there should be a positive impact if the council is able to focus on supporting the wide range of third-party outdoor learning providers in Norfolk. This will mean that children and young people are able to access outdoor learning that is high quality and in a variety of settings. They will be able to access learning that is better tailored to the different needs of young people with protected characteristics – for example, children with special educational needs and disabled young people.
3. In the shorter term, for the relatively small number of children and young people who currently use Holt Hall, there may be a detrimental impact, because they would no longer be able to access Holt Hall and have to use other venues.
4. It is important that all young people in Norfolk are able to benefit from outdoor provision, not just those who are able to access Holt Hall.
5. Therefore, this assessment examines in detail the different ways in which the proposal may impact on current users of Holt Hall and staff.
6. If the proposal goes ahead it will remove a significant operating deficit for the council from operating Holt Hall, allowing better use of limited resources.
7. Holt Hall is a Grade II listed Victorian country house set in 75 acres of woodland, lakes and gardens. It has limited accessibility for disabled people by nature of the site.

Analysis of the people affected by the proposal

- This proposal will potentially impact on Norfolk school children, aged 5-16 of which there are 112,000 within Norfolk. This will predominantly be primary school age (5-11), as these are the largest group of users at Holt Hall.
- However, due to the low numbers who attend Holt Hall for residential and/or day visits annually, the percentage of Norfolk's children directly affected is very small. The majority of Norfolk children do not regularly visit Holt Hall, and those that do, generally visit no more than once a year, with their peers.
- During 2019 only 2492 pupils attended a residential or day visit at Holt hall representing 2.2% of the total school age population.
- Children and young people visiting Holt Hall do so under supervision of their own school staff and Holt Hall does not collect, nor do schools provide, user data in terms of protected characteristics. However, based on the demographic profiles of schools using Holt Hall, we can state that the proportion of children and young people with protected characteristics using Holt Hall are lower than Norfolk school averages.

- A proportion of the children and young people accessing Holt Hall will have additional needs and other protected characteristics. However, Holt Hall is not a service specifically targeted to children with additional needs, vulnerabilities or other protected characteristics and does not offer specialist staff or support which responds to these more targeted needs. Our analysis is that there are no specific cohorts of young people accessing Holt Hall whose needs could not be met at other outdoor learning centres.
- The majority of children and young people using Holt Hall do not come from North Norfolk, and therefore using the range of other venues will not result in them having to travel further.
- This proposal will also impact on Norfolk County Council staff who are based at Holt Hall and undertake management, teaching and learning, housekeeping and grounds maintenance roles.

Potential impact

1. There may be some detrimental impact on children and young people who have previously accessed outdoor learning at Holt Hall. This is because, if the proposal goes ahead, some schools may choose to not provide residential and day visits in the same way. However, this detrimental impact is likely to be limited, as there is a wide range of alternative outdoor learning opportunities provided by third party organisations that many schools already use.
2. These third-party providers are committed to tailoring their provision as required to meet the needs of children and young people. Because of this, there is no evidence that the proposal may have a detrimental impact on children and families who are disabled, Black, Asian or minority ethnic, gender reassigned, or who have a religion or belief or other protected characteristic.
3. It is possible that there may be some circumstances in which some detrimental impact occurs on pupils with protected characteristics. This is because their schools, who select the venues for residential and day visits, may have reduced choice of venues for residential and day visits, due to local factors or lack of alternative provision in the area. However, this detrimental impact is likely to be limited given that children with SEND, alongside children eligible for Free School Meals, pupils with English as an Additional Language and Minority Ethnic children, are underrepresented in pupils currently using Holt Hall for a residential visit.
4. Another potential scenario is that a small number of young people who have visited Holt Hall may find the change to visiting another venue challenging, particularly young people who may be neurodiverse, who have mental health issues, or who have formed a close attachment to Holt Hall, and who may find any changes challenging. However, schools will be able to support these young people to navigate the change positively. An important aspect of the proposal is to ensure that as many

children as possible benefit from outdoor learning in Norfolk, and not just the specific cohort that can use Holt Hall.

5. There could be a limited detrimental impact for disabled children or children with significant additional needs if this proposal is agreed. However, as Holt Hall does not operate as a specialist residential provider and is a Grade II listed building and whilst adaptations have been made, only the ground floor is suitable for some provision, disabled children's needs are not well met by the current site. This is another driver for the proposal, as it is not appropriate for the council to be funding outdoor learning provision that is not accessible and inclusive of all children and young people. It.
6. There are a number of third-party providers offering residential outdoor learning in Norfolk, all of whom have accessible provision. All providers have experience in adapting activities for disabled children and young people and are committed to adapting services wherever possible to enable those with additional needs to join in activities. One provider offers specialist provision for disabled children and has a fully accessible site, significant accommodation and a wide range of accessible activities.
7. There will inevitably be an impact for the thirteen council employees if this proposal is agreed as staff at Holt Hall will be at risk of redundancy. However, there is no evidence that there will be any disproportionate impact for staff with protected characteristics within the small staff team.
8. There could be a disproportionate impact for volunteers at Holt Hall as mostly are mature adults with spare time to support Holt Hall, including women, older people and disabled people. However, we would mitigate against this by working with them to find alternative volunteering opportunities if desired.

Recommended actions

	Action	Lead	Date
1	<p>To use our leadership role as an enabler of outdoor learning to particularly focus on access to provision for children with additional educational needs or other vulnerabilities.</p> <p>This will include working with schools, settings and providers around;</p> <ul style="list-style-type: none"> • Providing effective guidance and support to practitioners around planning, organising and booking outdoor learning experiences – in particular in relation to inclusive practice for children with additional needs • Promoting outdoor learning opportunities, campaigns and social action • Working with and challenging providers to ensure their offer is comprehensively 	John Crowley	Ongoing from December 2020

	Action	Lead	Date
	<p>inclusive for children with additional needs and other key cohorts</p> <ul style="list-style-type: none"> • Developing easy-to-access information and resources • Promoting the benefits of outdoor learning. 		
2	<p>To expand the range of outdoor learning opportunities and experiences for children with additional educational needs or other vulnerabilities through new strategic partnerships.</p> <p>Including:</p> <ul style="list-style-type: none"> • attracting external investment in the NCC outdoor learning agenda • Brokering new projects and experiences for children with additional needs • Forming closer links between support services and organisations for children with additional needs and outdoor learning providers • Building the evidence base around the impact of outdoor learning, • Improving inclusive practice 	John Crowley	Ongoing from December 2020
3	<p>If the proposal goes ahead, to closely monitor implementation, and if any impacts on people with protected characteristics are identified that have not been anticipated in this assessment, Cabinet to be informed of this so a decision can be made about to proceed and how to mitigate this impact.</p>	Chris Snudden	Ongoing from December 2020
4	<p>To work with the cohort of volunteers at the Holt Hall site and identify alternatives they can take up.</p>	Chris Snudden	December 2020

Conclusion

- 1.1 There is no legal impediment to going ahead with the proposal. It would be implemented in full accordance with due process, national guidance and policy. Similar proposals have been implemented elsewhere in the UK.
- 1.2 It is possible to conclude that the proposal may have some detrimental impacts on some people with protected characteristics, for the reasons set out in this assessment. It may also have some positive impacts for pupils, teachers and schools in Norfolk, also set out in the assessment.
- 1.3 Decision-makers are therefore advised to take these impacts into account when deciding whether or not the proposal should go ahead, in addition to the mitigating actions recommended below.
- 1.4 Some of the actions will address the potential detrimental impacts identified in this assessment, but it is not possible to address all the potential impacts. Ultimately, the task for decision-makers is to balance these impacts alongside the need to manage reduced resources and continue to target support at those who need it most.

Evidence used to inform this assessment

- Norfolk County Council's [Equality, Diversity and Inclusion Policy](#)
- Norfolk County Council's [Equality, Diversity and Inclusion Objectives](#)
- Demographic factors set out in [Norfolk's Story 2019](#)
- Norfolk County Council [Area Reports](#) on Norfolk's JSNA relating to protected characteristics:
- Business intelligence and management data, as quoted in this report
- Equality Act 2010 and Public Sector Equality Duty codes of practice

Further information

For further information about this equality impact assessment please contact Chris Snudden chris.snudden@norfolk.gov.uk

¹ Prohibited conduct:

Direct discrimination occurs when someone is treated less favourably than another person because of a protected characteristic they have or are thought to have, or because they associate with someone who has a protected characteristic.

Indirect discrimination occurs when a condition, rule, policy or practice in your organisation that applies to everyone disadvantages people who share a protected characteristic.

Harassment is “unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual’s dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual”.

Victimisation occurs when an employee is treated badly because they have made or supported a complaint or raised a grievance under the Equality Act; or because they are suspected of doing so. An employee is not protected from victimisation if they have maliciously made or supported an untrue complaint.

2 The protected characteristics are:

Age – e.g. a person belonging to a particular age or a range of ages (for example 18 to 30 year olds).

Disability - a person has a disability if she or he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

Gender reassignment - the process of transitioning from one gender to another.

Marriage and civil partnership

Pregnancy and maternity

Race - refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

Religion and belief - has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (such as Atheism).

Sex - a man or a woman.

Sexual orientation - whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

3 The Act specifies that having due regard to the need to advance equality of opportunity might mean:

- Removing or minimizing disadvantages suffered by people who share a relevant protected characteristic that are connected to that characteristic;
- Taking steps to meet the needs of people who share a relevant protected characteristic that are different from the needs of others;

-
- Encouraging people who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such people is disproportionately low.

4 Having due regard to the need to foster good relations between people and communities involves having due regard, in particular, to the need to (a) tackle prejudice, and (b) promote understanding.

Report to Cabinet

Item No. 17

Report title:	Disposal, acquisition and exploitation of property
Date of meeting:	7 December 2020
Responsible Cabinet Member:	Councillor Greg Peck Cabinet Member for Commercial Services and Asset Management.
Responsible Director:	Simon George Executive Director for Finance and Commercial Services.
Is this a key decision?	Yes – for Holt Hall No – for remaining items
<p>Executive Summary/Introduction from Cabinet Member</p> <p>Proposals in this report are aimed at supporting Norfolk County Council (NCC) priorities by exploiting properties surplus to operational requirements, pro-actively releasing property assets with latent value where the operational needs can be met from elsewhere and strategically acquiring property to drive economic growth and wellbeing in the County.</p> <p>One of the key strategic actions within the Asset Management Plan is a sharp focus on maximising income through adoption of a more commercial approach to property.</p> <p>As part of corporate management of property and a systematic approach to reviewing the use and future needs of property assets for service delivery there is a continued emphasis on minimising the extent of the property estate retained for operational purpose. However, on occasion there will be the requirement to acquire or reuse an individual property to support a service to delivers its aims.</p> <p>By adopting a “single estate” approach within the County Council and sharing property assets with public sector partners through the One Public Estate programme, the Council is aiming to reduce net annual property expenditure by £1.7million over the next two years (2020/21 to 2021/22).</p> <p>Consideration is also given to the suitability of surplus property assets for reuse or redevelopment to meet specific service needs that could improve the quality of services for users, address other policy areas and/or improve financial efficiency for the County Council, for example, facilitating the supply of assisted living accommodation and other housing solutions for people requiring care, or undertaking re-development to support jobs and growth.</p> <p>This means that as well as continuing with the rationalisation of the operational property estate to reduce the number of buildings used by the County Council, a more commercial approach is being adopted over the sale or redeployment of surplus property assets.</p>	

Recommendations

Cabinet is asked:

- 1. To formally declare 5 former County Farms Estate sites as listed in the report at Brisley, Litcham, Terrington St Clement, Stow Bardolph and Southery surplus to County Council requirements and instruct the Director of Property to dispose of the properties. In the event for each disposal the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offers.**
- 2. Should Adults Services decide not to reuse the property Cabinet is asked to formally declare the Land at Reepham Road, Drayton (5021/014 part) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**
- 3. To formally declare 3 former highway sites as listed in the report at Erpingham, Repps with Bastwick and Swaffham surplus to County Council requirements and instruct the Director of Property to dispose of the properties. In the event for each disposal the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offers.**
- 4. Should Childrens Services and Adults Services decide not to reuse the property at Thorpe End, The Railway Crossing, Great & Little Plumstead (5026/015), Cabinet is asked to formally declare the site surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**
- 5. That, subject to the decision at Cabinet on the future of outdoor learning on the 7th December 2020, which would lead to the property no longer being required for NCC service delivery, Cabinet is asked to formally declare Holt Hall, Kelling Road, Holt NR25 7DU (1049/024) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event a disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**
- 6. To formally declare Land at Manor Road, North Walsham (1074/034B part) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event the disposal receipt**

exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

- 7. To formally declare Land at Newman Road, Rackheath (5045/015) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**

1.0 Background and Purpose

- 1.1. The County Council actively manages its property portfolio in accordance with the Asset Management Plan. Property is held principally to support direct service delivery, support policy objectives, held for administrative purposes or to generate income. Property is acquired or disposed of as a reaction to changing service requirements, changing council policies or to improve the efficiency of the overall portfolio.
- 1.2. The County Council challenges the use of its property on an ongoing basis. In the event of a property asset becoming surplus to an individual service need there are internal officer led processes to ascertain whether other service areas have an unmet need that could be addressed by re-using the property asset for that service. This may lead to a change of use of individual properties, for example, an office building may be adapted and reused for operational service delivery. Any proposals for retention are only agreed if supported by a robust business case showing the benefits to the County Council and are funded from approved budgets. This assessment will also consider whether a property could be offered at best consideration to public sector or third sector partners.
- 1.3. The above assessments are carried out by the Corporate Property Officer (the Director of Property) in consultation with the Corporate Property Strategy Group (CPSG). Once it is confirmed there is no further County Council requirement, Cabinet is asked to formally declare property assets surplus or re-designate for alternative purposes.
- 1.4. The Corporate Property Officer reviews options for maximising income from surplus properties usually by open market sale to obtain the best consideration possible. These will range from selling immediately on the open market (to the bidder making the best offer overall), enhancing the value prior to sale, strategic retention for a longer-term benefit through to direct development of the land and buildings and selling/letting the completed assets, in the expectation of enhanced income for the Council. Most disposals will be by way of tender or auction. In respect of auctions the contract of sale will be formed at the fall of the hammer and where this approach is selected the Corporate Property Officer will determine a reserve below which the property will not be sold. Most disposals will

include overage/clawback provisions to enable the council to collect future uplifts in value created by alternative uses.

- 1.5. For properties to be sold immediately there is sometimes a need to consider selling directly to a specific purchaser instead of going to the open market. This may be justified where the third party is in a special purchaser situation and is willing to offer more than the assessed market value. Conversely this might be to a purchaser who is in a unique position of control for the unlocking of the full latent value of the County Council owned site (ransom situation). A direct sale without going to market can also be justified if there are specific service benefits or a special partnership relationship which is of strategic value with service/community benefits.
- 1.6. In making recommendations for direct sale without going to market, or direct property development, the Corporate Property Officer will consider risks, opportunities, service objectives, financial requirements and community benefits.
- 1.7. The recommendations for all disposals, acquisitions and exploitation of NCC property in this report follow detailed assessment by officers of the range of options available. The recommendation for each property is based on existing policies and strategies and judged to provide the best return to the County Council in financial terms and, where appropriate, taking account of community and economic benefits.

2.0 Proposals

County Farms Estate – various sites

- 2.1 As a result of ongoing reviews of properties on the County Farms estate five sites have been identified as surplus to the operational requirements of the County Farms estate, listed in the table as follows (site plans in **Appendix 1**):

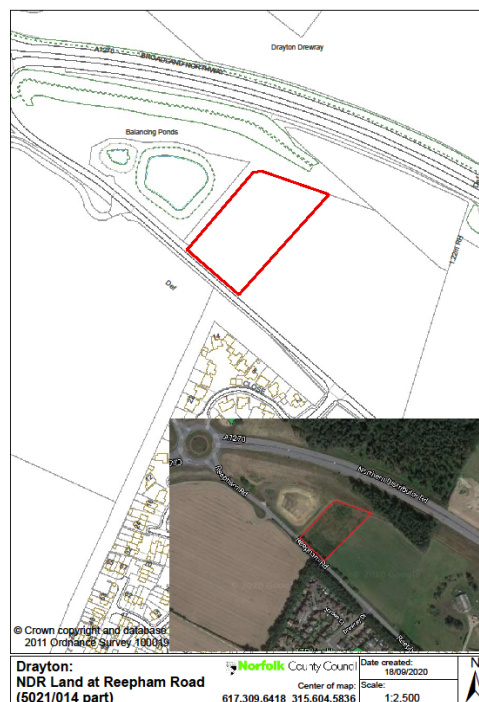
Parish	Site name	Unique Site Reference	Approximate Site area
Brisley	Land off Gateley Road	3015/024 (CF Field no 31)	7.65 Hectares (18.91 acres)
Litcham	Barns and land at Oaklands Farm	3054/100 (CF Fields 9 & 10)	1.23 Hectares (3.03 acres)
Terrington St Clement	Land at Bank Farm	2078/105 (CF field no part 2)	0.41 Hectares (1 acre)
Stow Bardolph	Widders Farm	2075/105 (CF field no 332)	0.13 Hectares (0.32 acres)
Southery	Farthing Drove Farm	2071/100 (CF field no 29)	0.06 Hectares (0.15 acres)

Following the proposed disposal of these five sites the County Farms Estate will still exceed 16,000 acres thereby meeting the minimum size requirement as set out in the County Council's constitution.

- 2.2 Following a review by the Director of Property in consultation with CPSG it has been confirmed that none of the sites listed in the table are required for use by other NCC services.
- 2.3 It is proposed to dispose of these sites through open market sale by auction or tender.
- 2.4 The respective Divisional Members has been informed of the proposal to dispose of these sites.

Drayton – Land at Reepham Road (5021/014 part)

- 2.5 This land, edged red on plan, was acquired as part of a larger acquisition for the Northern Distributor Road (NDR) project and has an approximate area of 0.87 hectares (2.15 acres).
- 2.6 This land has been identified as being surplus to the NDR scheme. An initial review is being undertaken to check whether the Crichel Down rules apply whereby the land is offered back to the previous owner.
- 2.7 The Director of Property has reviewed this site with CPSG to ascertain any NCC service use requirements and it has been confirmed that Adults Services wish to investigate this site to ascertain its potential to support their service delivery.



- 2.8 If Crichel Down Rules do not apply and the potential reuse by Adults Services is not realised it is proposed to dispose of this site by open market sale through auction or by tender.
- 2.9 The Division Member have been informed of this proposal.

Former Highways Land Holdings

- 2.10 The Council's property portfolio includes several land parcels that were acquired by NCC for highway schemes but were not directly fully utilised. The three sites listed in the table below fall into this category (site plans in **Appendix 2**):
- 2.11 The three sites listed in the table have been declared surplus by Community and Environmental Services. Following a review by the Director of Property in consultation with CPSG it has been confirmed that all 3 sites are not required for NCC service use.

Parish	Site	Approximate Site area
Erpingham	Land adjoining A140	0.93 Hectares (2.29 acres)
Repps with Bastwick	Former railway line adjacent A149	0.27 Hectares (0.67 acres)
Swaffham	Land at A1122 Downham Road	0.19 Hectares (0.46 acres)

- 2.12 Individually the savings in property costs from such disposals are small, however, their continued ownership does require management and there are risks of periodic expenditure to deal with grounds maintenance, fly tipping and health and safety works. It is for this reason the County Council has had an ongoing programme since 2016 to dispose of such sites. To date these disposals have realised £1.038million in capital receipts that has been applied to the capital programme.
- 2.13 Based on initial investigation work there may be interest from adjoining landowners and other interested parties to acquire some of the land parcels however it is proposed to dispose of these sites through open market sale by auction or tender.
- 2.14 The respective Divisional Members have been informed of the proposal to dispose of these sites.

Great & Little Plumstead – Thorpe End, The Railway Crossing (5026/015) (aka Railway Cottage)

- 2.15 This property was acquired by NCC in 2015 as part of the NDR project. The property has been utilised by contractors working on the NDR as a site office. The building has an approximate area of 185m² on a site amounting to 0.6 hectares (1.49 acres).

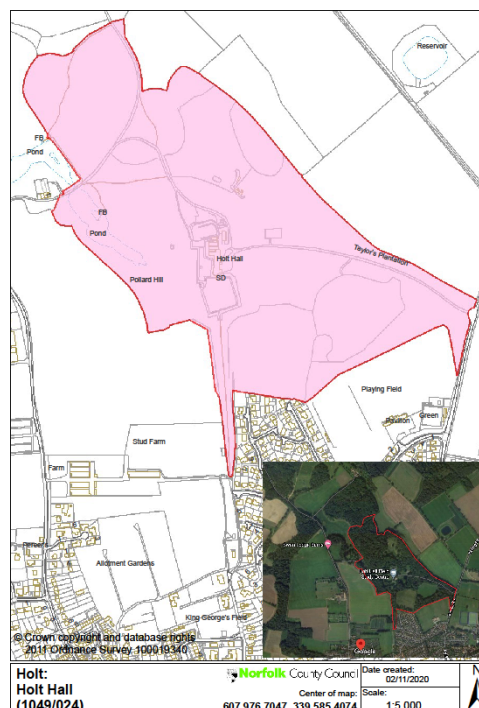
- 2.16 Following a review by the Director of Property in consultation with CPSG it was declared surplus to service use in 2018. Subsequently Adults Services and Childrens Services have both been exploring options to reuse the property.



- 2.17 The Director of Property is assessing these options, however, should these options not be realised it is proposed to dispose of this site by open market sale through auction or by tender.
- 2.18 The Division Member has been informed of this proposal.

Holt - Holt Hall, Kelling Road NR25 7DU (1049/024)

- 2.19 This property edged red on the plan is owned by NCC after being acquired in 1946. The overall site area is approximately 33.62 hectares (83.10 acres) and the buildings gross internal area is approximately 2,640m² (28,416ft²). Holt Hall is grade II listed as a building of special architectural or historic interest.
- 2.20 Children's Services have undertaken a staff consultation and review of services delivered at this site. The results of this review have been reported to Cabinet elsewhere on this agenda.
- 2.21 If Cabinet determine this site is surplus it is proposed to dispose of the site and building on an all enquiries basis. Any disposal, which includes leasing, or disposal of the freehold would be on the basis of an open market tender processes. No alternative use for the property has been identified by NCC services. Although no detailed appraisals have been undertaken it is likely the potential receipt for this site will be in excess of £1.25million and as such will be a key decision.
- 2.22 As part of the review undertaken by Children's Services the local divisional member has been informed.



North Walsham – Land at Manor Road (1074/034F part)

- 2.23 This property edged red on the plan is owned by NCC and is approximately 80m² (0.02 acres) in area.
- 2.24 Childrens Services have declared the land surplus to operational requirements and have confirmed that it was never utilised as part of the school site.
- 2.25 Following a review by the Director of Property in consultation with CPSG it has been confirmed that the site is not required for NCC service use.
- 2.26 It is proposed to dispose of this site by open market sale through auction or by tender.



2.27 The Division Member has been informed of this proposal.

Rackheath – Land at Newman Road (5045/015)

2.28 This land, edged red on plan, was acquired as part of a larger acquisition for the NDR project and has an approximate area of 0.085 hectares (0.21 acres).

2.29 This land has been identified as being surplus to the NDR scheme. An initial review is being undertaken to check whether the Crichel Down rules apply whereby the land is offered back to the previous owner.

2.30 Following a review by the Director of Property in consultation with CPSG it has been confirmed that the site is not required for NCC service use.

2.31 If Crichel Down Rules do not apply it is proposed to dispose of this site by open market sale through auction or by tender.

2.32 The Division Member has been informed of this proposal.



3.0 Impact of the Proposals

3.1 Property disposals will provide capital receipts for the council to support the capital program and hence service delivery. The County Council will apply the capital receipts to meet its priorities.

4.0 Evidence and Reasons for Decision

4.1 Declaring the sites and land holdings surplus to County Council use means that the Corporate Property Team can consider options for the disposal and exploitation of these sites.

5.0 Alternative Options

5.1 Declaring sites and land holdings surplus is a result of the sites no longer being required for service delivery. The alternative would be to retain resulting in incurring holding costs for an asset that is not contributing to service delivery.

6.0 Financial Implications

6.1 Disposals outlined in this report will provide the opportunity for capital receipts and savings in holding costs.

7.0 Resource Implications

7.1 **Staff:** nil.

7.2 **Property:** As described in the earlier parts of this report.

7.3 **IT:** nil.

8.0 Other Implications

8.1 **Legal Implications:** For disposals in the usual way the legal implications are around the parties agreeing to the terms of the agreement for each disposal and entering a contract.

8.2 **Human Rights implications** - No implications.

8.3 Equality Impact Assessment (EqIA)

No specific EqIA has been undertaken in respect of the disposal of sites. In respect of declaring Holt Hall surplus to County Council use an EqIA will have been undertaken as part of the service review.

8.4 **Health and Safety implications** - No implications.

8.5 Sustainability implications

Future redevelopment of disposed sites would require planning permission and therefore would be mindful of sustainability measures.

9.0 Risk Implications/Assessment

9.1 The risks around disposals are around the non-agreement of terms. This risk is mitigated using experienced expert consultants.

10.0 Recommendations

10.1 Cabinet is asked to formally declare 5 former County Farms Estate sites as listed in the report at Brisley, Litcham, Terrington St Clement, Stow Bardolph and Southery surplus to County Council requirements and instruct the Director of Property to dispose of the properties. In the event for each disposal the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offers.

10.2 Should Adults Services decide not to reuse the property Cabinet is asked to formally declare the Land at Reepham Road, Drayton (5021/014 part) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

10.3 Cabinet is asked to formally declare 3 former highway sites as listed in the report at Erpingham, Repps with Bastwick and Swaffham surplus to County Council requirements and instruct the Director of Property to dispose of the

properties. In the event for each disposal the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offers.

- 10.4 Should Childrens Services and Adults Services decide not to reuse the property at Thorpe End, The Railway Crossing, Great & Little Plumstead (5026/015) Cabinet is asked to formally declare the site surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of the disposal receipt exceeds delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
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Officer Contact

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

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

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Appendix 1 – County Farms Estate – various sites





Appendix 2 - Former Highways Land Holdings

