

Cabinet

“Due to the evolving coronavirus situation, the Cabinet meeting scheduled to be held on 6 April 2020 has been cancelled. The items which were due for consideration at that meeting are included in this agenda.

Cabinet Members will make Delegated Decisions based on these reports and the decisions will be published on 6 April 2020 when Cabinet would normally have made them. The decisions will be subject to the call-in process in the usual way.”

Date: **Monday 6 April 2020**

Time: **Cancelled**

Membership:

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

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- Report by the Executive Director of Community & Environmental Services.

Tom McCabe
Head of Paid Service
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Date Published: 27 March 2020

Report to Cabinet

Item No. 1

Report title:	Living Well – Homes for Norfolk Independent Living – Acle
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Bill Borrett, Cabinet Member for Adult Social Care, Public Health & Prevention.
Responsible Director:	James Bullion, Executive Director of Adult Social Services.
Is this a key decision?	Yes

Introduction from the Cabinet Member

Norfolk County Council (NCC) is committed to a vision of supporting people to be independent, resilient and well. The Adult Social Care (ASC) Promoting Independence strategy identified a requirement for a range of housing options to help people maintain their independence. Having appropriate supported housing available in the right locations, at the right time and with the right characteristics will go a long way to fulfil our vision of keeping people independent.

Independent Living housing provides an independent living option for older people, is less expensive than residential care and is identified as an effective way of supporting people to remain independent in their communities. Increasing provision of independent living to match future demand will deliver circa £4m gross revenue saving per year.

Our first independent living site is currently under construction and this, our second site in Acle, will also form part of the programme to meet this demand. With construction set to begin in Summer 2020, this second scheme will send an important signal to the market that Norfolk is committed to fulfilling its ambitious plans and is open for business.

Executive summary

This report summarises the business case for approving £1,257,000 capital funding from the Living Well Homes for Norfolk capital programme to Saffron Housing Trust to support the development and secure nomination rights for NCC for 41 apartments in a new 58 unit independent living scheme for older people in Acle, Broadland district.

In October 2018, Council approval was given to establish a dedicated programme, Living Well Homes for Norfolk, to facilitate the development of independent living housing in Norfolk and agreement to fund capital investment up to £29m over the life of the programme. There is a balance of £28.7m remaining. The creation of independent living units across the county will provide many older people with an alternative housing option that recognises their growing care needs and allow them to continue living independently in their local communities.

Independent living housing (also referred to as extra care) has been identified as a way of reducing unnecessary residential care admissions. Evidence has demonstrated that a significant proportion of residential care admissions in Norfolk are for people with relatively low care needs, suggesting that alternatives to residential care would have been appropriate. The current provision of independent living housing for older people in the county is low. Demand analysis has shown that Norfolk requires 2,842 independent living units by 2028. Broadland has an unmet need for 478 units of independent living by 2028. The proposed Herondale development will contribute 58 units

to this demand

Recommendations

Cabinet is recommended:

- (a) **To approve £1,257,000 of capital contribution funding from the Living Well Homes for Norfolk capital programme to Saffron Housing Trust to support the development and secure nominations rights for 41 apartments in a new 58 independent living scheme for older people in Acle, Broadland**

1. Background and purpose

- 1.1 In October 2018, Council approval was given to establish a £29m dedicated programme, Living Well Homes for Norfolk, to facilitate the development of independent living housing in Norfolk. The creation of independent living units across the county will provide many older people with an alternative housing option that recognises their growing care needs and allow them to continue living independently in their local communities. In October 2018, Adult Social Care Committee agreed the principles of the programme, which are contained [here](#), (page 60)
- 1.2 Independent Living housing provides an independent living option for older people, is less expensive than residential care and is identified as an effective way of supporting people to remain independent in their communities. Increasing provision of independent living to match future demand will deliver circa £4m gross revenue saving per year.

2. Proposals

- 2.1 This paper recommends one decision to Cabinet to support development, subject to planning, of a new independent living scheme for older people in Acle, Broadland District Council.
- 2.1 To approve £1,257,000 of capital contribution funding from the Living Well Homes for Norfolk capital programme to Saffron Housing Trust to support the development and secure nomination rights for 41 apartments in the development of a new 58-unit independent living scheme for older people in Acle, Broadland District Council.
- 2.2 The scheme is a new 58-unit independent living facility in Acle, within the Broadland District Council area. This is made up of 10 two-bed flats and 48 one-bed flats on a 1.77 acre site. All homes are to be affordable and accessible. The scheme will be run and managed by Saffron Housing Trust, as a registered provider. On-site domiciliary care will be provided by Norse care. Tenants and owners, as they are in their own homes, will retain the right to purchase care from any provider they wish
- 2.3 Forty-one of these units will be affordable rent made up of mixture of one and two bed apartments.

Unit numbers	One-bed	Two-bed	Total
Number of affordable rent units (NCC nominations)	38	3	41
Number of shared ownership	10	7	17
Total number of units at the site			58

- 2.4 Forty-one of these units will be affordable rent and NCC will secure nomination rights for all of these units, with the gap funding of £1,257,000. This equates to a capital contribution of £30,658 for each affordable unit that NCC has nomination rights for.

- 2.5 Securing nomination rights to the scheme will ensure delivery of revenue savings to adult social care.
- 2.6 The scheme will provide new housing options for older people, whose current home may no longer be suitable or who are increasingly frail or have growing care needs. The priority for tenancies will be given to residents of the local district.
- 2.7 The scheme is an ideal location for independent living, as it is located next to the Acle Medical Partnership, Acle Methodist Church and Acle War Memorial Recreation Centre and a short walk to the nearest bus stop, providing regular services to both Norwich city centre and Great Yarmouth and other local areas.
- 2.8 Subject to planning approval, construction is set to begin Summer 2020 and the scheme complete by Autumn 2021.

3. Impact of the proposal

- 3.1 On completion of the site, Herondale Independent Living will deliver on-going revenue benefits to NCC.
- 3.2 There are numerous studies which demonstrate the benefits of Independent Living environments for people, including reduction in number of GP visits, reduction in falls and improvements in general health and wellbeing.

4. Evidence and reasons for decision

- 4.1 Norfolk County Council (NCC) has a programme of work to support independent living (also called extra care) housing developments with capital contributions in exchange for nomination rights. Some of these schemes are not financially viable for the market to provide but they allow vulnerable people to live independently for longer and they reduce need for placements in residential care homes.
- 4.2 Based on the demand data, there is an estimated total requirement for 478 extra care housing units in Broadland. Of these, 191 units should be for affordable rent and 287 should be for sale (either shared ownership or outright sale).
- 4.3 Saffron Housing Trust have provided a range of information about the scheme which has been assessed and validated against the criteria set out by the programme, including design standards (including accessibility), communal space, location, assistive technology provision and commitment to the planned and unplanned care model. The outcome of these assessments is that the programme recommends the scheme as meeting the criteria for a Living Well Homes for Norfolk capital contribution.
- 4.4 The scheme is still subject to planning approval and is anticipated to be granted in April. Broadland District Council have provisionally approved the proposed rents for the affordable rental units and service charges that Saffron Housing Trust have submitted for all units. These levels of rent and service charges will be reviewed each year and will be subject to inflationary increases.
- 4.5 There will be a fifty-year Nomination Agreement between NCC and Saffron Housing Trust which will give NCC the right to nominate older people with eligible care needs as potential tenants for the 41 affordable rent units.
- 4.6 Potential tenants for affordable rent and potential purchases for sale units will be identified by adult operational teams, approximately nine months before completion. This will allow units to have an element of customisation where possible and to minimise the risk of there being empty units on completion.

5. Alternative options

- 5.1 The decision on this paper is to proceed or not with the development.

6. Financial implications

- 6.1 Saffron Housing Trust have applied for additional funding from the Living Well – Home for Norfolk Programme to deliver the scheme. Saffron Housing Trust have provided information on the total costs of developing the scheme and the level of grant funding provided from Homes England. Accounting for this funding, Saffron Housing Trust have set out a request for funding of £1,257,000.
- 6.2 The application has been reviewed and the scheme delivers against our Programme objectives. Financial information provided has also been reviewed and it is considered that the request for funding of £1,257,000 is appropriate and proportionate to the overall costs of the scheme. It means a capital contribution of £30,658 per unit which falls within the acceptable scope of the financial modelling.
- 6.3 The provision of funding of up to a maximum of £1,257,000 funding to Saffron Housing Trust for the Acle extra care scheme is a one-off requirement and there is no ongoing requirement to provide any further capital funding to this scheme. The legal agreement states that the capital contribution is capped and therefore NCC has no liability for any increases in developing costs or reductions in funding from other sources.
- 6.4 Subject to approval being give, the financial profile is set out below which will be supported by a legal agreement between NCC and Saffron that will provide a mechanism for a payment to be made in two stages:

Payment 1 (50%) “Golden brick”	Usually approximately 8 months into construction and verified by a surveyor’s report.	£628,500
Payment 2 (50%) Completion	Usually 18/24 months and paid upon receipt of a Practical Completion Certificate.	£628,500
Total capital contribution		£1,257,000

- 6.5 This is an invest to save scheme. This scheme enables a shift from the high care cost environments, and it is expected to deliver on-going revenue benefits.
- 6.6 Repayment on capital borrowing will mean revenue savings from each scheme are diluted by repayments until borrowing is repaid. However, even during the repayment period, revenue savings are still achieved.
- 6.7 There are no revenue cost implications.

7. Resource implications

7.1 Staff:

- 7.1.1 There are no staff implications, other than business as usual for the programme team and a new scheme for operational staff to become familiar with, supported by the programme.

7.2 Property:

- 7.2.1 There are no Property implications

7.3 IT:

7.3.1 There are no IT implications.

8. Other implications

8.1 Legal Implications:

8.1.1 This proposal would see NCC making a capital contribution for the purposes of the recipient social housing activity rather than specifying services to be provided to NCC, and so the proposal does not necessitate the application of EU and domestic procurement law.

8.1.2 There is no infringement of state aid rules, as the provision of social housing comes within the exemption relating to services relating to general economic interest (i.e. it is a service which the exemption relating to services relating to general economic interest (i.e. it is a service which the market does not provide and is in the general interest).

8.2 Human Rights implications:

8.2.1 Not applicable to this paper.

8.3 Equality Impact Assessment (EqIA):

8.3.1 An equality impact assessment has been completed and is available on request. There is a positive impact by increasing the range of housing options available for people over the age of 55. Schemes are also dementia friendly and fully accessible.

8.4 Health and Safety implications:

8.4.1 Not applicable to this paper.

8.5 Sustainability implications:

8.5.1 Not applicable to this paper.

8.6 Any other implications

8.6.1 Not applicable to this paper.

9. Risk implications/ assessment

9.1 A risk to the project is that the units of independent living are not occupied. Part of the Living Well Homes for Norfolk programme is to develop a change management piece of work with operational teams to promote and actively engage the public in promotional and marketing activity.

9.2 As set out in Section 6 above, the capital contribution from NCC is capped and NCC is not liable for increases in costs.

10. Select Committee comments

10.1 Not applicable to this paper.

11. Recommendations

11.1 **Cabinet is recommended:**

- (a) To approve £1,257,000 of capital contribution funding from the Living Well Homes for Norfolk capital programme to Saffron Housing Trust to support the development and secure nominations rights for 41 apartments in a new 58 independent living scheme for older people in Acle, Broadland District Council

12. Background Papers

- 12.1 [Adult Social Services Committee \(ASSC\) on 8 October 2018](#) (page 60) – proposal and business case for development of independent living housing in Norfolk.

[Policy and Resources Committee in October 2018](#) (page 3) – approval of NCC funds capital investment up to £29m over the life of the programme.

[The Living Well Homes for Norfolk Strategy and Position Statement](#)

Officer Contact

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

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Report to Cabinet

Item No: 2

Report title:	Norfolk Adult Social Services Local Government & Social Care Ombudsman Public Report
Date of meeting:	6 April 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 Services
Is this a key decision?	No

Introduction from Cabinet Member

The Local Government & Social Care Ombudsman published a Public Report on the 27 February 2020 regarding an investigation into a complaint raised by Mx X about the care planning and assessment of Mr Y and the impact this had on her. The investigation found that Ms X and Mr Y had suffered an injustice as a result of fault. Appendix A is the LGSCO Public Report.

It is a statutory duty under Section 31(2) of the 1974 Local Government Act that following the publication of a Public Report where a fault has been found that the Report be laid before the authority concerned. The local authority concerned are required to respond to the Local Government & Social Care Ombudsman within three months of publication the action it has or proposes to take.

Recommendations

Cabinet are recommended:

- a) to consider the LGSCO Public Report and agree the actions we are proposing to take**
- b) to respond to the LGSCO within three months of publication to endorse the action that Norfolk Adult Social Services has taken to comply with the LGSCO recommendations and remedy the fault**

1. Background and Purpose

- 1.1 Ms X complained to the Local Government & Social Care Ombudsman (LGSCO) that the Council failed to meet the late Mr Y's assessed needs. As a result, his health deteriorated, he had a fall and it caused strain to Ms X as Mr Y's carer. It also failed to explain how it charged differently for respite care leading to a large and unexpected bill.
- 1.2 To investigate the case LGSCO considered the information supplied by Ms X, reviewed Ms X's correspondence with Norfolk County Council (the Council), the

relevant needs assessments and support plans and the Council's case notes. The LGSCO considered the relevant law and guidance when making its decision.

- 1.3 A draft confidential copy of this report was given to Ms X and the Council to provide comment. The comments received were taken into account before the report was finalised.
- 1.4 **Findings**
- 1.4.1 The LGSCO found that Mr Y did not receive all the care support from the Council he was entitled, to meet his eligible needs. Mr Y was caused a financial injustice in having to pay privately for care to meet his care needs. The rest of Mr Y's care needs were, in the main, met because Ms X provided the support he required.
- 1.4.2 Ms X was caused significant distress in having to continuously request support and help from the Council to meet Mr Y's identified unmet eligible needs. The Council constantly changed its position on what it may or may not provide to support Mr Y which caused both Mr Y and Ms X uncertainty and confusion over how his needs would be met. This placed Ms X under significant additional strain as Mr Y's carer. Ms X says her relationship with Mr Y was ruined by the strain she was placed under as she felt resentful of the support she was required to provide.
- 1.5 **LGSCO recommendations**
- 1.5.1 The LGSCO recommended that within three months of the publication of the report, to the Council should:
- a) apologise to Ms X and to pay her £2,000 to acknowledge the increased strain she was placed under as Mr Y's carer by the Council's faults and to acknowledge the unpaid care she provided him that was part of his assessed eligible care needs
 - b) apologise to Ms X for failing to explain how the respite care cost was calculated
 - c) refund Mr Y's estate the expense of funding his own eligible care needs from April to June 2019 (estimated at around £4,000) on receipt of evidence of costs from Ms X
- 1.6 **Norfolk Adult Social Services has already:**
- 1.6.1 Written to Ms X to apologise and the Director of Community Social Work will meet with Ms X to apologise in person and address any further concerns Ms X may have, this meeting was due to be on 19 March 2020 but will be rearranged once the current restrictions on contact are relaxed. The remedy payment of £2,000 has been paid. The reimbursement of additional care costs are in the process of being paid following the receipt of relevant evidence of costs incurred.
- 1.6.2 In addition, within three months of the publication of the report, the Council should:
- a) review its procedures to ensure carers are offered separate carers' assessments and the outcome is recorded
 - b) amend its current procedure to ensure it is clear that current needs should continue to be met when its funding panel defers or refuses decisions on recommended care packages

- 1.6.3 Reviewed it's County Panel funding requests procedure and has recruited two addition staff to support the panel process.
- 1.6.4 Reviewed its Carer Assessments, Reviews and Services procedure. A group of operational staff reviewed the procedure over the last three months to improve the clarity of operational guidance. A key part of this covers ensuring carers are offered separate carers' assessments and the outcome is recorded. The procedure clearly states:
- a) 'All locality practitioners must always ask if a carer(s) is involved when completing an assessment, reassessment or review and are responsible for recording carers on LAS as above. Where appropriate the carer(s) should be offered an assessment either jointly or separately in accordance with the Care Act.'
 - b) and 'Without exception, all carer's assessments, whether they are done jointly or separately need to be recorded on the carer's record and the depth of recording should be appropriate and proportionate to the support needs to be met.'
- 1.7 The revised procedure was published on 17th February 2020, with a communications plan to maximise awareness with social work teams.
- 1.8 The LGSCO also recommended the Council review its commissioning arrangements to ensure it can meet basic care needs throughout the Council's area in line with the requirements of the Care Act regarding market shaping and commissioning of adult care services.
- 1.9 Norfolk Adult Social Services has already taken the following actions with regard to it's commissioning arrangements:
- a) the adult social services commissioning team has been restructured. This included an integrated commissioning team jointly funded with Health
 - b) invested in reablement to enable people to return home to continue to live independently
 - c) increased its hourly rate paid to providers
 - d) put block contracts in place with providers so they can recruit staff knowing they have a guaranteed income
 - e) introduced an interactive market intelligence tool 'Norfolk Older People's Care Homes Dashboard', detailing current and future bed-based demand. This supports the Council and providers to better understand the care market and opportunities that exist within it
 - f) provided recruitment training for providers and has secured funding to deliver a skills development programme for care home managers and business owners
 - g) has introduced a new integrated Head of Quality role, jointly funded with health to bring quality improvement services of health and social care more closely together
- 1.10 The Local Government & Social Care Ombudsman published a Public Report on the 27 February 2020 regarding this investigation.
- 1.11 It is a statutory duty under Section 31(2) of the 1974 Local Government Act that following the publication of a Public Report where a fault has been found that the Report be laid before the authority concerned. The local authority concerned are

required to respond to the Local Government & Social Care Ombudsman within three months of publication the action it has or proposes to take.

2. Proposals

- 2.1. To Consider the LGSCO Public Report and agree the actions we are proposing to take.
- 2.2. Respond to the LGSCO within three months of publication to endorse the action that Norfolk Adult Social Services has taken to comply with the LGSCO recommendations and remedy the fault.

3. Impact of the Proposal

- 3.1. The Council will comply with its statutory duties.

4. Evidence and Reasons for Decision

- 4.1. It is a statutory duty to comply with the recommendations of the Local Government & Social Care Ombudsman.

5. Alternative Options

- 5.1. None identified

6. Financial Implications

- 6.1. None

7. Resource Implications

7.1. Staff:

- 7.1.1 n/a

7.2. Property:

- 7.2.1. n/a

7.3. IT:

- 7.3.1 n/a

8. Other Implications

8.1. Legal Implications

- 8.1.1. It is a statutory duty to comply with the recommendations of the Local Government & Social Care Ombudsman Local Government Act 1974, section 31(2), as amended.

8.2. Human Rights implications

- 8.2.1. None

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

8.3.1. n/a

8.4. **Health and Safety implications**

8.4.1. None identified

8.5. **Sustainability implications**

8.5.1 n/a

8.6. **Any other implications**

8.6.1. None identified

9. Risk Implications/Assessment

9.1. None

10. Select Committee comments

10.1. n/a

11. Recommendations

11.1. **Cabinet are recommended:**

- a) to consider the LGSCO Public Report and agree the actions we are proposing to take
- b) to respond to the LGSCO within three months of publication to endorse the action that Norfolk Adult Social Services has taken to comply with the LGSCO recommendations and remedy the fault

Officer Contact

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

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Report by the Local Government and Social Care Ombudsman

**Investigation into a complaint against
Norfolk County Council
(reference number: 19 002 258)**

24 January 2020

The Ombudsman's role

For more than 40 years the Ombudsman has independently and impartially investigated complaints. We effectively resolve disputes about councils and other bodies in our jurisdiction by recommending redress which is proportionate, appropriate and reasonable based on all the facts of the complaint. Our service is free of charge.

Each case which comes to the Ombudsman is different and we take the individual needs and circumstances of the person complaining to us into account when we make recommendations to remedy injustice caused by fault.

We have no legal power to force councils to follow our recommendations, but they almost always do. Some of the things we might ask a council to do are:

- > apologise
- > pay a financial remedy
- > improve its procedures so similar problems don't happen again.

Section 30 of the 1974 Local Government Act says that a report should not normally name or identify any person. The people involved in this complaint are referred to by a letter or job role.

Key to names used

Ms X	The complainant, Mr Y's friend and carer
Mr Y	The person affected, (now deceased)

Report summary

Council: care planning and assessment

Ms X complained the Council failed to meet the late Mr Y's assessed eligible care needs or her needs as Mr Y's carer.

Finding

Fault found causing injustice and recommendations made.

Recommendations

The Council has agreed, within three months of the date of this report, to:

- apologise to Ms X and to pay her £2,000 to acknowledge the increased strain she was placed under as Mr Y's carer by the Council's faults and to acknowledge the unpaid care she provided him that was part of his assessed eligible care needs;
- apologise to Ms X for failing to explain how the respite care cost was calculated; and
- refund Mr Y's estate the expense of funding his own eligible care needs from April to June 2019 (estimated at around £4,000) on receipt of evidence of costs from Ms X.

In addition, within three months of the date of this report, the Council has agreed to:

- review its procedures to ensure carers are offered separate carers' assessments and the outcome is recorded; and
- amend its current procedure to ensure it is clear that current needs should continue to be met when its funding panel defers or refuses decisions on recommended care packages.

We also recommended the Council review its commissioning arrangements to ensure it can meet basic care needs throughout the Council's area in line with the requirements of the Care Act regarding market shaping and commissioning of adult care services. Since the matters covered by this complaint the Council says it has already:

- restructured its adult social services commissioning team. This included an integrated commissioning team jointly funded with Health;
- invested in reablement to enable people to return home to continue to live independently;
- increased its hourly rate paid to providers;
- put block contracts in place with providers so they can recruit staff knowing they have a guaranteed income; and
- introduced an interactive market intelligence tool 'Norfolk Older People's Care Homes Dashboard', detailing current and future bed-based demand. This supports the Council and providers to better understand the care market and opportunities that exist within it;

- provided recruitment training for providers and has secured funding to deliver a skills development programme for care home managers and business owners; and
- introduced a new integrated Head of Quality role, jointly funded with health to bring quality improvement services of health and social care more closely together.

We require evidence to show the Council has completed these actions, including those it says it has already completed.

The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)

The complaint

1. Ms X complained the Council failed to meet the late Mr Y's assessed needs. As a result, his health deteriorated, he had a fall and it caused strain to Ms X as Mr Y's carer. It also failed to explain how it charged differently for respite care leading to a large and unexpected bill.

The Ombudsman's role and powers

2. We investigate complaints about 'maladministration' and 'service failure'. In this report, we have used the word fault to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. We refer to this as 'injustice'. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)

How we considered this complaint

3. We have considered the information supplied by Ms X. We reviewed Ms X's correspondence with the Council, the relevant needs assessments and support plans and the Council's case notes. We considered the relevant law and guidance.
4. We gave Ms X and the Council a confidential draft of this report and invited their comments. The comments received were taken into account before the report was finalised.

What we found

Legal and administrative background

5. Sections 9 and 10 of the Care Act 2014 require local authorities to carry out an assessment for any adult who appears in need for care and support. They must provide an assessment to all people regardless of their finances or whether the local authority thinks an individual has eligible needs. The assessment must be of the adult's needs and how they impact on their wellbeing and the results they want to achieve. It must also involve the individual and where suitable their carer or any other person they might want involved.
6. Councils must carry out the assessment over a suitable and reasonable timescale considering the urgency of needs and any variation in those needs. Councils should tell the individual when their assessment will take place and keep the person informed throughout the assessment.
7. Where a council has determined that a person has any eligible needs, it must meet these needs. The council should make sure the process is person-centred and must consider the individual's preferences. The council may reasonably consider its own finances and budgetary position. However, the council should not set arbitrary upper limits on the costs it is willing to pay to meet needs through certain routes.
8. A temporary resident is someone admitted to a care or nursing home where the agreed plan is for them to only stay for a limited period. This could be for respite care, or where there is doubt that permanent admission is required. The *Care and Support (Charging and Assessment of Resources) Regulations 2014* and the *Care and Support Statutory Guidance 2014* set out charging rules for temporary

residential care. When the council arranges a temporary care home placement, it has to follow these rules when undertaking a financial assessment to determine how much a person has to pay towards the costs of this stay. The council can either charge the person under the rules for temporary residential charging or treat the person as if they are still living in the community (i.e. the non-residential rules for charging).

9. Where an individual provides or intends to provide care for another adult and it appears the carer may have any needs for support, councils must carry out a carer's assessment. Carers' assessments must seek to find out not only the carer's needs for support, but also the sustainability of the caring role itself. This includes the practical and emotional support the carer provides to the adult.
10. Where the council is carrying out a carer's assessment, it must include in its assessment a consideration of the carer's potential future needs for support. Factored into this must be a consideration of whether the carer is, and will continue to be, able and willing to care for the adult needing care. (*Care and Support Statutory Guidance 2014*)

What happened

11. Mr Y had dementia and a number of physical health conditions. Ms X and Mr Y were friends who shared a house. Ms X had Power of Attorney for Mr Y for health and welfare decisions. Power of Attorney is when someone appoints another person to make decisions on their behalf.
12. In April 2018 Ms X requested a reassessment of Mr Y's needs. The Council's social worker visited in May 2018. They produced a care and support plan in August 2018 which consisted of 27 hours a week personal assistant (p.a.) support which Mr Y paid Ms X to provide. Mr Y also had a budget for three weeks of respite a year and for two 8-hour days sitting service to provide Ms X with a break. The sitting service started in September 2018.
13. In December 2018 Ms X requested a reassessment of Mr Y's care needs. She was finding it increasingly difficult to manage his care needs and his health had deteriorated. He was unsteady and had suffered several falls. Mr Y could not cook for himself, needed support with dressing and personal care, was doubly incontinent and he was getting up four to five times a night. Ms X also had her own health issues with high blood pressure and heart problems.
14. The Council's social worker met with Mr Y and Ms X. At the meeting Mr Y agreed to try attending a day centre instead of the two days sitting service, for additional stimulation. Mr Y also agreed to try a respite stay to give Ms X a break as she was finding her caring role increasingly difficult. The assessment noted Ms X's support enabled Mr Y to continue living at home safely. He was familiar with his surroundings and it was important for him to stay at home as long as possible.
15. Following the assessment, in January 2019, the Council amended Mr Y's care package to:
 - 30 minute visits five mornings a week;
 - 45 minute visits two mornings a week (so the carers could assist with showering);
 - 30 minute visits every evening;
 - Ms X's p.a. hours would reduce from 27 to 22 hours a week;
 - one night sitting service a week to support Ms X;

- Mr Y attending a day centre one day a week; and
 - three weeks of respite a year.
16. The Council gave notice to Agency A for the two 8-hour days sitting service to end in February 2019.
 17. The Council could not find a provider for the morning and evening visits or night sits. Ms X contacted it to express her concerns and that she needed support. The Council offered to assess Mr Y for residential care but Ms X refused.
 18. In late January 2019 the Council's reablement team agreed to provide the care package for the morning and evening visits. The reablement team noted Mr Y's transfers from bed to chair or commode were very difficult, and he was not able to follow instructions. They reported he had high level care needs.
 19. Mr Y's health was declining and his mobility was rapidly deteriorating. The social worker agreed to reassess Mr Y's needs at the end of January 2019. They took into account feedback from the reablement team, from an Occupational Therapist and from Mr Y's GP. Ms X asked for the night sitting service to be provided as four nights every four weeks as she felt she would benefit more from this. Ms X also requested that the two 8-hour days sitting service from Agency A continue as it was one of the few things which worked effectively for her. They had one consistent carer from Agency A who provided the support who Mr Y was familiar with. Ms X also asked again about a respite stay so she could have a break.
 20. In the needs assessment the social worker recorded that Mr Y did not want to live in residential care. Ms X's support enabled Mr Y to live at home safely in familiar surroundings. Moving to a care home would be a huge transition for him. He was more independent living with Ms X and he was able to live the lifestyle he enjoyed.
 21. The Council arranged a taster day for Mr Y at the day centre for early February 2019. Mr Y did not enjoy it and did not want to attend again. Ms X also asked again about the respite. The Council told Ms X the reablement team would not be able to continue after a respite stay but Ms X wanted to go ahead with respite. She contacted a potential care home and arranged an assessment visit for respite for Mr Y and asked the Council to progress this.
 22. Following the reassessment of Mr Y's needs, in early February 2019, the Council's social worker recommended the following care and support plan to the Council's Funding Panel for approval:
 - the two 8-hour days sitting service from Agency A to continue;
 - one night sitting service a week;
 - 30 minute visits five mornings a week, 45 minute visits two mornings a week and 30 minute visits every evening as commissioned care to support Mr Y;
 - 40.5 hours direct payments for Ms X to support Mr Y as his p.a.; and
 - four weeks intermittent respite.

Mr Y's respite stay

23. In February 2019 the Council arranged a three week respite stay for Mr Y at a care home as part of his care package. The Council's reablement team, who had been providing the daytime visits to Mr Y since late January, confirmed they would not support Mr Y's care package when he returned home.

24. Ms X confirmed she wanted Mr Y to return home after the respite stay and asked the Council to confirm that the two day sitting service from Agency A could continue.
25. Later that month the Council's social worker told Ms X the Council had declined the proposed care and support plan (as set out in paragraph 22) *'due to the very high cost of the proposal. Alternatives need to be considered by [Mr Y] which would meet his care needs but at a lower cost'*. The social worker said they would meet with their manager but in the meantime proposed Mr Y received a morning and evening call, 27 hours direct payments for Ms X, one day's 8-hour sitting service, one night sitting service a week and four weeks respite (similar to the January 2019 support plan but with one rather than two 8-hour day sits).
26. Ms X asked for a full and proper assessment of Mr Y's needs and a proposal from the Council about how it proposed to meet Mr Y's needs. The social worker responded that they had assessed Mr Y and had put forward the services they felt he should get so he could stay at home. But the response they received from the Council's Funding Panel was that the Council needed to find more cost effective solutions. The Council proposed going back to the January 2019 support plan or Mr Y staying in residential care as this was a more cost-effective way of meeting his needs. The Council also suggested releasing direct payments to Ms X so she could purchase the care Mr Y needed but Ms X declined this.
27. Ms X had concerns about the care provided to Mr Y during the respite stay. She later raised these with the Council. She collected Mr Y from the care home six days early, at the end of February 2019. This was before the day sitting service ended as she needed the carer's help to get Mr Y in the car and home.
28. Mr Y returned home. Ms X continued to receive the direct payments for 22 hours of support as his p.a. None of the other provision, as set out in the January 2019 support plan, was in place. The day sitting service from Agency A ended at the end of February. The Council was still not able to source a provider to carry out the morning and evenings visits or the night sitting service.
29. Ms X complained to the Council about the lack of support. In March 2019 a senior manager from the Council met with Ms X. The notes record they discussed ideas and a possible plan. The notes record the Council had to consider costs and there were financial limitations about how much care could be funded. The senior manager agreed to look into a possible plan of a sitting service five days a week plus seven hours direct payments for Ms X to carry out a p.a. support role.

Hospital admission

30. In the middle of March 2019 Mr Y had a fall while Ms X was transferring him from bed to wheelchair. He was admitted to hospital. Ms X contacted the Council as she had not heard anything about the proposed support for Mr Y of five days of sitting service a week. The Council responded that the cost calculations for this proposal were coming out very high and its social worker would be in contact about what the possible options were.
31. The social worker contacted Ms X a few days later to advise the Council had agreed to start three 8-hour days sitting service a week so there would be some interim care in place. The social worker asked to meet with Ms X to discuss the care and support plan long term.
32. The social worker and a colleague (social worker B) met with Ms X. The social worker explained the Council had declined the package they proposed in February 2019 as it was higher than Mr Y's indicative budget. The social workers

agreed to put forward a request for four 8-hour days sitting service a week and seven hours p.a. support. In the meantime, they would look to start three 8-hour days sitting service a week when Mr Y returned home.

33. The Council agreed to three 8-hour days sitting services, not the four days recommended by its social workers, with seven hours p.a. support from Ms X. The Council asked its social worker to look at what other possible support was available through voluntary groups for two days a week. Ms X asked the Council not to reduce her paid p.a. hours of support from 22 to 7 until the other support was in place.
34. At the end of March the hospital decided Mr Y was fit for discharge. However, at this stage there was no formal care package in place. An Occupational Therapist (OT) visited Mr Y on the ward and concluded he needed two carers for transfers from bed to chair, one of which should be an experienced carer, and required a minimum of four care calls a day. They referred this to the Council's reablement team who declined to deliver the care package. The OT showed Ms X how to use a stand aid. The OT advised two carers were needed to use it safely.
35. Ms X emailed the Council. She asked for an explanation as to why the Council would only cover three days of care and seven p.a. hours. The Council said it was exploring what other help was available for the extra two days. However, it was aware Mr Y's needs had changed and so its social worker would talk to Ms X about the options available.
36. In early April Ms X resigned as Mr Y's p.a. and no longer received any payment from the Council for supporting Mr Y. She told the Council she was no longer happy to provide the level of support she had previously.
37. The Council's social worker discussed Mr Y's support needs with Ms X and agreed to propose Mr Y receive seven days sitting service a week between 9am and 6pm. The Council did not agree to this and asked its social worker to discuss other options with Mr Y including residential care. The social worker proposed day sitting provided by voluntary organisations (and told Ms X they were still searching for voluntary organisations who could provide support) with visits by one carer morning and evening (with Ms X helping as the second carer) and two carers visiting twice a day to help with personal care and mealtimes. They also suggested a short-term care bed which Ms X refused.
38. Ms X did not agree residential care could meet Mr Y's needs. She wanted him to return home as soon as possible. She had concerns about the support provided to Mr Y in hospital and she felt Mr Y's needs would not be best met in a care home. She asked for confirmation of when the three days a week sitting service already agreed by the Council in March, and previously provided by Agency A, could restart. The social worker advised they would contact Agency A about the day sitting but they had still not been able to find anyone to carry out the proposed daily care visits.
39. Ms X told the Council's social worker the carer, who had previously supported Mr Y from Agency A, could provide day time sitting service support three days a week. She had sourced alternative support to help her on the remaining mornings and evenings. The social worker contacted the Council's brokerage team who said due to quality issues, the Council would not enter a contract with Agency A as things were at the moment. The Council identified another agency who could provide the three-day sitting service it had agreed in March. It was still not able to find a provider to carry out the daily care visits.

40. At this stage Ms X wanted to continue to use Agency A as they used a regular carer who Mr Y was familiar with and who was familiar with them. She asked the social worker to find out how long the issues with Agency A would take to resolve and the social worker agreed to do this. Ms X then told the social worker she had arranged for the carer who worked for Agency A to support Mr Y four days a week which they would pay for privately. Ms X said it would get complicated for Mr Y to have to get used to a new set of carers when the situation with Agency A may be resolved in a short period of time. Ms X explained this could not be a permanent arrangement and if the Council were never going to use Agency A again then they would use another agency. Ms X said she would support Mr Y the other days with additional private help in the morning and evening to help with transfers.
41. Mr Y was discharged home in April 2019, 18 days after he was found medically fit for discharge.

Post hospital discharge

42. Three days after Mr Y returned home the Council's social worker contacted Ms X to ask how things were going. Ms X said Mr Y had a benefits back payment so could afford the private support for up to 12 weeks. During this time she hoped the contract with Agency A would be sorted and if not asked that the Council find another provider. She asked the Council to provide four days sitting service.
43. At the end of April 2019, the Council contacted Ms X to request a financial assessment for Mr Y's stay in respite care. Ms X says this is the first time she was made aware the charge for respite would be different from the weekly contribution Mr Y was already paying towards his care costs.
44. At the beginning of May the Council's social worker passed Mr Y's case to social worker B. Social worker B met with Ms X, the privately paid carer and Mr Y in early May 2019. At this stage, Mr Y was not able to leave his bed. He required turning regularly. Ms X was adamant Mr Y did not want to move to residential care. Mr Y's GP reported his health was deteriorating and supported him staying at home. The social worker's assessment following the meeting recorded Mr Y's emotional and mental health benefitted from him being able to remain at home with people he recognised.
45. At the end of May 2019, the Council wrote to Ms X setting out the charge for Mr Y's respite stay. This was £500.
46. Social worker B reassessed Mr Y's needs and proposed to the Council's Funding Panel that Mr Y receive seven days sitting service. Since Mr Y's hospital discharge, the only support Ms X and Mr Y were receiving was that which they were funding privately while they were waiting for the situation with Agency A to be resolved. Social worker B identified an agency who could provide the sitting service if the care package was approved.
47. In early June 2019 the Council's Funding Panel deferred the case. It said it was not clear how Mr Y's needs would be met during this time period and it had concerns about Ms X being able to provide care safely outside the hours of formal care. It asked the social worker to look at an enhanced level of home care through the day to see if his needs could be met at a rate closer to the cost of residential care.
48. Social worker B visited Ms X to update her. Ms X reported Mr Y's condition continued to deteriorate. She explained several short home care visits a day were not suitable as Mr Y needed supervision all day. He was less settled and trying to get out of bed. She was reluctantly undertaking the role to support Mr Y as his

informal carer not through choice but it was necessary because the Council were not supporting him. Social worker B proposed four days sitting service and one hour long blocks four times a day on the other three days to support Ms X with the physical tasks of caring for Mr Y.

49. Ms X responded that she agreed to act as an extra carer for Mr Y on occasions when two people were needed to support him. However, she was reluctant to act as Mr Y's main carer. Nevertheless, Ms X accepted the proposal as she was desperate to receive additional support at weekends. She stated *'I am not happy about being manipulated to accept a plan that does not meet [Mr Y's] needs without a huge input from myself'*. Ms X said Mr Y needed someone with him constantly. She was willing to cover 6pm through to 10am. Since Mr Y's respite stay, she had received no help at all from the Council. The only support they had was that they were paying for privately and this arrangement was not affordable for much longer.
50. In mid-June 2019 social worker B emailed a manager for advice on getting authorisation for increased support for Mr Y for a short-term period. In an email response, the manager explained the process and stated *'what cannot happen is that we continue to allow the needs to be met by a combination of an informal carer who is stating they do not want to continue providing care, and agency care which is being commissioned and paid for by the carer or the person themselves'*. They added that *'From our conversation and my review of the record, it seems we are way outside Care Act compliance in this case and need to take urgent steps to regularise the situation pending further investigation into how the person's needs should be met in the long term'*.
51. In mid-June 2019 Mr Y's health deteriorated and feeding him became more difficult. The Council approved a care plan for seven 8-hour days sitting service, initially for a three-week period. The agency that social worker B first identified in May 2019 agreed to start supporting Mr Y the following day.
52. Mr Y's health deteriorated further and Ms X advised the Council he had three to four days left to live. The Council told Ms X to contact its duty team if she required overnight support for Mr Y, which he received for one night. It was not available for other nights. Mr Y died in late June 2019.

Findings

53. The Council had a duty to meet Mr Y's eligible unmet care needs and to agree a care and support plan to do this. The Council initially failed to implement plans that had been agreed, before going on to leave him without an agreed plan altogether. This is fault. Looking at each aspect of the proposed package of care in turn:

Night sitting service

54. The night sitting service was an eligible need the Council agreed to fund. Mr Y never received the agreed night sitting service. This is fault.

Day sitting service

55. Agency A provided the day sitting service to Mr Y, set out in his care plan, from September 2018. When the sitting service was removed from Mr Y's care plan in January 2019 and the contract with Agency A ended in February 2019, Ms X requested it be continued. The Council agreed to reinstate the sitting service in March 2019. However, the Council decided not to contract with Agency A due to ongoing concerns about the quality of its service. We found no fault with this decision.

56. In March, the Council offered another agency but the carer from Agency A had an established relationship with Ms X and Mr Y. The Council failed to consider what other options were available, such as providing this aspect of the care package as direct payments to Ms X to meet this need. It also failed to confirm with Ms X whether the quality issues with Agency A would be resolved in the short term or were a longer-term issue. This is fault. Following Mr Y's stay in hospital the only support he and Ms X received between April and mid-June was that which they paid for privately.
57. At first, in September 2018, the Council offered two 8-hour days sitting service alongside a large amount of other care support (22 to 27 hours of p.a. support from Ms X plus respite). It then increased this to daily care visits alongside 22 hours of support from Ms X plus a night sit and one day at a day centre. It later offered a three 8-hour days sitting service without any other support options, even though Mr Y's needs had increased. The Council's social workers then recommended Mr Y receive a greater amount of day sitting service, up to seven days a week but the Council continued to decline and defer decisions on Mr Y's support package based on questions of cost. The Council was entitled to take cost into consideration but it failed to put forward a more cost-effective alternative to that proposed by the social workers to meet Mr Y's needs for support at home. This is fault. The Council was entitled to consider other options such as support from voluntary agencies. However, given Mr Y's continence issues and the level of support he required it was always unlikely the Council would be able to find a voluntary organisation willing to do full day sits to support Mr Y.

Morning and evening care visits

58. The Council was not able to find a care provider for the morning and evening visits in January 2019 until the Council's reablement team provided this support. The reablement team then declined to pick up the care package again after his respite stay in February. It was still in his care plan until the Council amended it again in March. Had Mr Y not gone to respite for three weeks in February the reablement team would have continued to support Mr Y. Mr Y may no longer have met the reablement criteria after the respite stay but the Council had a team that had previously delivered the care to Mr Y and it could have continued to do so until an alternative provider was available. To not provide the morning and evening care it had assessed Mr Y needed was fault.
59. When Mr Y left respite at the end of February 2019 there was no agreed formal care provision in place other than the 22 hours of p.a. support provided by Ms X. The Council was not able to provide a care provider to meet the need for daily care visits and the contract with Agency A for day sitting had ended.
60. Ms X considers Mr Y's fall in March 2019 was because of a lack of support from the Council and this fall led to his further decline. We cannot know what would have happened if further support was provided at that time or what long term impact this would have had. Mr Y had a progressive condition and was prone to falls. However, the lack of support has left Ms X with a sense of uncertainty that the fall could have been avoided.

Support provided by Ms X

61. Most of the care and support Mr Y received was provided by Ms X. Up until April 2019 she received some payment as she was employed by Mr Y as a p.a. until she resigned. Mr Y did receive some respite care which gave Ms X a short break from her caring role but Ms X was required to provide support far beyond that which she was paid for.

62. When Ms X resigned as Mr Y's p.a. she made it clear what care and support she was willing to provide to Mr Y as his friend, rather than his p.a. The Council continually made assumptions about what care and support Ms X would provide. The Council failed to make sure adequate support was in place leaving Ms X with no other option but to meet Mr Y's needs. This is fault.
63. There is no evidence the Council carried out a separate carer's assessment of Ms X. Mr Y's needs assessments did take into account Ms X's needs as a carer in the agreed care package but it was never fully delivered. Although Ms X acted as Mr Y's paid carer until 1 April 2019, and therefore would not be entitled to an assessment under the Care Act, the Council failed to recognise the extent to which she was willing and able to support him, outside of the paid hours. This is fault. Ms X was placed under increased and significant strain as Mr Y's carer. Ms X says this also impacted negatively on their relationship.
64. Mr Y wanted to stay at home. The Council took this into account and when he lacked capacity, the Council accepted Ms X was suitable to advocate for Mr Y as his Power of Attorney. Ms X also supported Mr Y's wish to live at home and on this basis was willing to provide a significant level of support to him. The Council discussed the option of residential care with Ms X and Mr Y and it was not at fault for doing this. However, the care assessments show the Council agreed Mr Y's needs were best met at home.
65. The Council accepted, in a case record in June 2019, that it was not complying with the requirements of the Care Act in relation to Mr Y's care needs and it needed to take urgent action. It therefore was aware it should have made sure he had an adequate package to meet his needs and to support Ms X as his carer. The failure to do so is fault.

Cost of the assessed support package for Mr Y

66. The Council was entitled to consider the cost of Mr Y's care package but it cannot make decisions based only on financial considerations. It was entitled to weigh up the total cost of potential options and to look at best value for meeting Mr Y's needs but it did not do this. It continually questioned the cost of the care package without proposing suitable alternatives to meet Mr Y's needs. That was fault and meant Mr Y did not receive the care he required to meet his needs.

Charge for respite care

67. Mr Y had three weeks respite in February 2019 as part of his agreed care package. The Council was entitled to charge Mr Y for his respite stay. The Council calculated this based on a temporary care home stay. This meant Mr Y was expected to contribute his income minus a small amount for his personal allowance plus other expenses. The guidance allows councils to charge on this basis and the Council carried out a financial assessment appropriately. It is not at fault in the way it calculated Mr Y's contribution.
68. However, it failed to explain to Ms X or Mr Y that the respite stay would be charged on a different basis than the care Mr Y received at home. This is fault. Had this been explained we consider it likely Ms X may still have pursued the option of a respite stay given the strain she was under as his carer. But she would not have faced the shock of a large and unexpected care bill.

Injustice to Ms X and Mr Y

69. Mr Y did not receive all the care support from the Council he was entitled to meet his eligible needs. Mr Y was caused a financial injustice in having to pay privately for care to meet his care needs. The rest of Mr Y's care needs were, in the main, met because Ms X provided the support he required.
70. Ms X was caused significant distress in having to continuously request support and help from the Council to meet Mr Y's identified unmet eligible needs. The Council constantly changed its position on what it may or may not provide to support Mr Y which caused both Mr Y and Ms X uncertainty and confusion over how his needs would be met. This placed Ms X under significant additional strain as Mr Y's carer. Ms X says her relationship with Mr Y was ruined by the strain she was placed under as she felt resentful of the support she was required to provide.

Agreed action

71. The Council has agreed, within three months of the date of this report, to:
- apologise to Ms X and to pay her £2,000 to acknowledge the increased strain she was placed under as Mr Y's carer by the Council's faults and to acknowledge the unpaid care she provided him that was part of his assessed eligible care needs;
 - apologise to Ms X for failing to explain how the respite care cost was calculated; and
 - refund Mr Y's estate the expense of funding his own eligible care needs from April to June 2019 (estimated at around £4,000) on receipt of evidence of costs from Ms X.
72. In addition, within three months of the date of this report, the Council has agreed to:
- review its procedures to ensure carers are offered separate carers' assessments and the outcome is recorded; and
 - amend its current procedure to ensure it is clear that current needs should continue to be met when its funding panel defers or refuses decisions on recommended care packages.
73. We also recommended the Council review its commissioning arrangements to ensure it can meet basic care needs throughout the Council's area in line with the requirements of the Care Act regarding market shaping and commissioning of adult care services. Since the matters covered by this complaint the Council says it has already:
- restructured its adult social services commissioning team. This included an integrated commissioning team jointly funded with Health;
 - invested in reablement to enable people to return home to continue to live independently;
 - increased its hourly rate paid to providers;
 - put block contracts in place with providers so they can recruit staff knowing they have a guaranteed income; and

- introduced an interactive market intelligence tool ‘Norfolk Older People’s Care Homes Dashboard’, detailing current and future bed-based demand. This supports the Council and providers to better understand the care market and opportunities that exist within it;
 - provided recruitment training for providers and has secured funding to deliver a skills development programme for care home managers and business owners; and
 - has introduced a new integrated Head of Quality role, jointly funded with health to bring quality improvement services of health and social care more closely together.
74. The Ombudsman will require evidence to show the Council has completed these actions, including those it says it has already completed.
75. The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)

Final decision

76. There was fault by the Council which caused an injustice. The Council has agreed to a suitable remedy and wider service improvements.

Cabinet

Item No: 3

Decision making report title:	Trading Standards Service Plan 2020-21
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Margaret Dewsbury (Cabinet Member for Communities and Partnerships)
Responsible Director:	Tom McCabe (Executive Director – Community and Environmental Services)
Is this a key decision?	Yes

Introduction from Cabinet Member

The Trading Standards Service Plan and associated sub-plans (as annexed to the main plan) set out the service priorities for 2020-21, taking account of the service budget set in February 2020.

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

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

Executive Summary

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

This report also includes the Trading Standards' Consumer Services Policy (Appendix 5), which has been revised to reflect the Together for Norfolk outcomes and to provide greater clarity on the services provided to consumers.

Recommendations

- 1. To agree and adopt the Trading Standards Service Plan and associated Annexes set out in Appendix 1 to 4**
- 2. To agree and adopt the Consumer Services Policy set out in Appendix 5**

1. Background and Purpose

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

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

- 1.2. Trading Standards has an important role in protecting the integrity of the food chain, from farmed animal welfare and disease control to food safety and standards. The service also ensures goods are safe and trading is fair and tackles underage and illegal sales of alcohol and tobacco, contributing to Public Health priorities.

The service supports businesses through the provision of:

- information and advice to ensure compliance with trading standards,
- calibration, verification and testing of weighing and measuring equipment
- ensuring unscrupulous and unfair practices are not allowed to prosper.

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

Trading Standards therefore has an important social and economic role in the county, helping communities to strengthen, people to thrive and the economy of Norfolk to grow.

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

The service plan includes our 'plan on a page' (page 10) which summarises our strategic control strategy and focus on protecting the public and legitimate business. The plan is supplemented with functional specific plans which describe how we will address statutory responsibilities relating to underage sales (Annex I), food and animal feed safety and standards (Annex II), and farmed animal health, welfare and disease control (Annex III). These specific plans include information required by Government on the monitoring of our discharge of these functions.

2. Proposals

- 2.1. The Trading Standards Service Plan (Appendix 1) includes, and attention is drawn to:
- Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2020-21 (Appendix 2 to this report)
 - Annex II: Food & Feed Law Enforcement Plan 2020-21 (Appendix 3 to this report), and
 - Annex III: Delivery of Animal Health & Welfare Framework 2020-21 (Appendix 4 to this report).
- 2.2. The Enforcement of Age Restricted Sales and Illicit Tobacco Plan enables the County Council to discharge its statutory duty to annually consider and review its enforcement of the Children and Young Persons (Protection from Tobacco) Act 1991 and the Anti-Social Behaviour Act 2003.
- 2.3. The Food and Feed Law Enforcement Plan is a statutory plan required by the Food Standards Agency; which incorporates work that is intended to protect the food supply chain, covering both food production and control of animal feed used for animals intended for human consumption.
- 2.4. The Citizens Advice Consumer Helpline has recently launched its new free 'phone number. The service has taken the opportunity to redraft our Consumer Services Policy (Appendix 5) to reference the new number but also to reflect the Together for Norfolk outcomes and provide greater clarity on the services provided to consumers, albeit these have not changed since the policy was last reviewed in September 2016.

3. Impact of the Proposal

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

For example, during the last year the Trading Standards Service:

- Conducted 5 successful prosecutions in relation to an unroadworthy car, fraudulent trading, animal welfare and the supply of illegal tobacco.
- Following successful prosecution for fraudulent trading in February 2019, saw two individuals imprisoned on 1 July 2019 for 4 and 2 years respectively and disqualified as company directors for their part in an enterprise offering fraudulent nutrition qualifications backed by a fake accreditation body.
- Through our programme of intelligence-led enforcement whereby we tackle the most detrimental trade sectors (home improvements and second-hand car sales) and most detrimental traders, has seen the number of traders triggering our complaint management process (InLEt) and referred for intervention more than halved compared to 2018. In that year 138 traders were referred for intervention whilst in 2019, 56 were referred.
- Instigated a number of unannounced inspections of retailers where intelligence indicated that illicit tobacco was being sold. The amount of illicit tobacco products seized from retail premises in the first three quarters of the 2019-20 service year was over 1.2 million illicit cigarettes and over 105kg of hand rolling tobacco. In addition, executed a warrant at a residential address in Norwich which was being used to pack counterfeit hand rolling tobacco. Around three quarters of a tonne of hand rolling tobacco was discovered, seized and forfeited.

4. Evidence and Reasons for Decision

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

5. Alternative Options

- 5.1. The proposed Plan, Policy and associated documents are considered to set out the most effective approach. Alternative approaches could be taken, but these would require further work to develop and may result in a need to secure additional funding to deliver.

6. Financial Implications

- 6.1. There are no financial implications. The activities within the proposed service plan can be delivered within the agreed budget.
- 6.2. As highlighted in the Service Plan itself, there is a risk that EU Exit will impact significantly on the Trading Standards service in terms of increased demands for business advice, market surveillance and investigation of scams. As part of budget setting for 2020/21, members have agreed one-off additional revenue funding of £88k for 2020/21 to mitigate this risk.

7. Resource Implications

7.1. Staff:

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

The service currently has two apprentices working towards the Regulatory Compliance Officer (RCO) apprenticeship and the Trading Standards Practitioner Diploma (TSPD) qualification. In light of the difficulties in recruiting qualified Trading Standards Officers to fill vacancies and for succession planning purposes, four further apprentices are due to join the service at the start of the 2020/21 service year.

7.2. Property:

None.

7.3. IT:

The Trading Standards service has invested in a replacement case management system, which will be developed and launched during the 2020/21 service year. The Information Management Team (IMT) is providing technical support during the development and implementation phase and will provide ongoing technical support once the system is launched.

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

Internet connectivity has recently been upgraded at our Calibration, Verification and Testing Service laboratories based at Hethel Engineering Centre. This will reduce downtime caused by significant delays in dataflow, thus increasing workflow efficiencies for the team which in turn, should lead to an increase in income.

8. Other Implications

8.1. Legal Implications

Statutory duties are addressed in the Trading Standards service plan 2020-21 and associated plans.

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

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

The service complies with the Act and the County Council's RIPA policy when considering the necessity and proportionality of such activities.

The service will have regard to corporate data protection policies and procedures and service specific policies in relation to data protection where it differs in a criminal justice context.

8.2. Equality Impact Assessment (EqIA) (this must be included)

There are no material changes to the consumer services provided by the Trading Standards service since the Consumer Services policy was last revised in 2016. The Trading Standards service is committed to supporting all consumers, whilst safeguarding vulnerable people, through:

- our partnership with the Citizens Advice Consumer Helpline,
- tackling non-compliance, focusing on the most detrimental trading,
- our market surveillance activities, and
- tackling scams, fraud and rogue traders, including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme.

8.3. Health and Safety implications (where appropriate)

The service follows the County Council's Health & Safety – "Our Commitments policy" and associated corporate policies. Service specific activities such as weights and measures inspections or potentially confrontational situations are managed through a comprehensive set of risk assessments, which are reviewed on an annual basis as part of our Health, Safety & Wellbeing Action Plan.

8.4. Sustainability implications (where appropriate)

The Service is committed to reducing our impact on the environment, where possible. This includes:

- planning our business inspections to reduce business travel mileage,
- implementing the mobile working functionality of our replacement case management system and thus reducing our use of paper forms
- sign-posting businesses to online information and advice and providing bespoke advice via email and thus reducing our use of information leaflets and letters, and

- implementing MS Teams to negate the need to travel to meetings.

9. Risk Implications/Assessment

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

10. Select Committee comments

10.1.

11. Recommendations

- 11.1.
1. To agree and adopt the Trading Standards Service Plan and associated Annexes set out in Appendix 1 to 4
 2. To agree and adopt the Consumer Services Policy set out in Appendix 5

12. Background Papers

- 12.1. None

Officer Contact

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

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



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Trading Standards Service Plan 2020-21

Responsible Senior Officer Name: **Sophie Leney**

Period covered: **2020-2021**

Latest update: **6 February 2020**

What our service aims to achieve

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

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

Our priorities for the 2020/21 service year are:

- Investment in our workforce to develop a resilient service
- Impact of EU exit
- Online market surveillance, and
- Developing our commercial services.

The values that underpin all that we do are:

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

The things we do

1. Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services
2. Support the economy, through our traded service, by delivering calibration, verification, testing and hire to the public and private sectors
3. Safeguard vulnerable people and build community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme
4. Protect consumers and support legitimate businesses by tackling non-compliance, focusing on the most detrimental trading
5. Through programmes of intelligence-led market surveillance, education and enforcement activities:

- a) Safeguard communities and public health by tackling the supply of age restricted products to young people

For further information see **Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2020-21**

- b) Ensure the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilizers

For further information see **Annex II: Food & Feed Law Enforcement Plan 2020-21**

- c) Safeguard the standards of animal health and welfare and reduce the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health

For further information see **Annex III: Delivery of Animal Health & Welfare Framework 2020-21**

- d) Ensure fair trading of products and services, and the safety and legal measurement of products

Our service structure

The Trading Standards Service consists of four teams:

- Calibration, Verification & Testing Services
- Food and Farming
- Intelligence and Enforcement Support
- Safety and Fair Trading

The service has a full time equivalent staffing complement of 43.46 FTE with a headcount of 45. The service is delivered from three offices, County Hall in Norwich, Priory House in King's Lynn and Hethel Engineering Centre (Calibration, Verification & Testing Services only).

Norfolk's population is 903,680* and there are 33,225** active enterprises in Norfolk. With a net budget of £1,620,180, the annual cost of the Trading Standards service is £1.79 per head or £48.76 per enterprise.

*2018 Office of National Statistics figure (estimated)

**2018 Office of National Statistics figure from the Inter Departmental Business Register

Monitoring our outcomes/performance

We will know we have made a difference when:

- Businesses understand and comply with trading standards
- Communities can protect themselves and others from scams, fraud and rogue traders
- Traders who flout the law are brought to compliance and/or punished
- Illegal and/or unsafe products are prevented from entering or removed from the marketplace
- People and local businesses do not lose money to fraudsters and rogue traders

Measure	How we did in 2015/16	How we did in 2016/17	How we did in 2017/18	How we in 2018/19	How we did last year	Our target for this year
Percentage of businesses brought to broad compliance with trading standards	Target = 94% Actual = 96.44%	Target = 95% Actual = 95.30%	Target = 95% Actual = 94.69%	Target = 95% Actual = 95.66%	Target = 95% Actual (YTD) = 96.50%	95%
Number of (a) Norfolk people who are 'Friends Against Scams' and (b) partners in the Norfolk Against Scams Partnership (NASP); protecting people from financial abuse	New measure		(a) FAS Target = 600 (a) FAS Actual = 626	Discontinued	No targets set (a) 3,743 (b) 50	No targets set
Percentage of rogue traders and most detrimental businesses brought to compliance	74.47%	Target = 80% Actual = 85.58%	Target = 85% Actual = 78.10%	Target = 85% Actual = 86.16%	Target* = 95% Actual (YTD) = 97.78%	95%
Percentage of products, including foods and feeds, sampled or test purchased, which are found to be non-compliant and are subsequently brought to compliance or removed from the market place	Base-lining measure	Target = 90% Actual = 94%	Target = 93% Actual = 95.45%	Target = 93% Actual = 98.27%	Target = 93% Actual (YTD) = 99.15%	96%
Amount of money that, as a result of Trading Standards intervention, is not lost to or is recovered from fraudsters and rogue traders	New measure					Base-lining measure
*Revised definition						

During the last year, the Trading Standards Service:

- Maintained nine existing Primary Authority partnerships with businesses and formed a new partnership with one further company, who required extensive advice on food labelling to enable them to launch a series of new products.
- Has handled 750 requests for business advice and support and dealt with 2,190 consumer complaints.
- Is forecast to generate income of £502,500 through the provision of calibration, verification, testing and hire services to a wide variety of local and national businesses. The Calibration, Verification and Testing Services (CVTS) team will have completed over 1,500 jobs, calibrated 18,300 weights and weighing and measuring equipment, issued 3,300 certificates and attracted more than 40 new customers. The team is also responsible for maintaining Norfolk Trading Standards' own weights and measures and, via Section 101 agreements, those of Cambridgeshire, Suffolk, Bedfordshire and Luton. The CVTS team has worked closely with NorseCare to ensure medical weighing equipment meets CQC requirements and to generate savings for the company in equipment maintenance. They have also worked with a number of Hethel Engineering Centre (HEC) tenants to provide support services for their activities, including X-ray fluorescence (XRF) testing of manufacturing components and developed XRF testing arrangements with the Museums Service for finds and artefacts.
- Continued to work with the [Norfolk Against Scams Partnership \(NASP\)](#) to enable organisations to protect people and businesses from scams, doorstep crime and fraud and to help those who are defrauded. The Partnership has 50 public, private and voluntary sector organisations as members (to date), an increase of 47%. The Service received over 600 referrals from the National Trading Standards Scams Team (NTSST) and worked with the Scams Prevention Service (established this year through PCC funding), to support victims and raise awareness of scams.
- Has increased our number of Friends Against Scams (FAS) by 1,021 to 3,743 and SCAMchampions by 8 to 51, all working to raise awareness of scams and help to make Norfolk a scam free county. We continue to work in partnership with NatWest Community Bankers, as well as our SCAMchampions, who deliver FAS workshops and events on our behalf. We have worked with Norfolk Guides to trial, on behalf of the NTSST, the Young FAS pack for schools and youth groups. The pack was launched during Scams Awareness Month in June and was promoted at the Guides' annual training day where 90 units received a pack. Further packs have been distributed to other youth groups and schools. We have also worked with Registrars to produce a Guide to Scams following Bereavement and are developing an Easy Read Guide to Scams.
- Continued to promote No Cold Calling Zones, working with a number of housing providers to set up zones on their sites. There are currently 246 No Cold Calling Zones in the county covering over 11,000 Norfolk homes and interest has increased significantly since promotion in the Your Norfolk magazine.

- Through our programme of intelligence-led enforcement whereby we tackle the most detrimental trade sectors (home improvements and second-hand car sales) and most detrimental traders, has seen the number of traders triggering our complaint management process (InLEt) and referred for intervention more than halved compared to 2018. In that year 138 traders were referred for intervention whilst in 2019, 56 were referred.
- Conducted 5 successful prosecutions in relation to an unroadworthy car, fraudulent trading, animal welfare and the supply of illegal tobacco.
- Following successful prosecution for fraudulent trading in February 2019, saw two individuals imprisoned on 1 July 2019 for 4 and 2 years respectively and disqualified as company directors for their part in an enterprise offering fraudulent nutrition qualifications backed by a fake accreditation body.
- Conducted 12 prosecutions on behalf of Highways for the misuse of blue badges.
- Participated in the launch of a new Community Alcohol Partnership in Gorleston and Bradwell, including conducting 19 'Challenge 25' visits, during which seven of the retailers (37%) did not challenge our 19-year-old volunteer when purchasing alcohol. Follow up advisory and enforcement work is ongoing.
- Conducted two underage test purchases of knives with the police and four underage test purchases of Nicotine Inhaling Products (NIPs), resulting in one sale of a NIP to our 16-year-old volunteer.
- Instigated a number of unannounced inspections of retailers where intelligence indicated that illicit tobacco was being sold. The amount of illicit tobacco products seized from retail premises in the first three quarters of the 2019-20 service year was over 1.2 million illicit cigarettes and over 105kg of hand rolling tobacco. In addition, executed a warrant at a residential address in Norwich which was being used to pack counterfeit hand rolling tobacco. Around three quarters of a tonne of hand rolling tobacco was discovered, seized and forfeited.
- Prosecuted two illicit tobacco traders. The sentences handed down by the courts were 200 hours of Community Service and 1 year's imprisonment. Other illicit tobacco investigations and prosecutions are ongoing.
- In conjunction, with Norfolk Constabulary's Licensing Team continued to apply to revoke existing Premises Licences and prevent unsuitable applicants from obtaining them. Two licences were revoked, one was surrendered (a review was underway), one application was withdrawn by the applicant, and two applications were refused.
- Conducted 31 inspections at butchers' shops and took 39 samples of meat products, 29 of which (74%) were reported as unsatisfactory. Cross contamination of meat species was common. and five of the nine samples of lamb products had contamination with other meat species of between 5 and 60%.

Other issued included:

- a failure to identify sulphites ingredients in allergen information
- low fat claims which the products could not meet
- an extra lean claim when the product even failed to meet the requirements to make a lean claim
- meat contents being lower than declared
- an absence of meat content declarations
- use by dates incorrectly applied to frozen products, and
- other miscellaneous labelling issues.

Follow up visits and business advice and/or enforcement action is being undertaken.

- Found on analysis that 31% of the food samples taken at catering establishments where we had specifically requested the food to be free from an allergen, such as milk, eggs or peanuts, contained that allergen. Follow up advisory and enforcement work is ongoing. The service also raised awareness amongst 1,600 young adults at freshers' fairs and encouraged them to speak up about food allergies.
- Investigated a large number of animal welfare complaints both on farm and in transit, including heat stress in poultry due to several periods of hot weather. As well as serving a number of welfare improvement notices, one case resulted in a successful prosecution and the banning of the owner from keeping animals.
- Contacted almost 50 non-compliant letting agents regarding the change to the law in relation to tenant fees. Following 28 visits and further checks, 93% compliance was achieved, with the remaining agents currently being brought into compliance through advice and enforcement.
- Inspected and verified over 400 pieces of weighing and measuring equipment including bulk fuel tankers, weighbridges, non-automatic weighing machines, petrol pumps, dynamic axel weighers, intoxicating liquor measuring instruments and person weighers, including baby scales. We have also certified 15 public weighbridge operators. We have investigated a number of complaints relating to short measure of petrol, beer, pre-packed fuel and heating oil.
- Conducted targeted inspections at importers of consumer goods and sampled toys for general safety requirements and jewellery for heavy metals. We supported a Primary Authority business to conduct a product withdrawal as well as bringing businesses to compliance by way of voluntary sign-overs and withdrawals. Items removed from sale included toy putty and slime products, jewellery, silicone oven gloves, dummy clips, & baby rattles. The total number of products removed from the market was over 68,000; valued at over £300,000.
- Supported Public Health by investigating complaints about cot monitor cords and batteries in bone-anchored hearing aids with a view to raising awareness of the inherent dangers they pose to babies and young children. We have provided advice and information via social media on 'Gas Safety Week', Register My Appliance Day', Bonfire Night and Halloween costumes, as well as Christmas toys safety messages on social media and ITV Anglia News. We have also put out regular safety alerts to consumers via our twitter and Facebook accounts and Trading Standards alerts.

Feedback from our customers

Measure	How we did in 2015/16	How we did in 2016/17	How we did in 2017/18	How we in 2018/19	How we did last year	Our target for this year
Business satisfaction with Trading Standards services	Target = 90 Actual = 91.60	Target = 94 Actual = 91.20	Target = 93 Actual = 92.90	Target = 93 Actual = 93.50	Target* = 97% Actual (YTD) = 93.30%	97%
*Revised definition						

Our key risks

Risk (Managed and monitored via the Trading Standards Risk Register)

The Food Standards Agency, through its “Regulating our Future” Review and Strategic redesign, has determined that the current model for ensuring food is safe and as described is not meeting their expectations. The agency is seeking to work closely with Local Authorities to develop a new intelligence-led enforcement model for food standards.

EU exit may result in a number of potential risks to the service:

- The Service may experience an increased demand on resources as a result of the need for officers to familiarise themselves with new legislation and new institutions, new processes and new frameworks that underpin the operation of trading standards laws.
- The Service may experience an increased demand for advice from Norfolk businesses as they seek to understand new legislation and how it will operate in practice.
- If UK legislation diverges from EU legislation, the Service may lose the potential to generate income from chargeable business advice activities. Businesses that wish to trade within the EU market and need advice on EU law will seek advice from other sources as the Service will no longer be the statutory body for such law. Consequently, the Service may also lose contact and influence with Norfolk based businesses.
- EU exit will result in the loss of EU Notified Body Status for our Calibration, Verification and Testing Services (CVTS) unit at Hethel. EU notified bodies assess the conformity of certain products before they are placed on the EU market. There are proposals to give current EU notified bodies based in the UK a new “UK approved” body status but this will only apply to products to be placed on the UK market. This may result in a reduction in income for CVTS.
- If EU exit results in the removal of the free movement of goods imported from the EU, there may be a need to undertake additional market surveillance at points of import and inland. There may also be an increase in audits on UK market surveillance authorities by EU (and other international) regulators.
- If there is disruption in the animal feed or food chains, there may be increased farmed animal health and welfare concerns, requiring heightened enforcement.

Risk (Managed and monitored via the Trading Standards Risk Register)

- It will be necessary to increase enforcement and awareness raising to combat fraudsters who will exploit any confusion arising from new rules, such as in relation to citizen payments or pet passports, for example.

A loss of staff due to the service's aging demographic and/or continued austerity measures could result in a loss of specialist trading standards knowledge and skills, resulting in an inability to (a) deliver statutory duties and (b) generate the required income through our commercial activities of Primary Authority Partnerships, bespoke advice, calibration, verification and testing services.

Measures (to monitor risks)

Measure	How we did in 2015/16	How we did in 2016/17	How we did in 2017/18	How we in 2018/19	How we did last year	Our target for this year
Income generated through our commercial activities of calibration, verification and testing services	Target = £327,500 Actual = £361,846	Target = £339,500 Actual = £397,846	Target = £355,000 Actual = £410,533	Target = £375,000 Actual = £420,407	Target = £425,000 Actual (forecast) = £502,500	£452,000
Income generated through our commercial activities of Primary Authority Partnerships and bespoke advice	New measure	Target = £20,240 Actual = £868	Target = £20,580 Actual = £20,522	Target = £21,030 Actual = £15,485	Target = £21,280 Actual (YTD) = £22,068	£41,280
Proportion of Trading Standards Officers/Managers who hold necessary qualifications and current competencies to be authorised to deliver the Trading Standards Service priorities (as required by statute and as set out in the Control Strategy).	New measure	Target = 100% Actual: July = 90% Nov = 94%	Target = 100% Actual: April = 97% Aug = 99% Dec = 98.94% Mar = 99.64%	Discontinued		100%

Supplementary information

In addition to the local ambition, outcomes and priorities outlined on page 1 above, the Trading Standards Service Plan has regard to the National Regulatory Outcomes, which are:

- Economy: Support economic growth, especially in small businesses, by ensuring a fair, responsible & competitive trading environment
- Environment: Protect the environment for future generations
- Public and product safety: Ensure safe neighbourhoods and safe products
- Health & Wellbeing: Help people to live healthier lives by preventing ill health and harm and promoting public health
- Food Chain Infrastructure: Ensure a safe, healthy and sustainable food chain for the benefits of consumers & the rural economy,

the National Trading Standards (NTS) National Control Strategy priorities and the East of England Trading Standards Authorities (EETSA) regional priorities, which are:

Mass marketing scams	NTS	EETSA
Estate agency and lettings work	NTS	
Doorstep crime and cold calling	NTS	EETSA
Product Safety		EETSA
Animal Health		EETSA
Food		EETSA
Tobacco Control		EETSA
Fair trading: Energy-related fraud	NTS	EETSA
Age restricted sales of knives	NTS	
Fair Trading – used cars	NTS	EETSA
Fair Trading – other areas including travel	NTS	EETSA
Animal feed	NTS	
Intellectual property	NTS	

This Service plan is supplemented with our 2020-21 control strategy and with the following functional specific plans which describe how we will address statutory responsibilities relating to underage sales, food and animal feed safety and standards, and farmed animal welfare and disease control:

- Annex I: Enforcement of Age Restricted Sales and Illicit Tobacco Plan 2020-21
- Annex II: Food & Feed Law Enforcement Plan 2020-21
- Annex III: Delivery of Animal Health & Welfare Framework 2020-21.

Please see the Trading Standards Service's plan on a page below.

Service: Trading Standards

Plan on a Page

What we'll do

Ambition: A safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities

Outcomes

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

Focus for 2020/21

Investment in our workforce to develop a resilient service
Impact of EU exit
Online market surveillance
Developing our commercial services

How we'll do it

Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services
Support the economy, through our traded service, by delivering calibration, verification, testing and hire to the public and private sectors

Safeguard vulnerable people and build community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme

Protect consumers and support legitimate businesses by tackling non-compliance, focusing on the most detrimental trading

Through programmes of intelligence-led market surveillance, education and enforcement activities:

- Safeguard communities and public health by tackling the supply of age restricted products to young people
- Ensure the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilisers
- Safeguard the standards of animal health and welfare and reduce the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health
- Ensure fair trading of products and services, and the safety and legal measurement of products

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

Businesses understand and comply with trading standards

Communities can protect themselves and others from scams, fraud and rogue traders

Traders who flout the law are brought to compliance and/or punished

Illegal and/or unsafe products are prevented from entering or removed from the marketplace

People and local businesses do not lose money to fraudsters and rogue traders

Values that underpin everything

Reducing our impact on the environment

Offering help early to prevent and reduce demand

Joining up our work

Being business-like
Making best use of digital technology

Using evidence and data to target our work



Norfolk County Council

Community & Environmental Services

Trading Standards Service

Enforcement of Age Restricted Sales
and Illicit Tobacco Products



A review of our activities in 2019-20 and a strategy for 2020-21 to deter the sale of age restricted products to young people and the sale of illicit tobacco in Norfolk, with the intention of improving community safety and public health.



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

Context

The Children and Young Persons' (Protection from Tobacco) Act 1991 requires a Local Authority to review its enforcement activity relating to the supply of cigarettes and tobacco to persons under the age of 18 on an annual basis. There are similar duties arising from Section 54A of the Anti-Social Behaviour Act 2003. The Trading Standards Service has a responsibility to enforce the compulsory health warning requirements on tobacco products and the age restrictions and composition legal requirements applicable to e-cigarette liquids which contain nicotine.

This plan fulfils these review obligations, as part of the overall work by Trading Standards to improve community safety and public health.

The supply of illicit tobacco products continues to be a problem in Norfolk. There is evidence of supply spreading to smaller market towns in addition to the larger urban areas of Norwich, King's Lynn and Great Yarmouth. These products fail to carry the health warnings of legitimate tobacco products and are often counterfeits of established brands. Their unknown composition presents an additional health hazard to smoking, already the major cause of death in the UK. The Service receives intelligence that sales of illicit cigarettes are being made to young people. The relative cheapness of these products makes them attractive to buyers; including those under 18 years old and undermines smokers' attempts to quit. This plan integrates the Trading Standards Service actions to tackle these illicit products along with the obligations outlined above.

Background

Trading Standards community safety activities are intelligence-led and focus on both national and local priorities. Improving community safety and public health by tackling illicit and age restricted products is a key priority for the service.

Trading Standards recognises that effective enforcement of legislation to prevent the sale of age restricted goods requires a multi-agency approach and seeks to work in partnership with a range of agencies and stakeholders to ensure accurate identification of priority and high-risk areas, share best practice and engage in collaborative work, such as joint operations and licence reviews.

Trading Standards aligns its service delivery, wherever possible, to support the priorities of other council services. In order to align its community safety activities with Public Health priorities, the Service will focus activities on:

- Preventing the sale of alcohol to young people
- Taking action through alcohol licensing requirements
- Preventing the sale of cigarettes, e-cigarette liquids and tobacco to young people
- Disrupting the supply of illicit tobacco products
- Working with the Norfolk Tobacco Alliance, and
- Working with Community Alcohol Partnerships (CAPs)

Service delivery will take place across the whole of the county; based on the intelligence derived from information received about the sale of age restricted products and illicit tobacco products.

Review of 2019-20

The amount of intelligence received regarding premises selling age restricted products to underage persons has remained low. This includes complaints made to the police and district council licensing departments in the county.

1. Alcohol

In the first three quarters of the 2019-20 service year, intelligence was received about 11 premises selling alcohol to underage persons. All premises were visited and advised on their responsibilities in relation to underage sales. Further follow up work was carried out in relation to 4 premises.

The Community Alcohol Partnership (CAP) launched in Great Yarmouth continues to take a multi-agency/organisation approach to reducing underage access to alcohol. A new Community Alcohol Partnership was launched in Gorleston & Bradwell in October 2019, building upon the success of the neighbouring Great Yarmouth CAP. The service will continue to support these initiatives during 2020-21 to ensure their continued success.

The Trading Standards Service is a Responsible Authority in licensing matters. Trading Standards continues to work closely with the other Responsible Authorities, in particular, Norfolk Constabulary Licensing Team, in order to ensure the licensing objectives are upheld in Norfolk. Where a premises is found to be selling alcohol to underage persons, Trading Standards, in conjunction with Norfolk Constabulary, will apply for a review of the premises licence. So far in the 2019-20 service year we have not had to use this approach in relation to alcohol but have used it in relation to premises supplying illicit tobacco.

2. Tobacco

In the first three quarters of the 2019-20 service year, we received 7 complaints about premises selling cigarettes or hand rolling tobacco to persons aged under 18 (excluding those premises selling illicit tobacco products). All premises were visited and offered advice and are now thought to be in compliance.

The Government's Tobacco Control Strategy is key to the Trading Standards Service's response in enforcing legislation in relation to both the supply of illicit tobacco and underage sales as well as ensuring that legal tobacco products are stored and labelled as required by legislation.

Trading Standards has instigated a number of unannounced inspections of retailers where intelligence has indicated that illicit tobacco is being sold. The amount of illicit tobacco products seized from retail premises in the first three quarters of the 2019-20 service year is over 1.2 million illicit cigarettes and over 105kg of hand rolling tobacco.

In 2019-20 two illicit tobacco traders were prosecuted and sentenced. The sentences handed down by the courts were 200 hours of Community Service and 1 year's imprisonment. Other illicit tobacco investigations and prosecutions are ongoing.

In addition, Trading Standards executed a warrant at a residential address in Norwich which was being used to pack counterfeit hand rolling tobacco. Around three quarters of a tonne of hand rolling tobacco was discovered, seized and forfeited.

Trading Standards, in conjunction, with Norfolk Constabulary's Licensing Team has continued to apply to revoke existing Premises Licences and prevent unsuitable applicants from obtaining them. In 2019-20, two licences were revoked, one was surrendered (a review was underway), one application was withdrawn by the applicant, and two applications were refused.

The service has continued to adopt a multi-agency approach during 2019-20 to tackle illicit tobacco. Partners include Norfolk Constabulary, district council Licensing teams and HMRC. We are also working with shop landlords with a view to the eviction of tenants who persist in breaking the law. We continue to work very closely with other local authorities in sharing intelligence as cross-border offenders have been identified.

3. Nicotine inhalation products (electronic cigarettes or NIPs)

The fluids used in nicotine inhalation products (NIPs) are subject to the same age restrictions as cigarettes and tobacco. No complaints were received in 2019-20 about underage sales of nicotine inhalation products.

Following complaints relating to other age restricted products, Trading Standards carried out underage test purchasing at 4 premises in 2019-20, of which 1 premises sold to the 16-year old volunteer. Formal enforcement action is in process.

4. Knives

Trading Standards received two complaints about premises in Norfolk selling knives to persons under 18 in the first three quarters of 2019-20. Both premises received advice on preventing sales to persons under 18. Both premises were tested with a 16-year old volunteer. No prohibited knives were sold to the volunteer. This work was carried out with Norfolk Constabulary as part of a national campaign, Operation Sceptre.

5. Fireworks

Figures continue to show a drop in the number of anti-social behaviour incidents involving fireworks in Norfolk. As a result of the recorded incidents not being attributed to juveniles, Trading Standards advised Norfolk Constabulary that we would assist in any action they were carrying out but would not lead. This will continue to be the case in 2020-21.

Trading Standards will respond to any intelligence received regarding the supply of fireworks to persons under 18.

6. Other Products

Intelligence regarding the underage sales of other products is rare and none has been received in the first three quarters of 2019-20. Where this is received the premises will be visited and offered advice. An underage test purchase to check compliance will be carried out, where necessary.

Looking ahead to 2020-21

Enforcement Activities (including test purchasing programmes)

Trading Standards will continue to focus its limited resources on alcohol, tobacco, nicotine inhalation products and knives. We will also respond to intelligence related to other products, where there is an identified need.

A scaled approach is adopted with due regard to the Community and Environmental Services Enforcement Policy. In respect of age restricted sales this includes:

- The provision and publicity of advice and support materials
- The delivery of advice and help to new retailers of age restricted products
- The investigation of complaints together with the delivery of advice and assistance to prevent the recurrence of underage sales
- Targeted test purchasing utilising young people and where appropriate, underage volunteers
- Recommendation to adopt a "Challenge 25" type policy
- Working with and supporting national or regional initiatives
- Multiagency/community group/industry partnership working, and
- Encouraging reporting of sales of illicit tobacco and sales of age restricted products to underage people and improving the flow of intelligence in this regard.

Enforcement Approach

Following the provision of advice and support, the service will test the business' underage sales policies. Where information continues to indicate that underage sales are taking place, test purchasing by underage volunteers will be undertaken with support from Norfolk Police.

We will also continue to provide officers and utilise Trading Standards young volunteers to support Norfolk Police, in relation to their lead role for 'on licence' premises.

The recruitment, selection and utilisation of young persons for test purchasing will only be in accordance with the protocols, systematic procedures and risk assessments adopted and developed in line with the Home Office and other guidelines. These protocols and procedures are maintained in the Service's Policies and Guidance System and are thus subject to rigorous internal audit. All officers involved in the test purchase programme have been subject to police vetting procedures.

Where Trading Standards carry out test purchasing using underage volunteers, this is carried out in accordance with the Regulation of Investigatory Powers Act 2000 (RIPA). Generally, test purchasing using underage volunteers is only used where other methods of preventing a business from selling age restricted products to underage persons have failed.

Enforcement activity will also be carried out at premises where intelligence is received regarding the sale of illicit tobacco. Much of the intelligence Trading Standards receives around illicit tobacco also alleges sales to young persons. This activity will include visits with specialist tobacco detection dogs to find concealed illicit tobacco. Formal action will be taken against businesses where it is found, as appropriate.

The Service, working with our police partners, will take a robust stand regarding anyone found to be purchasing alcohol or tobacco products on behalf of a young person.

We will, in conjunction with Norfolk County Council Public Health and with other agencies, as appropriate, promote ways of reporting sales of illicit tobacco and sales of age restricted products to young persons.

Tobacco

During 2020-21 it will remain a priority to gather and then act upon any intelligence received, including that received from our partners. Trading Standards is an active member of the Norfolk Tobacco Alliance and will be striving to help achieve CLear (Challenge, Leadership and Results) status in tobacco control for Local Government specifically for Norfolk County Council.

In line with our Enforcement Policy we will continue in 2020-21 to provide an effective response to secure compliance of and/or disrupt Norfolk businesses engaged in supplying illicit tobacco, including:

- Seizure and destruction of illicit tobacco
- Seizure of criminal assets (including vehicles & cash)
- Institution of proceedings with a view to prosecution and the issue of simple cautions
- Preventing the issue of and securing the revocation of Premises Licences
- Carrying out safety testing, where appropriate, on illicit cigarettes, and
- Working with the landlords of properties used for the supply or storage of illicit tobacco with a view to securing the eviction of tenants who continue to break the law.

Trading Standards, with partners, will carry out the highlighted activities at retail level. In parts of Norfolk, currently Great Yarmouth and Kings Lynn, criminal organisations are thought to control the illicit tobacco supply. It will be necessary to work with enforcement partners to effectively tackle these groups.

Knives

The Offensive Weapons Act 2019 will require age verification to take place both at the point of sale of a knife and at the point when the item is delivered. Both are important steps in preventing the sale of knives to a person under the age of 18.

When the Act is fully implemented, this is likely to lead to a new area of work for Trading Standards. Trading Standards will continue to work with the Police and other agencies in support of local and national initiatives to reduce knife crime. Trading Standards will assist Norfolk Constabulary with Operation Sceptre, a national initiative to reduce knife crime by carrying out joint advice visits to knife retailers.

Alcohol & anti-social behaviour

The link between anti-social behaviour and the consumption of alcohol and substance abuse is established. The strategy of preventing the upstream supply of a number of restricted products to underage persons and thus reducing the level of anti-social behaviour associated with the use of these products will continue to be supported.

This plan will contribute to community objectives and those arising from Government strategy for community safety and public health. Alcohol and associated anti-social behaviour will continue to be a particular focus. We will continue to support both the Community Alcohol Partnerships (CAPs) in Norfolk.

Proof of Age Schemes

The Trading Standards Service does not promote any specific proof of age scheme but supports those schemes that conform to the PASS Scheme criteria. Many retailers have adopted the “Challenge 25” policies in relation to all age restricted products.

Trading Standards will continue in 2020-21 to encourage all premises involved in the sale of any age restricted products to adopt a policy which achieves the aims of “Challenge 25”.

Our ‘Minor Sales Major Consequences’ pack includes a section on adopting a “Challenge 25” type policy. The Trading Standards Service will also encourage and promote the use of a ‘Refusals Log’ by traders to provide evidence that proof of age is being sought and sales refused in appropriate circumstances.



Norfolk County Council

Community & Environmental Services

Trading Standards Service

Food & Feed Law Enforcement Plan
2020-21



**Produced in accordance with the requirements of the
Food Standards Agency Framework Agreement**



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Food and Feed Sampling Policy

The Food Standards Agency (FSA) Framework Agreement requires Food & Feed Law Enforcement Plans to be laid out in a common format but recognises that, as local authorities may have corporate service plan templates, they may use the corporate format as long as the information requirements laid out in the Agreement guidance are included and are separately identifiable. Therefore, wherever possible this Annex makes reference to the applicable sections of the Trading Standards Service Plan 2020-21 rather than replicating the information it contains.

Section One: Trading Standards Service Aims and Objectives

1.1 Aims and Objectives

The Trading Standards service' ambition is a safe, fair and legal marketplace for Norfolk, that supports and benefits local businesses and communities. The six outcomes we are seeking to achieve are:

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

1.2 Links to Corporate Strategic Ambitions

Our ambition and outcomes accord with the County Council's 2019-2025 plan for the County, **Together for Norfolk**, and its ambition, priorities and outcomes:

Ambition

For our County to be a place where we put people first, where everyone works together to create a better place to live. A place of opportunity: where we can fulfil our potential and lead productive, healthy and independent lives. A place where we all have the chance to contribute to and benefit from economic growth and regeneration, as well as protecting our unique environment. It will be a place where any of us can access the education we want, develop the skills we need, and gain the employment we seek.

Priorities

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

Outcomes

- Growing Economy
- Thriving People
- Strong Communities.

- 1.3 How Trading Standards helps to deliver the County Council's ambition and strategy is captured in our plan on a page on page 10 of the Trading Standards Service Plan 2020–21.

Section Two: Background

2.1 Profile of the Local Authority

The population of Norfolk in 2018 was estimated to be 903,680¹. The age profile of Norfolk's population is much older than England as a whole with 24.3% of people being aged 65 and over, compared to 18.2% for England.

Norfolk is the fifth largest of the 27 two tier (or shire) counties in England, with a geographical area of 549,751 hectares. The population density is one of the lowest for any of these counties, giving Norfolk a predominantly rural character.

There are 33,225² active enterprises in Norfolk. Nearly two thirds of VAT registered businesses in Norfolk are located in rural locations with 90% of these being small enterprises employing 10 people or less.

Agriculture remains a large employment sector with 10.2%² of enterprises in this sector. The total farm labour force is large with nearly 12,500³ people employed on commercial holdings. In comparison with other local authority areas the county has one of the largest livestock populations of commercial poultry (15,515,558³) and pigs (539,174³).

The health and life sciences sector is also an important part of the economy in Norfolk. The Greater Norwich area in particular is home to a cluster of internationally renowned research organisations, such as the Quadram Institute. These organisations employ some 3,000 scientists, which is the largest concentration of health, food, plant and bio scientists in Europe. The Greater Norwich area has also been awarded Food Enterprise Zone Status.

2.2 Organisational Structure

The structure of the Trading Standards service is set out on page 2 of the Trading Standards Service Plan 2020-21.

The Trading Standards service currently reports, via the Director of Community, Information & Learning, Ceri Sumner, to the Executive Director of Community and Environmental Services.

The Executive Director of Community and Environmental Services, Tom McCabe, reports to the Council's Cabinet. The cabinet member for Communities and Partnerships is Councillor Mrs Margaret Dewsbury, margaret.dewsbury@norfolk.gov.uk.

¹ 2018 Office of National Statistics figure (estimated)

² 2018 Office of National Statistics figure from the Inter-Departmental Business Register

³ Defra Farming Statistics 2016

The Council has 84 elected Members. The current political make-up of the Council is: 54 Conservative council seats, 16 Labour, 11 Liberal Democrat, 2 Independent, and 1 Independent (non-aligned).

Feed and food law enforcement is the responsibility of the Food and Farming Section of the Trading Standards service. The section's functions are:

- Providing support for Norfolk based businesses in the food and farming sectors, to further economic growth:
 - delivering targeted business information to achieve compliance, promoting self-help
 - providing business advice and support on request, including chargeable advice
 - acting as 'primary authority' for food and farming sector businesses.
- Ensuring the standards of animal health and welfare; the quality, safety and hygiene of the food chain and metrology standards through delivery of intelligence-led compliance programmes, including sampling, inspections, verifications and market surveillance enforcement activities in the following areas:
 - Animal health and welfare, including disease control and licensing
 - Primary food production including fertilizers, animal feeding stuffs and food hygiene
 - Food standards
 - Legal metrology.
- Intelligence-led criminal and civil interventions and investigations, tackling issues emerging from the tasking and coordination process and focusing on the most detrimental offending within the food and farming sectors.

2.2.1 The manager responsible for the delivery of official feed and food controls is:

Jon Peddle
Food and Farming Manager
Email: jon.peddle@norfolk.gov.uk
Tel: (01603) 224380

The Lead Feed Officer is Colin Maxwell and the Lead Food Officers are Paula Crowson and Julie Smith, all of whom are based in the Food and Farming Team. The Food Law Code of Practice lays down the responsibilities and competencies of the Lead Food and Feed role (which may be more than one person) which are shared in the Service between Jon Peddle, Colin Maxwell (feed), Paula Crowson (food) and Julie Smith (food).

2.2.2 The Authority has contracted with Public Analyst Scientific Services Ltd (PASS) to provide the public analyst and agriculture analyst functions for the county.

2.3 Scope of the Animal Feed and Food Service

The Trading Standards service delivers a range of animal feed and food enforcement services. Specific functions are detailed below:

- Programmed inspections at animal feed and high-risk food premises
- Targeted enforcement activities
- Inspections and other enforcement activities arising from complaints and referrals
- Sampling of food and animal feed for analysis and/or examination as part of EU, national, regional and local programmes
- Primary Authority responsibilities
- Responding to food and feed safety incidents
- Provision of information, advice and support for businesses
- Publicity including public awareness campaigns
- Working in partnership with other agencies involved in the protection of the food chain including the Food Standards Agency (FSA); the Department of the Environment, Food and Rural Affairs (Defra); the Department of Health (DH); Public Health (PH); the other ten local Trading Standards authorities who together make up the East of England Trading Standards Authorities (EETSA); the seven District Council Environmental Health Departments in Norfolk and the Meat Hygiene Service.

The animal feed and food law enforcement service is delivered exclusively by officers employed by the County Council, alongside other similar services, for example, the inspection of weighing and measuring equipment.

2.4 Demands on the Animal Feed and Food Service

Using the appropriate risk scoring profile food businesses are scored on a high, medium or low risk basis. There are 61 high-risk, 5,546 medium-risk and 4,294 low-risk food businesses recorded on the Trading Standards service's database, totalling 9,901 food businesses. This represents an increase of 667 businesses or 7% (across the three risk categories) over the 2019/20 service year. This increase can be accounted for in part by the improvements we have made in gathering business information from district councils (new registrations for business rates as well as food business registrations).

There are 5,728 agriculture businesses recorded on the Trading Standards service's database. The appropriate risk scoring profile for feed businesses scores them on a frequency of inspection basis from 1 to 5 years with a score of 1 being the highest risk and 5 being the lowest. The inspection programme, based on risk, is agreed with the FSA as part of the grant funded audit and inspection programme.

A number of businesses are designated both food and feed businesses. The Trading Standards service conducts food standards, feed standards, feed hygiene and food hygiene at primary production inspections or a combination of these interventions at these businesses.

There are 504 food manufacturers in Norfolk, 5% of the sector, ranging from major multinational companies to cottage industries. The majority of food businesses are

caterers (6,448 = 65%) such as public houses, restaurants and hotels or retailers (2,871 = 29%) including general stores and bakers.

The county has 39 animal feed, including pet food, manufacturers as well as a very large number of on-farm mixers.

A significant percentage of the companies with which the Trading Standards service has a Primary Authority relationship are within the food and agriculture sectors.

The United Kingdom exited the European Union on 31 January 2020. The resultant transition period could have a significant impact upon the demands on the service, including the potential for increased requests for business advice and an increased need to undertake inland market surveillance, particularly with regard to imported food and feed. Any increases in demand, as a result of EU exit are, at present, unknown and have therefore not been included in this plan.

2.5 Enforcement Policy

The Community and Environmental Services (CES) directorate is responsible for a range of regulatory functions, including Trading Standards, Planning enforcement (mineral and waste sites), Flood and Water (land drainage), Norfolk Fire and Rescue (fire safety) and Highways (networks, maintenance and Blue Badge enforcement) and the CES Enforcement Policy has been implemented, having regard to the established legal framework for decision-making, the Code for Crown Prosecutors (CPS) and the “Regulators’ Code” published by the Office of Product Safety and Standards (OPSS).

Section Three: Service Delivery

3.1 Animal Feed and Food Premises Inspections (Interventions)

The Trading Standards service reviews its policy in relation to inspections (interventions) at business premises on an annual basis in accordance with the principles of better regulation, the Food Law Code of Practice (England) and the Feed Law Code of Practice (England). In relation to farm premises the service also considers the Animal Health and Welfare Framework Agreement and the Farm Regulators’ Charter.

3.1.1 In relation to feed businesses, this service leads the regional approach to feed enforcement with its East of England Trading Standards Authority (EETSA) partners and liaises with National Trading Standards (NTS) and the Food Standards Agency (FSA). At the time of compiling this plan the number of feed visits required by the NTS/FSA programme for the forthcoming year, based on a full risk-based inspection programme, is not confirmed but is expected to be the same as that required for the 2019/20 service year, with an estimate of 75 inspections at Norfolk based premises, out of a total of 250 inspections required across the EETSA region. This programme is entirely financed by grant funding provided by the FSA and administered by NTS. This proposed programme now takes full account of earned recognition for businesses that are members of an assurance scheme and covers equally the full range of feed businesses. Livestock and arable farms are the

main types of premises to be visited; reflecting the importance of having feed controls in place at primary production.

The NTS/FSA programme of interventions and activity is produced using agreed risk models and desktop modelling of our premises database. The programme is agreed by the FSA prior to commencement and funding. As such it is accepted that this programme satisfies the requirements for interventions laid down in the Feed Law Code of Practice (England).

- 3.1.2 In relation to food businesses, the service will inspect all food businesses in Norfolk that are deemed to be high-risk by virtue of the previous trading history or the appropriate risk scheme, on at least an annual basis. In addition, intelligence-led inspections or other interventions will be conducted at those business sectors presenting the highest risk to the food chain and consumers/other legitimate businesses. It will also be appropriate, on occasion, to respond with inspections or other interventions where intelligence is received via consumer/trader complaints or referrals from other enforcement agencies about the non-compliance with trading standards of individual businesses. In line with Hampton principles⁴ and the resources available the service will not therefore, as a matter of routine, carry out inspections at medium or low risk food businesses unless they are visited as a result of the aforementioned factors.

The above measures are intended to focus our available resources on the areas of greatest risk, using available intelligence, and as such the service will not be able to fulfil a food inspection programme in accordance with the requirements of the Food Law Code of Practice (England). This discrepancy is covered in greater detail under section 4: Resources.

- 3.1.3 The service has assessed the value of carrying out unannounced inspections as opposed to announced inspections. It applies the following policy on animal feed and food inspections and audits:
- (a) Where official controls take the form of an audit or there is a need to have the feed or food business operator present e.g. so that records can be examined, then such visits will be announced. In these cases, prior notification will be kept to a minimum.
 - (b) In all other cases and in particular where previous visits or intelligence suggests that serious non-compliances have occurred, visits will be unannounced. All establishments will be subject to ad hoc visits which will be unannounced.

The service will keep this policy under review and, if the policy leads to a disproportionate negative impact on the use of resources of both the service and Feed and Food Business Operators, it will be revised.

⁴ Reducing administrative burdens: effective inspection and enforcement: Philip Hampton – March 2005

The policy will also be kept under review in light of the enhanced requirements of the new Official Control Regulation (EU) 2017/625, and the requirement for competent authorities to perform regular and unannounced risk-based controls to identify fraudulent activities. The service believes that the above policy is still valid, as the requirements of 2017/625 are met by activities covered in part (b) of the policy.

3.1.4 The inspection programmes for food and animal feed are shown below:

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2019/20	2020/21
Feed Hygiene & Standards Inspection Programme	To inspect 75 agriculture businesses, e.g. selected feed mills, importers, retailers and farms. To ensure compliance in relation to feed labelling/packaging, stock rotation/storage, feed hygiene, record keeping/traceability and sale or use of prohibited materials.	0.15 FTE	0.15 FTE
Inspection of High-Risk Food Businesses	To carry out inspections at 61 businesses identified as high risk for food.	0.85 FTE	0.85 FTE
*Excluding managerial, administrative and legal support but including revisits and follow up action			

Animal feed and food inspections are carried out by suitably qualified, competent and experienced Trading Standards Officers. Some targeted enforcement activities are carried out by Trainee Trading Standards Officers, studying for qualifications under the Chartered Trading Standards Institute (CTSI)'s Professional Competency Framework (CPCF), adequately supervised by qualified staff.

Feed/Food Standards Inspections are carried out in accordance with the Feed Law Code of Practice (England) and the Food Law Code of Practice (England).

3.2 Animal Feed and Food Complaints

Anticipated resource requirements for handling animal feed and food complaints are based on the complaint/contact numbers received in previous service years, the nature of those complaints/contacts and the level of enforcement response required. The number of food complaints/contacts is anticipated to be 230 and the number of agriculture complaints/contacts is anticipated to be 20.

The large increase in food complaints compared to the 2019/20 service year can, for the most part, be attributed to an increase in reporting of matters concerning allergen compliance. The staffing resources required are given overleaf.

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2019/20	2020/21
Complaints and Referrals	To undertake reactive enforcement in response to complaints from other enforcement agencies, businesses and the general public in relation to animal health, agriculture and food matters to ensure legal compliance. Analysis will be undertaken to identify further proactive work, identify trends and report on significant outcomes and impacts.	0.05 FTE (feed)	0.05 FTE (feed)
		0.35 FTE (food)	0.80 FTE (food)
*Excluding managerial, administrative and legal support			

In addition to reactive complaints/referrals work, information and advice is made available to consumers. This is achieved through signposting to the Citizens Advice 'Advice guide' website via our website www.norfolk.gov.uk/business/trading-standards and through our social media posts on twitter and Facebook.

3.3 Home Authority Principle and Primary Authority Scheme

Following a change to our Business Services Policy in 2017, this service no longer offers the full range of functions under the Home Authority Principle. In particular, the service no longer offers free bespoke advice to businesses. Bespoke advice tailored to the individual needs of a business is now provided on a chargeable basis. The service supports Primary Authority Partnerships administered by the Office of Product Safety and Standards (OPSS).

The service will provide the following levels of service to Primary Authority businesses:

- Actively promote the benefits of the Primary Authority scheme to businesses within Norfolk and outside of Norfolk
- Designate Primary Authority Officer(s) to each partnered business, with the relevant competencies or access to the necessary expertise to be able to offer advice
- Respond to requests for advice and guidance
- Issue assured advice, where it is appropriate to do so
- Facilitate a response to enquiries raised by other authorities
- Maintain records of relevant incidents, business policies and diligence procedures, where known
- Maintain confidentiality in relevant circumstances
- Ensure businesses are aware of our procedure for dealing with complaints or disagreements
- Have in place arrangements to notify other authorities of indulgences relevant to "subsequently corrected" errors
- Participate in relevant sector groupings with enforcement partners where our Primary Authority Partners businesses operate in the applicable market sector
- Support national advice and conciliation procedures, where appropriate.

Primary Authority businesses will be inspected/visited or otherwise contacted:

- As part of the inspection programme for high-risk businesses, or
- As part of the planned series of targeted enforcement activities, or
- As a result of a complaint/referral received, or
- To maintain the Primary Authority Partnership relationship.

Currently, the service has Primary Authority Partnerships with three food businesses and three feed businesses. The resources required to handle complaints and service requests relating to these Primary Authority businesses are included in Sections 3.2 and 3.4.

3.4 Advice to Business

The Trading Standards service works with businesses to help them to comply with trading standards and to encourage the use of good practice. On receipt of business requests for advice we will respond in a number of ways including:

- directing the business to our website or that of a partner organisation, such as the Chartered Trading Standards Institute (CTSI)'s Business Companion
- referring the business to another agency
- providing leaflets produced by partner organisations, our business briefings or standard letters
- providing comprehensive bespoke information or advice via the telephone, email or a letter, on a cost recovery basis and/or
- visiting the business to provide comprehensive advice, on a cost recovery basis.

In each case, our response will be proportionate to:

- the potential risk to consumers caused by a failure on behalf of the business to understand the information/advice provided,
- the experience of the business in question, and
- the impact upon the economic prosperity of the business or its competitors in not achieving compliance in the respective area(s) of the law.

In line with our Business Services Policy, if a business requires more detailed or interpretative advice on trading standards law then we will provide the advice on a cost recovery basis at a pro-rata hourly fee.

In dealing with any requests for advice we will prioritise requests for advice from new businesses, Primary Authority businesses and members of our Norfolk Trusted Trader Scheme.

The Service reviews all information and advice it provides to consumers and businesses on an annual basis. This is with a view to signposting customers to the most appropriate source of online information available to enable self-service and assisted service.

Animal feed and food service requests will be handled by virtue of the projects detailed below and further projects developed during the 2020/21 service year. Anticipated resource requirements are based on the service request numbers received in previous service years, the nature of those service requests and the level of enforcement response required.

The number of food service requests is anticipated to be 100. The number of agriculture service requests is anticipated to be 170. This is significantly less than the previous year and reflects a reduction in feed hygiene proactive registrations (following a change in the criteria for feed registrations for keepers of a small number of animals).

As outlined in Section 3.3 above the service currently has Primary Authority Partnerships with three feed businesses and three food businesses. An estimate of billable hours of advice under Primary Authority Partnerships is included in these figures. In the recent past one Primary Authority feed business has required a large amount of resources to satisfy requests for advice and has amassed over 300 billable hours of advice. The business in question has now employed a former officer of this service so the expectation is that the demand from that business will reduce to a minimum. However, it is the case that the service has committed to doubling its income from chargeable business advice in 2020/21. As this develops, given the local business demography, it is likely that further food and feed resources will need to be committed.

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2019/20	2020/21
Business Advice	To provide enforcement and compliance information and advice in relation to agriculture (animal feed, feed hygiene, pet food, fertilisers) and food in response to requests from businesses. Analysis will be undertaken to identify further proactive work, identify trends and report on significant outcomes and impacts.	0.40 FTE (feed) **	0.20 FTE (feed) **
		1.00 FTE (food) **	1.0 FTE (food) **
*Excluding managerial, administrative and legal support			
**Includes estimated hours of advice to be delivered under Primary Authority Partnerships			

3.5 Animal Feed and Food Sampling

The Trading Standards service's Food and Feed Sampling Policy is annexed to this Plan.

The Trading Standards service targets its proactive sampling at locally produced animal feed and foods, those products/ingredients from companies that manufacture in, are based in, or import into Norfolk. In line with a letter from the FSA (ENF/E/08/061) the service is committed to ensuring that at least 10% of all food samples are of foods imported into the European Union.

In addition, animal feed/foods are targeted which are causing current concerns. These are identified through communication with the Food Standards Agency (FSA) and the Department of the Environment, Food and Rural Affairs (Defra); through local, regional and national intelligence held by local authorities; and through consultation with the Public Analyst. The service's sampling programmes therefore include projects run in conjunction with the Food Standards Agency (FSA), the Chartered Trading Standards Institute (CTSI) and the East of England Trading Standards Association group of local authorities (EETSA).

Listed overleaf are sampling surveys that will be carried out in 2020-21. This list will be added to as, for example, intelligence identifies other animal feed/food that should be targeted. At the time of writing this plan the service planning cycle for food and feed sampling has not been concluded and further surveys will be added as a result of this process.

Through the examination of available intelligence and data the service is already aware that compliance with allergen requirements will again be an area of high priority for 2020/21. The Service will continue to develop activities under its long-term comprehensive programme of allergen compliance work, including sampling, business and consumer engagement and enforcement, if need be.

All sampling by officers is, wherever possible, undertaken in accordance with relevant legislation and all formal animal feed and food samples are taken in accordance with the Feed Law Code of Practice (England) or the Food Law Code of Practice (England) as applicable.

Samples are analysed and/or examined by the service's nominated Public/Agriculture Analyst in accordance with the procedures laid down in the Food Safety (Sampling and Qualifications) Regulations 2013, the Food Law Code of Practice (England) and the Feed Law Code of Practice (England). Alternatively, some samples are examined/tested in house, if it is appropriate to do so.

The Public/Agriculture Analysts appointed by the Authority are employed by Public Analyst Scientific Services Ltd (PASS). At the time of writing this plan the contract for such services is coming to an end and is subject to a new public tender process. As a result, the status of these appointments may change, depending upon the result of that tender process.

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2019/20	2020/21
Agricultural Sampling	To undertake animal feed and fertilizer sampling to ensure compliance in relation to composition, safety, hygiene and labelling.	0.80 FTE £7,500 Purchase and analysis costs	0.80 FTE £5,500** Purchase and analysis costs
Surveys under the sampling project will include: <ul style="list-style-type: none"> • Feed materials which are the subject of a complaint to the service • Imported feeds/ingredients that have been the subject of feed hazard notifications • Finished feed for veterinary medicine carryover and labelling compliance. 			
Food Sampling Programme excluding Allergens Project	Targeting food sampling at areas identified as causing the most harm to consumers in terms of food safety, quality or nutritional standards	1.30 FTE £33,000 Purchase and analysis costs	1.30 FTE £33,000 Purchase and analysis costs
Surveys under the sampling project will include: <ul style="list-style-type: none"> • Undeclared allergens in non-prepacked foods • Sampling during the investigation of complaints • Sampling during the investigation of food fraud including meat speciation in meat products or preparations • Foods produced in Norfolk or imported by Norfolk based businesses • Foods imported from outside the EU • Foods identified by Food Standards Agency priorities 			
Allergens project		0.25 FTE	0.25 FTE
* Excluding managerial, administrative and legal support ** The Service's budget has been reduced. The FTE has remained the same as the vast majority of sampling activity is financed by grant funding (provided by the FSA and administered by National Trading Standards).			

- 3.6 Control and Investigation of Outbreaks and Food Related Infectious Disease
Food poisoning notifications do not usually fall within the remit of the Trading Standards Service. If, however, the service becomes aware of any incident of food poisoning or infectious disease, the facts will be reported to the appropriate authority.

- 3.7 Animal Feed/Food Safety Incidents
On receipt of any animal feed or food alert, the Trading Standards service will respond as directed and as appropriate and in accordance with the Feed Law Code of Practice (England) or the Food Law Code of Practice (England).

The Food Standards Agency (FSA) issues a "Product Withdrawal Information Notice" or a "Product Recall Information Notice" to let local authorities and consumers know about problems associated with food.

In some cases, a “Food Alert for Action” is issued which requires intervention action by enforcement authorities. 63 food alerts were issued by the FSA in 2019 (January to December). There were no food alerts for action by this service during 2019. The FSA also issued 116 allergy alerts.

During 2019, as a result of sampling activity, the service raised two food incidents with the FSA regarding undeclared allergens in prepacked foods as well handling 24 complaints in-relation to undeclared allergens in non-prepacked foods which caused illness/injury.

Feed alerts are far less frequent than food alerts. During 2019 the service was involved in 15 feed incidents raised by the FSA. This was predominantly as a result of the businesses notifying us of their sample failures, before then notifying the FSA themselves. The Service also raised two feed incidents itself, as a result of non-compliances discovered by our own feed sampling activities.

It is estimated that, for the coming service year, 0.10 FTE will be required for feed/food safety incident work.

In cases where the service receives reports of chemical contamination of food and there is a subsequent threat to human health, it will liaise with the appropriate district council environmental health department, with a view to taking over responsibility for the case, or for undertaking a joint investigation, as the situation demands.

3.8 Liaison with Other Organisations

The Trading Standards service works with a wide range of organisations, to varying degrees of formality, in carrying out its animal feed and food law enforcement function. These include the Food Standards Agency (FSA), the Department of Health (DH), the Department of Environment, Farming and Rural Affairs (Defra), the Animal Medicines Inspectorate (AMI), National Trading Standards (NTS), the other ten local authority Trading Standards Services in the East of England (EETSA) and District Council Environmental Health Departments.

The service maintains a strong commitment to the regional work of EETSA and officers from Norfolk contribute to the EETSA Food Group and the EETSA Agriculture Group, with the former group being chaired by a Norfolk officer. Via quarterly meetings and regional Knowledge Hub groups, the service aims to ensure that local food and feed enforcement activity is consistent with neighbouring authorities. The service participates in the National Food Standards & Information Focus Group and the National Agriculture Panel, with both being chaired by officers of this service.

The service also ensures co-ordination with Environmental Health Departments, the Meat Hygiene Service and the Health Protection Agency through the Norfolk Food Liaison Group (NFLG) set up to co-ordinate activities in line with the requirements of the Food Law Code of Practice (England).

The service is fully committed to working with the Food Standards Agency on its Regulating Our Future (ROF) programme, to determine a future delivery model for official food controls. At the time of writing this plan the service has expressed its interest to the FSA in participating in a pilot programme of work under ROF to help develop an intelligence-led approach to food standards delivery. This could represent a significant amount of work and, if we are asked to be a pilot authority, then plans for the 2020/21 year will have to be revised accordingly (as the forecast figure below does not account for this work).

The estimated staffing resource for liaison work during the year is 0.30 FTE.

3.9 Animal Feed and Food Safety and Standards Promotional Work, other non-official Controls and Interventions

Animal feed and food safety and standards promotional work for the year is linked to the results of our sampling and other enforcement projects, to any relevant prosecutions, and to information provided by our enforcement partners, primarily the Food Standards Agency (FSA). Promotional work consists of postings on our website www.norfolk.gov.uk/business/trading-standards; including scam alerts, postings via our twitter feeds and Facebook pages and regular press releases, locally, regionally and nationally. In addition, we have developed a specific promotional campaign to assist with our consumer and business education work on allergen compliance, through our “@ask for allergens” and #justask social media presence. Resources in relation to allergens promotional work have been accounted for in 3.5.

Information and intelligence gathering work is carried out by feed and food officers as part of their ongoing duties. Information and intelligence is also gathered and analysed by our intelligence analyst and technical support staff in the Intelligence and Enforcement Support Section. Such work informs our control strategy, tasking and coordination function and our service planning cycle.

Resourcing details are provided in the table below:

Project Name	Project Description/Outcomes	Staffing/Other Resources*	
		2019/20	2020/21
Promotional Work, Intelligence Gathering	Promotional work including results of market surveillance, enforcement projects, prosecutions and information dissemination. Promotion will include use of our website, social media pages and feeds, local, regional and national press releases and liaison with media organisations.	0.05 FTE (feed)	0.05 FTE (feed)**
	Intelligence gathering work will include complaints and information monitoring, review of local, regional, national and international data to inform market surveillance and enforcement activity.	0.05 FTE (food)	0.05 FTE (food)**
*Excluding managerial, administrative and legal support			
**Intelligence gathering work also undertaken by Intelligence and Enforcement Support Section.			

Section Four: Resources

4.1 Financial Allocation

The net budget for the Trading Standards service for 2020/21 is £1,620,180. A breakdown of the Trading Standards budget for feed and food enforcement is shown below:

	2019/20 Outturn (tbc)	2020/21 Estimate
Staffing	Total F&F: £646,220 Food & Feed: £248,208 (based on 5.65 FTE)	Total F&F: £655,720 Food & Feed: £262,288 (based on 5.90 FTE)
Sampling budget (Food & agriculture purchase and analysis)	£40,500	£38,500*
Subsistence/travel	Total TS: £32,020 (profiled budget) Food & Feed: £4,145 (based on 5.65 FTE)	Total TS: £25,000 (profiled budget) Food & Feed: £3,398 (based on 5.90 FTE)
*At the time of writing this plan the Service is proposing to apply for grant funding for feed/hygiene audits and feed sampling to supplement the 2020/21 sampling budget. The results of any grant bid will affect surveys proposed in Section 3.5 above. Whilst the overall grant funding is likely to be comparable to the 2019/20 funding, changes to the timing and allocation of these resources means we are unable to confirm at this time.		

The relative amounts allocated to food and feed law enforcement are based on the staff allocation breakdown given in Section 4.2.

- 4.1.1 The Food Law Code of Practice requires the service to inspect its food businesses over a prescribed cycle. In addition to the inspection of all high-risk businesses and other interventions detailed in this plan, the expectation is that all medium risk businesses will be inspected every 2 years and that an inspection or alternative enforcement strategy be undertaken at low risk premises once every 5 years.

The service has determined that, if it were to conduct the routine food inspection programme detailed above, the following resource would have to be redeployed from other enforcement activities, such as fair trading, animal health & welfare or product safety work:

Food Business Inspections:	• Medium risk	6.3 FTE
Food Business Alternative Enforcement Strategies	• Low risk	0.2 FTE

However, mindful of the recommendations of the Hampton⁴ and Macdonald⁵ Reviews which state the service should only carry out inspections of businesses where there is a clearly identified risk presented by that business, the service will, as in previous years, conduct intelligence-led inspections or other interventions within those business sectors or at those food business operators presenting the highest risk to the food chain and consumers/other legitimate businesses. A flexible approach to resourcing enables us to respond appropriately to incidents and our local approach to risk assessment and effective targeting of resources, rather than the conduct of a routine inspection programme, will provide the necessary protection to the county's food chain.

- 4.1.2 The service continues to invest in modern ICT systems and provides its annual Local Authority Enforcement Monitoring System (LAEMS) return via a direct download to the FSA. Access to the Internet, to the APP Civica database and to other information systems is seen as a vital resource for operational staff. The service currently uses the UK FSS iNet database for recording, managing and submitting food and feed sampling data. As a result of withdrawal of funding by the FSA the service is aware that UK FSS iNet, whilst still in operation, no longer benefits from external ICT support. At the time of writing this plan the service is awaiting further instruction from the FSA as to how the replacement system for data transfer will operate.

The service has recently procured the newest database product from Civica, the cloud based "CX" platform. During the 2020/21 service year the service will seek to introduce this database, to initially run alongside, and then replace our current "APP" Civica platform.

All food and feed law enforcement officers have been issued with laptops, smart mobile telephones (although some opt to retain talk and text 'phones) and digital cameras. At the time of writing this plan the service is looking to refresh its current issue of laptops with hybrid laptops that incorporate detachable tablets. The issue of such devices, along with the mobile working functionality of the CX platform, will allow officers to directly record and update database information whilst off site at business premises.

The service does not have an individual budget for ICT as such matters have now been transferred to corporate budgeting.

- 4.1.3 No fixed amount is set aside for legal costs with specific regard to food and feed law. However, a general legal cost subjective is allocated to the budget, the budgeted amount for 2020/21 being £47,000.

⁴ Reducing administrative burdens: effective inspection and enforcement: Philip Hampton – March 2005

⁵Review of Regulation in Farming: MacDonald – May 2011

4.2 Staffing Allocation

The current staffing allocation to food and feed enforcement has been calculated on the basis of the projects/activities described in Section 3 above as summarised and unless otherwise stated FTE figures quoted relate to competent staff:

Plan Section	Project/Activity	FTE			
		2019/20 Feed	2019/20 Food	2020/21 Feed	2020/21 Food
3.1	Feed Hygiene & Standards Inspection Programme	0.15		0.15	
3.1	Inspection of high-risk food businesses		0.85		0.85
3.2	Complaints and Referrals	0.05	0.35	0.05	0.80
3.4	Business advice	0.40	1.00	0.20	1.00
3.5	Agricultural sampling	0.80		0.80	
3.5	Food Sampling Including Allergens Project		1.55		1.55
3.7	Food/feed alerts		0.10		0.10
3.8	Liaison	0.15	0.15	0.15	0.15
3.9	Promotional Work, Intelligence Gathering (including non-qualified staff)	0.05	0.05	0.05	0.05
	Subtotal:	1.60	4.05	1.40	4.50
	Total:	5.65		5.90	

4.3 Staff Development Plan

The service focuses on the needs of both specialist feed and food law enforcement officers and other staff in terms of their training and continuous professional development (CPD).

The current training arrangements are reflected in the Learning and Development Framework and the Learning and Development Plan. Over recent years the number of qualified food and feed officers within the service has reduced, as officers have left the service. The service has invested in supporting trainees to study for the Trading Standards Practitioner Diploma (TSPD) in order to attain the qualifications necessary to be able to undertake food and feed standards work. At present the Service has two trainees, who joined the service in June 2019. At the time of writing this plan the service has recruited four further trainees, who are due to start at the beginning of the 2020/21 service year.

Skills and competency are assessed at annual staff personal development plan discussions, midyear reviews and 1-2-1 meetings and a programme of continuous professional development is implemented to ensure the maintenance of essential knowledge and skills.

The Food Law Code of Practice England (2015) laid down competency demonstration requirements for food officers (20 hours CPD per annum) which took effect from 1 April 2016 (which have been further clarified in the Food Law Code of

Practice England (2017)). The service ensures that sufficient time and resources are provided to allow food officers to attain the required 20 hours of CPD per annum.

Similarly, the Feed Code of Practice (England) (2018) requires that competent officers are able to evidence 10 hours CPD per annum. Again, the service ensures that sufficient time and resources are provided to allow feed officers to attain this CPD.

Section Five: Quality Assessment

5.1 Quality Assessment and Internal Monitoring

The following arrangements will be used to assess the quality of the Authority's service:

- All procedures and work instructions relating to feed and food law enforcement are subject to established in-house quality improvements and auditing procedures which apply to the whole of the Trading Standards service
- Evaluation surveys sent out to a sample of businesses following an inspection or request for advice
- Review of a random number of inspections, service requests and complaints by section/line managers
- Feedback at 1-2-1 meetings, midyear review and personal development plan discussions on individual performance
- Feedback at team meetings.

Section Six: Review

6.1 Review Against the Service Plan

The Service uses a performance measurement toolkit, "PMR", to collate, report and review performance on a monthly basis.

At monthly intervals the Trading Standards Management Team undertakes a performance review. The meeting includes recognition of any variance from target, the reasons for variance and any appropriate measures to be put in place to address such variance.

The Trading Standards Management Team also reviews progress against our Control Strategy Priority Actions of:

- Ensuring the safety, standards and quality of the food chain, including food, animal feeds and agricultural fertilisers, and
- Support the economy, by providing businesses with access to information and compliance advice, including through chargeable, bespoke services

at a monthly Tasking and Coordination meeting.

These priority actions include the provision of business advice, liaison with regulatory and business partners, intelligence led market surveillance and enforcement activities, including risk-based inspection and sampling.

The allocation of suitable resources to tackle any emerging food or feed issues or trends can also be raised for consideration by the Trading Standards Management Team at the monthly Tasking and Coordination meeting.

Information on performance measures and targets is set out on pages 3, 7 and 8 of the Trading Standards Service Plan 2020-21.

6.2 Identification of any Variation from the Service Plan

As outlined in Section 6.1 above the Service, on an ongoing basis, monitors its performance using the above means and takes action to address variance from target throughout the year.

6.3 Areas of Improvement

The service is committed to addressing areas of improvement highlighted by the ongoing quality assessment and internal monitoring as outlined in Section 5.1 above and the monthly reporting as outlined in Section 6.1 above.

Food and Feed Sampling Policy

Background

The six outcomes we are seeking to achieve are:

Growing Economy:

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

Thriving People:

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

Strong Communities:

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

Introduction

This policy outlines our general approach to the sampling of food and animal feed. This policy is produced in accordance with the service's obligations under the Framework Agreement on Official Food and Feed Controls and the respective Food and Feed Codes of Practice.

Policy

This service recognises that sampling and analysis is an essential part of food and feed standards enforcement, which enables authorised officers to assess compliance with food and feed standards, composition, safety and labelling requirements. This includes using sampling and analysis as part of proactive market surveillance and reactive responses to complaints.

The service is committed to maintaining a contract with a suitably qualified Public/Agriculture Analyst for the analysis of formal food and feed samples.

On an annual basis we will formulate and commit resources to a sampling programme for food and animal feed products. This programme will be developed taking into account factors including the nature of the food and feed businesses in the county, our intervention plan, Primary Authority functions, the Food Standards Agency (FSA) food and feed priorities and other available local, regional and national intelligence pointing to areas of most concern. We will also develop our sampling programme in consultation with the service's appointed Public/Agriculture Analyst.

This service is committed to participation in national and regional sampling surveys where proposed sampling/analysis fits in with the above-mentioned factors.

Although developed as an annual programme, this service will continue to monitor intelligence for emerging issues and will change or amend the sampling programme as necessary.

This service will target its proactive sampling at locally produced animal feed and foods, those products/ingredients from companies that manufacture in, are based in or import into Norfolk. In line with guidance issued by the FSA this service is also committed to ensuring at least 10% of all food samples are foods imported into the European Union.

All formal food and feed sampling will be taken in accordance with the Food Law Code of Practice (England) or the Feed Law Code of Practice (England), as applicable. All formal samples are analysed and/or examined by the service's nominated Public/Agriculture Analyst in accordance with the applicable legislation. Officers who take formal samples are suitably qualified and competent to do so in accordance with the respective Food and Feed Codes of Practice.

Where it is the case that informal samples are taken by officers, wherever it is possible, these samples shall be taken in accordance with relevant legislation.

All food/feed samples and the result of examination/analysis will be recorded. Food and Feed Business Operators will be notified of both the samples taken and the results of analysis. Where sample results are considered to be unsatisfactory, the service will take appropriate action to ensure compliance is achieved. Any action will be carried out in accordance with the CES Enforcement Policy.



Norfolk County Council

Community & Environmental Services

Trading Standards Service

Delivery of Animal Health & Welfare Framework
2020-21



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

Norfolk County Council Trading Standards Service: Delivery of Animal Health & Welfare Framework 2020-21

County councils, metropolitan boroughs and unitary authorities in England have a statutory duty to help local communities comply with laws to prevent the spread of animal disease and protect the welfare of animals. It is compliance with these laws that gives our farming industry the freedom to trade freely and thrive, ensuring that the food we eat is safe and as described, shaping our countryside and making a major contribution to local economies.

The agriculture sector is a major industry in Norfolk and is synonymous with the character of the county. Just over 10%¹ of active enterprises in Norfolk are in the agriculture, forestry and fishing sector. The total farm labour force is large with nearly 12,500² people employed on commercial holdings. In comparison with other local authority areas, the county has one of the largest livestock populations of commercial poultry (15,515,558²) and pigs (539,174²) in the United Kingdom.

Central and local government partners have produced an updated [Animal Health and Welfare Framework](#)³ that offers local authorities a set of practical principles to help deliver duties under animal health and welfare legislation in a way that:

- Is responsive and accountable to local communities;
- Is focused on high risk activities to make best use of limited resources;
- Recognises why national consistency is important for businesses, the public and to protect against animal disease;
- Delivers controls in a way that supports European and international trade agreements;
- Promotes collaborative working.

The Framework is a partnership agreement that aims to increase mutual understanding and collaboration between the Department for Environment, Food and Rural Affairs (Defra), the Animal and Plant Health Agency (APHA) and local authorities in relation to animal health and welfare work. It includes responsibilities for all partners to achieve this. The table on the following pages outlines the responsibilities for Norfolk County Council Trading Standards and how these are achieved.

1 2018 Office of National Statistics Inter- Departmental Business Register

2 Defra Farming Statistics 2016

3 Produced in partnership between [Defra](#), [the Animal Plant Health Agency \(APHA\)](#), the [Association of Chief Trading Standards Officers \(ACTSO\)](#) and the National Animal Health and Welfare Panel (NAHWP). It is supported by the [Local Government Association \(LGA\)](#).

Responsibilities of Local Authorities

	Action Required	Planned Service Delivery
1	Undertake annual service planning based on the principles in the Animal Health and Welfare Framework.	<p>This document, outlining the responsibilities of local authorities under the Animal Health and Welfare Framework, is included as an annex to the Trading Standards Service Plan.</p> <p>Safeguarding the standards of animal health and welfare and reducing the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health is a defined priority action in the Service Plan and the Trading Standards service's control strategy.</p>
2	Develop a risk based, consistent and accessible process for responding to complaints relating to animal health matters on farms.	<p>The actions of the Service are informed by the CES Enforcement Policy. The policy includes reference to the Farm Regulators' Charter and the Regulators' Code.</p> <p>The service has adopted the Intelligence Operating Model (IOM) to direct its activities and prioritise its resources. Safeguarding the standards of animal health and welfare and reducing the risk of animal disease outbreaks and associated risks to the Norfolk economy and public health is a defined priority action of the service's control strategy and activities take account of local, regional and national priorities.</p> <p>The service operates a duty system where all matters that have the potential to require further action, including complaints relating to animal health matters on farms, are reviewed by a Lead Trading Standards Officer. If further action is required, the Lead Trading Standards Officer allocates matters to qualified/competent staff, providing handling instructions to ensure a consistent approach. Whilst the service does not have a separate process for dealing with animal health and welfare complaints, it has a number of guidance documents that have been developed to aid the duty team to respond consistently to such matters including:</p> <ul style="list-style-type: none"> • a flow diagram for allocating animal health matters • guidance on how to deal with abattoir and welfare in transport notifications • a TB work instruction, and • instructions for dealing with missing ear tag referrals.

	Action Required	Planned Service Delivery
		<p>A procedure is currently being piloted that will mandate a peer review of animal health and welfare activities where it is evident the service is having to issue compliance advice/notices on multiple occasions in quick succession to address the non-compliances of a particular livestock keeper. This will assist in us making a judgement on balancing the risk of continued use of such advice/notices to address inconsistent compliance, against the likelihood that, were we to instigate formal proceedings against the livestock keeper at too early a juncture, any conviction we achieve will not result in sufficient a penalty to deter future non-compliance.</p> <p>Where a specific animal welfare matter generates a number of complaints from members of the public covering the same issues a senior officer will be allocated to establish a dialogue with a community representative, where possible, to ensure that complainants receive information that is timely, consistent and as detailed as possible.</p>
3	Provide transparency about how the local authority responds to animal welfare complaints, including collaborative arrangements with other partners and charities.	<p>As outlined in 2 above, the service does not have a separate policy or protocol for dealing with animal welfare complaints. Such complaints will be dealt with and governed by the standard policy and protocols outlined in 2 above.</p> <p>The Enforcement Policy and the Trading Standards Service Plan, including this framework annex are published.</p> <p>The service has an information exchange protocol with Norfolk Constabulary and has information sharing agreements with Citizens Advice and World Horse Welfare. In addition, the Service has the following memorandums of understanding with:</p> <ul style="list-style-type: none"> • the East of England Trading Standards Association (EETSA), to enable the use of a shared intelligence database • Suffolk Trading Standards, to share resources in the event of an animal disease outbreak or major animal welfare event • the Animal and Plant Health Agency (APHA) (facilitated for the service by the Association of Chief Trading Standards Officers (ACTSO)), outlining roles and responsibilities to deal with the safe disposal of anthrax carcasses. <p>Referral handling instructions, covering matters including animal welfare complaints, are maintained for Citizens Advice and Norfolk Police.</p>

	Action Required	Planned Service Delivery
		<p>Where appropriate, the Service will arrange joint visits with Veterinary Officers (VO) from the Animal and Plant Health Agency (APHA) to investigate welfare complaints.</p> <p>Where a complaint raises serious welfare concerns the service will seek to investigate the matter within 24 hours of receipt.</p> <p>Liaison is also maintained with other appropriate agencies to try and establish if the subject of the complaint is the subject of any other complaints/investigations, so a consensus on how to move forward can be agreed.</p>
4	Identify high risk businesses and activities on an annual basis.	The service uses a business risk assessment scheme based on that promoted by the Food Standards Agency (FSA) and has adopted the National Trading Standards Intelligence Operating Model (IOM) to inform its activities and prioritise its resources. The service uses available intelligence sources to risk-assess businesses and identify high risk businesses and activities on an ongoing basis. This informs our priority activities outlined in our control strategy and informs tasking and coordination decisions.
5	Produce an annual programme of interventions for all high-risk businesses and activities based on the risk presented by the activities carried out, intelligence, history of compliance and available resources.	The service produces an annual programme of interventions for all identified high risk businesses. In producing the programme, the service considers factors including risk, compliance history, local, regional and national priorities and any other available intelligence. Progress against targets (for interventions carried out) is monitored monthly by the Trading Standards Management Team via reports provided by Lead Trading Standards Officers.
6	Undertake an annual audit of each livestock market and collection centre in partnership with APHA to review documentation and procedures. Produce an annual programme of interventions based on the	<p>There are one livestock market and three poultry sales operating in Norfolk and the service regularly liaises with the market operators.</p> <p>The service works with officers from APHA to undertake the annual audit of the livestock market, reviewing the market premises and their systems, processes and documented arrangements. This audit informs our agreed programme of interventions with the market, which is fed into our annual intervention programme, as outlined in 5 above.</p>

	Action Required	Planned Service Delivery
	outcomes of the audit, which remains flexible to changing risk through the year.	
7	Actively engage in regional animal health and welfare groups, attending meetings where possible and contributing to regional discussions about the implementation of the Framework. Ensure membership of the KHub.	<p>The Service contributes significantly to regional and national groups. A Lead Trading Standards Officer with a Service Lead role in animal health and welfare was, until recently, the long-time chair of the East of England Trading Standards Authorities (EETSA) Animal Health and Welfare Regional Group and remains an active member of that group. This lead officer also sits on the National Equine Liaison Group.</p> <p>The EETSA regional group is active and members support each other with the mutual provision of information and advice to ensure a consistent approach to the application/interpretation of legislation.</p> <p>The EETSA regional group also maintains a close working relationship with the National Animal Health and Welfare Panel. Officers of the service are members of the Animal Health and Welfare group on KHub (a public service digital platform).</p>
8	Work closely with other local authorities to share knowledge and expertise, including opportunities for shared training, joint inspections, opportunities for contracting and peer to peer reviews.	<p>In addition to that outlined in 7 above, the service has an ongoing commitment to work closely with Suffolk Trading Standards. The service has agreed a Memorandum of Understanding with Suffolk Trading Standards to enable sharing of resources (including cross border authorisation arrangements) to respond to animal disease outbreaks and animal health and welfare issues. Other collaborative working areas with Suffolk Trading Standards include a combined intelligence function, joint strategic management meetings to identify and share best practice, a common enforcement policy and shared learning and development activities.</p> <p>The EETSA Animal Health and Welfare Group has provided and maintains a regional store of equipment to facilitate responses to breaches of the legislation controlling rabies.</p>
9	Proactively exchange and use information and intelligence to inform the delivery of animal health and welfare controls, using national intelligence	<p>As outlined in 3 and 4 above the service has adopted a number of information sharing agreements/protocols and memoranda of understanding, and the National Trading Standards Intelligence Operating Model (IOM).</p> <p>All operational officers have access to the national intelligence database, IDB, and are encouraged to make submissions and review IDB intelligence in relation to their activities.</p>

	Action Required	Planned Service Delivery
	databases where appropriate.	<p>The service has produced an easy protocol to allow officers to add to IDB from data stored on our own database (APP Civica) using an “add to IDB” action line.</p> <p>The service employs an Intelligence Analyst and an Intelligence Technical Support Officer to support and facilitate our intelligence led approach.</p> <p>The Intelligence Analyst scrutinises all incoming complaints, received via the Citizens Advice portal, and partner referrals, such as those from APHA, all of which come in through the secure “intel” email inbox.</p> <p>Each month the Intelligence Analyst produces a tactical assessment for the Tasking and Coordination meeting. This assessment includes analysis (from IDB and APP Civica) by subject area (including “Animal Disease Control Measures”), the level of IDB submissions and horizon scanning for areas of concern. The report also highlights the level of use of IDB by individual officers via their last timed login.</p> <p>On a day to day basis if the Intelligence Analyst receives any intelligence that raises a concern relating to a matter that had the potential to be a cross border issue this matter is sent to the EETSA Regional Intelligence Analyst (RIA) for further dissemination.</p> <p>The Intelligence Analyst and Animal Health Officers of the service have given training to Norfolk Constabulary Control Room staff on Trading Standards matters, including those relating to animal health. The Intelligence Analyst and an Animal Health Officer from the Service have attended the Norfolk CRAG (Crime Rural Advisory Group) meetings. These measures have and will improve the channels of communication and sharing of intelligence relating to matters concerning animal health and welfare.</p> <p>In the forthcoming year the service will seek to use the framework of measures we already have in place to tackle the most complained about Trading Standards sectors (such as home improvements and second hand cars) and adopt these more rigorously in relation to animal health matters, to further promote the gathering of intelligence in this area and augment our ability to highlight known or emerging issues in the farming sector.</p>

	Action Required	Planned Service Delivery
10	Regional groups to discuss and agree how each local authority will be involved in the recording, accessing and analysis of intelligence relating to animal health and welfare with the aim of making a staged improvement in the level and quality of intelligence recorded and the influence this has on service planning across the region.	The Regional Intelligence Analyst (RIA) for the EETSA region has previously attended a meeting of the EETSA Animal Health and Welfare regional group and given advice on how to improve the quality and frequency of intelligence recording on the national intelligence database, IDB, relating to animal health and welfare matters. The EETSA regional group maintains communication with the EETSA RIA. The Intelligence Officer from APHA also regularly attends the EETSA regional group.
11	Each regional group to review the level of intelligence being recorded and use the intelligence to identify any potential threats on at least an annual basis. Steps should be taken to resolve any concerns about the level or type of intelligence being recorded and a response be formulated to any criminal activity that has been identified.	<p>As per 10 above the EETSA Regional Intelligence Analyst (RIA) has previously attended the EETSA Animal Health and Welfare regional group and given advice on how to improve the quality and frequency of intelligence recording on IDB relating to animal health and welfare matters.</p> <p>The EETSA RIA produces a tactical assessment in anticipation of each bi monthly meeting of the EETSA Regional Tasking Group. The RIA will also highlight any concerns about the level or type of intelligence being recorded within the region. Such concerns are disseminated through senior management meetings within EETSA.</p> <p>The EETSA RIA produces an annual strategic assessment document that includes reference to the regional and national priorities.</p>

	Action Required	Planned Service Delivery
12	All local authorities should actively engage in the sharing of environmental, political, legislative or organisational changes at regional meetings that may influence service planning and activities.	<p>Such information is shared at the EETSA Animal Health and Welfare regional group. It is also shared at the EETSA Senior Management Group meetings, where progress of the agreed EETSA regional animal health and welfare workstream is reviewed on a quarterly basis. Issues of particular strategic importance are also discussed at EETSA Heads of Service meetings.</p> <p>In addition, as outlined in 8 above, such information is shared with Suffolk Trading Standards through a programme of collaborative working including a combined intelligence function, joint strategic management meetings to identify and share best practice, a common enforcement policy and shared learning and development activities.</p>
13	Ensure that services consider the requirements laid down in the On Farm Charter and Regulators' Code where appropriate.	The Community and Environmental Services (CES) Enforcement Policy has been devised with due regard to the Regulators' Code and the Farm Regulators' Charter and both documents are referenced in that policy.
14	Complete statutory data returns in a timely manner.	The service has a programme, outlining all the required national and regional statutory returns, which is monitored for progress. This programme includes the statutory animal health returns such as the annual return relating to inspections carried out under the Welfare of Animals (Transport) (England) Order and the bi annual return relating to the number of animal health prosecutions.
15	All services should consider how they meet EU standards for the delivery of Official Controls and any future standards that support trade agreements.	<p>The service is aware of the requirements of Article 6 of 2017/625 and the requirement to have transparent and accountable audit processes in place.</p> <p>The service has an annual programme of internal audits that can deal with all aspects of service delivery. If the need arises this programme would include an audit of official controls. Officers who undertake animal health and welfare activities must maintain a level of competency. The service has devised a definition of competency (including required qualifications) for this area of delivery. Officers must complete a learning and development log form where they evidence competency. This evidence can include reference to work completed (including the handling of reactive complaints). This log form is reviewed by line managers at least twice a year. Demonstration of competency is linked to the service's</p>

	Action Required	Planned Service Delivery
		<p>warrant issue process. Our modular approach to warrants means that we can add or revoke service delivery areas in officers' warrants in line with their individual competency review.</p> <p>Individual officers are also subject to the Council's performance management framework with annual goal setting and performance monitoring against those goals occurring at regular intervals during the year. In addition, line managers routinely quality monitor work undertaken by officers and give feedback as part of their 1-2-1 meetings.</p> <p>As stated in 14 above the service makes returns as per the government's single data list; including mandatory returns relating to official control delivery.</p> <p>The service has a number of performance measures that are reported to Councillors and senior managers of the council. These performance measures, which can include aspects of official control delivery, are reviewed against target on a monthly basis by the Trading Standards Management Team.</p> <p>As stated in 4 above, the service has adopted the National Trading Standards Intelligence Operating Model (IOM). This helps to manage prioritised threats and identified risks through enforcement and other activities, as well as reviewing the effectiveness of measures taken.</p> <p>Norfolk County Council also carries out audits of services within its organisation to ensure compliance with, for example, financial controls.</p> <p>The service is monitoring and horizon scanning to keep up to date with issues posed by EU exit.</p>

	Action Required	Planned Service Delivery
16	Each local authority must have an up to date animal disease contingency plan in place, which is shared internally and with partners. Contact details are to be revised as changes happen. The plan should be updated within two years of any changes to the national template.	The service is in the process of adopting the national template for our Exotic Notifiable Disease Contingency Plan. Our former plan was a combined document for both this service and partner members of the Norfolk Resilience Forum (NRF). The first phase of adopting the template has been completed and a separate plan for NRF partners has been produced. A plan, solely for the activities of this service, will now be produced in line with the latest version of the national template which was published in November 2019. This will ensure consistency of approach with other local authorities and partners. It will also enable the service to use the national template updates rather than devising their own bespoke update documents.
17	Local authorities should ensure that contact details on the Local Authority Master Contact List are updated in a timely fashion. This information is used by APHA to communicate details of possible animal disease outbreaks, make referrals and share intelligence.	The list of Norfolk contacts is currently up to date. The Senior Manager within the Service with responsibility for animal health and welfare is responsible for ensuring the currency of the information provided to the Master Contact List.

	Action Required	Planned Service Delivery
18	Officers involved in the delivery of animal health and welfare controls should be trained and qualified in line with local standards and authorisation processes. Local processes should ensure officers are competent in the delivery of effective animal health and welfare controls. As with all responsible employers, local authorities should support staff with personal development processes and training.	<p>The service's approach to ensuring officers are qualified, maintain their competency and are suitably authorised is outlined in 15 above.</p> <p>In addition, as part of the annual service planning process, a learning and development plan is produced. This will include input from Lead Trading Standards Officers, including those who have a specialist lead in animal health and welfare matters, to ensure that required courses and briefings for the forthcoming service year are provided to line managers for discussion at proposed attendees' personal development plan discussions. Lead Trading Standards Officers are also responsible for ensuring that learning and development requirements are identified on an ongoing basis and are delivered, often through LTSO-led workshops.</p>
19	Use the Framework to promote the delivery of animal health and welfare controls to managers and local politicians.	The annual Trading Standards Service Plan includes as an annex this document relating to the Animal Health and Welfare Framework Agreement. This plan is reviewed and agreed by the Trading Standards Management Team and then put forward for approval by members of the Council's Cabinet.



Norfolk County Council

Trading Standards' Consumer Services Policy

Community and Environmental Services



If you need this document in large print, audio, Braille, alternative format or in a different language please contact us on 0344 800 8020

February 2020

Consumer Services Policy

In providing consumer services we aim to contribute to the Together for Norfolk outcomes of:

- **Strong Communities**
 - People of all ages enjoy good health and increased wellbeing
 - Services in communities are joined up and more able to meet people's needs
 - Communities are safe and resilient
- **Thriving People**
 - All families, older people and people with learning or physical disabilities are supported to live well, independently in their community
- **Growing Economy**
 - More businesses start, grow and invest in Norfolk
 - The local economy is inclusive and supports and benefits local business and communities

We achieve this by concentrating on the following key areas of activity:

- Safeguarding vulnerable people and building community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme
- Protecting consumers and supporting legitimate businesses by tackling non-compliance, focusing on the most detrimental trading
- Through programmes of intelligence-led market surveillance, education and enforcement activities:
 - Safeguarding communities and public health by tackling the supply of age restricted products to young people
 - Ensuring fair trading of products and services, and the safety and legal measurement of products

We will deliver these by working with partners, where possible, to obtain the best outcomes for consumers.

1. Working with the Citizens Advice Consumer Service which provides consumers with information and advice

We work in partnership with the Citizens Advice Consumer Service (CACS) which provides information and advice to consumers to enable them to:

- Avoid problems with traders,
- Make informed choices in future transactions, and
- Deal with problems should they arise.

The CACS provides information via their Advice guide website:

<https://www.citizensadvice.org.uk/>

A problem with a trader or a product can be reported to Trading Standards by contacting our partners the [Citizens Advice consumer service](#) via:

- Telephone: 0808 223 1133, open Monday to Friday 9am-5pm. Closed on bank holidays.
- Textphone: 18001 03454 04 05 06, or
- [Online enquiry form](#)

The Citizens Advice Consumer Service will provide information about how to resolve the consumer issues raised. They will then share the information with Trading Standards so that we can tackle wider problems with businesses at a local level. We use the information that Citizens Advice Consumer Service shares with us to direct our resources to the areas of greatest need. We might use this information to take action to stop the trader from acting unfairly, for example by educating them about the law. If necessary, we may take legal action against them to stop their illegal practices.

The Citizens Advice Consumer Helpline will immediately transfer to us those matters considered to be urgent. For example:

- Doorstep rogue traders – uninvited traders in the middle of work or returning later
- Safety complaints – where an unsafe product has caused injury or damage to property or there is an immediate risk of injury
- Short measure deliveries of heating fuel, coal or sand and ballast.

What we can't do – consumer advice and redress

We do not provide consumer advice. If a consumer need consumer advice or has a consumer complaint, they should contact our partners Citizens Advice Consumer Service as above.

We will not obtain redress on behalf of consumers and we are not able to pursue cases in the civil courts for them. Consumers have rights if they pay for faulty goods or a substandard service. CACS will give them professional advice and assistance on their rights and how to obtain appropriate redress. This may require the consumer to take the matter to a civil court.

We are not able to provide feedback on individual complaints to CACS. After a consumer has reported a matter to the CACS we will only make contact with them if we need further information or cooperation. We will only provide feedback if formal action has been taken to deal with the matter reported.

2. Safeguarding vulnerable people and building community resilience with partners; by tackling scams, fraud and rogue traders; including through our Norfolk Against Scams Partnership (NASP), No Cold Calling Zones and Trusted Trader scheme

We work with the National Trading Standards Scams Team (NTSST), Norfolk Against Scams Partnership (NASP) and the Scams Prevention Service to safeguard vulnerable people and build community resilience to scams.

National Trading Standards Scams Team

We work with the National Trading Standards Scams Team to tackle mass marketing scams and disrupt the operations of perpetrators behind mail scams. With the team, we identify and support victims of mass marketed frauds. In addition, we participate in and promote the Friends Against Scams scheme. This initiative aims to protect and prevent people from becoming victims of scams by empowering people to take a stand against scams. We commission the delivery of training sessions, by Community Champions, on how to spot the signs of scams and what to do if you suspect you or someone you know is a victim of a scam. With increased knowledge and awareness, people can make scams part of everyday conversation with their family, friends and neighbours; which will enable them to protect themselves and others.

Norfolk Against Scams Partnership (NASP)

We participate in the Norfolk Against Scams Partnership (NASP), a partnership of organisations committed to taking a stand against scams. The partnership's aim is to make Norfolk a scam free county. Partners work together to support residents and businesses in Norfolk to help protect them from scams, doorstep crime and fraud.

Scam Alerts

Consumer Scam Alerts are available via our [website](#), our Twitter account @NorfolkCCTS and our Facebook page.

No Cold Calling Zones are designated areas where the resident community declares they no longer wish to accept traders calling at their homes without an appointment. The main aim of the zones is to reduce cold calling by unwanted traders. We will support a community to set up an NCCZ where this is suitable and will proactively seek to set up NCCZs where information and intelligence suggests this would be beneficial to the community. We work with the community and community representatives such as Neighbourhood Watch coordinators.

Trusted Trader Scheme

Our Trusted Trader scheme provides information to help consumers find reputable traders. Traders on the scheme agree to comply with consumer protection law and to follow good business practice. Consumers can check out customer feedback via our website prior to engaging with a trader, and there is a dispute resolution procedure via Ombudsman Services, a national scheme which operates independently to resolve complaints between consumers and businesses that are signed up to the scheme.

Consumer Champions

The Consumer Champion network is an initiative from Trading Standards to reach out to Norfolk residents to build resilience against rogue traders and scams and ensure people can access their consumer rights.

The initiative engages and involves local community members and organisations to ensure that the residents within their community have the information and knowledge to:

- Recognise a scam and protect themselves from them
- Say no to rogue traders and ensure the vulnerable in the community are safe from them
- Access advice and information on consumer issues.

Community Champions

We also run a parallel scheme designed for organisations, to ensure that the customers and clients with whom they connect have information and knowledge about staying safe from scams and rogue traders.

3. Protecting consumers and supporting legitimate businesses by tackling non-compliance, focusing on the most detrimental trading

Most Detrimental Traders and Sectors

We receive a wide range of information, intelligence and data from our partner agencies, including CACS, industry bodies, national and regional professional bodies and enforcement agencies. We monitor this data and identify trading malpractice by individual traders or market sectors. We target our resources towards those businesses or sectors which are causing the greatest detriment to consumers. We do this by providing information, advice and support to the businesses, or sometimes, by taking formal enforcement action.

Enforcement action is undertaken in accordance with our [Enforcement Policy](#). Whilst recognising that most traders want to comply with legal requirements, we also recognise that some will operate outside the law (both intentionally and unintentionally). A staged approach to enforcement is adopted with advice and informal action fully explored to resolve the matter in the first instance, if appropriate. However, we will consider taking immediate formal action for the most serious breaches, which include:

- Where there is a significant risk to public health, safety or wellbeing, or damage to property, infrastructure or the environment, or
- Fraud or deceptive/misleading practices that affect the collective interests of Norfolk based businesses or consumers.

What we can't do – enforcement

We are not able to investigate or take action on all matters reported to us. We prioritise our finite resources to tackle the issues which cause the most detriment to Norfolk businesses and consumers.

Where we take enforcement action because of information we receive the focus is on bringing the business(es) into compliance with trading standards. We do not resolve individual disputes with a trader; although our enforcement action will provide support to victims. This may include seeking compensation during legal proceedings.

- 4. Through programmes of intelligence-led market surveillance, education and enforcement activities:**
- **Safeguarding communities and public health by tackling the supply of age restricted products to young people**
 - **Ensuring fair trading of products and services, and the safety and legal measurement of products.**

We provide advice and support to Norfolk based businesses to ensure they comply with trading standards.

We undertake intelligence-led market surveillance programmes to monitor traders and their practices and products to ensure that trading standards are being maintained in the county. This includes inspections at high-risk businesses, sampling and analysis of food against legal standards, test purchasing and testing of consumer products against safety standards and testing of weighing and measuring equipment.

We focus on new and existing threats, identified through intelligence, local strategic and tactical assessments and working collaboratively with partners.

We take steps to prevent illegal and/or unsafe products from entering the marketplace or to remove them from the marketplace. This work is undertaken in line with our [Enforcement Policy](#).

Cabinet

Item No 4

Decision making report title:	The development and delivery of the Environment Strategy to deliver the Corporate Environmental Policy
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Andy Grant (Cabinet Member for Environment & Waste)
Responsible Director:	Tom McCabe (Executive Director, Community & Environmental Services)
Is this a key decision?	Yes

Introduction from Cabinet Member

On 13 January 2020, Cabinet endorsed the report supporting the creation of a Member Oversight Group to provide the governance for delivering our new Environmental Policy. Since then this Group has formed, held its first meeting on the 27 February 2020, and begun to oversee this process. This report provides an overview of that work, highlighting where NCC has a leadership role to play within the County, and our organisational goals for the short, medium and longer term. We also seek agreement for some initial early actions (see appendix 1).

Executive Summary

This report confirms our set of measurable baselines against which we will work to agree targets for reducing our current contribution to climate change by 2030 (see appendix 2). The report also describes how we need to use this set of baselines to engage across our Services, and to agree with colleagues and stakeholders our priorities for action between 2020 and 2030, and a collective understanding for what needs to be done, by whom, and by when. It is understood that this process needs to achieve 'shared ownership and buy in' from everyone if it is to be successful, and that our Delivery Plan needs to be underpinned by a funding strategy that maximises the potential for drawing in external funding.

In addition to the above, work on modelling wider impacts has begun to look at key impact sectors across the County. UEA have been engaged to undertake this work (see summary outline at appendix 3) to help us to address the Norfolk-wide zero carbon ambitions in the new Environmental Policy.

We are keen to demonstrate a focus on immediate priorities, and key to this early action approach is agreeing a new Tree Planting and Resilience Strategy that will guide how we will plant 1 million trees in Norfolk over the next five planting seasons, with a commencement date planned for October 2020 (see appendix 4). In the meantime, some

trial planting has already been undertaken on the County Farms Estate in March 2020 which has allowed us to test our approach working with tenant farmers and staff volunteers.

The tree-planting work sits within the wider context of fully understanding our impact on the wider environment, and to developing a comprehensive response to the Government's 25 Year Environment Plan. Work has been commissioned through the UEA to review our 'Natural Capital' assets, and an early overview of this work can be seen in appendix 5.

Recommendations

1. **To approve the outline proposals of work and direction of travel set out in appendices 1 to 5 as the basis for further work to deliver the commitments in the Environmental Policy.**
2. **To approve the Tree Planting and Resilience Strategy at appendix 4.**
3. **To note that the full Strategy and Delivery Plan will be developed for Cabinet to consider by the autumn of 2020.**

1. Background and Purpose

- 1.1. Further to the Cabinet meeting on 13 January 2020 and the establishment of the Environment Policy Member Oversight Group (MOG) there is a need to work with pace and purpose to produce a detailed Strategy and Delivery Plan to achieve our 2030 carbon neutral target; these will be presented to Cabinet for consideration in the autumn of 2020. As is made clear in the appendices, this process will not delay the delivery of already agreed Early Actions or stop us taking advantage of other opportunities for positive change, or of securing additional external resources as they arise.

2. Proposals

- 2.1. **Measurable Baselines:** we will identify our current climate change impacts and our targets for 2030, covering the different parts of our operation which need to address and meet the challenge. This work is well underway, and we aim to have this piece of work completed by June 2020. Some technical advice has already been commissioned from the UEA School of Environment, and aligning this work using DEFRA (Department for Environment, Food & Rural Affairs) Natural Capital measures covering both Norfolk & Suffolk, will offer synergies with the work we aim to complete and allow us to benchmark against recognised national performance indicators.
- 2.2. **Engagement Exercise:** We will need the help of the whole organisation to identify potential actions which will enable us to meet our targets, so we will use the baseline figures to agree, with Members and officers, the key areas for action: short term actions (next two years), medium term (three to five years) and longer term (six to ten years). This will build our Action Plan and help us

prioritise and identify key milestones for potential funding bids. The Strategy, Innovation & Performance Team will support us in engaging with departments through seminars or workshops to identify how all NCC departments can contribute to the whole Council target of becoming carbon neutral by 2030.

- 2.3. **Funding Approach:** NCC's capital investment of £1 million for the Environment Policy, over the next two financial years, will be used as co-finance to lever in new money from external sources to maximise the impact of NCC's investment and to allow us to make progress as swiftly as possible. As part of the Transformation agenda, the theme of Environment has been selected as the key priority for Community and Environmental Services (CES). This allows the External Funding Team (EFT) to work closely with the Environment Team to develop funding applications. Initially focusing on tree-planting this will be addressed holistically, going beyond grants for tree-planting grants and exploring other routes to resources including support for young people, NEETs (Not in Education, Employment or Training) or those far from the labour market to assist with the planting work, or to securing research grants to understand our impact and to inform future projects. This creative and inclusive approach will be taken with all facets of the Environment agenda in order to generate as much external funding for projects as possible.
- 2.4. Aligning with the Environmental Policy work is the tree-planting commitment that Members agreed in November 2019. This aims to see the planting of 1 million trees in Norfolk over the next five planting seasons. Norfolk County Council will facilitate this, mobilising community action, with a clear long-term strategy needed to inform this ambitious initiative, to plan carefully for the future using species suitable for our changing climate, to ensure that the right tree is planted in the right place and cared for in the best way and to ensure quick establishment and healthy growth.
- Prior to agreeing this Tree Planting and Resilience Strategy, the Cabinet Member for Commercial Services & Asset Management made a commitment to plant 30,000 trees on the County Farms Estate as soon as possible. So far we have delivered 18,327 hedge plants and 157 trees by the end of the winter planting season this March.
- 2.5. Effective responses to climate change require a robust understanding of how each sector contributes to global warming and of the actions which we as individuals and organisations can undertake to mitigate against and adapt to climate change (as well as fully understanding the cost of inaction). Action on climate change presents a challenge to human behaviour; we need to find ways of encouraging behaviour change to solve a problem that for many may still seem unreal or too abstract. It is, however, clear that immediate action is required to reduce emissions over the short term and that this requires an immediate change in behaviour and the way in which we consume resources. In addition, we need to recognise that climate change is already happening, and therefore, approaches are needed to encourage people, organisations and institutions, to adapt to what is needed to cope with a warming climate.

The means to achieve reduced emissions are well known and cut across sectors including, but not limited to:

- Food consumption – reducing waste, plant rich diets, reduced packaging, composting
- Agriculture and land management – increasing tree coverage, farmland restoration, nutrient management
- Transportation – electrification, public transport, walkable and cycling cities
- Energy and materials – solar heating and photovoltaic systems, water saving, low energy lighting, recycling

Behavioural science has provided insights into how such changes can be supported. Using this approach can help to gain a clear understanding of the reciprocal relationship between individual change and systems change. Using methods such as behavioural systems mapping, we can understand the role of human behaviour in the problem. With this we gain a clearer insight into the outcomes, the actors, the behaviours and the influences on those behaviours. It is only with this understanding that we can develop effective interventions.

3. Impact of the Proposal

- 3.1. This work initiates the delivery of the commitments in the County Council's Environmental Policy.

4. Evidence and Reasons for Decision

- 4.1. This report details the progress being made to deliver the commitments in the County Council's Environmental Policy. Although the work is at an early stage, good progress is being made, overseen by the Member Oversight Group and with input from key stakeholders, including the UEA.

5. Alternative Options

- 5.1. No alternative options are being considered. The approach outlined within the report is felt to be the logical approach at this time. As events unfold the approach can be further refined. If major changes are envisaged these will be developed by the Member Oversight Group, for Cabinet to consider.

6. Financial Implications

- 6.1. Arrangements for meetings of the new Group can be accommodated within existing resources.
- 6.2. As part of the budget setting process for 2020/21 onward, Members have agreed £1m capital funding over the next 2 years to match fund capital projects and revenue funding rising to £350k to ensure appropriate staff and other resources can be put in place to deliver on the Policy commitments. These funds are being planned to cover the first two years of projected work – essentially the finance to cover the 'short-term' early actions identified above.

- 6.3. Opportunities to access external funding streams will also be explored, a mapping exercise is currently underway with the External Funding Team to identify key funding streams.

7. Resource Implications

- 7.1. **Staff:** Arrangements cover the current support have been identified within existing resources. Future resource needs will be identified and discussed with the Member Oversight Group.
- 7.2. **Property:** N/A
- 7.3. **IT:** N/A

8. Other Implications

- 8.1. **Legal Implications:** N/A
- 8.2. **Human Rights implications:** N/A
- 8.3. **Equality Impact Assessment (EqIA):** There are no relevant potential equality impacts associated with the work identified to date.
- 8.4. **Health and Safety implications:** N/A
- 8.5. **Sustainability implications:** The work identified supports the creation of a more sustainable approach to the organisation delivering on its committed environmental obligations, as outlined in the County Council's Environmental Policy.

9. Risk Implications/Assessment

- 9.1. Risks associated with delivering the Environment Policy are currently focused on reaching the carbon target by 2030. This will need to be broken down to a set of measures that will be agreed through the Council wide engagement exercise described in this report.

10. Select Committee comments

- 10.1. N/A

11. Recommendations

- 11.1. **1. To approve the outline proposals of work and direction of travel set out in appendices 1 to 5, as the basis for further work to deliver the commitments in the Environmental Policy.**
- 2. To approve the Tree Planting and Resilience Strategy at appendix 4.**
- 3. To note that the full Strategy and Delivery Plan will be developed for Cabinet to consider by the autumn of 2020.**

12. Background Papers

12.1. N/A

Officer Contact

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

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Development and Delivery of the Environment Strategy Schedule of Early Actions

Early actions to address climate change already initiated

NCC Environment Service is currently implementing work to proactively mitigate climate change and associated impacts through a series of innovative and collaborative projects:

Walking and Cycling

Changing the way in which we travel is vital to reducing carbon emissions and tackling climate change. To make a real difference, we need to cut carbon levels quickly. This means encouraging a lot more people to leave their cars at home and instead walk or cycle for everyday journeys.

- [Revitalising Our Railway: Weaver's Way \(2018-21 / £1,062,345\)](#). Rural Development Programme for England (RDPE) funding to create new walking and cycling infrastructure along the disused railway section of Weavers Way. New surfacing ensures year-round accessibility for walkers 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. This work encourages low-carbon forms of travel.

- [Coastal connections: Wells–Holkham Circular Route \(2018–21 / £258,542\)](#). Rural Development Programme for England (RDPE) funding to improve off-road walking, cycling and disabled access infrastructure between the two rural coastal tourism destinations of Wells-next-the-Sea and Holkham. New surfacing, increased safety and accessibility at road crossings via new gates and signage encourages people to use low carbon forms of travel at the coast, alleviating pollution and congestion.

- [Marriott's Way Heritage Trail \(2016-19 / £435,700\)](#). This Heritage Lottery Fund project works to promote use of this disused railway line by walkers and cyclists, encouraging low carbon travel by enhancing wildlife and railway heritage features.

- [Pushing Ahead & Greenways \(2016-21 / £552,500\)](#). Delivering behaviour change to increase walking and cycling in Norwich and Great Yarmouth (key growth areas). Personal travel plans for residents, employee's at large businesses and students. Community events promoting safe cycling, working with Norwich City Council, Great Yarmouth Borough Council, South Norfolk Council, Broads Authority, Active Norfolk, UEA and New Anglia Local Enterprise Partnership. Funded by Department for Transport.

- [Transforming Cities](#) (Department for Transport). In September 2018, Greater Norwich was one of 10 city areas shortlisted to apply for a share of the £840m grant. Business cases for eight schemes made up the £7m application and included multiple schemes with a focus on increasing public transport use and increasing cycling and walking but upgrading the infrastructure. £1.2bn will be provided across 12 cities over 3 years.

The “Transforming Norwich” application to the Department of Transport’s Transforming Cities Fund, an initial application for £7m was successful in January 2019 for six schemes all with a cycling and walking element including a new bike hire scheme. A larger application for funding was submitted in November 2019 schemes with a focus on increasing public transport use and increasing cycling and walking by creating new and upgrading infrastructure.

- **MOBI-MIX (£332,770 / 2020-22).** Mixing shared mobility options for smoother and low-carbon transport in cities. NCC is seeking to lower carbon footprints, improve space for pedestrians and cyclists, increase quality of life, reduce pollution and improve mobility flows. MOBI-MIX supports ongoing Transport for Norwich improvements by piloting a community engagement behaviour change model showing how to activate new Mobility Hubs. Design focus is placed on community priorities in a collaborative bottom-up, rather than top-down approach, to ensure suitability and success. Funded by Interreg 2 Seas Programme.

- **Green Loop**

A circular route of walking / cycling network from Norwich encompassing the Marriott’s Way, Bure Valley Path and the Broadland Way. Sections of the Marriott’s way and the Broadland Way have been identified for delivery as part of the Transforming Cities bid with improvements on the Bure Valley path being delivered through the Experience project. Additional improvements to this infrastructure could be the focus of future Community Infrastructure Levy (CIL) bids.

- **River Wensum Strategy- “Missing Link”**

Developing a detailed design to deliver the missing section on the River Wensum Walk between Duke St and St Georges St. This progresses a key action from the River Wensum Strategy and has been developed in partnership with Sustrans as part of the Paths for Everyone Project with potential funding available from the Department for Transport for its delivery.

Green Infrastructure (GI) Initiatives

Green infrastructure (GI) describes a network of natural and semi-natural features within and between towns, villages and cities. GI can range in scale: roadside verges, a green roof, footpaths, rivers and woodland. It provides a range of climate change mitigation and adaptation services:

- Carbon storage and sequestration: storing carbon in soils and vegetation
- Source of low carbon fuels: replacing fossil fuels with alternatives (bioenergy, wind, hydro)
- Material substitution: replacing concrete/steel etc with sustainably managed natural materials
- Food production: environmentally sustainable products delivering food security
- Reducing need to travel by car: encourage walking and cycling, provide local recreation areas
- Reducing surface water run-off, riverine flooding, soil erosion
- Creation of new habitat and recreation/visitor resources to alleviate visitor pressure on sensitive landscapes

- [1 Million Trees \(2020-onwards\)](#). As trees grow, they absorb and store carbon dioxide emissions which are driving global warming. Recent research has shown that there are 1.7 billion hectares (approx. the size of the US and China combined) of treeless land on which 1.2 trillion native tree saplings would naturally grow. In line with the new NCC Environment Policy, 1 million new trees will be planted across Norfolk to increase carbon sequestration. This is one of the quickest and cheapest ways to remove CO₂ from the atmosphere. This can be achieved without encroaching on arable or urban areas.

- [BIDREX \(2016-21 / £247,746\)](#). From biodiversity data to decisions: enhancing natural value through improved regional development policies. NCC works with UEA to create and improve tools to support better decision-making for biodiversity conservation e.g. improvement and delivery of GI strategy to support the growth agenda. Funded by Interreg Europe.

- [Wildlife in Common \(2018-20 / £165,600\)](#). Funded by Norfolk Wildlife Trust and in partnership with UEA, this project works with local communities to furnish volunteers with the skills required to conduct wildlife surveys on the Norfolk's common lands. It aims to increase knowledge on how to manage common land to preserve wildlife in changing environmental conditions.

Sustainable Tourism Initiatives

Worldwide tourism accounted for approximately 8% of global greenhouse gas emissions from 2009 to 2013, making it a bigger polluter than the construction industry. Tourists contribute to climate change in a number of ways – through travel by air, rail and road and consumption of goods, services and resources such as souvenirs, accommodation, food and water. Recent research published in [Nature Climate Change](#) found that tourism's annual global carbon footprint increased from 3.9 to 4.5 billion tonnes of CO₂ equivalent, 4 times higher than previous estimates. This rise is largely driven by increased demand for goods and services, rather than air travel. The UK has the 10th largest total carbon footprint for international and domestic tourism across more than 100 global tourism destinations.

- [EXPERIENCE \(2019-23 / £5.8m\)](#) Experiential tourism offer to extend the visitor season. Working to off-set pressure on natural and cultural assets by developing sustainable off-season alternatives linking protection and prosperity. New tourism products developed will be low-impact - promoting local produce and suppliers, supporting visitors to walk, cycle and use public transport and encouraging focus on experiences, rather than consumption (to be, instead of to have). Norfolk Pilot Regions include Greater Norwich, King's Lynn and Great Yarmouth. NCC are the lead partner in this project funded by the Interreg France (Channel) England Programme.

- [PROWAD-LINK \(2018-21 / £367,378\)](#). Norfolk's designated areas support a wide range of ecosystem services crucial to climate change adaptation. We collaborate with the Wadden Sea World Heritage Site to better link the protection of natural and cultural heritage along the Wash and North Norfolk Coast with growth and regional prosperity. This approach will ensure a sustainable future for both people and place. Funded by Interreg North Sea Region.

- [FACET \(2020-22 / £454,279\)](#). Facilitate the adoption of circular entrepreneurship in the tourism and leisure sector. NCC Waste and Environment Services collaborate with Great Yarmouth Borough Council to increase the adoption of circular solutions in the tourism and leisure sector, with a focus on the fast food industry. We work with local businesses to reduce single use plastic and increase recycling rates of takeaway food packaging and waste cooking oil. Funded by Interreg 2 Seas.

Coastal Resilience Initiatives

Climate change will lead to ≥ 1 metre rise in sea level within the next 100 years. Extreme weather events such as high winds and storm surges will increase in frequency and severity. Coastal houses, businesses, roads, railways, power stations, landfill sites and farmland will be impacted by increased coastal flooding and/or erosion in the near future. Many of these assets are protected by coastal defences that date back to the last century, which are now deteriorating.

Coastal environments naturally adapt to sea level rise by retreating landwards. Mudflats, wetlands, beaches and sand dunes provide natural protection against flooding, whilst providing valuable space for wildlife and recreation. However rising sea levels and coastal development limit our coastlines natural protective mechanisms. There is a need re-emphasise the value of these environments and ensure that they play a larger part in our adaptation plans for the future.

Coastal policies and best practice must face up to the realities of future change. There is a strong need for a strategic and proactive approach to coastal management which engages coastal communities in the process of planning and adapting to a changing shoreline.

- [ENDURE \(2018-21 / £537,737\)](#). Improving sand dune resilience to the impacts of climate change. Natural coastal ecosystems can provide resilient protection against the advances of the sea, yet do not receive the same attention as more traditional 'hard' interventions (sea walls etc). Coastal communities have the most to lose if defensive dune systems fail under climate change. However, the changing nature of our shoreline is not well communicated to or understood by much of the coastal population. ENDURE works to engage and involve the public in coastal management approaches, initiating a dialogue and working towards a deeper public understanding of changing coastal conditions. Via pilot studies, we will also demonstrate and test affordable and durable ecosystem-based methods as alternatives to traditional coastal defence interventions. NCC are the lead partner in this Interreg 2 Seas project.

- [Broadland Futures Initiative \(BFI\)](#). The Environment Service is an active participant in this partnership for management of future flood risk in the Broadland area. Led by the Broads Authority, BFI aims to agree a framework for improved mitigation and resilience to changing climate and sea level rise from 2020 onwards. This is a proactive approach, gathering support and data now to deliver well-informed decisions for the future.

Invasive species

Invasive species have already caused extinctions and are one of the major causes of decline in native species and ecosystem degradation. They are considered a

primary threat to economy, human wellbeing and wildlife. Changing climate is allowing new invasive species to become established within the UK which previously would not have survived i.e. milder, wetter winters and hotter, dryer summers.

- [Ash Dieback \(2016–ongoing / £570,000\)](#). Ash Dieback is caused by an invasive species of fungus, first identified in Norfolk in 2012. The loss of many ash trees will change the landscape and we need a proactive and strategic plan for recovery. We are working with stakeholders and external funders to promote landscape recovery and make Norfolk's tree population more resilient for the future, in line with the government's Tree Health Resilience Strategy (2018) and 25 Year Environment Plan. The NCC Arboriculture Team are gathering data and best practice to develop an evidence-based action plan to cost effectively manage Ash Dieback, caused by an invasive species of fungus first identified in Britain in 2012. Current costs (including inspections, advisory information and tree work) are £126k per year. This cost is predicted to significantly increase as the disease progresses. Additionally, DEFRA have provided to NCC £22k worth of analytical support since 2017.

- [Norfolk Non-Native Species Initiative \(NNNSI\) \(2008-current\)](#). Working to promote the prevention, control and eradication of invasive non-native species. Invasive species cost the economy approximately £1.7 billion per year, climate change will exacerbate the existing problem, lead to new introductions and weaken the resilience of our native species. NNNSI oversees several projects:

[RAPID LIFE \(2017-20\)](#). Piloting coordinated and strategic aquatic, riparian and coastal invasive species management in England. NNNSI manages 3 projects funded by the RAPID LIFE project in the East of England region:

- Development of regional invasive species management plans (2018 / £16,301)
- Testing biocontrol agents for Himalayan balsam/Japanese knotweed (2018-20 / £14,010)
- Demonstrating large-scale best practice management of Himalayan balsam and Japanese knotweed at a catchment scale (2018-20 / £20,000).

[Norfolk Mink Project \(NMP\)](#). Established 2003 to protect the water vole, a BAP priority species, by trapping the invasive American mink along Norfolk's rivers. The project relies on on-the-ground volunteer efforts, valued at £115,000 per year. Partnership funding from 2012-current are £121,324

[Eradicating Floating Pennywort on the River Waveney](#). Established 2010, this is an ongoing project to remove this invasive aquatic plant. Increased growth of this species is expected due to climate change. The project is a partnership led by the NNNSI and is currently jointly funded by the Environment Agency and Broads Authority.

Appendix 2

To develop an outline approach to enable the Council to meet its commitment to achieve net zero emissions from its own operations by 2030

Summary of the project

For several years, the County Council has been subject to the national Carbon Reduction Energy Efficiency Scheme; and has, therefore, tracked its carbon performance within the confines of this scheme. Unfortunately, this scheme ceased to operate from April 2019, after the Council's involvement since its inception.

The Carbon Reduction Commitment (CRC) undertook a rather limited evaluation of an organisation's carbon footprint. With this scheme ceasing in 2019, and the Council's now recent commitment to more robustly evaluate its emissions, as part of its adoption of the recent Environmental Policy, there is now a requirement to follow the government's established guidance within the 'Greenhouse Gas Protocol'. To do this, it will be necessary to provide a baseline by which to take forward a commitment to achieve net zero emissions by 2030. This work will be overseen by the Corporate Property team. At this stage, the most recent data sources cover the year 2018-19, and it is proposed that this be used to provide the initial modelling.

The current energy dataset is comprehensive and provides more information than was required for the CRC. However, it doesn't provide enough to cover a more comprehensive greenhouse gas footprint. In the main it only provides datasets for the property and street lighting portfolios. For CRC reporting this has excluded schools.

This dataset does not track transport data, both fleet, grey fleet (the use of an employee's private vehicle for business travel), and other transport. In addition, methane (CO₂e) is also not tracked, given that the County Council manages closed landfill sites, this may be a consideration. Also, it doesn't cover the full land holding, such as County Farms.

For those areas that we do track to meet CRC expectations, the annual combined building and street lighting footprint for 2018-19 is shown below, split into the scopes covered under the Greenhouse Gas Protocol. It is likely that whatever the agreed final approach to model the authority's footprint this will be significantly more than the figures illustrated below, not just in factoring in the areas missing highlighted above, but any other additional categories that may be deemed necessary.

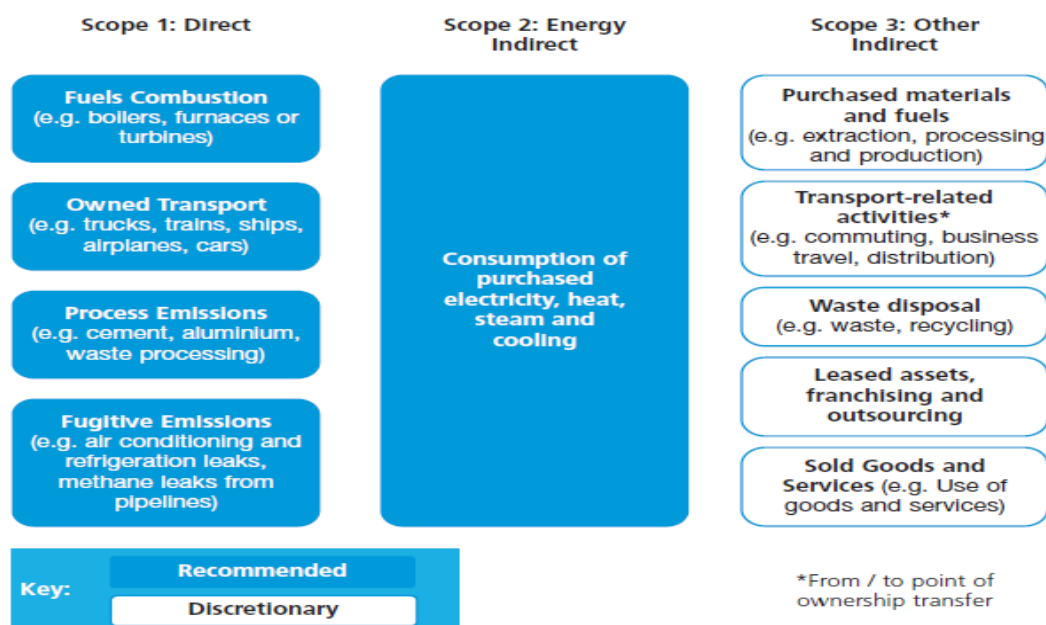
Total Scope 1 tCO ₂ e	Total Scope 2 tCO ₂ e	Total Scope 3 tCO ₂ e	All Scopes * tCO ₂ e
2,997	9,164	1,263	13,424

*- Scope 1,2 & 3 emissions categories are defined in the UK Government guidance for businesses

<https://www.gov.uk/government/publications/greenhouse-gas-reporting-conversion-factors-2019> (copy on Bb Emissions Conversion Factors 2019) .

The figures quoted in the above table do not reflect the full expected GHG footprint going forward as it excludes key impact categories such as some transport and landfill gas. For a fuller appreciation of some of the areas for consideration, these can be seen below.

The following diagram identifies the main types of emissions sources under each scope:



Key outputs

- Using current energy data, with an agreed list of additional categories, to produce an enhanced carbon footprint profile for the organisation. This will be used to model a trajectory of GHG emissions to meet the Council's newly adopted net zero target of 2030. It is intended that the focus be on those areas where data can be easily obtained. In addition, a projection out to the national net zero target will also be conducted.
- From this data key impact sectors will be identified and strategies to reduce emissions will be considered, recommending those deemed the most effective to bring about the largest emissions reductions and potential offsets. This will form the basis of an energy strategy that will be presented to Members in the autumn of 2020.
- Minimum EPC (Energy Performance Certificate) rating for buildings purchased, sold or leased is anticipated to reduce from the current "E" rating to "D" in 2025 and to "C" or possibly "B" in 2030. Currently only 15% of commercial buildings nationally are "B" or above, the majority of these are new buildings. The consultation for the proposed change ended in January 2020 and the findings have not yet been published. This change, if implemented, will likely have a significant knock-on implication for the NCC estate, with regard the cost effectiveness of upgrading certain locations. Further investigations will be required to determine the exact extent of the potential liabilities. It is proposed that key buildings are identified for EPC surveys and energy audits in the forthcoming financial year. This process will provide not only an EPC rating, but also a list of potential improvement

measures, such as insulation, boilers, lighting, renewables etc. These will be required to be costed appropriately and may require significant capital investment, which would improve the asset/EPC rating, however savings identified are not always guaranteed.

- In line with our NCC policy framework (NCC business Plan Together for Norfolk 2019-25, Norfolk Futures and our asset management plan), the current property focus is on consolidating the number of properties we occupy, whether this is through smarter working or by co-locating with partners in service delivery points or collaborative spaces such as early help hubs. A new asset management framework to be approved by members this year which will provide an opportunity for us to review our property strategy with services. This will identify the potential for how further consolidation and new ways of working can assist in service delivery, avoid increased costs and deliver significant reductions in CO2 emissions.
- In addition to offsetting approaches linked to tree-planting and other land management approaches, we would like to explore any opportunities to offset the carbon emissions of the estate through the development of large-scale electricity generating projects on NCC holdings. These could require significant capital investment, which may involve a partnership approach involving a third-party delivery partner. Again, further investigations would be required before this option could be fully considered.

County Carbon Footprinting

To model an approach for Norfolk's landmass that will enable those communities within it to work towards achieving carbon neutrality in the county by 2030. This will focus on the key impact sectors across the county by 2030 for which national data tracking is already available. These can be broken down into the following:

- Land Use
- Industrial emissions
- Domestic housing
- Transport

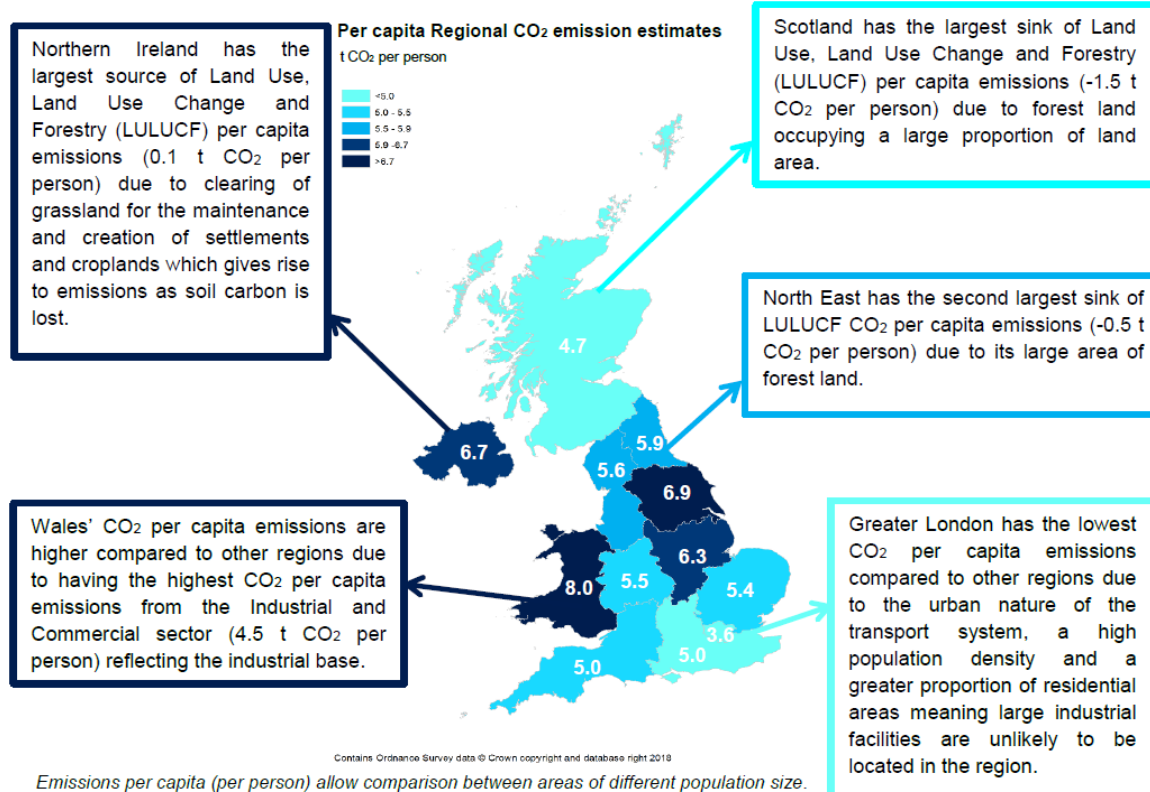
Summary of the challenge

An understanding of the footprint of the county at large is available through the Local Authority tracking undertaken by BEIS (since 2005). The latest data for the UK as a whole was published in 2019. A summary of the wider UK position can be seen in the graphic below, shown on a per capita basis. For comparison, the average for Norfolk is 5.7 tonnes per head.

2016 Local Authority Carbon Dioxide Emissions

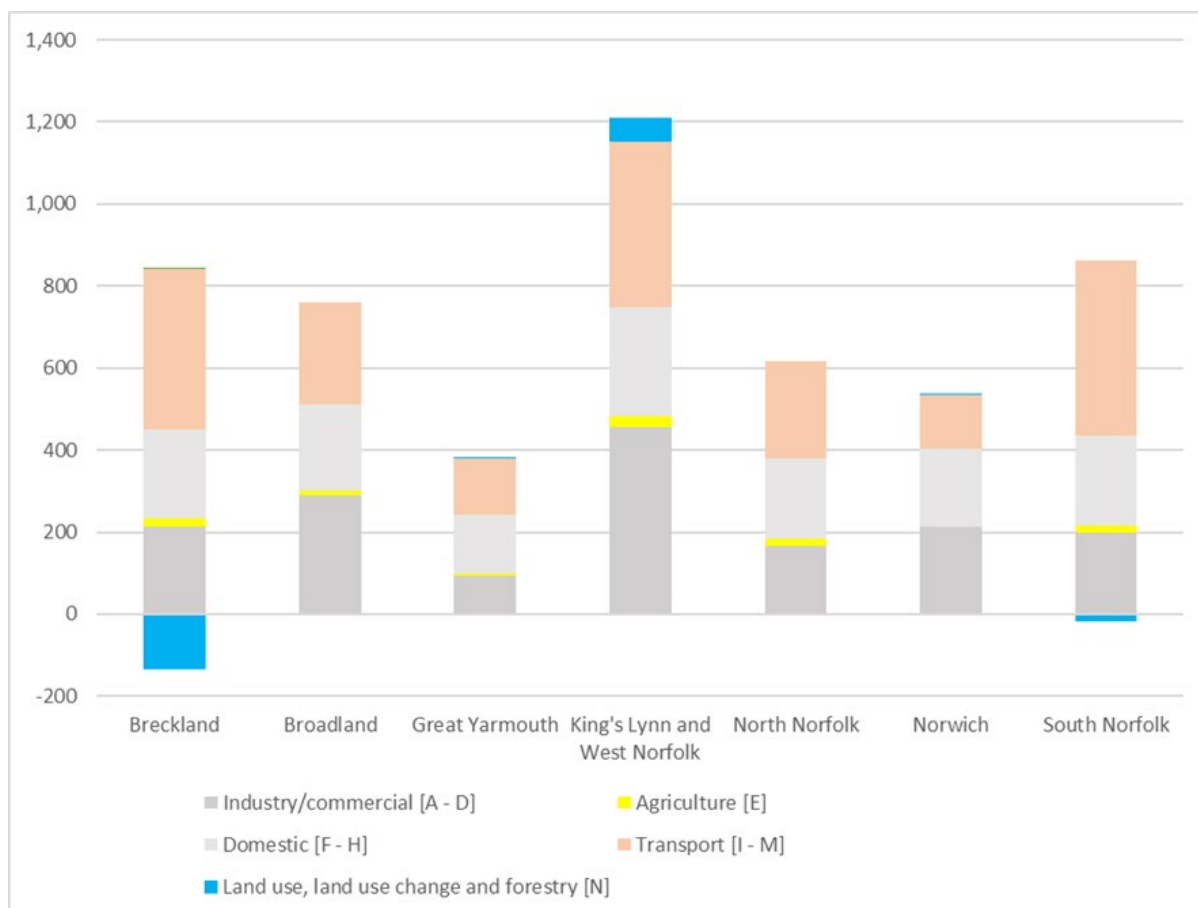


Greater London has the smallest and Wales has the largest CO₂ per capita emissions for 2016



A breakdown by sector for Norfolk can be seen in the illustration below.

Trends in Greenhouse Gas emissions for Norfolk – on a district basis



Key work has already taken place by UEA researchers for the Local Enterprise Partnership which has focused on the impacts on the business community set against the national target of net zero by 2050. However, the focus of the authority, insofar as this project is concerned, is to set a path to achieve carbon neutrality by 2030 across all sectors. In this, it recognises that this is an enormous challenge when set within the context of the government's own target to achieve the same by 2050.

There is a recurring commitment underpinning policy to support growth, education and skills within the county, with a more recent emphasis on 'clean growth'. Given the challenges that the county faces already in reducing its carbon footprint, this will provide additional challenge for certain districts in a highly variable way across the main impact key sectors - transport, agriculture, and the domestic and energy sectors.

The Government, when evaluating the pace of change in meeting its 2050 target, which is now net zero to 2050, assigns carbon budgets over blocks of time to determine whether sectors are close to the reduction trajectory. Current performance, based on these recent local authority area emissions figures suggests emissions reductions are significantly off-track from a reduction profile. *

** (Tyndall Carbon Targeter suggests carbon budgets to achieve National Net Zero Target to 2050 would be spent in most districts in 6-7 years).*

Modelling

We would like to model the key impact sectors to determine where the focus in each should lie. This should be a sector approach applied to the county as a whole, rather than focusing on individual districts.

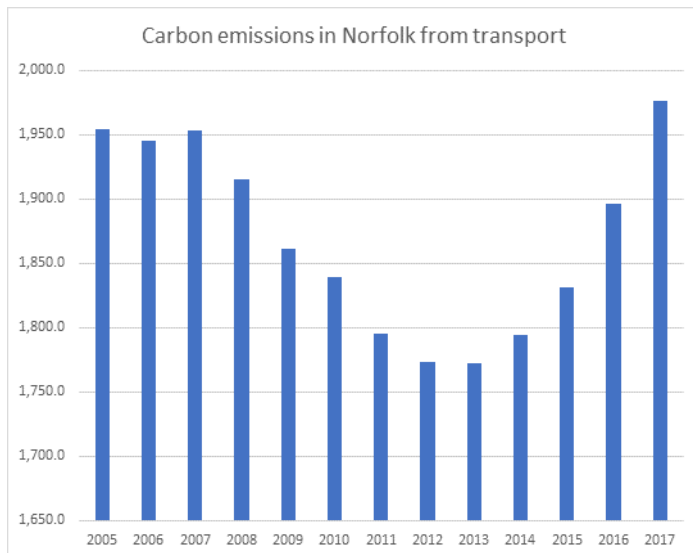
It is likely that some sectors will go some way to meet the target, as indicated by national trends, particularly within the energy sector, though others could hamper this. Therefore, the likely outputs should include a range of forecasting options ranging from 'Business as Usual' to a 'full green' future option factoring in existing known trends, for example a greater reliance of renewable energy that meets or exceeds future national/EU targets.

To establish a greater understanding of Norfolk's position in relation to meeting local or national carbon reduction targets, contact has been made with the UEA to conduct modelling around each of the key sectors. It is hoped that this modelling, with suggested courses of action can be fed into policy and strategy work emerging within the authority and with partners.

Example approach – transport

Currently, the county council is reviewing its Local Transport Plan. The full plan, including an implementation plan, will be adopted by the end of 2020. It will need to set out a strategy for how transport contributes towards a move towards carbon neutrality, with an action plan showing the first steps for how this will be achieved.

Although the current Local Transport Plan included a target to reduce carbon emissions from transport per capita (a 25% reduction on 2008 levels by 2020) and set out a strategy and action plan for how this might be achieved, the new environmental policy promotes a step-change in the reduction of emissions. Also, little analytical work has been undertaken to establish, amongst other things, the source of carbon emissions in Norfolk (carbon emissions by vehicle type, journey purpose and journey origin / destination); how emissions might change with no further specific interventions on behalf of the county council (given turnover of the vehicle fleet and different trip patterns over time); and the potential for achieving, and the scale of, reductions in carbon through a range of policy measures or specific interventions such as vehicle restrictions in certain places. All that is certain is the current state of transport emissions within the county, are growing from a low of 8 years ago - which is illustrated below:



Key outputs

As such this work will focus on:

- Modelling options/interventions/forecasts for a timeline to achieving carbon neutrality by 2030, but also modelling out to the national net zero target of 2050.
- An understanding of the role that legitimate offsetting can play within the context of influencing the carbon footprint.
- Effective recommendations that will go some way to motivate changing patterns of travel behaviour – with a greater understanding of what motivates people to change.
- A need to identify key partners to enable the delivery of change in a collaborative manner. For example, the Local Enterprise Partnership.
- An understanding of the key institutional drivers and the role they will play, in transitioning to a local carbon future, such as the Planning System.
- An understanding of the funding regimes for national/local transport and how this may have a bearing on outcomes, eg, the Transforming Cities Fund, in a post-Brexit world.
- In addition, while work is towards reducing the wider carbon footprint is paramount, not addressing the need to adapt to pending impacts that will happen anyway, such as extreme weather, and the consequent impacts associated with it will be required. Therefore, the impacts on institutional and service delivery will need to be more widely understood. As part of this work therefore, a revisiting of Local Climate Impacts on the County, based on the UK Climate Impacts Programme will be needed, in addition to taking forward previous work in this area commissioned by the Norfolk Resilience Board.

draft

Appendix 4

Tree Planting and Resilience Strategy



Norfolk County Council

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Arable Tree © Ed Stocker

Introduction

Trees, hedgerows and woodlands are some of the earth's oldest living organisms. They provide multi-functional benefits and are one of nature's greatest sources of natural capital.

In our urban areas they cool us down, absorb pollutants, improve our well-being and increase property values. In the wider environment they provide oxygen, combat climate change, reduce the risk of flooding and slow rain water run-off. Trees also provide food for people and wildlife, are a habitat for animals, fungi and other plants, are an important source of pollen and nectar for insects and help form our landscape and sense of place.

Our nation's tree stocks are under threat from pests and disease, climate change, development and population increase.

The UK has only 13% tree cover, compared with 31% in France or 72% in Finland! The Government's Committee on Climate Change wishes to increase the UK's tree cover to 17% by 2050 (this equates to approx. 1.5 billion trees).



Ash Dieback © Tom Russell-Grant



Construction site at Martham © Anne Crotty

Pests and diseases

Tree pests and diseases are increasing rapidly in the UK. Of particular concern at present are ash dieback, Dutch elm disease, acute oak decline, oak processionary moth, sweet chestnut blight, and *Phytophthora* diseases including *P.ramorum* and *P.kernovia* which affect a wide range of trees including larch and beech.

Other serious diseases or pests yet to arrive in the UK (some of which are already in Europe) include emerald ash borer beetle, bronze birch borer beetle, oak wilt fungus, Asian and citrus longhorn beetles and *Xylella fastidiosa* - the last three can affect a range of broadleaved hosts.

Climate change and development

Trees help fight climate change. They remove carbon dioxide from the air, store carbon in their timber and the soil, and release oxygen into the atmosphere.

Increasing development across Norfolk is changing our land use and impacting on existing trees and hedges. Norwich, Broadland and South Norfolk Districts have 35,000 new homes allocated by 2036, this is expected to rise to around 44,000.

In 2018 the population of Norfolk was 904,000. It has increased by 100,000 since 2002 which is a 12.5% population growth. It is expected to increase by another 50,700 over the next 10 years.

The Strategy

This strategy has not been written in isolation; it has been informed by national Defra and Tree Council guidance and has been drafted alongside a range of local stakeholders whose input has been invaluable.

The focus of this strategy is to increase the resilience¹ of our tree, woodland and hedged landscape and help Norfolk adapt to future climate change, pests and diseases.

The strategy will fit with policy and strategy^{2,3,4}, at a local and national level. It will help identify where the greatest gains can be made through tree and hedge planting and enable NCC to submit strong bids for the grant funding that is likely to become available in the future.

This strategy will increase woodland cover, but the primary aim is not to offset carbon through the planting of very high numbers of trees as this may have adverse impact on other important habitats and existing landscape functions in Norfolk. We will encourage natural approaches to tree establishment such as natural regeneration and rewilding as well as planting hedgerows and trees.

NCC manages a significant land holding including 16,900 acres of the County Farms estate (1.27% of Norfolk), closed landfill sites, school grounds, trails and public rights of way, council premises and highway verges (currently 5,965 miles).

The strategy will ensure that current ecological network maps and existing tree location data will inform decision making on the best places to plant trees, creating corridors for wildlife and to achieve the maximum environmental and health benefits that trees provide.

Information exchange and close working relationships with key landowners, stakeholders and community groups will ensure consistent good practice on tree planning, planting, establishment and management across the whole of Norfolk.



1. DEFRA: Tree Health Resilience Strategy. May 2018.
2. NCC: Tree Policy. V3 2018.
3. HM Government: A Green Future: Our 25 Year Plan to Improve the Environment. 2018.
4. NCC Environmental Policy. November 2019.

Strategy Principles



Whitwell Oak © Danielle Engelbrecht

1. Ensure the right tree or hedge is established in the right place to ensure it thrives to maturity
2. Protect, improve and expand current tree, hedge and woodland populations
3. Connect fragmented woodland and create new 'stepping stone' woodlands
4. Celebrate, promote and raise awareness of the value of trees
5. Improve resilience to climate change and pests and diseases, by increasing species diversity using native and non-native trees as appropriate
6. Use robust biosecurity measures to avoid importing or spreading pests and diseases
7. Work in partnership with other organisations at both local and national levels to ensure a joined-up approach to tree establishment and maintenance in Norfolk
8. Engage and empower local communities to plant and care for new trees, hedges and woodlands
9. Use NCC owned land to pilot and demonstrate best practice in tree establishment and management.
10. Consider people, wildlife and landscape benefits when specifying trees
11. Use strong evidence to secure external matched funding to deliver this Strategy; providing best value for NCC
12. Support existing local businesses within the rural economy to create employment opportunities in the lifelong care of trees and woodlands
13. Reduce the use of plastics, peat derived compost and pesticides

Trees of Norfolk



A pine tree shelterbelt © Evelyn Simak

Pine belts of The Brecks



Brecks Pines © Kirsty Webber-Walton

Plantations



The Broads © Anne Crotty

The Broads



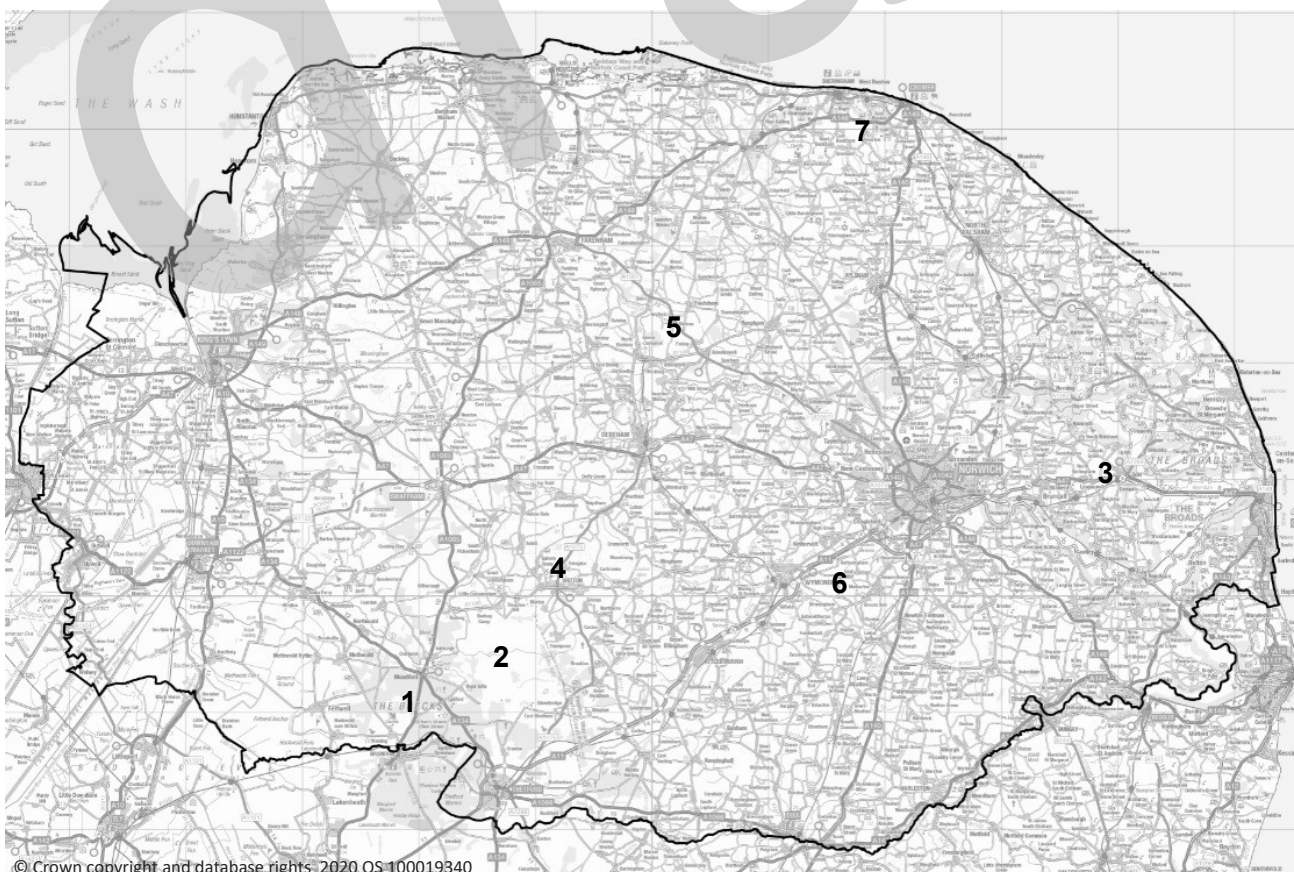
Veteran Trees © Graeme Cresswell

Ancient Woodlands



Lions Mouth, Felbrigg © Norfolk Trails

The North Norfolk Ridge



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Trees outside woods - hedgerows, copses, small woodlands, avenues, parklands and orchards



Veteran Trees © Graeme Cresswell



Hedgerow at Seamere Farm © Sue Perkin

Street trees in cities, towns and villages



Admirals Way Swaffham © Anne Crotty



New Amelanchier © Anne Crotty

Alder carr - wet woodland



Veteran Trees © Graeme Cresswell



Alder carr © Jerzy Strzelecki

Wellbeing

Tree planting and young tree maintenance improves wellbeing, creates a sense of purpose, reduces social isolation and bonds communities.

It is an intergenerational activity suited to all and improves both mental and physical wellbeing. The trees then provide a legacy of green space with all the health benefits this brings.



Beech Wood North Norfolk © Megan Coombs

Flooding

There are several ways that trees can help to reduce or prevent flooding:

- By direct interception of rainfall
- By improving soil structure and infiltration rates
- By absorbing and storing water
- By preventing soil erosion from water run off
- By increasing frictional resistance thereby slowing water flow over land



Weyoume tree planting © Tom Russell-Grant

Damage to young trees

Few woodlands are reaching their full potential because trees, shrubs and plants are extensively browsed by mammals. Damage by non-native species such as some deer and grey squirrel is growing and likely to increase as climate change creates better conditions for these mammals.

Effective management will allow better and more diverse habitat to develop for the benefit of all wildlife and allow the natural regeneration of trees which is one of the very best ways to establish healthy woodlands.



Red Deer © Anne Crotty

Oak tree facts

Oak trees cover more of the UK than any other tree.

2300 total species use oak trees, including 38 bird species, 229 bryophytes, 108 fungi, 1178 invertebrates, 716 lichens and 31 mammals.

A mature oak can absorb up to 70 litres of water every hour.

Oaks live for a long time - the Bowthorpe Oak in Manthorpe near Bourne, Lincolnshire is perhaps England's oldest oak tree with an estimated age of over 1,000 years.

Ketts Oak, Norfolk's most famous oak, was believed to be planted in the mid 1200s.

The timber, prized for its strength and durability, is still used in the construction of houses, furniture making and shipbuilding.

Why write a Tree Planting and Resilience Strategy?

Objective

To produce, adopt and implement a collaborative strategy for developing and managing a thriving, benefit-generating treescape that is in tune with local needs and aspirations.

Benefits

- Provides the most effective mechanism to achieve a good general tree coverage
- Helps ensure that evidence-based and consensus-driven decisions are made
- Creates accountability within defined timeframes
- Provides a basis for shaping robust planning policy in relation to trees⁵

‘Norfolk County Council (NCC) resolves to build on its new Environmental Policy which acknowledges that trees are a vital resource of help in combating climate change alongside rewilding for carbon sequestration. Therefore, this council agrees to work with communities, landowners and partners to plant 1 million trees over 5 years which must amount to a net increase around Norfolk which will not only reduce carbon levels but will also benefit wildlife and provide valuable green space to improve the lives of Norfolk residents for years to come.’⁶



Bradwell community woodland planting © Ed Stocker

5. Trees in the townscape – a guide for decision makers' Trees and Design Action Group. 2012.

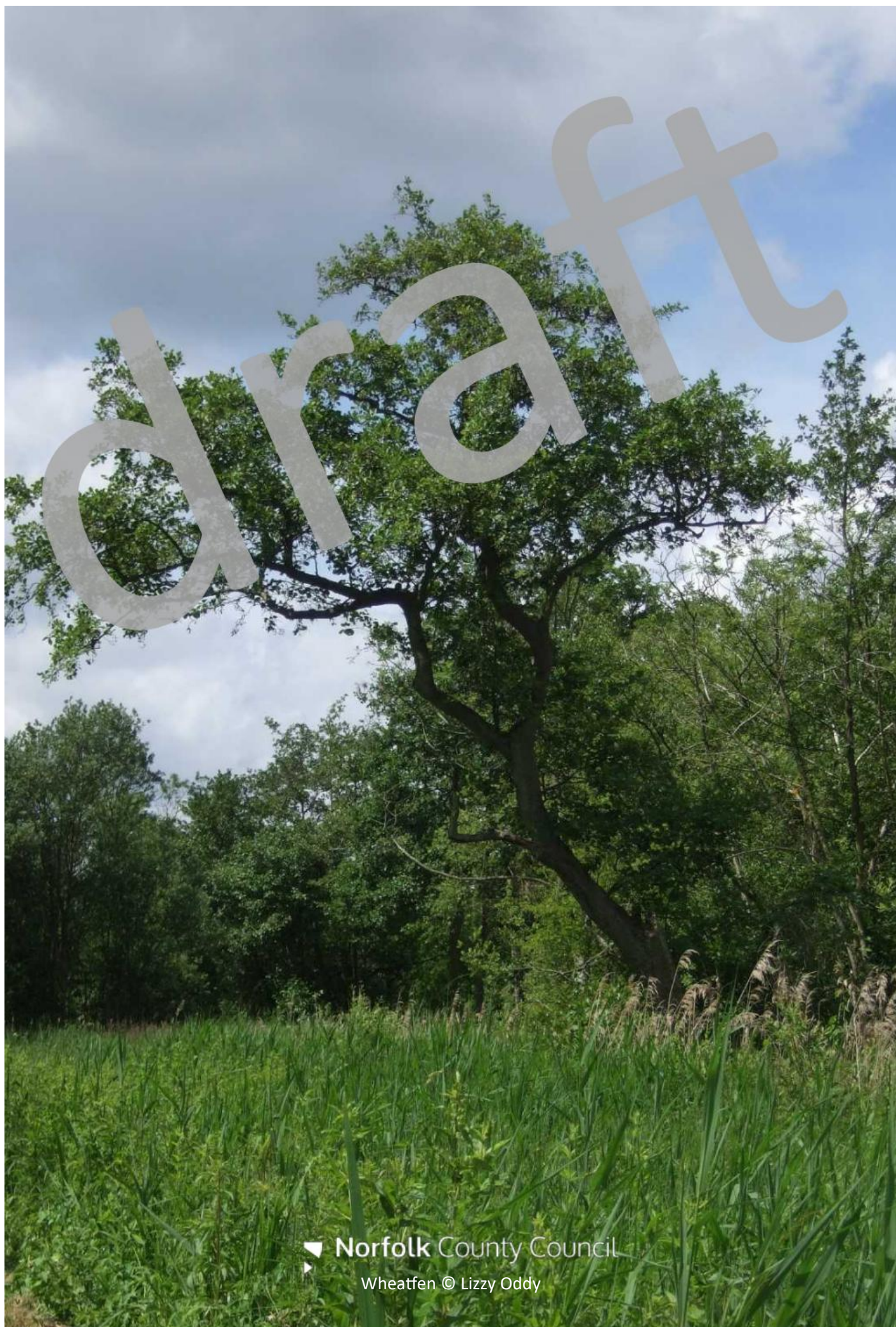
6. Motion passed at full Norfolk County Council Meeting. 25th November 2019.



Thetford forest © Kirsty Webber-Walton



Weavers Way © Norfolk Trails



Developing a Natural Capital Asset Framework for Norfolk & Suffolk Overview of Approach and Progress to Date

Introduction

The aim of this project is to develop a prioritised register of Natural Capital Assets that can be used to inform the development of a local 25 Year Environment Plan for Norfolk and Suffolk (hereafter N&S). It consists of three main elements:

- i. Compiling a Natural Asset Inventory for Norfolk and Suffolk (organised under the headings Land, Soil & Sub Surface, Habitats & Species, Freshwater, Coast and Marine, Atmosphere).
- ii. Examining the current and future risks to these assets in the form of a Risk Register.
- iii. Synthesise the implications of these two elements (e.g. in terms of identifying priorities) for the proposed Norfolk & Suffolk 25 Year Environment Plan.

The research has been conducted in the School of Environmental Sciences at the University of East Anglia, supported by a Steering Group consisting of representatives from Norfolk and Suffolk County Councils, the New Anglia Local Enterprise Partnership, Natural England, the Broads Authority, the Norfolk Coastal Partnership, Suffolk Marine Pioneer and local Wildlife Trusts.

Several publications and reports which have particularly influenced the approach taken are listed at the end of this document.

Progress to Date

Initial discussion with the Steering Group and at a wider stakeholder meeting focused on the indicators to include in the natural capital inventory. An initial suggestion was made to select indicators from the structure proposed by Defra (2019) for the 25 Year Environment Plan, but it was agreed that this did not give sufficient recognition to important features of Norfolk and Suffolk, so a more customised framework was adopted. This has involved creating a spatially-disaggregated inventory of assets that encompasses all the main categories of natural capital from the Natural Capital Committee (2017) definition. Data have been drawn primarily from publically-available sources, but with some information from the County Councils and other organisations, as well as a licensed soil map from Cranfield University. Analyses have been conducted with a GIS to enable:

- Comparison of the assets in Norfolk and Suffolk relative to England
- Assessment of the distribution of assets within Norfolk and Suffolk by local authority and designations such as the Broads National Park, Norfolk Coast AONB, Suffolk Coast and Heaths AONB, Dedham Vale AONB and the Breckland National Character Area

The list below summarises the main characteristics that have been mapped and assessed under the main headings:

- i. **Land** – broad habitat types, agricultural land classification, forest and woodland types, land under conservation management, land used for recreation and well-being, carbon in vegetation
- ii. **Soil & Sub-Surface** – soil types, chemical and biological indicators, soil carbon, peat, aggregates, aquifers
- iii. **Habitats & Species** – priority habitats, condition of SSSIs, ancient woodland, heathlands, saltmarsh, wetlands, priority species
- iv. **Freshwater** – water body WFD status, water availability for abstraction, chalk rivers, flood risk
- v. **Coast & Marine** – protected areas, fish stocks and activity, shellfish stocks, marine mammals, recreation activities
- vi. **Atmosphere** – air quality (particulates), greenhouse gas emissions

Alongside this activity, two workshops were held in late November to assess the pressures on key natural assets and the benefits they provide. Information from these workshops will inform the risk register alongside information from a variety of published reports.

Next Steps

The project findings are currently being written up in the form of an Evidence Compendium, following the approach used by Defra for their Future Farming and Environment report (see <https://www.gov.uk/government/publications/the-future-farming-and-environment-evidence-compendium-latest-edition>). A draft version of this will be circulated to the Steering Group in early April, with the aim of having a final version for wider dissemination by mid-May.

Key Literature

Department for Environment, Food and Rural Affairs (2019) *Measuring Environmental Change: Outcome Indicator Framework for the 25 Year Environment Plan*.

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Department for Environment, Food and Rural Affairs (2020) *Enabling a Natural Capital Approach (ENCA): Guidance*. <https://www.gov.uk/government/publications/enabling-a-natural-capital-approach-enca-guidance>.

Lovett AA, Turner RK, Sünnerberg G, Ferrini S, Stephanou E, Greaves S (2018) *A Natural Capital Asset Check and Risk Register for the Anglian Water Combined Services Area*. Anglian Centre for Water Studies and CSERGE, University of East Anglia, Norwich.

Lusardi J, Rice P, Waters RD, Craven J (2018) *Natural Capital Indicators: For Defining and Measuring Change in Natural Capital*. Natural England Research Report, Number 076. <http://publications.naturalengland.org.uk/publication/6742480364240896>.

Mace GM, Hails RS, Cryle P, Harlow J, Clarke SJ (2015) Towards a risk register for natural capital. *Journal of Applied Ecology* 52:641-653.

Natural Capital Committee (2017) *How to do it: A Natural Capital Workbook Version 1*. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/608852/ncc-natural-capital-workbook.pdf.

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16th February 2020

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Planting at Clinks Care Farm – photo credit Clinks Care farm

Cabinet

Item 5

Decision making report title:	Market Town Transport Network Improvement Strategies
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Wilby (Cabinet Member for Highways, Infrastructure and Transport)
Responsible Director:	Tom McCabe (Executive Director Community and Environmental Services)
Is this a key decision?	Yes

Introduction from Cabinet Member

Market Towns are important settlements, providing a range of services and facilities to the residents of the towns as well as often large surrounding rural areas. Many towns have seen relatively large amounts of growth in recent years and growth is also planned in many in the future. The transport infrastructure within the towns has often not kept pace with this growth. A series of Network Improvement Strategies was agreed in 2017 to consider the impacts of past and planned future growth on market towns and set out actions which Norfolk County Council should consider taking in order to provide suitable transport infrastructure.

The studies and proposed further work support the county council's vision for Norfolk, assisting the aim of putting in the necessary infrastructure first. The work will facilitate Norfolk's market towns' sustainable development through addressing the transport pressures of planned housing and employment growth.

Executive Summary

In September 2017, Members agreed a programme of studies looking at the transport impacts of growth in market towns. At that time, Members agreed the programme of studies to be started in 2018. The first phase of studies included Dereham, Diss, North Walsham, Swaffham and Thetford. Subsequently, in July 2018, Members agreed the second phase for 2019. The second phase of studies included Aylsham, Downham Market, Fakenham, Wroxham and Hoveton and Wymondham.

The work is now coming to an end. Nine of the ten Market Town Network Improvement Strategy (NIS) reports have been completed. One, the Dereham NIS, has previously been adopted and Cabinet is asked to adopt the remainder (except Wymondham, which will be reported to members on completion) and agree the next steps of work. Select Committee has reviewed the reports and noted the recommendations in this report (see Section 10 for more detail); and local stakeholders have been sent drafts of the reports (see Appendix 1).

It is proposed that, on adoption of the NIS studies, no further studies are undertaken but that attention is focussed on further work to take forward the major issues that have come out of the work to date.

Recommendations

1. To agree and adopt the completed market town transport network improvement strategies.
2. To note that work on the network improvement strategy for Wymondham is not yet complete and the proposed strategy is anticipated to be ready for Cabinet to consider by Summer 2020.
3. To agree that no further such studies will be done, and that the future workstream will concentrate on taking forward the issues arising from the studies.

1. Background and Purpose

- 1.1. Members agreed in 2017 to undertake a programme of Market Town Network Improvement Strategies (NISs). This report updates Members on all the NISs completed over the last two years and proposes the next steps which should be taken regarding these.
- 1.2. During 2018 the following NIS were undertaken (as agreed by Environment, Development and Transport Committee (EDT) 17 March 2017):
 - Dereham
 - North Walsham
 - Swaffham
 - Thetford
 - Diss.

The following were undertaken in 2019 (as agreed by EDT 6 July 2018):

 - Aylsham
 - Downham Market
 - Fakenham
 - Wymondham
 - Wroxham and Hoveton.
- 1.3. Cabinet is being asked to adopt the studies undertaken to date and agree the future work programme.

All the completed studies were sent to local stakeholders. Comments have been received and these, where appropriate, have been taken into account in the final versions that Cabinet is being asked to agree. Appendix 1 summarises the comments and how they have been taken into account.

All studies are now complete, except Wymondham which will be completed during spring 2020 and then brought to Cabinet to approve.
- 1.4. The purpose of the studies was to examine growth within the market towns (both growth that had happened as well as planned, or likely, future growth) and identify its impacts on the transport network in order to identify suitable interventions that could be planned and delivered. The studies undertaken to

date have been prioritised in towns where growth has had, or in the future could have, the most impact. The studies have addressed some of the major questions – eg around evidence for bypasses or other major transport interventions – and led to the identification of areas where further study and feasibility work would be beneficial.

- 1.5. An assessment of the remaining market towns has identified that there are unlikely to be significant transport network interventions arising from growth. Any future studies, if they were to be undertaken, would need to consider a different set of issues and would be likely focussed around traffic management.
- 1.6. Given this, Cabinet is recommended to agree that no more market town NIS studies are completed, but that officers identify how to take forward the issues arising from the completed rounds.

2. Proposals

- 2.1. Cabinet is asked to adopt eight of the ten Market Town NISs. (Dereham NIS was agreed and adopted by Members at EDT 8 March 2019. The study for Wymondham will follow in due course since this is slightly behind the programme of the others.)
- 2.2. Cabinet is asked to agree to focus on the findings of the completed NIS studies and take forward any further work identified in these. It is considered that all the market towns with large-scale planned growth, and which would be likely to benefit from considering the growth's impact on the transport network, have now been covered. If more towns were to be studied the original objective, to investigate the impacts of growth on the transport network, would have to change. If members feel that there should be further studies on market towns, it is likely that these would be best focussed on traffic management issues.
- 2.3. Cabinet is asked to agree to the findings from the completed Market Town NIS reports and agree that officers look to take forward the further study work that these studies have identified. The findings and recommendations are highlighted in greater detail within the report, see below, together with links to all the Market Town studies, Section 12.2.

2.4. Summary of the Market Town Network Improvement Strategies

The Market Town NISs identify potential measures to help address existing transport network constraints and transport improvements to facilitate the growth identified in Local Plans. The process of forming the Market Town NISs was very similar for each town. The focus of the work was informed by an examination of the issues through stakeholder engagement. Officers met with several external stakeholders in each town including the local member(s), district, town and parish councils, Sustrans, police, bus operators, business forums and Highways England / Network Rail as appropriate. The transport issues raised, along with findings from other completed studies and reports, were considered to see where there were gaps in information around certain known issues. The proposed scope of the studies and the technical work was

circulated to, and agreed by, stakeholders before the work commenced. In most cases, officers are continuing to work with the stakeholders to address the issues. The proposed scope of the studies and the technical work was circulated to, and agreed by, stakeholders before the work commenced. Following completion of the studies, draft reports were circulated to stakeholders to review. Any comments received as a result of this were considered and taken into account in the final studies as appropriate. The appendix shows a summary of the comments received and how these have been dealt with.

- 2.5. The Network Improvement Strategies and their action plans provide a valuable evidence base to inform other work. It is expected that some of the measures identified should be delivered as part of planned growth to mitigate impacts on the local highway network. The actions plans should inform investment planning and provide the context for funding bids from all three tiers of local government.

- 2.6. A summary of the work completed for each Market Town NIS can be found below.

Work on the studies has suggested several common interests across the towns leading to the identification of technical work to investigate issues including congestion, through traffic, cycling, and the impact of future growth on the transport network.

- 2.7. **Dereham**

The Dereham Network Improvement Strategy (DNIS) was adopted in March 2018 and a link for the full DNIS can be found at the end of this report (12.2). Objectives identified for the DNIS included:

- Review the current operation of B1135 roundabout
- Identify the key cycle corridors and improvements for these routes
- Review signage so people are directed in the most efficient manner
- Lobby Highways England for improvements to Draytonhall Lane
- High level assessment of future scenarios that can inform growth options and be part of a future Local Plan review.

Consultants were commissioned to produce a Cycle Corridor study, Town Centre Parking & Access study and Future scenario testing report.

This work produced some key findings:

- 40% of the town's population work within 3 miles of their home.
- Only 3.7% of journeys to work were completed by bicycle which is below the county average of 4.8%. Development of a cycle corridor could improve this.
- It is estimated that traffic levels during the AM and PM peak periods will increase by 30-31% by 2037 and on Saturday the level is expected to increase by 34%

- There is a typical amount of motor vehicle collisions and whilst there is no single hotspot of collisions they are concentrated along the key routes in and out of the town and in the town centre.
- The town will benefit from the signage changes set out in the strategy and have the potential to improve road operating conditions for all users.

An implementation plan comprising short term, medium term and long-term actions was then formed from these findings. A full list of these can be found in the Dereham NIS in Chapter 8. The next steps for the Dereham NIS will be delivering the cycle corridor and signage changes through the county council's Capital Programme and secure funding for the remaining highlighted actions and carrying out any further studies which have been recommended.

2.8. **Diss**

The Diss NIS objectives addressed from stakeholder meetings included:

- A link road assessment
- An assessment of growth locations to support the Local Plan evidence base
- An assessment of current congestion issues and potential mitigations
- An assessment of the current cycling and walking routes and potential improvements

Work commissioned comprised a through traffic assessment, a junction capacity assessment, a strategic transport assessment associated to growth until 2036 and an assessment of walking and cycling in Diss.

The technical notes uncovered some key findings:

- 17% of the traffic within Diss is through traffic, suggesting a high proportion of traffic in Diss has a purpose related to the town
- There are opportunities to encourage short trips to be made on foot or by cycle by improving signage and small infrastructure improvements
- The Morrisons Roundabout junction should be the focus of improvements on the A1066 as it is constrained in each future scenario
- Large scale growth either to the north or the south, even if it were to provide a link road, would worsen traffic conditions within the town

An implementation plan comprising short term, medium term and long-term actions was then formed from these findings. A full list of these can be found in the Diss NIS in Section 12.2. The next steps for the Diss NIS will include securing funding for the highlighted actions and carrying out any further studies which have been recommended.

2.9. **North Walsham**

The North Walsham NIS focussed on three issues arising from stakeholder engagements:

- Potential options for a more pedestrian friendly Market Place
- Bus congestion at the stop by the Post Office on Yarmouth Road including potential alternative locations for an interchange

- Initial feasibility work to address the constraint of low bridges either through lowering the carriageway on Cromer Road or providing an alternative route for high vehicles by using the overbridge on Bradfield Road.

Key findings from the North Walsham NIS include:

- Good permeability in the town centre
- A sense the Market Place is vehicle dominated
- By improving the Market Place as a focal point for bus access and maximising passenger boarding and alighting at the location, it would be possible to reduce the dwell time of buses at the Post Office
- Improving the bus stop at the Post Office is preferred to alternative locations for a bus interchange
- Lowering the carriageway under Cromer Road bridge is unlikely to be deliverable and the existing roads north of the Bradfield Road bridge are unsuitable. Further work is required to identify whether this constraint can be overcome on the Bradfield Road bridge alignment or an alternative over-bridge.

Important next steps for further study and projects are presented in Section 3 of this report. Funding opportunities should be investigated and NCC should work collaboratively with local partners to progress delivery.

2.10. **Swaffham**

For the Swaffham Network Improvement Strategy, the views of the Town Council and stakeholders were taken into account to agree the scope of the study. The objectives of the study were to investigate the case for a relief road or bypass and to develop the measures set out in the Air Quality Action Plan (AQAP) which this work is being developed alongside.

An implementation plan comprising short, medium and long term actions has been devised. These relate to current issues and anticipate future measures required to allow the town to grow in a sustainable way. Key findings and actions arising from the study include:

- In the short term the new parking control measures in the Market Place will be monitored for effectiveness and we will continue to work with Breckland on their AQAP and engage with Swaffham Town Council in relation to making the case for a relief road or bypass.
- In the medium term we will look for funding opportunities to develop and implement a scheme to provide enhanced access to the free long stay Theatre Street car park with new signing to encourage greater usage. We will also work closely with Breckland District Council on the update of their Local Plan to ascertain how development allocations could deliver a relief road or bypass.
- In the long term, if appropriate, we will seek potential funding sources for a relief road or bypass including preparing business cases where necessary

2.11. **Thetford**

The objectives identified for the Thetford Network Improvement Strategy (TNIS) include:

- Identifying key cycle corridors in Thetford and identifying potential improvements for the routes considered to offer the greatest opportunity to increase cycle use
- Understanding capacity and network issues at network pinch points and key junctions including Nun's Bridge Road, A11 junctions and the A123 north/south route, and how they are likely to change with the addition of extra development to identify measures to alleviate issues.

To achieve these objectives, consultants produced a Walking and Cycling Corridor technical note and a Network Pinch Points and Key Junctions technical note to further understand the current situation and how it can be improved. Key findings from these studies include:

- Potential for a new link road which would effectively link the A134 from Bury St Edmunds via Hurth Way and Mundford Road to the A134 in the north
- Potential for a Cycling and Walking Route along London Road from the commercial area at the west of the town to the town centre. The technical report suggests that this route should be taken forward for further assessment if funding becomes available.
- Signage improvements to parking and key destinations could reduce traffic routing through unsuitable roads. Most notably the Nuns' Bridges Road.

From the studies, an action plan has been created setting out the short, medium and long term actions which should be implemented in order to respond to the current problems and impact of growth in Thetford. This can be seen in the TNIS in Section 12.2. The key actions include further work into the feasibility of a link road, identifying and securing potential funding for the Cycling and Walking Route A and to understand the impacts of future growth beyond the current emerging local plan period of 2036.

2.12. **Aylsham**

Objectives for the Aylsham NIS (ANIS) arise from the main issues in the town which are:

- The lack of walking and cycling connectivity between the two new housing developments, the town centre and key employment areas
- Signage which lacks clarity and results in cars taking unsuitable routes in and out of the town
- High volumes of traffic in the town centre, including buses, causing congestion, and detracting from the aesthetics and the significance of the historic market town.

The objectives for the ANIS are to address these issues.

Work was commissioned to investigate the walking and cycling provisions, parking and accessibility and bus stopping arrangements in Aylsham and to

provide recommendations on how to improve these, if they need improving at all.

Key findings from the studies include:

- The identification of a cycling and walking corridor which provides connectivity between important sites in the town
- Signage should be placed at key decision-making points to direct cars in and out of car parks in Aylsham in such a way to avoid the town centre and unsuitable routes
- The potential of formalisation of unmarked bus stops.

The next steps will be to carry out further design and feasibility studies into the recommendations and to secure funding for these. Next steps can be seen in the Action Plan section in the ANIS report. The link to this is found in Section 12.2.

One issue identified in the study, but not investigated in detail, was the impact of traffic on Red Lion Street. A desktop exercise suggested that pedestrianisation would be difficult due to the requirement to provide an adequate alternative route north-south through the town, including for buses. An aspiration to make the road more pedestrian-friendly remains, and this has been added as a potential future study, subject to funding being found.

2.13. **Downham Market**

The views of the Town Council and stakeholders were taken into account and the agreed scope of the study was the following issues:

- Parking
- Junction assessment of the Clackclose Road/Lynn Road junction
- An assessment of the operation of traffic lighted junctions
- Routeing in the town centre
- An assessment of current walking and cycling and potential improvements

Based on the study work it was concluded that in the short term a series of waiting restrictions is required around the railway station to prohibit long term car parking that is having an impact on residential amenity and in some cases causing obstructions on the highway.

Medium term measures include possible improvements at the Clackclose Road/Lynn Road junction and the main signalised junction in the centre of the town at Cannon Square. There may also be the need to rationalise some of the parking restrictions in the centre of the town if the Town Council decide to start charging in their car parks. Further investigations are also proposed to remove traffic signals at two junctions, where it has been shown they are not absolutely necessary and could be removed to reduce the maintenance burden. A series of footway and cycleway improvements have also been identified on key routes to the new housing areas and these can be developed for implementation as funding is identified, possibly from developer funding.

In the long term a series of suggested measures to improve traffic flow around the town and possibly allow for further pedestrianisation can be investigated.

Funding is in place for the identified short-term measure regarding waiting restrictions in the vicinity of the railway station, and this will be implemented in 2020.

2.14. **Fakenham**

Stakeholder engagements have generated a list of seven objectives the Fakenham NIS (FNIS) would need to address:

1. Review the location of bus stops along Oak Street
2. Propose improvements to relieve congestion at the Creake Rd/A148/A1065/Wells Rd roundabout
3. Study the effect on pedestrians of the relocation of traffic island near Pensthorpe Road/George Edward Road junction
4. Propose alternative layout to the Thorpland Rd/Greenway Ln/Holt Rd junction
5. Map cycle networks and key pedestrian routes between major origins and destinations. Identify any major issues, e.g. lack of crossing points or direct routes
6. Signage assessment
7. Review of parking bays opposite HSBC.

We commissioned reports on the above issues, including traffic surveys for tasks 2, 3 and 4. This work produced two key findings:

- Data shows that there is potential for at least 42% of usual residents to use active travel modes to get to work, versus the current 24%
- The roundabout study indicates that implementing the lane marking changes on the A148 could considerably improve the performance of the Creake Rd/A148/A1065/Wells Rd roundabout and it was recommended that greater clarity of signage is provided for vehicles approaching Fakenham from the east (A148) and (A1067).

The suggested changes to the Creake Rd/A148/A1065/Wells Rd roundabout lane markings have been put forward for the funding through the County Council's capital programme. Norfolk County Council and partners will look to develop schemes for the suggested signage improvements, relocation of the traffic island, proposed alternative layout to the Thorpland Rd/Greenway Ln/Holt Rd junction and A1065 splitter island crossing and pursue funding through various opportunities including new development.

2.15. **Wroxham and Hoveton**

For the Wroxham and Hoveton NIS objectives addressed included:

- Investigate the level of congestion and underlying causes
- Identify opportunities to improve walking and cycling
- Longer distance cycling and walking including Broadland Way Green Loop

- Provide supporting evidence to inform the development of plans for future growth

In stakeholder consultation Wroxham Bridge was recognised as being a pinch point for traffic in the town but was not looked at extensively in this study as it is a scheduled monument, therefore any works would be very limited. A bypass to avoid the town centre and avoid vehicles crossing over the bridge has also been suggested but was not part of the scope of this study.

Potential measures have been identified to help address the scale and distribution of growth. These include increased signage for pedestrians accessing key areas; a feasibility study into Stalham Road / Horning Road/ Horning Road West double mini-roundabout junction improvements; improving cycling routes in the town; and extending the Three Rivers cycle path.

2.16. **Wymondham**

The evidence for this study has only recently been received and it is important to note that, while a range of potential recommendations have been put forward, no assessment or decisions have been made about their appropriateness or viability.

The main objective of the study is to improve walking, cycling, public transport and parking in Wymondham town. The following issues have been identified:

- traffic calming on the Harts Farm estate
- cycling and walking routes around the town
- the public transport situation
- walking/cycling, bus and parking arrangement in the Market Cross area

Key findings from the commissioned studies include:

- The existing traffic calming measures on the Harts Farm estate are within legal standard but a number of improvements could be considered.
- Walking, cycling and public transport networks are of a good standard compared to other towns, however, there is room for improvements. Corridor options are identified with the aim of connecting residential, schools and town while creating a joined up Wymondham network.
- The bus network coverage in Wymondham and the frequencies of services are high, however, there are some notable issues such as lack of coverage on the south of the town and to Hethel Technology Park and poor interaction between modes of transport in the area surrounding the railway station. The lack of coverage for the south of the town has a technically viable solution, but may not be economically viable.
- The stakeholder group raised some concerns about the existing bus and parking facilities in the Market Cross area, especially with the proximity between pedestrians and buses manoeuvring around the Market Cross

and the lack of any stop infrastructure. Two potential options have been put forward for addressing the key issues.

2.17. **Next Steps**

As stated, it is recommended to agree that no further Market Town NIS Studies should be undertaken but instead to take forward the studies and proposals identified in the completed rounds. Officers will need to identify suitable funding sources to progress the projects and schemes which have been recommended in the first and second phases of the Market Town NIS work. The suggested next steps can be found in the table below.

2.18. Officers will review the NIS delivery programmes annually and report progress to the stakeholders. If the need for a refresh of the NIS is required, or any further study work identified, it will be added to the action plan, summary below, and the work undertaken as resources allow.

2.19. **Summary Action Plan**

Town	Future Actions / Projects	Timescale
Dereham	<p>Continue to investigate potential schemes to improve congestion at the B1135 roundabout junction adjacent to Tesco and at Tavern Lane. Continue to monitor and analyse these. Take forward further study work or schemes as funding is identified and becomes available.</p> <p>Use the future scenarios considered in the NIS to inform the review of the Breckland Local Plan.</p> <p>Ensure the cycle corridor and signage schemes are delivered through the County Council's capital programme, or through other funding sources such as from development proposals.</p>	Short to medium term. Inrix data will be used to monitor congestion in spring 2020.
Diss	<p>Project underway to improve Vince's Road Roundabout.</p> <p>Source funding for cycling and walking improvements.</p> <p>Further scheme development work on junction capacity improvements such as at Morrisons Roundabout and Frenze Hall Lane as funding is identified and becomes available.</p>	Short term (approx. 2 years)

	Further study into Nelsons Road bus link as funding is identified and becomes available.	
North Walsham	<p>NCC to work closely with District Council colleagues to understand plans for long term growth in North Walsham and to overcome the Cromer Road bridge issue.</p> <p>Secure funding for improvements through the successful High Street Heritage Action Zone Programme bid.</p> <p>Work with District and Town Council to decide which Market Place improvement option to pursue.</p> <p>Undertake improvements to the Post Office bus stop instead of a bus interchange as funding is identified and becomes available.</p>	Short-term, ongoing
Swaffham	<p>Monitor the implementation of the Breckland District Council trial of limited waiting parking in and around the Market Place.</p> <p>Continue to work with Breckland District Council on the development and implementation of the adopted Air Quality Action Plan (AQAP)</p> <p>Engage with the Swaffham Town Council newly formed Transport Access and Environment Committee especially on their desire for a relief road or bypass</p>	Short-term, ongoing
Thetford	Further study work examining the feasibility of the A134 link road. A bid for Pooled Business Rates has been submitted	Predicted 2020. NCC will need to secure funding for this work.
Aylsham	<p>To further investigate, source funding and implement the smaller measures found in the Aylsham NIS Action Plan.</p> <p>To consider options for how Red Lion Street could be made more pedestrian friendly.</p>	As funding is identified
Downham Market	Implement waiting restrictions around the railway station.	Waiting restrictions added to the

	<p>Monitor Downham Market Town Council proposals to implement car park charges, determine the impacts and manage the highway network accordingly</p> <p>Develop individual pedestrian and cycle schemes and measures in more detail for implementation as funding becomes available</p>	2020-21 programme
Fakenham	<p>Changes to the A148/A1065 roundabout road markings.</p> <p>Improvements to signage directing drivers to and around the town as funding is identified and becomes available.</p> <p>To further investigate, source funding and implement the smaller measures found in the Fakenham NIS Action Plan.</p>	Roundabout markings added to 2020-21 programme
Wroxham and Hoveton	<p>Feasibility study into changes to the double mini roundabout.</p> <p>Secure funding for smaller measures and signage, walking and cycling provisions mentioned in the Wroxham and Hoveton NIS Action Plan.</p>	As funding is identified
Wymondham	To be added following agreement of the NIS	

3. Impact of the Proposal

- 3.1. The Network Improvement Strategies have been very effective in considering some of the key transport infrastructure requirements required to enable sustainable growth within the towns and ensure their continued vitality. Taking forward the further stages of the work, as included in the table above, will ensure that the transport infrastructure continues to support the towns' future development.

4. Evidence and Reasons for Decision

- 4.1. The market town NISs have identified a range of infrastructure measures to support growth and which will be added to forward plans for a range of partners, including the county council, to take forward. Concentrating resources on taking forward the measures, rather than undertaking further NISs, will make the most effective use of resources available.

5. Alternative Options

- 5.1. Further rounds of market town NISs could be undertaken. However, the original remit for the studies was to consider the impacts of past and planned future growth on the towns and identify the major transport infrastructure measures that might be needed to be taken forward. There are unlikely to be significant transport network interventions arising from growth in the remaining market towns and any future studies, if they were to be undertaken, would need to consider a different set of issues probably likely to be focussed around traffic management. It is considered that taking forward the further work arising from the existing studies will make the most effective use of resources available

6. Financial Implications

- 6.1. Funding for the market town NIS Studies has come from the capital programme, each being assigned £20,000. Some of the studies were also successful in securing, through a competitive bidding process, pooled business rates funding to match the money assigned and to undertake further projects and studies.
- 6.2. The capital programme was agreed by Cabinet on 13 January 2020 including to take forward schemes identified in the NISs: traffic signing and cycling in Dereham; and capacity enhancements to the A148/A1065 roundabout at Fakenham. The Cabinet report showed that some funding identified for market towns remains unallocated (£145,000 for interventions in 2020-21 and indicative allocations of £220,000 and £505,000 for studies and interventions respectively in 2021-22).
- 6.3. It is recommended that no more Market Town Studies are undertaken for any additional towns. Instead, the recommendation is that work is taken forward on the matters that have been identified in the existing studies. This comprises a mixture of further feasibility work on specific issues or delivery of schemes. The remainder of the funding described in 6.2 could potentially be used for this. Cabinet is not being asked to agree to this now.

The use of this funding for taking forward work arising from the NISs would need to be considered alongside other similar streams of work. Decisions about its use will be made in due course.

Officers will also pursue all sources of other potential funding that would enable the work arising from the NISs to be taken forward.

7. Resource Implications

7.1. Staff:

Activities in terms of developing the Network Improvement Strategies, including consultation, have been undertaken within existing financial resources. Any further study work will be undertaken within existing staff resources.

7.2. Property:

None at this stage. Any impacts on property are only likely to arise from delivery of individual transport schemes. These will be identified at later stages of project development.

7.3. IT:

None at this stage.

8. Other Implications

8.1. Legal Implications

None at this stage. Some of the improvements identified in the NIS do potentially require the purchase of third-party land therefore, if these are to be taken further there may be legal implications. However, until then, there are no legal implications.

8.2. Human Rights implications

None at this stage.

8.3. Equality Impact Assessment (EqIA) (this must be included)

An EqIA has not been undertaken for the market town studies. Equality implications will be considered at the appropriate stages of project development for schemes taken forward.

8.4. Sustainability implications (where appropriate)

8.5. All the market town NISs have considered sustainable transport issues of walking, cycling and public transport. The majority of them have considered walking and cycling networks with detailed technical work commissioned to identify the corridors where use is most likely, and an assessment of the barriers to walking and cycling on these corridors. The NIS studies therefore have considered sustainable transport issues and how these can be improved to support growth.

9. Risk Implications/Assessment

9.1. There are no other significant issues and risks that arise from this decision. This market town NIS studies have provided an innovative approach to considering the transport networks in market towns.

10. Select Committee comments

10.1. The matter was considered by the Infrastructure and Development Select Committee on 29 January.

The following points were discussed and noted:

- Members thanked officers for their work on the studies
- Officers confirmed that they were in dialogue with North Norfolk District Council regarding a funding opportunity to take forward measures identified in the North Walsham NIS
- Officers confirmed that Red Lion Street in Aylsham was included in the action plan.

The latter two comments are included in the final reports for adoption.

11. Recommendations

- 11.1.
- 1. To agree and adopt the completed market town transport network improvement strategies.**
 - 2. To note that work on the network improvement strategy for Wymondham is not yet complete and the proposed strategy is anticipated to be ready for Cabinet to consider by Summer 2020.**
 - 3. To agree that no further such studies will be done, and that the future workstream will concentrate on taking forward the issues arising from the studies.**

12. Background Papers

12.1. Market Town NISs were first discussed at the March 2017 EDT Committee where Members agreed to a programme of five studies and requested that a report be brought back to note progress and agree priorities. The report can be found on page 96 of the agenda for March 2017 EDT Committee. In July 2018, a programme of five more studies were agreed and this report was requested to provide an update on these and to agree the next steps that should be taken.

12.2. The following market town Network Improvement Strategies can be viewed on [this page](#) of the county council's website:
Dereham NIS (Adopted)
Diss NIS
North Walsham NIS
Swaffham NIS
Thetford NIS
Aylsham NIS
Downham Market NIS
Fakenham NIS
Wroxham and Hoveton NIS

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: Comments received from stakeholders

Introduction

The following tables summarise comments received from local stakeholders following completion of the Network Improvement Strategies (NISs). Draft NISs were sent to local stakeholders. Where comments were received these are summarised in the first column 'Comment.' The second column sets out officers' consideration of the comments whilst the final column sets out what action has been taken in the light of each comment.

Aylsham Network Improvement Strategy

Comment	Response	Action
The remit of the strategy did not include any work on pedestrian routes.	The technical work included assessment of corridors. Each corridor was a Walking and Cycling Corridor, hence including pedestrian routes in each. It is accepted that there might have been a lack of clarity in the technical report about the corridors work, not showing clearly that these corridors included infrastructure for both pedestrians and cyclists.	Changed all headings in the Aylsham NIS relating to the corridors to 'Walking and Cycling Corridor' to ensure clarity.
Work could have identified small areas of the town which could be improved or pedestrianised in the near future.	The possibility of making Red Lion Street pedestrian friendly will be identified as a piece of further feasibility work arising from the study.	Feasibility work has been added to the Action Plan section of the Aylsham NIS and a paragraph has been added describing the situation regarding pedestrianisation.
There is no mention of connecting Aylsham to Norwich through a cycleway. Acknowledge this is beyond the scope of the study but perhaps it should be mentioned as a future project.	Beyond the scope of the study hence this was not investigated as part of the study. Aylsham is already connected to Norwich by a cycleway via Marriott's Way.	Asked for further information on the project they desired as Marriott's way is already in place. There has been no reply hence no further action on this has been taken.
Safe crossings of the A140 for Weavers Way and the Bure Valley Way would appear to fit the scope of the strategy but were not mentioned.	This was not included in the agreed scope of the study as budget constraints meant we were unable to address everything each stakeholder suggested.	The Cycling and Walking Team at NCC are aware of this problem and are continuing to investigate whether feasibility work at the crossings is possible.

Diss Network Improvement Strategy

Comment	Response	Action
The remit of the strategy did not include any work on parking.	Car parks are the responsibility of SNDC or are private. On street car parking is NCCs. A NCC project looking at civil parking enforcement might impact the parking issues.	No change to the Diss NIS
On street parking may hinder walking and cycling projects	This will be considered when schemes are brought forward.	No change
Morrison's roundabout is a priority	The roundabout is identified for improvement in the action plan	No change

Downham Market Network Improvement Strategy

Comment	Response	Action
The Borough Council of King's Lynn and West Norfolk suggested some modifications to the text in the Local Plan section	This is acceptable	Report amended accordingly
The Borough Council of King's Lynn and West Norfolk have provided a much simpler map for Figure 2.1 just showing the allocations.	It is agreed that this is preferable	Report amended accordingly

Fakenham Market Network Improvement Strategy

Comment	Response	Action
The District Council's Economic and Community Development asked for an overview of the process for finalising the strategies that affect the towns in North Norfolk and how decisions will be made on the use of the available funds?	Timeline, consultation process and funding opportunities were explained.	No actions for strategy to be amended and officer had no further comments.
Sustrans asked about the inclusion of Norfolk Greenways and the Pilgrimage route. Detailed comments were provided for cycle corridor 1 on the use of zebra crossings and the segregation of cyclists from traffic.	Comments noted on use of zebra crossings and segregation of cyclists from traffic and discussions are taking place for the major projects manager to provide some text on the Norfolk Greenway's and Pilgrimage route.	Cycle and key pedestrian route option assessments were amended to include wider connectivity – for example a splitter island was suggested as an improvement to connect Fakenham to the Wensum Walk.
Sanders Coaches provided detailed comments on the adequacy of bus stops – close to zebra crossing and additional spaces for buses. Asked that the main bus stop be referred to as an interchange. The bus stop section gave car usage priority and could be better written to reflect the challenges for buses in the town. Supports option in longer term for potential use of Queens Road car park being utilised as a bus station.	Agreed to refer to the main bus stop in the town as an interchange. Comment on car priority noted and agreed to amend strategy to reflect the additional information provided and section amended to ensure it is fair to all modes of transport.	Report was amended accordingly.
Town Council welcomed the suggested improvement to cycling and pedestrians. They strongly suggest consideration of a footpath/cycle way on the	Comments noted on walking and cycling suggestion. It was explained that the consultants have to undertake traffic surveys in neutral periods as set	Report was amended accordingly.

Comment	Response	Action
<p>east side of the old Fakenham Grammar school playing field to St Peters Road and Grove Lane. Disappointed that the traffic queue lengths were measured in the winter as in summer and that a solution to the Wells/Walsingham junction to the bypass was not considered.</p>	<p>out in Government guidance but INRIX traffic data was provided to the consultants who then added a section with graphs on page 33 and 34 to evidence the seasonal variation in average speed between winter and summer months. Information was added on a potential improvement to enhance any new roundabout, which will come forward as part of the development to the north of the town. As part of the enhanced roundabout scheme was suggested improvements to the Wells/Walsingham Road (details on page 7)</p>	
<p>Local Councillor commented on utilising car park spaces at the southern end of Oak Street as an extra bus parking place. Provided preferences for Create Road / Wells Road Roundabout suggested options. Provided a preference for the Greenway Ln / Thorpland Rd / Greenway Ln Junction options.</p>	<p>Comments noted.</p>	<p>No actions for strategy to be amended.</p>

North Walsham Network Improvement Strategy

Comment	Response	Action
A number of detailed comments, requests for clarifications and updated information.	All to be addressed in the report.	Report amended accordingly
Concern about whether the congestion information reflects the current situation	These concerns can be included.	Report amended accordingly
Need to address timing of traffic lights at A149/B1150 junction	Covered by a separate project so not within the scope of the NIS.	No need to amend
Emerging western link road will improve conditions.	The evidence to demonstrate this is still being undertaken to support the emerging Local Plan. However, it is reasonable to include a reference to this support.	Report amended accordingly
Market Place improvements must retain disabled parking, replace short stay parking, support the market and maintain residential access.	It is reasonable to make these issues explicit in the report.	Report amended accordingly
Detailed comments about the use of the site outside the Post Office for a bus interchange, the further consideration of the Library car park for a replacement bus interchange, potentially incorporating part of the adjacent fire station, and the impact of more intensive use of the Market Place stops.	While the technical evidence is clear, it can be noted in the report that further detailed assessment and any changes in circumstances will be taken into account before any scheme is finalised.	Report amended accordingly
There is no reference to maintaining the existing full-strength bridge at Bradfield Road with single lane traffic light control for vehicles.	It is not yet clear that this is an option. The report is clear that further assessment is required to investigate all potential options.	No change required

Swaffham Network Improvement Strategy

Comment	Response	Action
Strategy is a wasted opportunity as it doesn't do enough for the two main issues of HGV in the town and air quality	These issues were considered in the work and the action plan identifies potential measures that could be taken forward	Continue to pursue the Action Plan of short, medium and long term measures as funding permits
Strategy has no vision or objectives	The emphasis of the work was more about understanding the issues and potential solutions	Noted
Minimal action in relation to a relief road	This issue was a main consideration of the work and the action plan identifies potential measures that could be taken forward. Also see below	Action plan contains item on this issue and officers will continue to work with the local stakeholders on this
The urgent need is for scoping work to be done now, in the short term, to examine the feasibility of route options, east or west of the A1065, determine the preferred route, and protect the designated route from then on as housing and employment zone planning proceeds	As above. Officers will continue to work with stakeholders, in particular on the review of the Breckland Local Plan.	Engage with Breckland District Council on their Local Plan work
The WSP report conclusion that ' <i>measures of re-routing traffic away from Swaffham Town Centre to help alleviate congestion</i> ' is omitted from the strategy	This has been considered as part of the work on solutions to address air quality issues and no practicable solutions were found for inclusion in the strategy	No action
One day's [traffic] data from July 2018 is inadequate as a basis for long term strategic decisions	Other longer term sources of traffic data have been examined and we are confident the data is robust	No action
What is lacking is a commitment from NCC to carry out - and fund - a full feasibility study of the	This has been discussed with local member. Possible funding to commence full feasibility	No action. This is covered on the study

Comment	Response	Action
options for providing better access to Theatre Street car park. This is the urgent next step.	work into options to arrive at a definitive scheme for implementation is being pursued	

Thetford Network Improvement Strategy

Comment	Response	Action
Cycling needs further encouragement	This is accepted. As part of the work on the review of the Local Transport Plan the council is considering behaviour change	No further action in respect of Thetford NIS
Rail station parking and car park issues should have been included	This was not part of the agreed remit for the study, but the issue is acknowledged and one the county council has been trying to resolve through working with the rail industry to secure additional investment.	NIS amended to note the issues at the station
Bus station site is unsuitable and the study should have investigated this	These issues were not raised when we agreed the scope of the study with stakeholders and so not part of the agreed remit for the study.	Responded to indicate that, if these issues are shared more widely amongst local stakeholders, the council can consider how to address. No response received to date
Park and walk/cycle/glide proposals should be referenced	Agreed	NIS amended to note the matter
Parking should have been looked at	As part of the study we discussed the issues with Breckland District Council (who operate the car parks) and have shared the results of the work with them.	NIS amended to note the matter
The report considers A134/A11/Nuns Bridges Road traffic issues but does not present a solution	The report identifies that further work would be needed to investigate the feasibility of a new road link and an upgrade of one of the A11 junctions. This work was beyond the budget available for the NIS. However, a bid for pooled business rates funding has been made which should enable this	No further action in respect of Thetford NIS. The feasibility work will be undertaken and the outcome reported to stakeholders to agree next steps

Comment	Response	Action
	next stage of the work to be undertaken	
The report should reference wider issues including Oxford/Cambridge arc, A11 junctions, A140, rail connectivity	Agreed	NIS amended to note the matter
Electric scooters should have been looked at	We are considering this issue on a countywide basis (as part of the LTP review) as it is not unique to Thetford	No further action in respect of Thetford NIS
Local issues (eg footpaths to Kilverstone; traffic issues on B1111 and C148) not addressed	These issues were not raised when we agreed the scope of the study with stakeholders and so not part of the agreed remit for the study.	No further action in respect of Thetford NIS

Wroxham & Hoveton Network Improvement Strategy

Comment	Response	Action
Not made clear in the report that Wroxham and Hoveton are villages and not traditional market towns.	For the purposes of this study they collectively have the function of a market town.	Report updated to clarify
The report should explain that all of the services are located in Hoveton.	This is covered in chapter 3 but can be made clearer by including in the introduction.	Report updated
Governance <ul style="list-style-type: none"> - Local Plan for the Broads, Wroxham Local Plan and North Norfolk Allocations should be given more coverage. - Clarify the difference between North Norfolk, Broadland and Broads Authority. - Add information on emerging plans 	<p>Agreed.</p> <p>Agreed.</p> <p>Only looking at adopted plans</p>	<p>Report updated</p> <p>Report updated</p> <p>No further action in respect of the W&H NIS</p>
Add housing allocation as specified in the Broads Authority Local Plan as well as North Norfolk and Broadland.	Agreed	Report updated
The Exec Summary should explain the importance of the villages as centres for the boating and tourism industries.	This has been mentioned in context of traffic conditions, but transport is the focus of the NIS.	No further action in respect of the W&H NIS
Not enough detail on cycle provision in the town centre.	We have identified and highlighted issues that can be explored in more detail if funding becomes available.	No further action in respect of the W&H NIS
The report has not covered education and promotional campaigns to try and increase the use of sustainable transport.	This was beyond the remit of the study agreed with stakeholders.	No further action in respect of the W&H NIS

Comment	Response	Action
The report has not talked about the costs involved in the interventions and who will pay.	The action plan is a list to inform bids and capital investment from district councils or other agencies, as well as NCC. Cost analysis was not part of the scope of this study.	No further action in respect of the W&H NIS
The linking of cycle routes to Broadland Way – these cycle routes should be extended to Norwich to be effective.	The study has identified that there is opportunity to link to nearby Green infrastructure. Further investigation into the feasibility and extent of a link could be made in the future, with funding, but is currently outside the scope of this report.	No further action in respect of the W&H NIS
It was questioned where the 10ha (10,000sqm) for commercial use quoted in the report comes from?	Agreed.	NIS amended
Wroxham Bridge - The report has not mentioned alternatives to the current bridge, such as a new foot bridge 50/75m upstream of the current bridge, a new bridge west of Coltishall, or addition of a separate cycle crossing.	Not within the scope of this study. These have been listed as long-term actions because any intervention would require further work to look at feasibility. No safety concerns have been raised over the bridge.	NIS amended to clarify that it will not be looking at the bridge.
The report did not conduct a traffic survey to identify start and finish points of journeys.	There has not been an opportunity to investigate this level of detail in this study.	No further action in respect of the W&H NIS
The report does not look at the possibility of a no right turn in Church Road in Hoveton	This wasn't raised as a concern at the stakeholder meeting so was not included in the scope of the report. This is not seen as being a significant contributor to congestion in the towns.	No further action in respect of the W&H NIS
The proposal to extend the 3RW cycleway to Hoveton & Wroxham Rail Station was originally part	This report has identified the current roundabout as a barrier to cyclists. This gives us the opportunity	No further action in respect of the W&H NIS

Comment	Response	Action
of the 3RW project but was deleted on the grounds it had significant negative impact. Is there anything to change the merit of that decision?	to investigate the Three Rivers Way cycleway further.	
The report does not give examples of how the interventions would support the projected growth and inform future growth.	The advice in this report can be used to provide evidence as to why new development should include improvements to the transport network and why these improvements are needed to facilitate the growth.	No further action in respect of the W&H NIS
The study has not looked at diverting traffic from the A1151 onto a less congested route.	Redirecting traffic onto other routes would take further work, such as a feasibility study. Therefore, this is beyond the scope of this study.	No further action in respect of the W&H NIS
There is no evidence signalled crossings proposed on the Salhouse/Norwich Rd roundabout and Stalham/Horning Rd double mini roundabout would improve congestion.	Traffic modelling has shown that there would be benefit to this approach. Lights would keep traffic flowing and therefore help reliability and consistency of journey time.	No further action in respect of the W&H NIS
The A1151 Norwich Road / Church Road / Station Road / A1151 Stalham Road junction - can the timing be adjusted to increase more traffic flow during peak times?	Agreed but not in the scope of this report.	Pass to appropriate highways department to investigate further.
Air quality on the A1151 was not explored in the study.	There are no Air Quality Action Areas in Wroxham and Hoveton so this was not seen as a focus for this work.	No further action in respect of the W&H NIS
There is no evidence that a greater uptake of sustainable transport option can be achieved to make a noticeable	We sought to identify things we can do to encourage sustainable transport and provide better routes to reduce driving within the towns.	No further action in respect of the W&H NIS

Comment	Response	Action
difference in traffic congestion.		
The NIS has not looked beyond Hoveton and Wroxham.	This is beyond the funding available and scope of the NIS	No further action in respect of the W&H NIS
The report has not mentioned the traffic generated by the expanding Scottow Enterprise Park, HMP Bure and the prospect of c.1,500 new homes for North Walsham.	Future work done on the development at North Walsham would need to consider its impact on the wider network.	No further action in respect of the W&H NIS
There was some confusion over the statement that Wroxham can better facilitate growth.	Analysis of traffic movements suggests development in Hoveton will have a greater impact than in Wroxham as through traffic going to Norwich would not need to cross the bridge.	Reworded section to clarify that this report is not suggesting that there <i>should</i> be more growth in Hoveton.
Local Issues <ul style="list-style-type: none"> - Moving the traffic lights at the florist - Making A1151 a clearway - Impression that there would be an additional bridge alongside the western side of the existing bridge to allow sustainable transport. 	These were not identified as stakeholder issues at the external stakeholder meeting and so have not been looked at. This study is focused on pedestrian and cycle conditions in the towns. It has not identified any additional river crossing as viable short term. That work would be part of a wider green loop study but beyond the scope of this report.	No further action in respect of the W&H NIS
The report does not cover land use planning or the Local Plan process	This is not a Local Plan so the focus is transport infrastructure, rather than allocating sites.	No further action in respect of the W&H NIS
Hoveton should be described as a growth settlement.	The report has referred to Hoveton as a Secondary Settlement in line with the current/adopted North Norfolk Core Strategy	No further action in respect of the W&H NIS
The Strategy should explain the current status of any allocations.	Further information on site allocations can be provided.	Report updated

Comment	Response	Action
The report has not looked at 'informal' crossing points.	Informal pedestrian crossings have not been found to effect congestion so is outside the scope.	No further action in respect of the W&H NIS
The report has not mentioned a proposed Tunstead road/Stalham Road link road.	This link would not provide a strategic function and development would be acceptable without it.	No further action in respect of the W&H NIS
It is not clear in the report what the next steps are or how the study will be implemented.	Agreed	Report updated

Cabinet

Item 6

Decision making report title:	Great Yarmouth Transport Strategy and Implementation Plan
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Wilby (Cabinet Member for Highways and Infrastructure)
Responsible Director:	Tom McCabe (Executive Director Community and Environmental Services)
Is this a key decision?	Yes

Introduction from Cabinet Member

A transport study has been carried out for Great Yarmouth by the Borough and County Councils. This has included data collection, evidence gathering including stakeholder engagement, the appraisal of a long list of possible schemes and a public consultation exercise.

A draft Great Yarmouth Transport Strategy report has been prepared and this includes an implementation plan of transport schemes to address the priorities and objectives.

Delivering the measures identified in the strategy and implementation plan will have positive benefits for the town. Not only will they address issues on the transport network such as congestion and accessibility, but they should also help to make Great Yarmouth more attractive to economic investment and help existing businesses within the town.

Executive Summary

The draft Great Yarmouth Transport Strategy and the implementation plan have been presented to stakeholders and undergone a 4-week public consultation exercise. Feedback from this is summarised in Appendix A which also highlights the proposed changes to the strategy report.

Throughout the project elected member input came from the Great Yarmouth Transport and Infrastructure Steering group which comprises 3 Borough and 3 County Councillors who typically meet every 3-4 months.

Great Yarmouth Borough Council considered this work at their Economic Development Committee on 18 November 2019. They endorsed the outcome of the consultation and agreed to the proposed changes to the strategy.

The implementation plan will provide a pipeline of possible transport schemes and measures, agreed between the Borough and County Councils, that can be developed to respond to funding opportunities as they arise. This is shown in Appendix B.

Recommendations

1. To agree and adopt the Great Yarmouth transport strategy and implementation plan
2. To agree that the delivery of the implementation plan will be overseen by the Great Yarmouth Transport and Infrastructure Steering group.
3. To note that work on a Sustainability Appraisal is being carried out in conjunction with work on the Local Transport Plan.

1. Background and Purpose

- 1.1. Working in partnership with Great Yarmouth Borough Council, officers have carried out study work and devised a draft transport strategy for Great Yarmouth. This includes an implementation plan of transport schemes which address the identified issues and challenges and can be developed further for implementation subsequent to identifying suitable funding sources and any further scheme specific consultation. The strategy report and implementation plan has undergone a stakeholder consultation and a 4-week public consultation.
- 1.2. Throughout the project elected member input came from the Great Yarmouth Transport and Infrastructure Steering group which comprises 3 Borough and 3 County Councillors who typically meet every 3-4 months. The current membership of this group comprises:
 - Graham Plant (GYBC) – Chair
 - Tony Wright (GYBC)
 - Leslie Mogford (GYBC)
 - Mick Castle (NCC)
 - Penny Carpenter (NCC)
 - Ron Hanton (NCC)
- 1.3. This work has come forward to prepare the two local authorities for when future transport funding opportunities arise for Great Yarmouth. Often there is very little time to develop schemes when funding streams are announced, so this work will enable us to be in a strong position to respond.
- 1.4. The study commenced in spring 2018 with a data gathering exercise including a stakeholder workshop to present and get feedback on the identified issues and opportunities. The stakeholders invited included a range of representative organisations including cycle groups, business representatives such as the Chamber of Commerce, bus and rail operators and interest groups and environmental bodies.
- 1.5. From the data gathering part of the study a vision and objectives were defined and these were used to create a long list of schemes across all modes of transport. These measures were influenced by the current and emerging Local

Transport Plan for Norfolk and were then assessed against the objectives to determine a list of suitable schemes or implementation plan.

- 1.6. The stakeholder consultation comprised a presentation of the emerging plan to stakeholders on 16 September 2019, including a question and answer session. A 4-week public consultation immediately followed this event. This comprised a static display in the Town Hall foyer which then moved to Gorleston Library and was staffed for one day in each location.

2. Proposals

- 2.1. The Stakeholder feedback is summarised in a note at Appendix A. From this it was concluded that none of the comments and feedback indicated a need to materially change or amend the draft strategy and implementation plan for its delivery.
- 2.2. Continuing the strong partnership working on this project the Strategy and stakeholder feedback was presented to the joint Member Great Yarmouth Transport and Infrastructure Steering group (3 Borough and 3 County Councillors) at their meeting on 30 October 2019. It noted the outcome of the consultation and agreed that the strategy should be presented to the Great Yarmouth Borough Council Economic Development Committee for endorsement and subsequent adoption. The only change they requested was to remove the reference to key stakeholders as this could imply some had more influence than others.
- 2.3. Great Yarmouth Borough Council considered this transport strategy work at their Economic Development Committee on 18 November 2019. They endorsed the outcome of the consultation and agreed to the proposed changes to the strategy.
- 2.4. The implementation plan in Appendix B, sets out a range of strategic and local highway capacity improvement schemes alongside improvement schemes that could address issues with reliability on the existing bus network. These sit alongside the potential to make further improvements to the existing cycling and walking network to further support the relatively high mode share for journey to work for these active modes of travel likely to be due to the compact nature of the town.
- 2.5. A single mode or option cannot address the transport issues in Great Yarmouth. As such a package of measures is required including strategic and local car and non-car-based options, that enhance:
 - Local Highway Network capacity;
 - Strategic Highway Network capacity
 - The bus provision;
 - Rail services and Great Yarmouth Railway Station;
 - Walking and Cycling infrastructure;
 - Parking provision and management; and

- Smarter Choices (e.g. Travel Plans).
- 2.6. Within the Implementation Plan the transport schemes have been categorised and labelled as:
- Timescale
 - Short Term (S)
 - Medium Term (M)
 - Long Term (L)
- 2.7. They have then been identified as either Strategic, Area wide or Local schemes (S, A, L), and placed under headings in the tables in relation to their main impacts which are:
- to encourage public transport
 - to encourage cycling
 - to encourage walking and cycling
 - to encourage sustainable transport
 - to better manage car parking
 - to manage traffic on the highway network
 - to reduce delay and congestion on the highway network
- 2.8. The Implementation Plan is set out in Appendix B. The timeframes indicate how long it would take to develop and implement each scheme assuming funding is available. Funding sources are likely to be from the New Anglia Local Enterprise Partnership, central government funding sources and Highways England. Any measures taken forward will have to be developed with regard to County Council Environmental Policy.
- 2.9. The delivery of this strategy will be overseen by the Borough and County Councils under existing governance arrangements which include regular officer meetings and via the Great Yarmouth Transport and Infrastructure Steering group.
- 2.10. The strategy measures in the Implementation Plan pay regard to and build upon some £11m of New Anglia Local Enterprise Partnership (NALEP) growth funding spent on transport infrastructure in the town over the last 5 years. For example, the £2m scheme to improve the route between the railway station and the Market Place via The Conge.
- 2.11. The strategy report also sets out planned infrastructure improvements which comprise; recently completed scheme, those underway or those that are programmed for implementation. These include the following key schemes:
- The Great Yarmouth Third River Crossing - underway
 - Highways England A47 junction improvements scheme - programmed
 - Southtown Road/Station Road improvement for all modes - completed
 - Improvements to the Market Gates bus interchange - completed
 - Town centre pedestrian wayfinding - completed

- Hall Quay public realm to benefit walking and cycling - programmed

3. Impact of the Proposal

- 3.1. The proposal will provide a pipeline of possible transport schemes and measures, agreed between the Borough and County Councils, that can be developed to respond to funding opportunities as they arise.

4. Evidence and Reasons for Decision

- 4.1. Over the last five years Great Yarmouth has benefitted from government funding sources like the New Anglia Local Enterprise Partnership (LEP) for transport schemes. However, when the funding was allocated there were no clear transport priorities due to a lack of revenue funding in prior years. This gave rise to delivery issues because it was necessary to investigate where the problems were, devise suitable measures and consult and agree on them before they could be developed for implementation.
- 4.2. The Transport Strategy and Implementation Plan will provide a pipeline of schemes that have been derived from a sound evidence base and been informed by stakeholder opinion.

5. Alternative Options

- 5.1. The alternative option would be not to agree and adopt the Great Yarmouth transport strategy and implementation plan. Although the work on the implementation will still stand, it will not carry as much weight with potential scheme funders if it is not seen to have been adopted by the Borough and County Councils.

6. Financial Implications

- 6.1. There are no further financial implications to finalising the implementation plan and Great Yarmouth Transport Strategy report. This work has been funded by £50k from the Norfolk Business Rates Pool fund, with £50k match funding from the County Councils Local Transport Plan (LTP) budget to make a total of £100k.
- 6.2. Having an agreed plan of identified schemes will increase our chances of being successful funding streams are announced. For example, having carried out sufficient scheme development work on the Great Yarmouth Third River crossing, when the new Major Scheme Fund was announced, we had all the required bid information to assemble a successful bid.

7. Resource Implications

7.1. Staff:

The work on developing the Transport Strategy and Implementation Plan, including consultation, has been undertaken within existing resources. Any work commissioned to deliver some of the measures and monitoring the plan will be undertaken within existing staff resources.

7.2. Property:

None at this stage. Any impacts on property are only likely to arise from delivery of individual transport schemes. These will be identified at the implementation stage.

7.3. IT:

None at this stage.

8. Other Implications

8.1. Legal Implications

Some schemes in the implementation plan will require Traffic Regulation Orders (TRO) but these will be devised and consulted upon as part of the development of individual schemes.

8.2. Human Rights implications

None at this stage.

8.3. Equality Impact Assessment (EqIA)

An EqIA will be undertaken as part of the of the development of individual schemes and measures in the plan.

8.4. Sustainability implications

8.5. A Strategic Environmental Assessment (SEA) is being undertaken alongside the development of the Local Transport Plan. This is a requirement of the Environmental Assessment of Plans and Programmes Regulations 2004 and the implementation plan will sit under this overarching SEA.

9. Risk Implications/Assessment

9.1. There are no other significant issues and risks that arise from this decision. This work has enabled us to be in a strong position to respond to funding opportunities.

10. Select Committee comments

10.1. To be added after 11 March 2020 meeting.

11. Recommendations

- 11.1.
1. To agree and adopt the Great Yarmouth transport strategy and implementation plan
 2. To agree that the delivery of the implementation plan will be overseen by the Great Yarmouth Transport and Infrastructure Steering group.
 3. To note that work on a Sustainability Appraisal is being carried out in conjunction with work on the Local Transport Plan.

12. Background Papers

- 12.1.
- Great Yarmouth Transport Strategy report – Draft for consultation (Appendix C)

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.



GYTS Consultation Feedback Summary

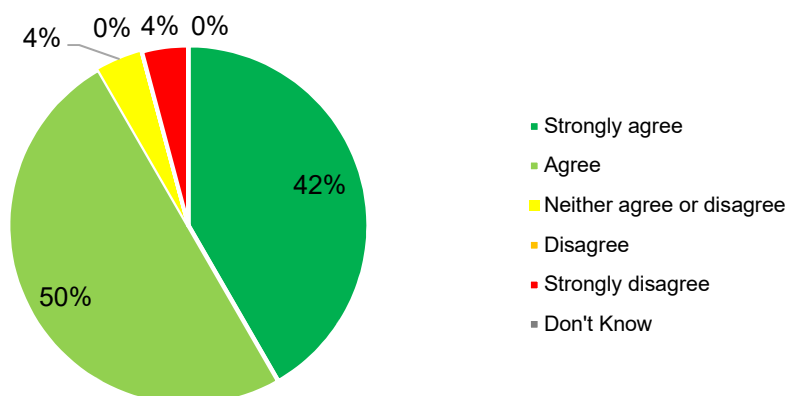
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1. PUBLIC CONSULTATION FEEDBACK

This section summarises the results of the public consultation questionnaire. In total 30 responses were received; however not all questions were answered by each respondent.

1.1 Objectives of the Transport Strategy

How far do you agree or disagree with the overall objectives of the strategy?(n= 24)



Why did you say that?

Disagree or Strongly Disagree

The objectives appear to ignore the needs of the private motorist.

Large car parks should be installed to encourage motorists to enter the city centre and reduce the decline in shops on the high street.

Why did you say that?

All other responses

More attention should be paid to the approach from the south west.

Better bus services need in rural areas.

Too much emphasis on cycling and walking.

Measures need to make it safer for cyclists and pedestrians e.g. Improved infrastructure.

More focus towards sustainable transport.

It is often cheaper, and quicker, to use a car than bus or train.

Improved train reliability is needed.

Roads need better maintenance and congestion needs to be tackled.

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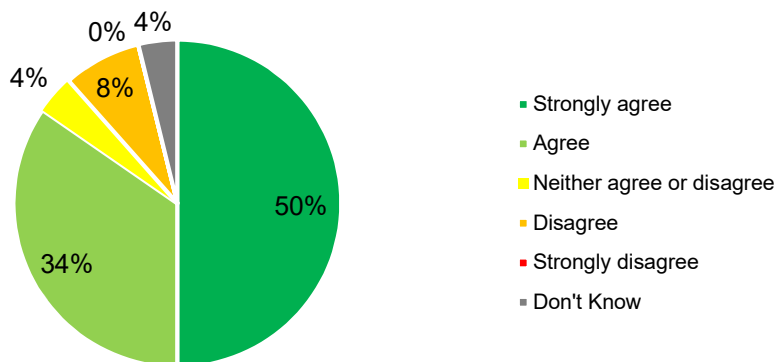
Why did you say that?

All other responses

Objectives need to consider the environmental aspects of the necessary disruption to ecology.

1.2 Identification of Highway Network Issues

How far do you agree or disagree that we have identified the issues for the highway network?(n= 26)



What have we missed?

Disagree and Strongly Disagree

A bus stop at Vauxhall Railway Station for the Excel X1 service to Norwich.

Southtown Station could still have served Norwich; if Vauxhall Station had been closed, access by road into Great Yarmouth would have been greatly improved.

The traffic at Gapton is not just an issue during peak times, this needs to be tackled.

What have we missed?

All other responses

The need to modernise Haven Bridge.

Acle Straight needs cycle lanes as well as dualling.

Vauxhall Roundabout remodelling to take account of the alignments required to accommodate A47 Acle Straight Dualling and improved access arrangements for the Vauxhall Holiday Park.

Many companies have moved out of Great Yarmouth due to lack of roads from the port and beyond.

Issues with Southtown Road, especially congestion.

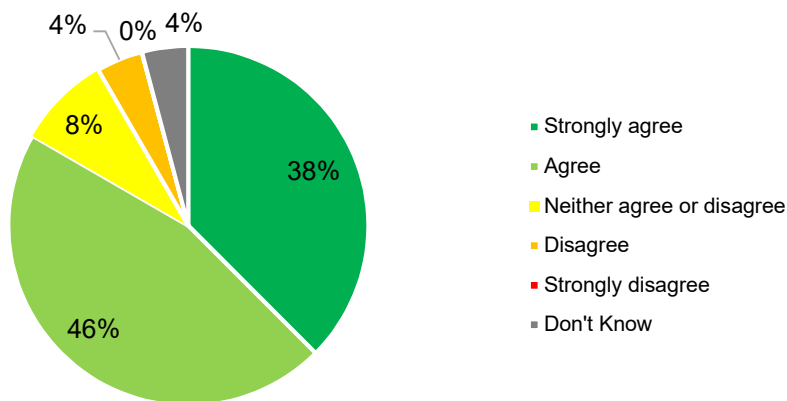
Rerouting of buses to reduce congestion e.g. X1.

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1.3 Identification Traffic Delay Issues

How far do you agree or disagree that we have identified the traffic delay issues?(n= 24)



What have we missed?

Disagree and Strongly Disagree

The traffic signal phasing at the junction of Southtown Road/ Tollgate Rd/ Silvertons Aggregates - lights are working against the flow of traffic, sometimes only allowing three to four cars to proceed along Southtown Road before the lights change to red.

What have we missed?

All other responses

No grid marking at roundabouts.

Drivers are making far too many short journeys.

Improvements needed to Vauxhall Roundabout.

Traffic delays could be eased by re-routing some X1 buses to the edge of town areas.

Designate clear ways for key routes like Howard Street North / The Conge / Temple Road / Alexandra Road.

Making the crossroads safer at Belton.

A review of the speed limit on the new relief road.

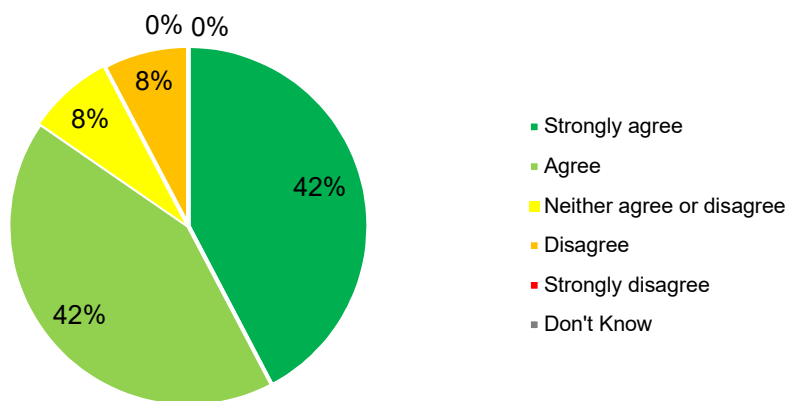
The visibility at Gapton Retail Park junction to turn right to Bradwell is dangerous.

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1.4 Identification of Public Transport Issues

How far do you agree or disagree that we have identified the public transport issues?(n= 26)



What have we missed?

Disagree or Strongly Disagree

Hemsby has good transport infrastructure, such as frequent and punctual bus services.

The coach station location is ideal as a large number of users are arriving seeking access to the seafront rather than the town centre.

The private motorist is being ignored.

What have we missed?

All other responses

A shuttle bus between the rail station would be expensive, and poorly used. An existing bus that is re-routed (e.g. 9 Service) would be beneficial.

Case needed for direct, longer-distance rail services to areas further afield.

Thought should be given to electric vehicles.

Increased bus services for Caister-on-Sea.

A bus link that travels to the train station, market and sea front would be beneficial.

Crossing facility needed from the Vauxhall Holiday Park to the Town Centre.

A seasonal bus service with increased frequency in the summer e.g. X1 or X11.

A summer bus service from Hemsby beach to Norwich via the rail station to join the X1 & X11 at a good frequency.

Improve the bus service from Seashore Holiday Park to rail station.

Introduction of a Park & Ride once the GYTRC is complete

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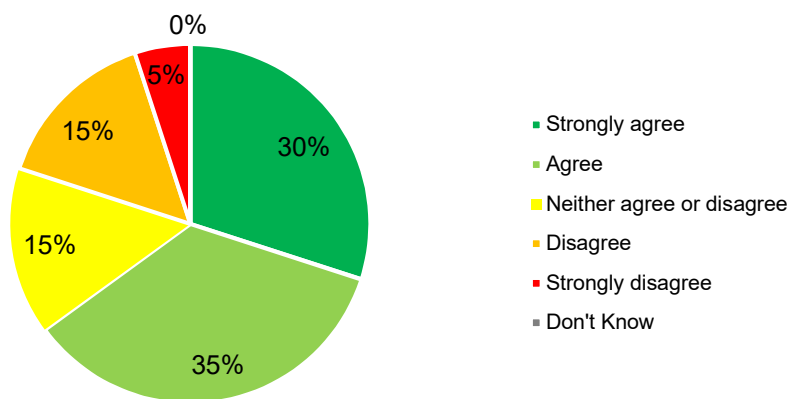
What have we missed? <i>All other responses</i>
Reduction in the cost of bus travel.
A bus service linking Lothingland villages to Haddiscoe train station would be useful.
Rail service is poor.
Sending 4 of the X1 buses through Filby, Stocksby, Runham and Fleggburgh will give a good bus service to a large part of the rural area.

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1.5 Identification of Cycling Issues

How far do you agree or disagree that we have identified walking and cycling issues?(n= 20)



What have we missed?

Disagree or Strongly Disagree

Too much attention towards such a minority group.

The cycle track that runs alongside the A47 past the James Paget Hospital, along the A47 dual carriageway and leaves the dual carriageway to come into Hopton needs better maintenance.

There is a non-made up road extension for walkers/cyclists on Warren Rd which runs alongside Gorleston Golf Club as a link route between Gorleston and Hopton needs better maintenance

No cycle route between Great Yarmouth and Norwich.

Very limited capacity for cycles on rail routes.

A cycle way running separately alongside the A47 Acle New Road would be advantageous for all users.

What have we missed?

All other responses

Investment needed in LED lighting to improve reliability of lighting in the Rows and key pedestrian and cycling routes.

Lighting, cameras and clean up needed on many thoroughfares in Yarmouth town centre, King Street, seafront areas, St Peters area etc. It does not feel safe.

A traffic crossing between Acle New Road, Vauxhall Holiday Park roundabout.

Signage and monitoring need to deter cyclists from using pedestrian footpaths.

The cyclist give-ways from the Co-op to Garton Hall need improvements for safety.

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1.6 Feedback on Short-Term Options

Is there anything you would like to tell us at this stage about any of these short-term options?

At the junction of Burnet Road / Beccles Road a pedestrian crossing is needed.

On Beccles Road / Green Lane junction, a pedestrian crossing is needed.

Speed cameras on Beccles Road.

Request to arrange a meeting with Borough Councillor Carl Annison (Mob: 07522130366) regarding Highways issues.

Bus stop improvements in Caister-on-Sea

Parking provisions deserve some more attention.

Improvements to bus service from Seashore Holiday Park to rail station.

Over emphasis on public transport / cycling / walking. More thought needed towards the private motorist.

SL13 is an important project – to get traffic in and out of Lidl and B&M in Southtown directly from the Pasteur Road. This should take pressure off the Station Road and Matalan junctions on the key Southtown Road artery.

Important to achieve the re-opening of the Thamesfield Way through to Suffolk Road / Boundary Road to relieve congestion at the Gapton and Tesco roundabouts on Pasteur Road.

SS1 - is a very high need as previously mentioned. Better bus services should influence the award of bus contracts.

The rural villages need access to the hospital via X1 bus and this would cut the requirements of Hospital transport.

SS1 needs to address the increased provision of train carriages at peak times.

SS2 needs to address how passengers are informed when buses are delayed or cancelled.

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1.7 Feedback on Medium-Term Options

Is there anything you would like to tell us at this stage about any of these medium-term options?

Develop a resident & business permit parking zone in the Town Centre area.

There needs to be a common approach between NCC and GYBC to parking charges and times of operation within the Yarmouth "core" CPE area - Seafront and Town Centre - between Sandown Road/Kitchener Road and Kings Road/Queens Road.

MS7 – Needs to include bus links to Gorleston.

ML10 – Concerns regarding the shuttle bus service.

Projects such as dualling the A47, resolving issues with trains and buses and the Third River Crossing, take precedence over projects for cycling and walking.

ML6 – The cycle path from Caister-on-Sea Tesco to Jellico Road is currently in such a poor state most cyclists use the road.

Concerns raised regarding the cost of the projects.

The vast majority of the schemes are for cyclists / pedestrians / public transport – the private motorist should be given equal thought.

There will be great environmental impact caused by the A47 Acle Straight, and the associated flooding issues. Further route options should be considered.

Possibility to dual all the A47 to link with the A15 at Peterborough, and with an extended M11 from Cambridge to the Humber Bridge.

1.8 Feedback on Long-Term Options

Is there anything you would like to tell us at this stage about any of these long-term options?

Concerns around the value for money from the schemes.

LL14 – is an urgent project.

Investment needed to improve the rolling stock to Great Yarmouth.

Improved signage of motorcycle parking areas in the Town Centre and Yarmouth Seafront.

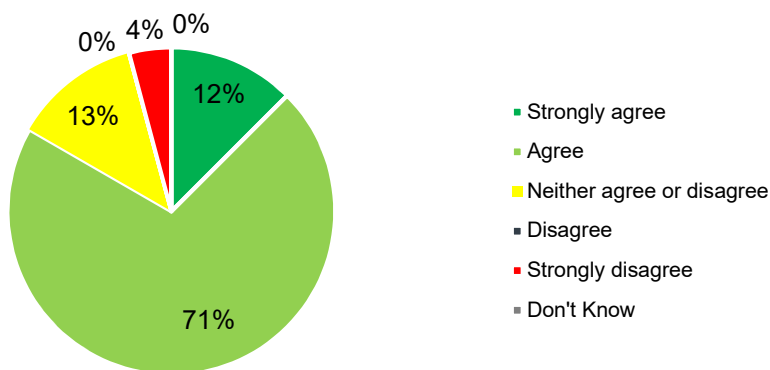
Too much funding is spent in Great Yarmouth, which is out of proportion with other places in the County.

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1.9 Balance of Schemes in the Draft Strategy

Overall, how far do you agree or disagree that the draft strategy has achieved the right balance of schemes?(n= 24)



Why did you say that?

Disagree or Strongly Disagree

More projects are needed that are aimed towards the private motorist.

Why did you say that?

All other responses

More focus needed towards the larger projects.

More projects needed for cyclists.

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1.10 Is there anything else you want to tell us?

Is there anything else you want to tell us?

Any approach needs to be holistic and consider how changes will impact other transport issues and proposals.

More services like that of Centre 81 Door to Door for those who have disabilities are needed.

Access to Harfreys should be a priority for cyclists / pedestrians and also buses.

Buses to Gorleston seafront at the weekends could be more frequent.

More of a focus needed on walking, cycling and public transport.

The bus station needs urgent improvement to improve safety for users e.g. lighting.

The dualling of the A47 Acle Straight needs to be a priority.

The A47 in Brundall needs to be completed to improve access.

Improved train frequency and reliability.

Why not consider major schemes e.g. flyover or bypass of Gaptown estate, park and ride for town centre, overhaul lighting and cameras in town centre.

Thought should be given on how to reduce on-street parking for new residential dwellings.

Reduction in car parking charges for key attractions.

Paid car parking facilities for areas outside of Great Yarmouth e.g. Gorleston.

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2. STAKEHOLDER FEEDBACK

This section summarises the written responses received from Stakeholders on the Great Yarmouth Transport Strategy.

2.1 Broads Authority

Comments
Key destinations travelled to by the local community are not mentioned.
Accident data should be set out more clearly to explain the severity of accidents and what forms a cluster.
The Broads Authority Local Plan should be mentioned in the document.
The solutions should be set out to have the sustainable modes at a more prominent position, such that they are above cars.
Possibility to retrofit travel plans for businesses and communities already in place.
There should be a distinction between the actions that are for further study or actual on-site projects.
Would the induction loops pick up cyclists at junctions, if not, this could lead to cyclists feeling ignored?
Evidence needs to be provided that increasing capacity at junctions will promote modal shift.
The Broads Authority needs to be highlighted as a key stakeholder within the document.
Work is needed to look at the measures to address potential conflict between modes, such as community education.
Community projects set up to address speeding.
There is no mention of police enforcement of traffic laws.
Changing the way tourists travel to Great Yarmouth would have a real impact on greenhouse gas reduction and congestion.
Not much mention of travel by boat / ship – This should be considered as all could have a positive impact upon the town, or impacts upon the transport network, in particular cruise ship passengers.
Better pedestrian and cycling links from the Broads to key attractions and services.

2.2 CENTRE 81

Comments
There is no a commitment to promote social inclusion by improving access to jobs and services, yet Centre 81 is not recognised in the document.
The document should recognise the Centre's contribution in future iterations of the strategy.

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2.3 SUSTRANS

Comments

The strategy showed no record of the scheme that Sustrans produced in 2019 for Norfolk CC, WSP and Great Yarmouth BC as part of the LEP funding.

There are no cycle routes shown for: a link to Caister (north of the Sea Front), a link to Bure Park, a quietway north and south and a route in South Denes.

The following reports should be cross-referenced in the report:

- 11945 South Denes
- 11944 North denes
- 11775 Sign Schedule – Caister, Gt Yarmouth, Gorleston, Belton, Burgh Castle
- 11746 Quietway from Market Place to Jellicoe Road; Caister Road improvements; and options for Bure park and Northgate Street

2.4 HISTORIC ENGLAND

Comments

The production of the Transport Strategy is well-timed to co-inside with the High Street Heritage Action Zone.

Access to the historic core of the town by pedestrians and cyclists should be ensured.

There should be increased accessibility from the north, the railway station and from the bus station.

Pleased to see the addition of options SL21, SL24 and ML4

Any improvements adjacent to the High Street Heritage Action Zone, including the A47/A12 Corridor improvements, should be sensitively designed.

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3. PROPOSED CHANGES TO GREAT YARMOUTH TRANSPORT STRATEGY IN RESPONSE TO CONSULTATION FEEDBACK

This section summarises the proposed changes to the Draft Great Yarmouth Transport Strategy for Consultation in response to feedback received during consultation.

3.1 Proposed Changes

- **Understanding the Local Economy – Paragraph 3.1.20:** Tourism will be identified as major economic driver in Great Yarmouth.
- **Current Local Transport Provision – Paragraph 3.3.14:** A description of the role of community transport schemes in Great Yarmouth, such as Centre 81, will be added.
- **Current Local Transport Provision – Highway Issues Network Map:** A definition of “accident cluster” will be added.
- **Option SC8 – Improve amenity for passengers travelling on the Wherry Line:** The description will be updated to note that the rolling stock upgrade has commenced.
- **Section 6 - Short, medium and long-term options tables:** The header “Stakeholder” will be renamed “Key Stakeholder”.
- **Option MS1 – A47 Acle Straight Dualling:** The Broads Authority will be identified as a key stakeholder.
- **Option MA3 – Work with dock less cycle operators to introduce a cycle hire scheme in Great Yarmouth:** The option’s description will be updated to make reference to self powered and electric bicycles.
- **Area Wide Cycle Improvement Options:** The area wide cycle improvement options (e.g. Option ML6) will be updated to include a reference to the Sustrans study undertaken in Great Yarmouth and the cycle routes identified as a part of this work.
- **Next Steps – Paragraphs 7.2.1 and 7.5.2:** The Broads Authority will be identified as a key stakeholder.

Appendix B - Great Yarmouth Transport Strategy - Implementation Plan

1.1 SHORT TERM (OPTIONS EXPECTED TO BE DELIVERED BY 2022)

SHORT TERM STRATEGIC

Options to encourage the use of public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SS1	Work with Greater Anglia to improve patronage numbers on rail services to / from Great Yarmouth	Working with Greater Anglia, this option looks to improve patronage numbers on rail services to / from Great Yarmouth. Greater Anglia are committed to introducing new rolling stock in 2019 / 2020, which include greater WIFI connectivity, charging points and other passenger amenity measures. Other ways to improve patronage include advertising, service frequency, service reliability, rail schemes and greater ticketing options.	Encourage modal shift through improve public transport facilities	Require wider changes (frequency / reliability) to increase patronage. Measures taken require cost with no guaranteed result.	Engage with Greater Anglia and understand existing use of train services and measures that could increase patronage.	Greater Anglia Norfolk County Council Developers
SS2	Improve bus services between Great Yarmouth and Lowestoft	This option seeks to improve the public transport connectivity between Great Yarmouth Lowestoft. This could be achieved through the introduction of a new bus service, improved frequency of existing services, inclusion of more stops between the two coastal towns and improved experience for users (journey time reliability, on-board features).	Improve public transport strategic coastal connections. Encourage modal shift through improved public transport services.	Requires support of bus operators	Engage with bus operators to establish commercial viability. Identify future development that could support new services (through Section 106Developer contributions). Identify where new bus stop infrastructure may be required to support a new service.	Bus Operators Norfolk County Council Developers

Option to encourage journeys to be made by bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SS3	Improve signage of Sustrans National Cycle Route 517 between Great Yarmouth and Lowestoft	This option considers the improvements to signage of the Sustrans National Cycle Route 517 between Great Yarmouth and Lowestoft. This would ensure that the cycle routes meet the highest design standards and offer the best experience to users.	<p>Promotes cycling.</p> <p>Helps users to identify the route.</p> <p>Improves accessibility of the bikeway system for all users.</p>	Route only go through part of Great Yarmouth	<p>Undertake detailed review of existing wayfinding provision.</p> <p>Establish wayfinding strategy for cyclists that is coherent across Great Yarmouth.</p> <p>Identify location for new wayfinding infrastructure.</p>	Norfolk County Council

SHORT TERM AREA WIDE

Option to encourage the use of public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA1	Bus stop improvements throughout the main urban area of Great Yarmouth, Gorleston-on-Sea and Caister-on-Sea	This option is to provide improvements to bus stops throughout the main urban area of Great Yarmouth, Gorleston-on-Sea and Caister-on-Sea. Improvements could include the introduction of real time passenger information (RTPI), new and improved bus shelters, new and improved waiting facilities and raised kerbs.	Encourage modal shift	No improvement to bus service frequencies or capacity of the public transport network	Engage with bus operators. Understand current situation regarding bus stops that have been recently improved, or are proposed to be improved.	Bus Operators Norfolk County Council Great Yarmouth Borough

Option to better manage traffic on the local and strategic highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA2	Develop and introduce a signage strategy to inform drivers of car parking availability, congestion and, when implemented, status of the Great Yarmouth Third River Crossing	Improvements to existing signing and provision of new signage to help drivers make more informed decisions (e.g. route choice, car park etc). This could include the introduction of Variable Message Signs (VMS) to warn drivers of congestion, accidents, roadwork zones, speed limits, car park availability and status of river crossings (including the Third River Crossing once constructed). A scheme is currently being developed as a part of the Great Yarmouth Third River Crossing scheme.	Help drivers make more informed decisions on their route choices / choice of car park Improve journey time reliability and reduced congestion, particularly when crossings are closed	Signage may be ignored, especially by drivers using Satnavs. Increase rat-running if drivers have knowledge of the local road network.	Understand signage strategy proposed as a part of the GYTRC. Work with GYTRC team to Develop signage strategy that could provide drivers with information on traffic and parking issues across Great Yarmouth.	Norfolk County Council

Options to encourage journeys to be made by bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA3	Develop a cycle route map / smartphone app for Great Yarmouth showing cycling routes and associated infrastructure	The option looks at developing a cycle route map or smartphone app for Great Yarmouth to show users the standard of cycle infrastructure (e.g. shared use (segregated, advisory, on-road cycle lane and on-road). An app could be designed to calculate journey times, distance to local amenities and highlight the different types of cycle routes a user could follow.	Helps a user to plan their cycling routes more effectively. May make users aware of new routes. May reduce journey times if routes can be planned beforehand.	Would have to be updated regularly to include all route upgrades or changes.	Understand whether existing / similar apps are available and offer same functionality. Identify availability of data / additional data requirements. Engage with app developers / graphic designers to understand cost and feasibility of producing app / updated route map.	Norfolk County Council Great Yarmouth Borough Council Cycling Groups / Organisations

Option to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA5	Upgrade existing traffic signal network within Great Yarmouth to coordinate signal times and phasing and improve the flow of traffic	This option involves upgrading and improving the traffic signal network within Great Yarmouth to coordinate signal times and phasing. Improvements could include introduction of Urban Traffic Control (UTC) to coordinate traffic signals across a network, or upgrading existing signal controllers to include MOVA.	Improve connectivity and reliability on the network by improving junction efficiency and capacity. Improve access to goods and services through reduced journey times	Provides junction capacity benefits only, no increase in physical capacity of links	Develop design for an improvement scheme. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council

Option to encourage journeys by public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA6	Work with bus operators to maintain and where possible improve the frequency of rural bus services that serve villages to the north west and south west of Great Yarmouth	Great Yarmouth has an extensive bus network, however away from residential areas in the rural villages surrounding the town, there is limited or no provision. This option looks to work with bus operators to maintain, and where possible, improve the frequency of rural bus services that connect Great Yarmouth with the villages to the north-west and south-west of the town.	Encourage modal shift through improve public transport facilities to rural locations	Dependent upon public transport operators	Engage with bus operators to establish commercial viability of existing services. Identify future Development that could support existing / new services (through Section 106Developer contributions).	Bus Operators Developers

SHORT TERM LOCAL

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL2	Capacity improvement at A143 Beccles Road / Church Lane / Long Lane / Mill Lane signalised junction	The A143 Beccles Road / Church Lane / Long Lane / Mill Lane junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL3	Capacity improvement at A143 Beccles Road / Crab Lane priority junction	The A143 Beccles Road / Crab Lane priority junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include signalling the junction or replacing the existing priority arrangement with a small roundabout.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	Identify capacity improvement options.	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL4	Capacity improvement at A143 Beccles Road / Shrublands Way / A147 slip road signalised junction	The A143 Beccles Road / Church Lane / Long Lane / Mill Lane junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL5	Capacity improvement at A143 Beccles Road / William Adam's Way / Southtown Road signalised junction	The A143 Beccles Road / William Adam's Way / Southtown Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements. A scheme at this junction is incorporated within the Great Yarmouth Third River Crossing scheme.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL6	Capacity improvement at Fuller's Hill /	The Fuller's Hill / Northgate junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity	<p>Improve journey time reliability.</p>	<p>Benefit limited to single junction.</p>	<p>Identify capacity improvement options.</p>	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
	Northgate street signalised junction	improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements. Any scheme would tie in with the recent improvement works at this junction (Scheme SC13).	<p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	Potential to shift the problem to other junctions on the network.	<p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	
SL7	Capacity improvement at Gapton Hall Road / Hewett Road (Gapton Hall Industrial Estate) priority junction	The Gapton Hall Road / Hewett Road (Gapton Hall Industrial Estate) priority junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include upgrading to a signalised crossing or replacing the existing priority arrangement with a small roundabout.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL9	Capacity improvement at Lawn Avenue / Tar Works Road / Caister Road signalised junction	The Lawn Avenue / Tar Works Road / Caister Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve connectivity and reliability on the network by improving junction efficiency and capacity.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify capacity improvement options. Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council
SL10	Capacity improvement at A47 Lowestoft Road / High Street / Church Lane / Baker Street signalised junction	The A47 Lowestoft Road / High Street / Church Lane / Baker Street junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve connectivity and reliability on the network by improving junction efficiency and capacity	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models). Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL11	Highway works to improve operation of the Market Gates / Temple Road / South Market Road signalised junction	The Market Gates / Temple Road / South Market Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. It has been suggested that existing on-street bus stops and taxi ranking contribute to queuing and delays at this junction. The operation of this junction could be improved through a review of on-street bus stops and taxi ranks within the immediate locality of this junction and / or junction capacity improvements (e.g. a review of phasing and timings and / or reallocation of carriageway space within the highway boundary to support the dominant movements).	Improve connectivity and reliability on the network by improving junction efficiency and capacity.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify capacity improvement options. Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council
SL12	Capacity improvement at Priory Plain / St Nicholas Road / Temple Road signalised junction	The Priory Plain / St Nicholas Road / Temple Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve connectivity and reliability on the network by improving junction efficiency and capacity.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify capacity improvement options. Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL13	Provide 'OUT' movement from Lidl and B&M car parks onto A1243 Pasteur Road	This option explores providing an 'OUT' movement for vehicles from Lidl and B&M car parks onto the A1243 Pasteur Road. Currently vehicles can only enter the car parks from Pasteur Road (westbound) and Station Road, but only exit onto Station Road. To re-join the A1243 Pasteur Road users must travel through two signalised junctions. There is a pedestrian crossing along Pasteur Road outside the entrance to B&M, which could be incorporated into a signalised junction to allow vehicles to exit safely onto the A1243.	Reduced congestion onto Station Road. Improve accessibility of Lidl and B&M.	Land ownership issues. Reduced car parking. Potential for "rat running" through car park. Increase traffic congestion on A1243 Pasteur Road.	Develop design for an improvement scheme. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council
SL23	Capacity improvement at Hall Quay / South Quay / Bridge Road signalised junction	The Hall Quay / South Quay / Bridge Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve journey time reliability. Increase junction capacity and improve efficiency.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify improvement options. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).	Norfolk County Council

Options to encourage journeys by public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL16	Improve public transport connectivity of South Denes peninsula / South Denes Enterprise Zone through introduction of new bus services / extension of existing services	This option seeks to improve the public transport connectivity between Great Yarmouth town centre and the South Denes peninsula and South Denes Enterprise Zone. This could be achieved through the introduction of a new bus service, or the extension of an existing service (for example Route 2, which currently connects Great Yarmouth Town Centre to the Barrack Estate).	Encourage modal shift through improve public transport facilities. Improved connectivity of public transport hubs to key employment areas	Unlikely to be run as a commercial service. Likely need for services to be subsidised or externally supported.	Engage with bus operators to establish commercial viability. Identify future development that could support new services (through Section 106Developer contributions). Identify where new bus stop infrastructure may be required to support a new service.	Bus Operators Norfolk County Council Developers
SL22	Improvements to facilities at Beach Coach Station	Currently the coach park is on the outskirts of the town centre, so the purpose of this option is to provide improvements to the facilities at the Beach Coach Station. Improvements could include the introduction of real time passenger information (RTPI), new and improved bus shelters, new and improved waiting facilities, raised kerbs and improved drop off / pick up facilities.	Encourage more coach trips to Great Yarmouth. Encourage mode shift from car to coach.	Increase in coach services likley to be in summer months only.	Audit of existing coach station and NMU access	Norfolk County Council Great Yarmouth Borough Council Coach Operators

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL18	Improve existing pedestrian routes to / from Harfreys Industrial Estate	This option considers improvements to the existing pedestrian route to / from Harfreys Industrial Estate. Improvements could be made to: the foot/ cycle bridge across A47; footpath between Harfreys Road and Burgh Road; and the footpath between Edison Way and Burgh Road (recently delivered). This scheme would help to improve accessibility for pedestrians because they include path widening, replacing styles of barriers, reviewing pedestrian crossing points and cutting back vegetation.	Improve access in and around Harfreys Industrial Estate. Safer walking routes.	Proposed pedestrian routes may not be seen as attractive. Routes may offer no / limited journey time benefit to workers of Harfreys Industrial Estate.	Survey existing pedestrian routes. Establish proposed upgrades (e.g. lighting, surfacing, signage etc.).	Norfolk County Council Great Yarmouth Borough Council
SL21	Review of existing and provision of new or upgraded cycle parking in Great Yarmouth Town Centre, along the seafront and close to large trip attractors in the wider Transport Strategy study area	This option explores assessing the current level of cycle parking and looks at adding new or upgraded parking in the town centre, along the sea front and close to large trip attractors. This would allow cyclists to leave their bikes in secure places and could encourage others to use their bikes more often.	Increase cycle capacity. Encourages use of bicycles, which could help to reduce the need for use a car to go about town.	Requires adequate road / cycleway infrastructure to support an increase in cycle numbers.	Undertake audit of existing cycle parking provision and survey its utilisation. Review survey results to understand need for additional cycle parking provision.	Operators of large trip attractors (e.g. Britannia Pier) Norfolk County Council Great Yarmouth Borough
SL24	Reallocate carriageway space to increase footway provision for pedestrians within Great Yarmouth Town Centre and along seafront where there is a	This option explores a reallocation of carriageway space to increase footway provision for pedestrians within the town centre and along the seafront. These improvements would help to mitigate the high footfall / high number of mobility	Improve safety and amenity for pedestrians. Encourage shorter	May result in reduction in carriageway space for other road users.	Identify non-pedestrianised links with high footfall. Develop design for	Norfolk County Council Great Yarmouth Borough Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
	high footfall / high number of mobility scooter users	scooter users and improve safety in the area.	journeys to be made on foot.		an improvement scheme.	Town Centre Businesses and Residents

1.2 MEDIUM TERM (OPTIONS EXPECTED TO BE DELIVERED BY 2030)

MEDIUM TERM STRATEGIC

Options to reduce delay and congestion on the strategic road network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS1	A47 Acle Straight Dualling	Upgrading the A47 Acle Straight to dual carriageway standard would increase capacity and create a continuous stretch of dual carriageway from Dereham to Great Yarmouth when combined with the other A47 Highways England schemes.	<p>Improve road user safety.</p> <p>Improve journey times and journey time reliability.</p> <p>Create continuous dual carriageway between Dereham and Great Yarmouth.</p>	<p>May create new pinch points on network in Great Yarmouth.</p> <p>Requires consultation and coordination with Highways England.</p>	<p>Engage with Highways England on work undertaken to date.</p> <p>Undertake corridor study exploring possible improvement options along the A47.</p> <p>Work with Highways England to have the scheme allocated in the next Road Investment Strategy.</p>	<p>Norfolk County Council</p> <p>Highways England</p>
MS2	Capacity improvements at A47 Harfreys Roundabout	The stretch of the A47 through northern Great Yarmouth experiences heavy congestion during peak times. Capacity improvements at the A47 Harfreys Roundabout could include signalisation, reallocation of lane space and widening within the highway boundary to support the dominant movements. The A47 Harfreys Roundabout will be one of the main accesses to the Third River Crossing from the west. A scheme at this junction is currently being investigated by Highways England, but is not currently committed.	<p>Increase junction capacity.</p> <p>Reduce traffic congestion.</p> <p>Improve journey time reliability.</p> <p>Improve road user safety.</p>	<p>Benefit restricted to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify improvement options.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).</p>	<p>Norfolk County Council</p> <p>Highways England</p>

Options to reduce delay and congestion on the strategic road network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS3	Investigate the use of land at the rail freight sidings to assist with the optimum configuration of the enlarged Vauxhall Roundabout, the full dualling of the A47 Acle Straight and improved access to Vauxhall Holiday Park.	This option considers investigating the use of land at the rail freight sidings to assist with the optimum configuration of the enlarged Vauxhall Roundabout, the full dualling of the A47 Acle Straight and improved access to Vauxhall Holiday Park. Land-take will help with the re-alignment of the roundabout to improve access for pedestrians, cyclists and other road vehicles.	<p>Improve access to Vauxhall Holiday Park.</p> <p>Potential to help reduce congestion on the A47 Acle Straight and at Vauxhall Roundabout.</p>	Limit or prevent any future use of the rail sidings.	Engage with Highways England about the potential to incorporate the land into any future scheme for the A47 and Acle Straight.	<p>Vauxhall Holiday Park</p> <p>Highways England</p> <p>Network Rail</p> <p>Norfolk County Council</p>
MS4	Capacity improvements at A47 / James Paget University Hospital signalised junction	The A47 / James Paget University Hospital junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Capacity improvements at A47 / James Paget University Hospital signalised junction.	Capacity improvements at A47 / James Paget University Hospital signalised junction.	<p>Identify improvement options.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).</p>	<p>Norfolk County Council</p> <p>Highways England</p>
MS5	Capacity improvements at A47 Lowestoft Road / Brasenose Avenue / Bridge Road signalised junction	The A47 Lowestoft Road / Brasenose Avenue / Bridge Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Increase junction capacity.</p> <p>Reduce traffic congestion.</p> <p>Improve journey time reliability.</p> <p>Improve road user safety.</p>	<p>Benefit restricted to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify improvement options.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).</p>	<p>Norfolk County Council</p> <p>Highways England</p>

Options to encourage journeys to be made by rail						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS6	Work with Network Rail and Greater Anglia to improve Great Yarmouth railway station building	Great Yarmouth Railway Station appears run down and gloomy, giving a poor impression of the town. It also seems remote and is often unmanned for long periods of time. Working with Network Rail and Greater Anglia, this option aims to improve the railway station building and create a sense of arrival to the town. This could include new mixed-use development of the railway station building, public realm improvements and greater presence of railway operator personnel.	Aesthetically pleasing gateway features create a sense of arrival into the town. Encourage modal shift through improve public transport facilities.	Does not provide any direct benefits to transport and different modes of transport.	Work with Great Anglia to establish range of possible short, medium and long-term improvement options for the railway station concourse.	Greater Anglia Norfolk County Council
MS7	Work with Network Rail and Greater Anglia to improve the frequency of train services between Great Yarmouth and Norwich	The current frequency of services between Norwich and Great Yarmouth is approximately one train per hour, with a journey time of 30-35 minutes. Working with Network Rail and Greater Anglia, this option looks to improve the frequency of services between Norwich and Great Yarmouth, subsequently improving connectivity to Norfolk and further afield.	Improved safety in the Transport Strategy study area. Improved connections between Great Yarmouth and Lowestoft.	Only possible if there is enough space, or where it's possible to close one motor vehicle lane. Does not improve connections outside of Great Yarmouth, other than Lowestoft.	Engage with Great Anglia and Network Rail. Seek to understand existing barriers to introduction of more frequent service. Work with Great Anglia and Network Rail to identify ways that rail services between Great Yarmouth and Norwich could be increased.	Greater Anglia Norfolk County Council Great Yarmouth Borough Council

Option to encourage journeys to be made by bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS8	Improve existing and establish new segregated cycle routes between Great Yarmouth and Lowestoft	This option considers improving existing cycle routes around Great Yarmouth and the potential to establish new routes between Great Yarmouth and Lowestoft. Segregated cycle lanes help to allocate space on roads for cycle use only and this could encourage people to switch from using their personal vehicle.	Improved safety in the Transport Strategy study area. Improved connections between Great Yarmouth and Lowestoft.	Only possible if there is enough space, or where it's possible to close one motor vehicle lane. Does not improve connections outside of Great Yarmouth, other than Lowestoft.	Identify shortlist of route options. Understand existing land ownership (including highway boundary extent). Develop design for an improvement scheme based on option proformas.	Norfolk County Council Great Yarmouth Borough Council

MEDIUM TERM AREA WIDE

Options to encourage journeys to be made by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA1	New signed strategic cycle route between Great Yarmouth Town Centre and Gorleston-on-Sea that utilise Great Yarmouth Third River Crossing	This option explores the addition of a new strategic cycle link between Great Yarmouth Town Centre and Gorleston-on-Sea. This route would utilise the new Great Yarmouth Third River Crossing and provide a new route around the town that currently lacks cycle access. This option would also tie-into several existing routes (cycle route 2 to the east of the River Yare and Sustrans Route 517, cycle route 5 and cycle route 6 or existing neighbourhood links along the A143) to make sure that the cycle routes are well connected. Norfolk County Council is currently investigating a possible cycle route scheme on both sides of the River Yare, however this is not a committed scheme.	<p>Cycling in the area becomes more connected and easier to navigate around town.</p> <p>Encourage use of a sustainable method of transport.</p>	Relies on the completion of the GYTRC, any time delays will impact on the when the cycle route can be used.	<p>Work with GYTRC team to ensure proposed layout connects with existing cycle network.</p> <p>Work with GYTRC to introduce cycle route signage at and on approach to the crossing.</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>
MA3	Work with dock less cycle operators to introduce a cycle hire scheme in Great Yarmouth	This option explores using dock-less cycle operators to add a cycle hire scheme to Great Yarmouth, similar to Mobike Norwich. Typically cycle hire schemes require an app to be downloaded onto a smartphone and subscription set up using a credit card. Using an app helps the user to locate a bicycle.	<p>Availability of bicycles encourages use for shorter journeys.</p> <p>Does not require bicycle ownership.</p> <p>Does not require formal cycle parking facilities (e.g. Sheffield Standard).</p>	<p>Parked bicycles could block footways.</p> <p>Commercial viability.</p>	<p>Monitor dockless cycle hire schemes in other towns and cities in the UK.</p> <p>Hold discussions with dockless cycle operators.</p> <p>Explore infrastructure requirements to facilitate dockless hire cycle operators.</p>	<p>Dockless Cycle Hire Operators</p> <p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>

Options to encourage journeys to be made by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA5	Investigate accessibility improvements throughout Great Yarmouth for vulnerable pedestrians.	This option is accessibility improvements throughout Great Yarmouth to improve accessibility for vulnerable users. Improvements could include new formalised crossings, improved street lighting, tactile paving and dropped curbs.	<p>Improves connectivity for vulnerable users.</p> <p>Encourage shorter journeys to be undertaken on foot.</p> <p>Help vulnerable users feel safer and more confident travelling in Great Yarmouth.</p>	May only be small pinch point improvement schemes and may not be able to provide any significant improvement in accessibility.	<p>Hold discussions with local action groups to identify existing issues and opportunities.</p> <p>Undertake audit of the current accessibility of the urban environment to vulnerable users.</p>	<p>Great Yarmouth Borough Council</p> <p>Norfolk County Council</p> <p>Local action groups representing vulnerable users</p>
MA6	Improve sustainable transport connectivity of Holiday Parks in Great Yarmouth.	This option is improvements to the sustainable transport connectivity of Holiday Parks in Great Yarmouth (Haven Seashore Holiday Park, Vauxhall Holiday Park and Cherry Tree Holiday Park). Improvements could include new / upgraded walking and cycling routes and provision for shuttle bus services during the summer months.	<p>Improve safety for residents, visitors and workers travelling to Great Yarmouth's Holiday Parks by active modes of transport.</p> <p>Encourage shorter journeys to be undertaken by non-car modes of transport.</p>	Funding / commercial viability of shuttle bus service.	<p>Hold discussions with representatives of the Great Yarmouth Holiday Parks to understand existing travel patterns of residents, visitors and workers.</p> <p>Undertake audit of existing pedestrian and cycle routes to / from Great Yarmouth Holiday Parks.</p> <p>Develop improvement schemes / new pedestrian and cycle routes.</p>	<p>Great Yarmouth Borough Council</p> <p>Norfolk County Council</p> <p>Great Yarmouth Holiday Parks</p>

Option to encourage travel by smarter choices						
Ref	Option	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA2	Support and encourage non-residential developments to produce a travel plan	This option explores using a travel plan (e.g. workplace or school travel plan), that aims to encourage behaviour change which will lead to the use of more sustainable modes of travel. Where practical and feasible this should include a commitment to providing facilities for cyclists (e.g. changing areas, showers etc.), increasing walking, encouraging use of public transport and providing information on liftshare opportunities.	<p>Reducing peak time congestion.</p> <p>Reducing harmful transport emissions and energy use.</p> <p>Improving accessibility.</p> <p>Reduced cost of travel.</p>	<p>A reduction in car travel may not be possible for all people, such as a salesperson.</p> <p>The developments may not have the appropriate infrastructure to support a modal shift.</p>	<p>Review existing delivery of Travel Planning in the Transport Strategy Study Area.</p> <p>Look to understand proportion of non-residential Development that currently have a Travel Plan.</p> <p>Review success of existing Travel Plans.</p> <p>Identify particular areas / type of businesses to target as a part of a pilot study.</p> <p>Develop strategy (including marketing materials, presentations, guidance documents and templates) to help non-residential Developments produced their own Travel Plan.</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>

Option to better manage parking						
Ref	Option	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA4	Develop a parking strategy for Great Yarmouth. This should include a review of visitor / residential demand and a review and re-assessment of on-street parking in the Controlled Parking Enforcement (CPE) area, particularly the use of residential permit zones in order to protect the quality of life of residents.	This option explores how Great Yarmouth Borough Council would develop a parking strategy to assess visitor / residential demand in the town, to ensure that there are adequate spaces for all. There will then be a review of the controlled on-street parking – which could include the decision to limit the amount of spaces and open up the public realm.	<p>Help better manage car parking during peak periods (summer months).</p> <p>Help ensure availability of car parking for residents of Great Yarmouth.</p>	<p>Potential for new car parking charges to be introduced.</p> <p>Potential for removal of uncontrolled on-street parking in central locations.</p>	<p>Car Parking Utilisation Survey during summer months</p> <p>Survey of existing residents to understand issues / receptibility to introduction of permits</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>

MEDIUM TERM LOCAL

Option to reduce delay and congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML1	New link road between Thamesfield Way and Suffolk Road	This option looks to provide a new link road between Thamesfield Way and Suffolk Road to provide an additional access into the Southtown area and to relieve Southtown Road of congestion.	<p>Relieve congestion on Southtown Road and Pasteur Road.</p> <p>Provide an additional access into the Southtown area.</p>	<p>Land will need to be acquired in order to build the scheme.</p> <p>May lead to “rat running” by non-local traffic.</p>	<p>Establish land ownership.</p> <p>Develop option.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	<p>Local land owners, residents and businesses</p> <p>Norfolk County Council</p>

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML2	Package of Cycle Improvements along A143 Beccles Road	<p>This option is the delivery of a range of cycle infrastructure improvements along the A143 Beccles Road, including:</p> <p>Widening the existing shared-use route on the A143 Beccles Road between Burnet Road and New Road. This could lead onto the opportunity for a new segregated route;</p> <p>Adding a new cycle route along the A143 Beccles Road between Primrose Way and Beccles Road / Burgh Road Roundabout. Cycle crossing facilities could also be considered to make the route much more accessible and quicker for users;</p> <p>Developing the existing neighbourhood cycle routes between Bussey's Loke and Crab Lane to improve the east-west cycle connectivity (scheme currently being progressed by Norfolk County Council); and</p> <p>Exploring how the existing neighbourhood cycle route between Burnet Road and Sun Lane can used to improve east-west cycle connectivity. The developments would include improvements to crossing facilities for cyclists at A143 / Sun Lane priority junction.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users.	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML3	Package of Cycle Infrastructure Improvements in Gorleston-on-Sea	<p>This option is the delivery of a range of cycle infrastructure improvements in Gorleston-on-Sea, including:</p> <p>Adding new or improving crossing facilities for pedestrians and cyclists along the A47 Lowestoft Road. Safer crossings could be added at major junctions to make it easier to cross the road; and</p> <p>Consideration of a new north-south cycle route along the B1370. A scheme could build upon the existing cycle route along Lowestoft Road.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML4	Package of Cycle Infrastructure Improvements in Great Yarmouth Town Centre	<p>This option is a range of cycle infrastructure improvements in Great Yarmouth Town Centre, including:</p> <p>Consideration of a new cycle route between The Conge and Regent Street to improve north-south connectivity. Initial improvements have been made to the Conge and it has been noted that there is a missing link between The Conge and The Minster. Cycle links between The Conge and the town centre could be improved either along Hall Quay and Georges Street, along Howard Street South or a north-south link across the edge of the Market Place from King Street to The Conge;</p> <p>Exploration of a new north-south cycle route between Fuller's Hill roundabout, The Conge and The Minster. The improvements to the roundabout would allow users to cross safely and could build upon the existing pathway around the roundabout; and</p> <p>Consideration of a new east-west cycle route between the town centre, Hall Quay and the Seafront. A contraflow cycle lane exists along most of the Transport Strategy study area, however there are some sections that could be improved. These improvements could be made to: junctions of King Street (both with Regent Road and with Regent Street), pedestrian crossings and eastern and western tie-in points to the network.</p> <p>All of these links are currently being investigated by Norfolk County Council, however none of these are committed schemes.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council
ML5	Improve east west pedestrian and cycle connectivity between	<p>This option considers cycle improvements and bus stop locations along the New Acle Road, as well as cycle tie-in points on the eastern side of the bridge to Fuller's Hill roundabout and Tar Works Road. Improvements to these areas would encourage modal shift for users that visit the Vauxhall Holiday Park. Part of this scheme is currently being delivered between Vauxhall Roundabout and Acle New Road</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
	Vauxhall Holiday Park, residential areas to the west of the River Yare and Fullers Hill Roundabout	Bridge. The section at Vauxhall Roundabout will need to be delivered by Highways England and is not currently a committed scheme.				
ML6	Improve facilities for pedestrians and cyclists between Caister-on-Sea and Great Yarmouth Town Centre	This option considers improvements to facilities for pedestrians and cyclists between Caister-on-Sea and Great Yarmouth Town Centre. These improvements would allow for improved accessibility and improved journey times for users. There are currently shared use and segregated access for cyclists and pedestrians into Caister-on-Sea, but these could be improved so that the cycle lanes are segregated from the main road more frequently. A number of possible improvements are being investigated by Norfolk County Council, however none of these are committed schemes.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council
ML7	New on-road cycle facilities along South Quay / Southgates Road, to tie-up with Great Yarmouth Third River Crossing	This option considers measures to add new on-road cycle facilities along the South Denes Peninsula. The new measures would link up with the Great Yarmouth Third River Crossing, so that there is cycle access across the town. The on-road cycle facilities can include; cycle lanes, controlled crossings, advisory routes and traffic calming etc. A number of possible improvements are being investigated by Norfolk County Council, however none of these are committed schemes.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML8	Package of Cycle Infrastructure Improvements in North Quay	<p>This option is a range of cycle infrastructure improvements in the North Quay area, including:</p> <p>Improvements to the east-west cycling connectivity between Lawn Avenue and North Drive. Salisbury Road could provide a connecting route, but due to cars parking on both sides of the road, it may be difficult to fit in a cycle lane. Barnard Avenue (with a link to the A149 Caister Road) could provide a suitable platform, but the current road will need to be reduced to fit in the cycle lanes; and</p> <p>Improvements to the east-west route along Fuller's Hill and St Nicholas Road for use by pedestrians and cyclists. Existing highway boundary could be used to accommodate a new cycle lane and make it safer to cross the busy junctions.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML9	Package of Cycle Infrastructure Improvements in Southtown	<p>This option is a range of cycle infrastructure improvements in the Southtown area, including:</p> <p>Exploring improving cycle route and crossing facilities along Southtown Road. Particularly between the signalised and priority junctions;</p> <p>Exploring the measures that could be employed to improve cycling connectivity between Suffolk Road and Southtown Road. Improvements could involve adding dedicated cycle lanes on the road or on the pedestrian walkway.</p> <p>Consideration of the opportunities to improve cycling connectivity across William Adam's Way;</p> <p>Provision of a cycle bridge at Gapton Hall roundabout or a segregated cycleway running alongside the A47 that connects with the overbridge north of Harfreys Roundabout;</p> <p>Improvements to the 1.5km route along Riverside Road for cyclists between Pier Walk and Williamson's Lookout (this has recently been delivered).</p> <p>Improvements to the pedestrian and cycling crossings at the B1370 / Church Lane roundabout. There are currently three uncontrolled crossings outside of East Norfolk Sixth Form College, however, due to how busy this road is, especially when the college opens and closes, a controlled crossing may be more beneficial.</p> <p>All of these improvements are currently being investigated by Norfolk County Council, however none of these are committed schemes.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML11	Reallocation of carriageway space to provide cycle route across Haven Bridge between Mill Road and Hall Quay.	This option considers the reallocation of carriageway space to provide for cycle route access across Haven Bridge between Mill Road and Hall Quay. This would allow for faster journeys for cyclists and safer journeys if the cycle route is segregated. This option would be implemented after the construction of the GYTRC and the traffic impacts of the scheme are known.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users. Potential to increase congestion on approach to Haven Bridge.	Develop design for an improvement scheme based on option proformas.	Norfolk County Council Great Yarmouth Borough Council

Option to encourage journeys by public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML10	Introduction of new regular shuttle bus service	This option looks to introduce a new shuttle bus service at regular intervals between Great Yarmouth railway station and Great Yarmouth town centre with a possibility to extend the shuttle bus service to include key employment sites to the south of Great Yarmouth including: James Paget University Hospital, Beacon Park Enterprise Zone and South Denes Enterprise Zone.	Increase capacity of public transport network. Provide new direct public transport connection between rail station and major employment sites.	Unlikely to be run as a commercial service. Likely need for services to be subsidised or externally supported	Engage with bus operators to establish commercial viability. Identify future Development that could support new services (through Section 106Developer contributions). Identify where new bus stop infrastructure may be required to support a new service.	Bus Operators Norfolk County Council Great Yarmouth Borough Council

1.3 LONG TERM (OPTIONS EXPECTED TO BE DELIVERED AFTER 2030)

LONG TERM STRATEGIC

Options to encourage journeys by bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
LS1	Comprehensively join up and fill in the gaps in Great Yarmouth's cycling network to create a coherent network that allows uninterrupted journeys across the town by bicycle	This option is to comprehensively join up and fill in the gaps on Great Yarmouth's cycling network. This would allow the town to create a coherent network that enables uninterrupted journeys by bicycle. Norfolk County Council are currently investigating / working on a number of schemes in Great Yarmouth to help deliver this option.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Identification of gaps in cycle network. Packaging of cycle schemes that address gaps in the network.	Norfolk County Council Great Yarmouth Borough Council

LONG TERM LOCAL

Option to better manage traffic on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
LL14	Review and reconsider the arrangement of the town centre one-way system and gyratory to improve traffic flow	This option looks to review and reconsider the arrangement of the one-way system and gyratory in order to improve traffic flow throughout the town centre. This could include generic directional traffic management schemes such as changing two-way sections of road altered to one-way only sections and vice versa. This could be achieved through the reallocation of the carriageway within the highway boundary and could accommodate provision for other modes of transport.	Improve traffic flow by reconsidering the one-way system and gyratory. Improve connectivity and reliability on the network by improving efficiency and capacity.	Increase rat-running if drivers have knowledge of the local road network. Shifting traffic onto other areas of the local road network.	Identify improvement options. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council Great Yarmouth Borough Council Town Centre Residents, & Businesses

GREAT YARMOUTH TRANSPORT STRATEGY

DRAFT FOR CONSULTATION





Norfolk County Council

GREAT YARMOUTH TRANSPORT STRATEGY – DRAFT FOR CONSULTATION

TRANSPORT STRATEGY (VERSION 4) DRAFT

PROJECT NO. 70043850

DATE: AUGUST 2019

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EXECUTIVE SUMMARY

Great Yarmouth is one of the UK's most popular seaside destinations and the principle retail, service and employment centre within the borough. The economy of Great Yarmouth has historically been built on fishing and tourism; however, in recent decades it has grown to serve and support offshore natural gas industries, and more recently, offshore wind power. Despite this growth, parts of Great Yarmouth contain some of the most deprived neighbourhoods in the UK¹; with higher levels of unemployment than the average for both the East of England and Great Britain².

To support continuing economic development and the needs of residents, the adopted Local Plan Core Strategy identifies a need to deliver 7,140 dwellings within the Borough of Great Yarmouth over the course of the plan period (2013 to 2030)³. The majority of the planned growth is focused in the borough's main towns of Great Yarmouth and Gorleston-on-Sea, and the key service centres of Bradwell and Caister-on-Sea.

Transport improvements are fundamental to achieving sustainable housing and economic growth in Great Yarmouth, tackling inequality, improving health and supporting regeneration. Improving walking, cycling and public transport will enable existing and future residents, visitors and employees to choose cleaner and healthier ways to travel. A Transport Strategy is therefore required to enhance the existing transport networks to support existing and new communities.

This document sets out the transport vision for Great Yarmouth, highlighting the challenges and opportunities along with the transport infrastructure that needs to be delivered within the short and medium-term to enable growth to come forward sustainably as well as supporting the existing local communities.

The transport infrastructure presented in this strategy has been sifted from an initial long-list of options which have been subject to stakeholder engagement, appraisal and prioritised using a bespoke Strategic Assessment tool and the Department for Transport's (DfT) Early Assessment and Sifting Tool (EAST), which compares the Strategic, Economic, Managerial, Financial and Commercial case for each transport option. An Action Plan has then been produced to take forward the identified options along with a series of recommended next steps.

¹ Ministry of Housing, Communities and Local Government Indices of Multiple Deprivation 2015

² Office for National Statistics Annual Population Survey 2017

³ Great Yarmouth Borough Council is currently consulting on a lower housing target which considers the Government's latest policy and guidance on this matter. There is a possibility that the Council's housing target may be revised down to 5,139 dwellings for the same plan period at the point of adoption of the Local Plan Part 2

1 TRANSPORT STRATEGY CONTEXT

1.1 INTRODUCTION



Great Yarmouth. Photograph: Mike Page.

- 1.1.1. This Transport Strategy sets out the vision, objectives and short, medium and long-term transport infrastructure required to support existing and new communities in Great Yarmouth.

Vision: To support sustainable economic growth in Great Yarmouth by facilitating journey reliability and travel mode choice for all, whilst contributing to improved air quality and safety.

- 1.1.2. The Transport Strategy focuses on the main urban area of Great Yarmouth, Gorleston-on-Sea, Bradwell and Caister-on-Sea, but recognises the importance of the local rural communities and the wider Norfolk sub-region.
- 1.1.3. The development of this Transport Strategy was led by WSP and has been produced through engagement with a wide range of stakeholders, including Great Yarmouth Borough Council and Norfolk County Council.
- 1.1.4. This Transport Strategy has been developed to support the vision, strategic objectives and planned growth set out in the Great Yarmouth Local Plan (2013 to 2030) and the vision and objectives of the Great Yarmouth Town Centre Regeneration Framework & Masterplan and Norfolk's Local Transport Plan for 2026.
- 1.1.5. This Transport Strategy shares a common set of transport policy objectives including:
- Reducing the impact on the environment
 - Promoting sustainable developments / growth
 - Maintaining and improving Great Yarmouth's infrastructure
 - Promoting accessibility improvements at a local and strategic level
 - Promoting a reduction in car use
 - Promoting road safety
- 1.1.6. This Transport Strategy builds on the work undertaken by Norfolk County Council, Great Yarmouth Borough Council and New Anglia Local Enterprise Partnership to support economic growth within the town.

The main transport infrastructure and regeneration schemes currently being progressed include:

- *The Great Yarmouth Third River Crossing*
- *Growth Fund Congestion Relief Schemes*
- *Growth Fund Sustainable Transport Schemes*
- *Great Yarmouth Town Centre Masterplan*
- *Regeneration of underutilised land particularly in South Denes*

In summary, there is the opportunity for transport infrastructure solutions to:

- *encourage economic growth and regeneration by improving access to labour markets*
- *promote social inclusion by providing improved access to jobs and services*
- *help residents, workers and visitors have more active lifestyles through improvements to walking and cycling infrastructure*
- *reduce the emission of harmful air pollutants*

1.2 THE OPPORTUNITIES

- 1.2.1. As the principal service centre in the Borough, good transport connectivity is fundamental to sustainable housing and economic growth and the future success of the town.
- 1.2.2. Enhancing local and strategic transport connections to and within Great Yarmouth are critical to supporting the development of the port industries (including offshore natural gas and wind power), facilitating tourism and enabling sustainable housing and economic growth.
- 1.2.3. Improvements to local and strategic transport networks can help address social exclusion, by providing all residents of Great Yarmouth with access to jobs, education and leisure opportunities.
- 1.2.4. The compact nature of the town means that sustainable transport options have the potential to provide attractive alternatives to the use of a private car for shorter journeys. In turn helping residents, workers and visitors have more active lifestyles and reduce the emission of harmful air pollutants.

Characteristics of a good transport network that support sustainable growth are:

- *connecting people with jobs*
- *connecting businesses with their local, regional and global markets*
- *reducing social exclusion by providing access to everyday services, education and leisure opportunities*
- *providing attractive alternatives to the use of the car*
- *encouraging the use of sustainable modes of transport for shorter journeys*
- *limiting the emission of harmful air pollutants*

1.3 THE CHALLENGES

1.3.1. There are a number of challenges that impede the deliverability of transport infrastructure solutions in Great Yarmouth, and in turn, the deliverability of sustainable housing and economic growth in the town. These challenges are associated with both physical constraints and socio-economic conditions within the town.

1.3.2. The main challenges are:

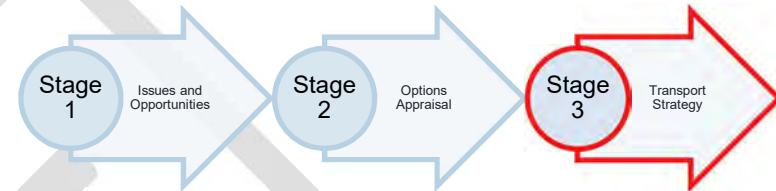
- the perceived remoteness of Great Yarmouth because of its coastal location and rural surroundings
- severance of Great Yarmouth and Gorleston-on-Sea by the River Yare
- high reliance upon the car for commuting outside the main urban area of Great Yarmouth and Gorleston-on-Sea⁴
- high levels of social and economic deprivation⁵
- a borough unemployment rate that is higher than the average for the East of England⁶
- education attainment rates of residents that are lower than the average for the East of England⁷
- lower than national average life expectancies of residents⁸
- a local workforce that lacks the skills and education to fill jobs in the off-shore growth sectors

⁴ 2011 Census Car or Van Driver Mode Share – Usual Residents Journey to Work

⁵ Ministry of Housing, Communities and Local Government Indices of Multiple Deprivation 2015

1.4 STUDY STAGES

1.4.1. The Transport Strategy is the final part of a suite of reports covering the three stages of the Study. A summary of the two previous stages of the Study is provided below:



- **Stage 1** of the Study was the production of an issues and opportunities report. This set out the existing transport situation in Great Yarmouth and served as an evidence base for the development of a long list of options for appraisal
- **Stage 2** of the Study was an options appraisal report. This was the appraisal of the long list of options using a three-step process, as outlined in **Section 5** of this Transport Strategy

1.4.2. The appraisal identified a shortlist of 56 non-committed transport infrastructure solution schemes for inclusion within this Transport Strategy (**Stage 3**).

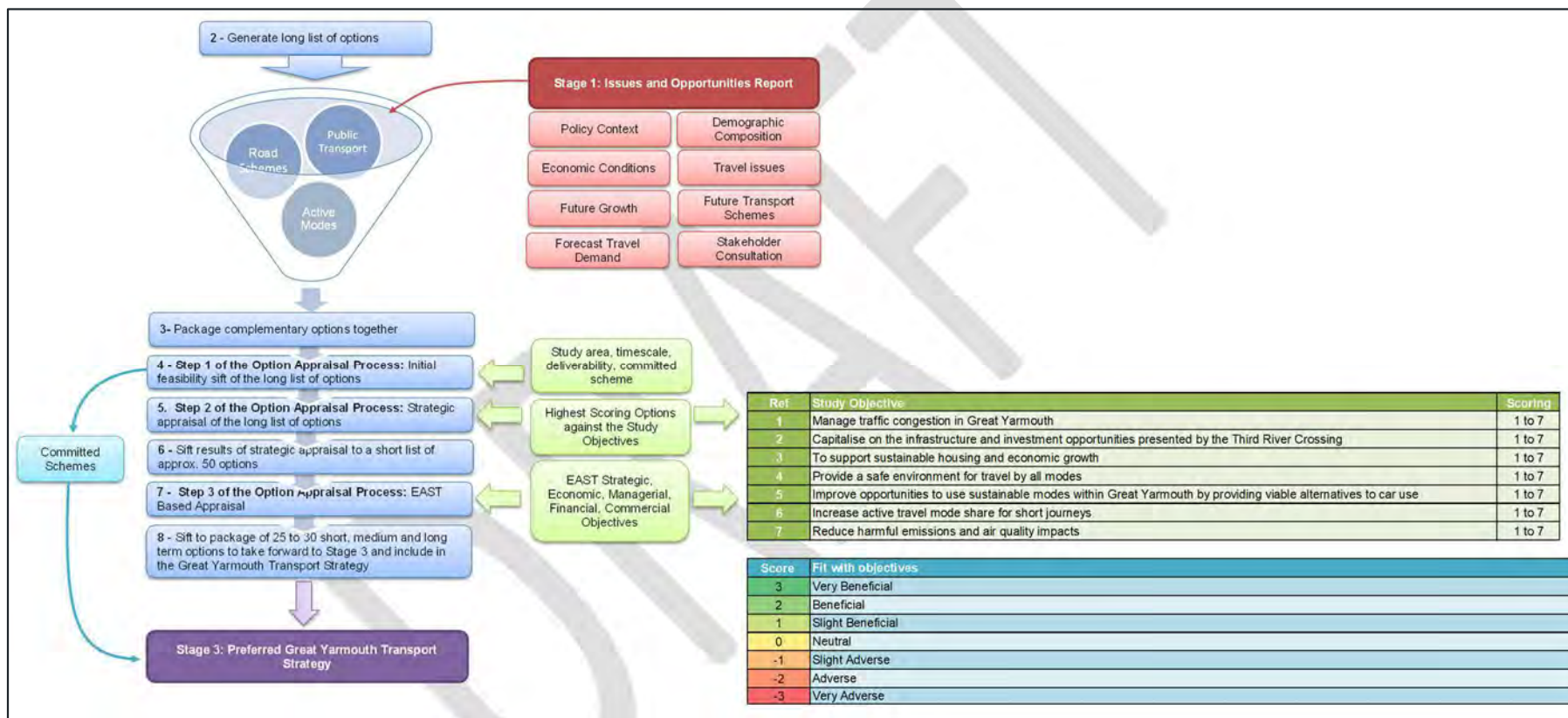
⁶ Office for National Statistics Annual Population Survey 2017

⁷ 2011 Census Qualifications Gained

⁸ Office for National Statistics National Life Tables

1.4.3. Any option identified as “committed” – a scheme with funding and a clear delivery timetable – has been taken forward for direct inclusion in this Transport Strategy and is summarised in **Section 4**.

1.4.4. The diagram below summarises the Study Stages and options appraisal process:



1.5 TRANSPORT STRATEGY PURPOSE

- 1.5.1. The purpose of this Transport Strategy is to support regeneration and to help unlock the significant potential of Great Yarmouth.
- 1.5.2. It sets out a focus and direction for addressing transport issues and opportunities in the town by understanding the transport barriers to sustainable housing and economic growth and identifying the short, medium and long-term infrastructure requirements to address these barriers.
- 1.5.3. The Transport Strategy concludes by setting out a high-level Action Plan to deliver improved transport infrastructure that addresses existing transport barriers and supports sustainable housing and economic growth.



Haven Bridge and Hall Quay

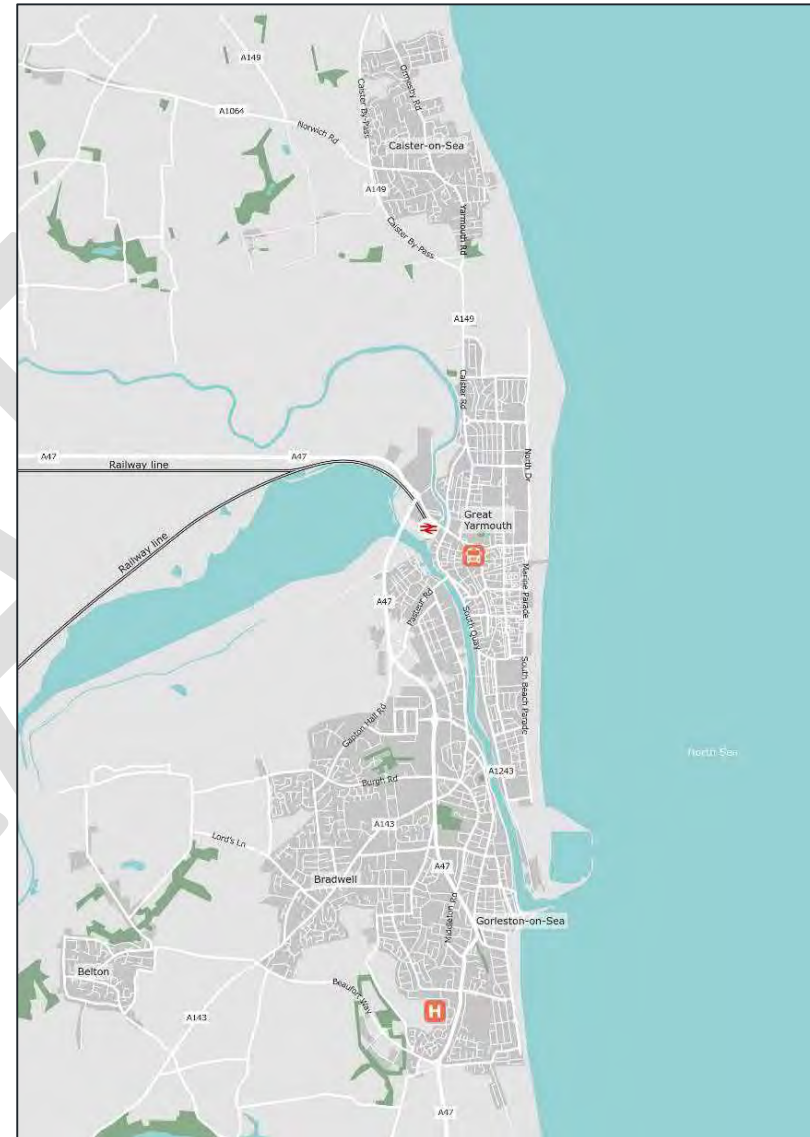
2 SPATIAL SCOPE & OBJECTIVES

2.1 SPATIAL SCOPE

- 2.1.1. The study area for the Transport Strategy is the main urban area of Great Yarmouth, Gorleston-on-Sea, Bradwell and Caister-on-Sea.
- 2.1.2. Whilst the focus for the Transport Strategy is the main urban area of Great Yarmouth, consideration has been given to the wider local and strategic transport network that connects Great Yarmouth with surrounding settlements. This includes consideration of Great Yarmouth's bus and rail service catchment areas and the A47, A143 and A149 corridors.

2.2 OBJECTIVES

- 2.2.1. The objectives of this Transport Strategy are to:
- Manage traffic congestion in Great Yarmouth
 - Capitalise on the infrastructure and investment opportunities presented by the Great Yarmouth Third River Crossing
 - Support sustainable housing and economic growth
 - Provide a safe environment for travel by all modes
 - Improve opportunities to use sustainable modes within Great Yarmouth by providing viable alternatives to car use
 - Increase active travel mode share for short journeys
 - Reduce harmful emissions and air quality impacts



Transport Strategy Study Area

3 TRANSPORT ISSUES

3.1 GREAT YARMOUTH AS A PLACE TO LIVE AND WORK

- 3.1.1. This section sets out the case for short, medium and long-term transport infrastructure interventions based on the existing transport issues in Great Yarmouth.

SUB-REGIONAL ACCESSIBILITY

- 3.1.2. Great Yarmouth is situated on the east coast of Norfolk, within the rural surroundings of the Norfolk Broads, approximately 35km (21 miles) west of Norwich and 17km (11 miles) north of Lowestoft.
- 3.1.3. The main strategic connections to the town by car and rail are the A47 (towards Norwich and Lowestoft) and the Great Yarmouth to Norwich section of the Wherry Line respectively.
- 3.1.4. Norwich is the primary service centre in Norfolk and is a major centre for housing and job growth. The centre of Norwich is accessible from Great Yarmouth Town Centre within a 40-minute drive via the A47 or 50-minutes by public transport.
- 3.1.5. To the south, Lowestoft, also has a strong synergy with Great Yarmouth, with both towns being recognised as national Centres for Offshore Renewable Engineering. Lowestoft is accessible within a 20 to 25-minute drive via the A47 or 40 to 50-minutes by public transport.

A47

- 3.1.6. The A47 forms part of the Strategic Road Network managed by Highways England. The road connects Peterborough to Lowestoft via Norwich and Great Yarmouth.



A47 Acle Straight

- 3.1.7. Between Norwich and Acle, the road is principally dual carriageway; however, between Acle and the Vauxhall Roundabout to the north-west of Great Yarmouth, the A47 is single carriageway.

- 3.1.8. At peak periods varying levels of delay and congestion occur along the Acle Straight, this is largely attributable to delays at the Vauxhall Roundabout, but also because of the numerous minor access roads that connect with the A47 along this link.
- 3.1.9. The strategic importance of this link and single carriageway nature of the route means that a minor accident, most typically rear end shunts, can lead to significant disruption. This gives rise to unreliable journey times with the route often being closed for hours at a time when incidents occur that block the road.
- 3.1.10. In 2017, to address safety issues along the A47 Acle Straight, Highways England implemented a package of safety improvement measures. This consisted of improvements to signage and road markings, installation of hazard posts and kerb re-alignment.
- 3.1.11. Whilst there are a number of committed improvement schemes for A47 junctions in the centre of Great Yarmouth, Highways England have no further improvement schemes planned for the A47 Acle Straight.
- 3.1.12. Stakeholders continue to lobby for improvements to the A47 Acle Straight, with the A47 Alliance identifying the dualling of this link as their top priority for inclusion in Highways England's Road Investment Strategy 2 (RIS2) which covers the period 2020 to 2025.

- *high levels of congestion and delay occur at peak periods along A47, particularly along the Acle Straight and on approach to the Vauxhall Roundabout*
- *the A47 Acle Straight is single carriageway. As a result, minor accidents can lead to significant disruption*
- *Highways England have committed improvement schemes for Vauxhall and Garton Hall Roundabouts, but there are currently no improvement schemes for the A47 Acle Straight*

Accessibility: the A47

- *the A47 is the sole strategic road network connection to Great Yarmouth*

Rail Services

- 3.1.13. Great Yarmouth Station is one of three terminuses on the Wherry Line⁹. The station is situated approximately 600m (0.4 miles) from the town centre, or a 5-10-minute walk via Vauxhall Bridge.



Great Yarmouth Railway Station

- 3.1.14. Currently, the absence of a regular bus service serving the station, limits the potential for users to interchange between bus and rail, or make use of integrated ticketing such as 'PLUSBUS'. Greater Anglia operate a "Bike & Go" cycle hire from the station; however, the uptake of this service is understood to be low.



Recently improved bus stop and bus shelter at Great Yarmouth Railway Station

⁹ Lowestoft and Norwich are the other terminuses on the Wherry Line.

- 3.1.15. Outside of the peak hours an hourly service operates between Great Yarmouth and Norwich with the majority of these services operating via the Acle branch of the line. The high cost and low frequency of rail services between Great Yarmouth and Norwich, means that there is strong competition with the X1 and X11 express bus services.



Great Yarmouth Railway Station © Copyright Ed Webster and licensed for reuse under this Creative Commons Licence:
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Rail:

- Anytime Day Return is £10.90
- journey time between Great Yarmouth and Norwich is 45 minutes
- typically, one service per hour off-peak

Bus:

- Explorer Zone Adult First Day is £7.00

- journey time between Great Yarmouth and Norwich is typically 40 to 45 minutes
 - X1 and X11 operate up to every 15 minutes
- Prices correct as of May 2019

- 3.1.16. The main station building in Great Yarmouth serves as a poor gateway feature to the town. The building does not reflect the current aspirations of the town as a thriving seaside town or global centre for off-shore energy. Furthermore, the restricted operating hours of the main station building means that the limited facilities available at the station are unavailable to most commuters¹⁰.



Great Yarmouth Main Station Building

¹⁰ Works to improve the railway station forecourt were completed in September 2018. However, this work did not include improvements to the main station building

- 3.1.17. The line is reliant upon Victorian signalling infrastructure and uses old rolling stock. This infrastructure is less reliable than new technologies and restricts the potential to provide faster and more reliable journeys¹¹.

Accessibility: Rail

- *limited potential to interchange between rail and local bus services*
- *low usage of “Bike & Go” cycle hire scheme*
- *rail services compete with express bus services. Rail services between Great Yarmouth and Norwich are less frequent and more expensive than the X1 and X11 express bus services*
- *Victorian railway infrastructure and older rolling stock is less reliable than newer technologies*
- *the existing station building is a poor gateway feature to the town*
- *commuters are poorly served by the limited facilities and restrictive operating hours of the station building*

UNDERSTANDING THE LOCAL ECONOMY



Great Yarmouth Seafront

- 3.1.18. The economy of Great Yarmouth has historically been built on fishing and tourism; however, in recent decades it has grown to service and support offshore natural gas industries and more recently offshore wind power. This has been supported by a new Great Yarmouth and Lowestoft Enterprise Zone, with locations at South Denes Peninsula and Beacon Park.

¹¹ The signalling infrastructure of the Wherry Line is currently being upgraded by Network Rail as a part of their railway upgrade plan. Greater Anglia are currently in the process of delivering new rolling stock across the Greater Anglia Region. Further details are provided in Chapter 4 of this Transport Strategy

3.1.19. To support sustainable housing and economic growth, it is important that high quality sustainable transport links are provided between main residential areas and major employment destinations.

3.1.20. In Great Yarmouth the major employment destinations are:

- **James Paget University Hospital**
serves a population of 230,000 residents and employs more than 3,000 staff
- **Harfreys Industrial Estate**
a mixture of industrial and commercial units
- **Great Yarmouth Town Centre**
a variety of independent and chain restaurants, retail stores and cafes
- **Gorleston-on-Sea High Street**
variety of independent and chain restaurants, retail stores and cafes. The area is also surrounded by a number of light industrial and commercial units
- **South Denes Peninsula**
characterised by large offshore energy, port and logistic industries in addition to a number of smaller and medium sized industries. It also forms part of the Great Yarmouth and Lowestoft Enterprise Zone
- **Beacon Park**
25 acres of mixed office, industrial and leisure development. Established in 2012 it forms part of the Great Yarmouth and Lowestoft Enterprise Zone



Beacon Park. Photograph: Mike Page.

The main economic drivers in Great Yarmouth are:

- *energy and engineering*
- *electronics*
- *offshore gas exploration*
- *service and supply*
- *hydrographic survey*
- *geoscience*
- *engineering*
- *logistics*
- *port and logistics*
- *deep water harbour*

UNDERSTANDING THE PEOPLE WHO LIVE IN THE BOROUGH



Market Place

- 3.1.21. Great Yarmouth borough is home to a population of approximately 99,150, of which about 68,500 live within the study area of this Transport Strategy (Great Yarmouth, Gorleston-on-Sea, Bradwell and Caister-on-Sea)¹².

- 3.1.22. In recent years, population growth in Great Yarmouth has been lower than the average for Norfolk, the East of England and England as a whole. Between 2012 and 2016, the population of the borough grew by 1.6% compared to an average of 3.8% for the East of England.
- 3.1.23. Use of mobility scooters within the town is high and likely to be associated with the high proportion of elderly residents¹³. Despite the average age of residents of the Transport Strategy study area being lower than the average for the borough, 21% of residents are aged over 65.
- 3.1.24. Even with the growth associated with the off-shore energy sector in recent years, Great Yarmouth remains home to some of the most deprived neighbourhoods in England¹⁴, suggesting that much of the economic growth associated with these industries has not filtered down to residents.
- 3.1.25. Within the Transport Strategy Study area, the highest levels of social and economic deprivation have been recorded within the main urban area of Great Yarmouth, Gorleston-on-Sea and Bradwell.

¹² Office for National Statistics 2016 Mid-Year Population Estimates

¹³ High use of mobility scooters and potential conflict with pedestrians reported by Members of Great Yarmouth Borough Council at a Stakeholder Consultation Event

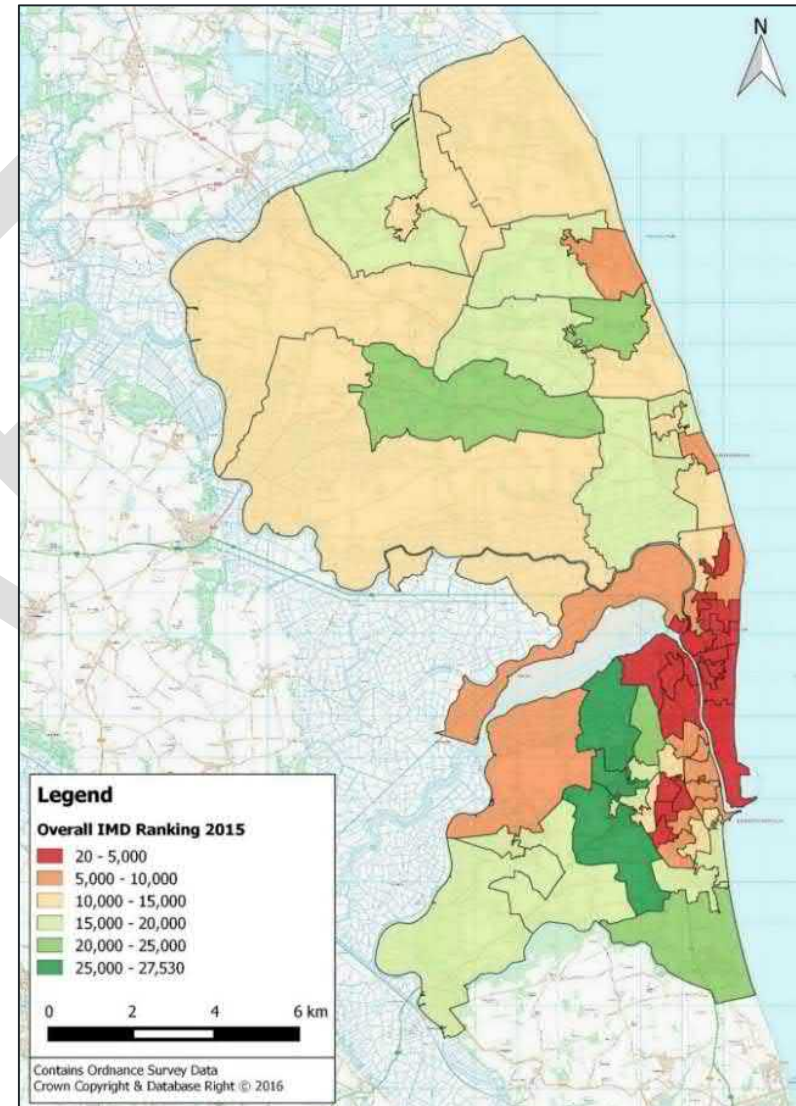
¹⁴ Great Yarmouth borough has the highest concentration of neighbourhoods within the most deprived 10% of neighbourhoods nationally. The Index of Multiple Deprivation considers seven domains of deprivation: income, employment, education, health, crime, barriers to housing and services, and living environment. (Ministry of Housing, Communities and Local Government Indices of Multiple Deprivation 2015)



Mobility Scooters at Hall Quay

The people of the borough:

- most of the population of Great Yarmouth borough lives within the settlements of Great Yarmouth, Gorleston-on-Sea, Bradwell and Caister-on-Sea
- a significant proportion of residents are aged 65+ and is likely to be correlated with the high use of mobility scooters within the town
- neighbourhoods in Great Yarmouth are some of the most socially and economically deprived in England



2015 Indices of Multiple Deprivation

3.2 ROLE OF GREAT YARMOUTH WITHIN THE WIDER REGIONAL ECONOMY



Great Yarmouth Outer Harbour: Photograph: Mike Page

3.2.1. The town has a local economy dominated by tourism, energy and engineering, and port and logistics which plays a pivotal role in supporting the wider regional economy of Norfolk:

- It is one of the global leaders in the off-shore energy sector
- It is the largest sea-side resort in Norfolk
- The Great Yarmouth and Lowestoft Enterprise Zone has already led to significant investment and business growth in the East Anglia region and has potential to encourage further growth



Great Yarmouth Outer Harbour



Wind Turbine on Great Yarmouth Outer Harbour

- 3.2.2. The town is a global centre for the off-shore energy sector. For over 50-years it has been the main operations and maintenance base for gas extraction in the southern North Sea. Today, it is at the forefront of the delivery of off-shore renewable energy with the world's largest wind farm, East Anglia ONE, being built from Great Yarmouth. This is part of a £39 billion energy investment over the next 20-years¹⁵.
- 3.2.3. Whilst some of the jobs in off-shore energy are the highest paying in Norfolk, many local residents earn less than the regional and national averages, suggesting many workers of these higher skilled jobs live outside the Borough.
- 3.2.4. Great Yarmouth is Norfolk's largest sea-side resort, an industry estimated to be worth more than £600 million each year¹⁵. The town is a gateway to the Norfolk Broads and a highly attractive destination for day trippers visiting from other parts of the county and further afield.



Great Yarmouth Seafront

- 3.2.5. Despite new job opportunities emerging in the offshore-energy sector unemployment rates in the borough of Great Yarmouth remain higher than the average for the East of England and Great Britain¹⁶. Whilst the tourism industry provides a large number of jobs for local residents, this work can be seasonal, with data showing an increase in Jobseeker Allowance and Universal Credit Claimants during the winter months¹⁷.
- 3.2.6. In 2012, the New Anglia Local Enterprise Partnership established the Great Yarmouth and Lowestoft Enterprise Zone to encourage further investment and business growth in the East Anglia region.
- 3.2.7. This enterprise zone is comprised of 121 hectares of employment land across six sites. Two of these sites are situated within Great Yarmouth, at South Denes and Beacon Park. By the end of March 2018 the Enterprise Zone had led to:
- 32 companies in situ
 - £33.4 million of private capital investment
 - 832 jobs
 - 33,289 sqm of new floorspace
 - 3,635 sqm of refurbished floorspace

¹⁵ Great Yarmouth Borough Council Estimate May 2018

¹⁶ Office for National Statistics Annual Population Survey 2017

¹⁷ Office for National Statistics 2016-2018 Claimant Count



Regent Street

Economy of Great Yarmouth:

- global leader in off-shore energy sector, providing high-skill and high-paid jobs
- point of delivery for the world's largest wind farm
- the Great Yarmouth and Lowestoft Enterprise Zone has the potential to encourage new businesses to the region
- Great Yarmouth is Norfolk's largest seaside resort
- tourism is an important part of Great Yarmouth's economy, but can lead to seasonal fluctuations in employment

3.3 CURRENT LOCAL TRANSPORT PROVISION

ACTIVE TRAVEL

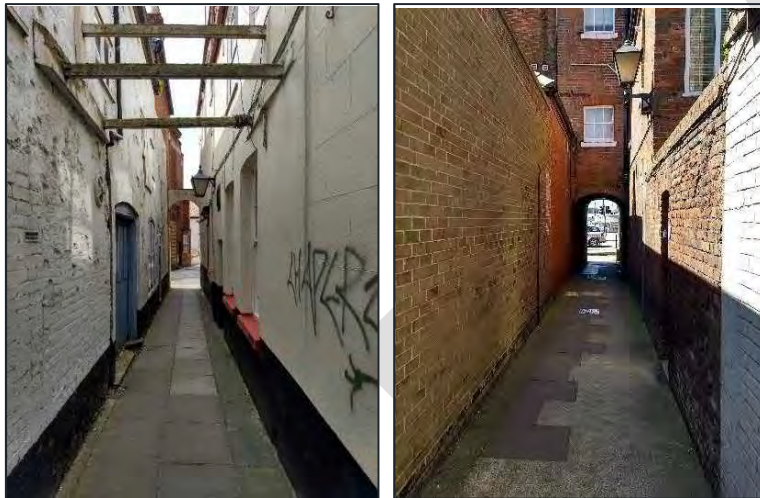


Temple Road / Regent Road Pedestrian Crossing

- 3.3.1. The compact nature of the main urban area of Great Yarmouth means that for short journeys walking and cycling are highly attractive alternatives to the use of a private car.
- 3.3.2. The walking network in Great Yarmouth is generally good, with wide footways and streetlighting. An exception to this is the A143 south of Burgh Road.
- 3.3.3. An audit undertaken in August 2017 found this link to have:

- poor wayfinding infrastructure
- few opportunities to cross the carriageway
- sub-standard and poor-quality footway surfaces
- characterised by minor littering and vandalism

3.3.4. One of Great Yarmouth's unique features is 'The Rows'. These historic streets help to enhance east-west connectivity by providing a pedestrian cut through between the River Yare and Town Centre. However, the narrow nature of these streets, combined with poor lighting and graffiti has the potential to make these spaces unattractive and discourage their use, particularly at night¹⁸.



The Rows

3.3.5. Great Yarmouth is connected to an extensive network of long-distance footpaths which converge on the railway station. Whilst they provide connectivity to nearby settlements, none of these connect Great Yarmouth with Lowestoft.

Long distance footpath network in Great Yarmouth:

- *Norfolk Coastal Path (Hunstanton to Hopton on Sea)*
- *Angles Way (Great Yarmouth to Thetford)*
- *Weavers Way (Cromer to Great Yarmouth)*
- *Cross-Norfolk Trail (King's Lynn to Great Yarmouth)*
- *Wherryman's Way (Norwich to Great Yarmouth).*

3.3.6. A large number of cycle routes run through Great Yarmouth. These comprise local pedal-ways and National Cycling Routes. Whilst the existing cycle routes in the town provide relatively good north-south connectivity, the network is generally disjointed and characterised by an absence of signage at key decision points.

3.3.7. East-west cycle connectivity is relatively weak, particularly within Gorleston-on-Sea. The weak east-west cycle connectivity between Gorleston-on-Sea and Great Yarmouth is attributable to all cycle routes having to cross the River Yare via Haven Bridge. This crossing has no dedicated cycling provision and cyclists are either required to dismount and walk across the bridge on foot, or cycle on carriageway.

¹⁸ To address this Great Yarmouth Borough Council is currently progressing an improvement scheme as a part of their Town Centre Masterplan

- 3.3.8. A number of strategic cycle routes connect Great Yarmouth with surrounding settlements (such as National Cycle Route 517 between Great Yarmouth and Beccles via Lowestoft). However, outside of the main urban area of Great Yarmouth the majority of routes are on-road.



Regent Street – Advisory on-road cycle lane (Cycle Route 7 – Town Centre Orbital)

- 3.3.9. Cycle parking provision within the centre of Great Yarmouth and along the seafront is generally limited and unlikely to be convenient for residents, visitors and workers travelling to key trip attractors within the town.



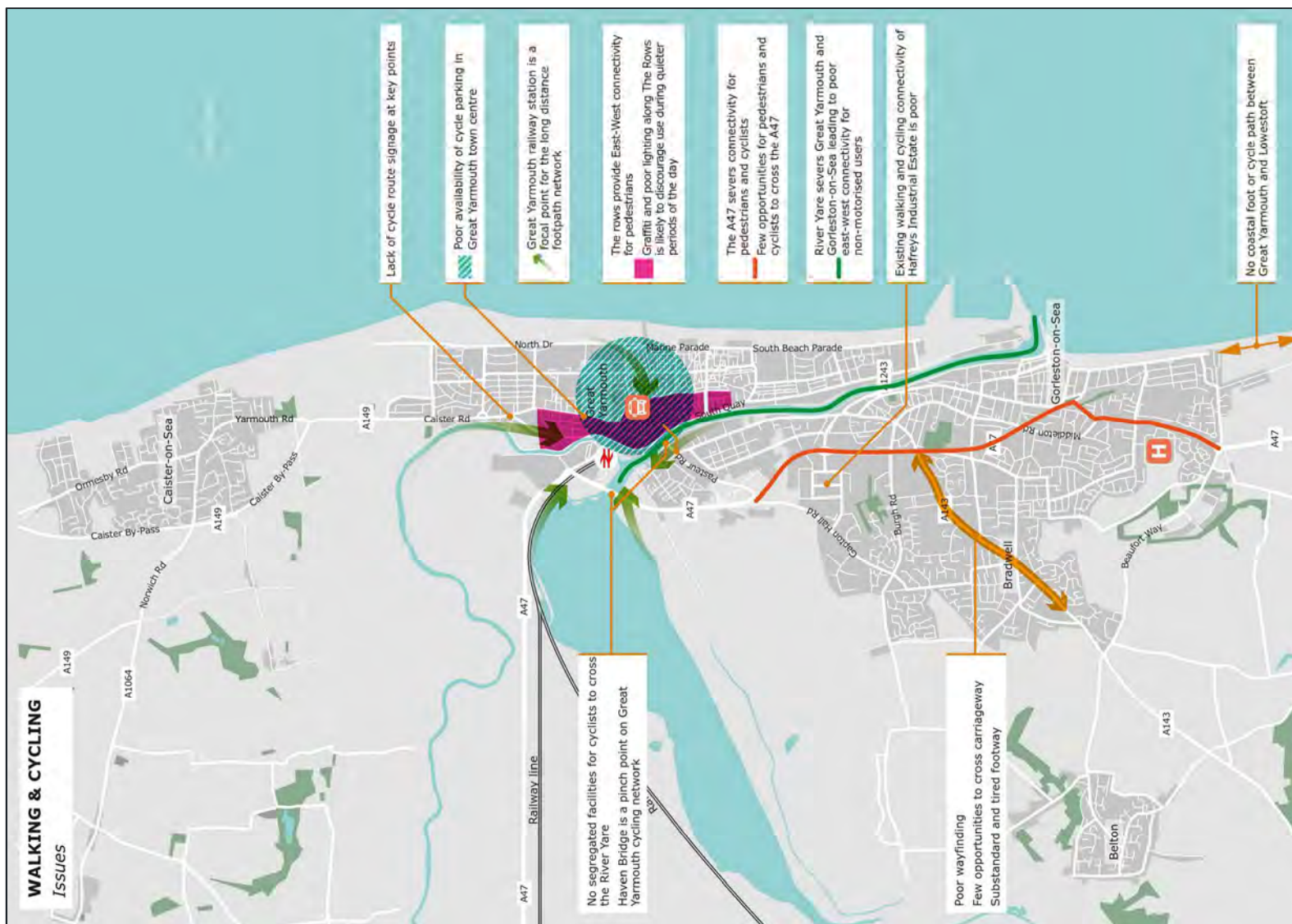
New cycle crossing between Great Yarmouth Railway Station and Vauxhall Bridge



Sheffield Stand Cycle Parking in the Town Centre

Active travel provision:

- *The Rows enhances east-west connectivity in the Town Centre; however, the amenity of these links is likely to discourage their use*
- *there is no continuous coastal path for pedestrians and cyclist between Great Yarmouth and Lowestoft*
- *the existing cycle network in the town is disjointed*
- *Haven Bridge has no segregated provision for cyclists and is a pinch point for cycle routes*
- *the River Yare severs Gorleston-on-Sea and South Denes Peninsula, restricting the potential to make journeys between these two locations on foot*
- *strategic cycle routes connecting Great Yarmouth with the wider surrounding area are principally on-road*
- *there is limited cycle parking near key trip attractors*

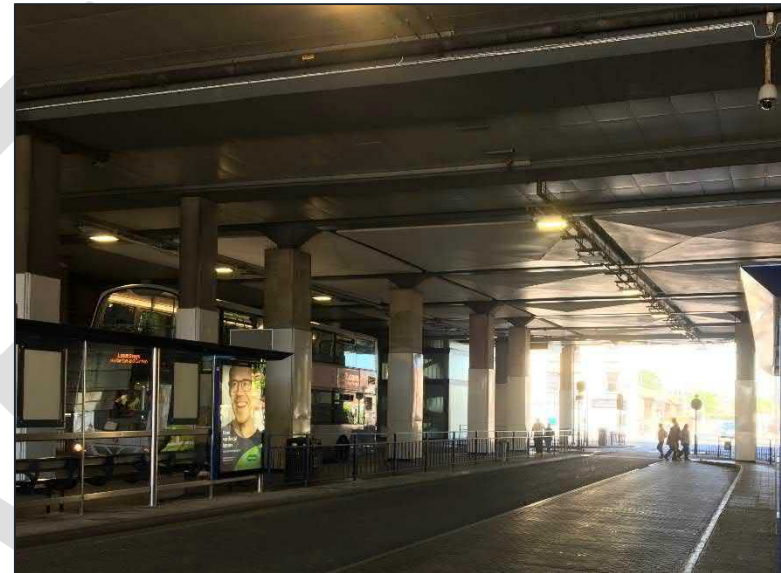


BUS & COACH SERVICES

- 3.3.10. Bus services cover the main corridors through Great Yarmouth, with all routes from outlying areas serving the town centre and Market Gates bus station.
- 3.3.11. Market Gates bus station is situated in the centre of the town beneath Market Gates Shopping Centre. Whilst recent improvements to lighting, barriers and signage have sought to enhance the amenity of the bus station, its general amenity remains poor and uninviting with a lack of natural surveillance.



Market Gates Bus Station



Market Gates Bus Station

- 3.3.12. Most bus services run in a north-south direction connecting Great Yarmouth with Caister-on-Sea to the north and / or Gorleston-on-Sea to the south, with many of these services continuing onto Lowestoft.
- 3.3.13. The majority of bus services route between Great Yarmouth and Gorleston-on-Sea via Haven Bridge which results in the South Denes Peninsula being poorly served by public transport.

- 3.3.14. A number of bus services serve the rural settlements that surround the town; however, many of these operate on a frequency of one bus per hour or less, making these services unattractive for regular commuting journeys.
- 3.3.15. Despite many bus services to and from Norwich routing past Great Yarmouth Railway Station, none of them stop there. This limits the potential for users to interchange between bus and rail or make use of “PLUS BUS” integrated tickets.
- 3.3.16. Except for the Fullers Hill right turn facility to the north of the town centre¹⁹, there are no dedicated bus priority measures in Great Yarmouth. The absence of bus priority measures, such as bus lanes, results in poor journey time reliability and buses being delayed in traffic along the main strategic routes within the town.



Bus travelling along Regent Street

- 3.3.17. Beach Coach Station is situated on the outskirts of the town centre and has parking for 100 coaches and HGVs. It is the principle parking location for coach trips to the town as there are no other formal coach drop off facilities in the town centre or along the sea front. The coach station has limited waiting facilities for passengers and is approximately a 10-minute walk from the town centre.

Bus and coach provision:

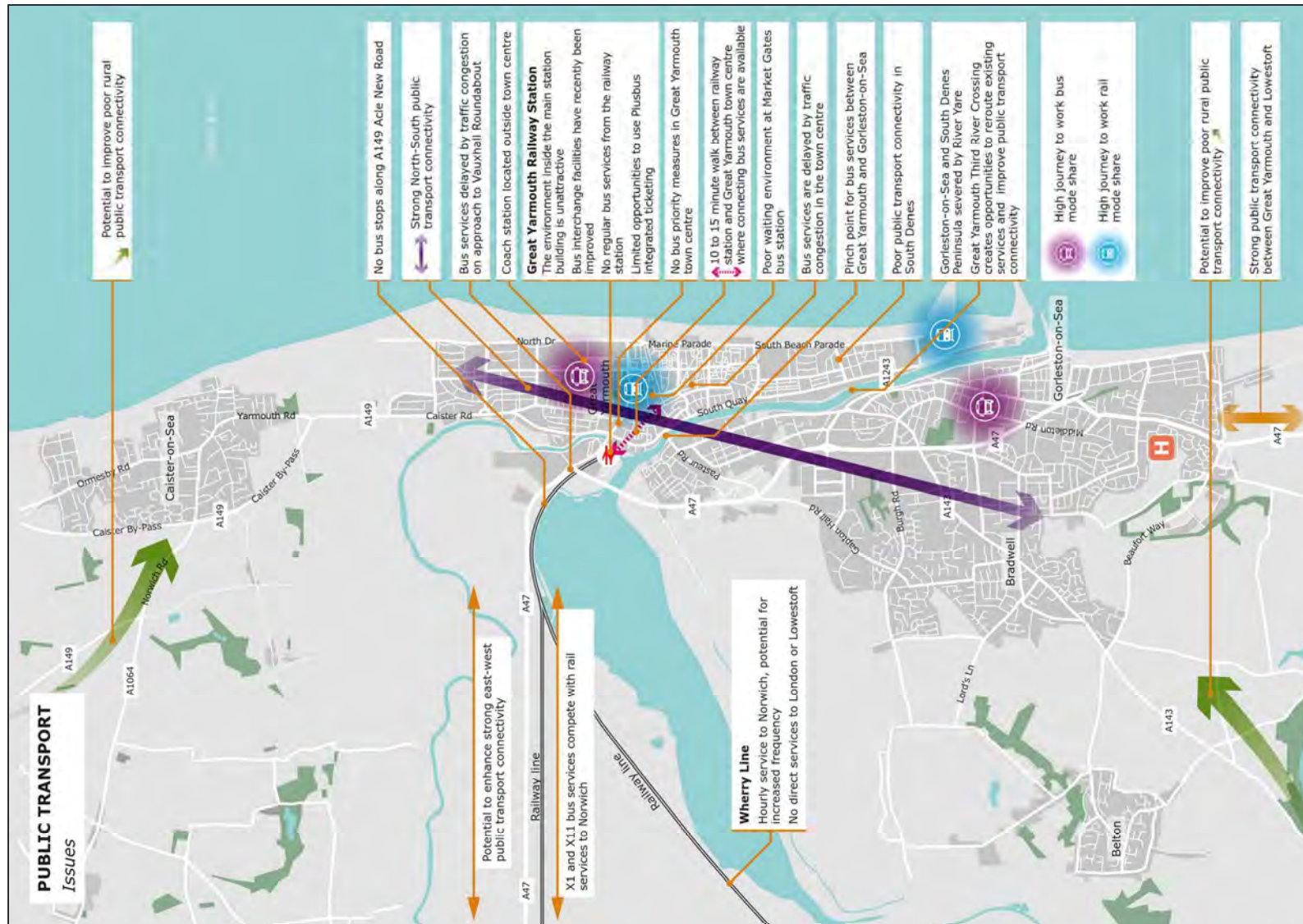
- *poor amenity of Market Gates Bus Station*
- *strong north-south public transport connectivity*
- *South Denes Peninsula is poorly served by existing bus services*

¹⁹ The bus only right turn restriction on Fullers Hill has been temporarily removed as a part of one-year trial.

- *poor rural public transport connectivity*
- *Great Yarmouth Railway station is not served by regular bus services*
- *limited potential for integrated ticketing*

- *limited bus priority measures*
- *the existing coach station is situated on outskirts of the town centre*

DRAFT



LOCAL HIGHWAY NETWORK

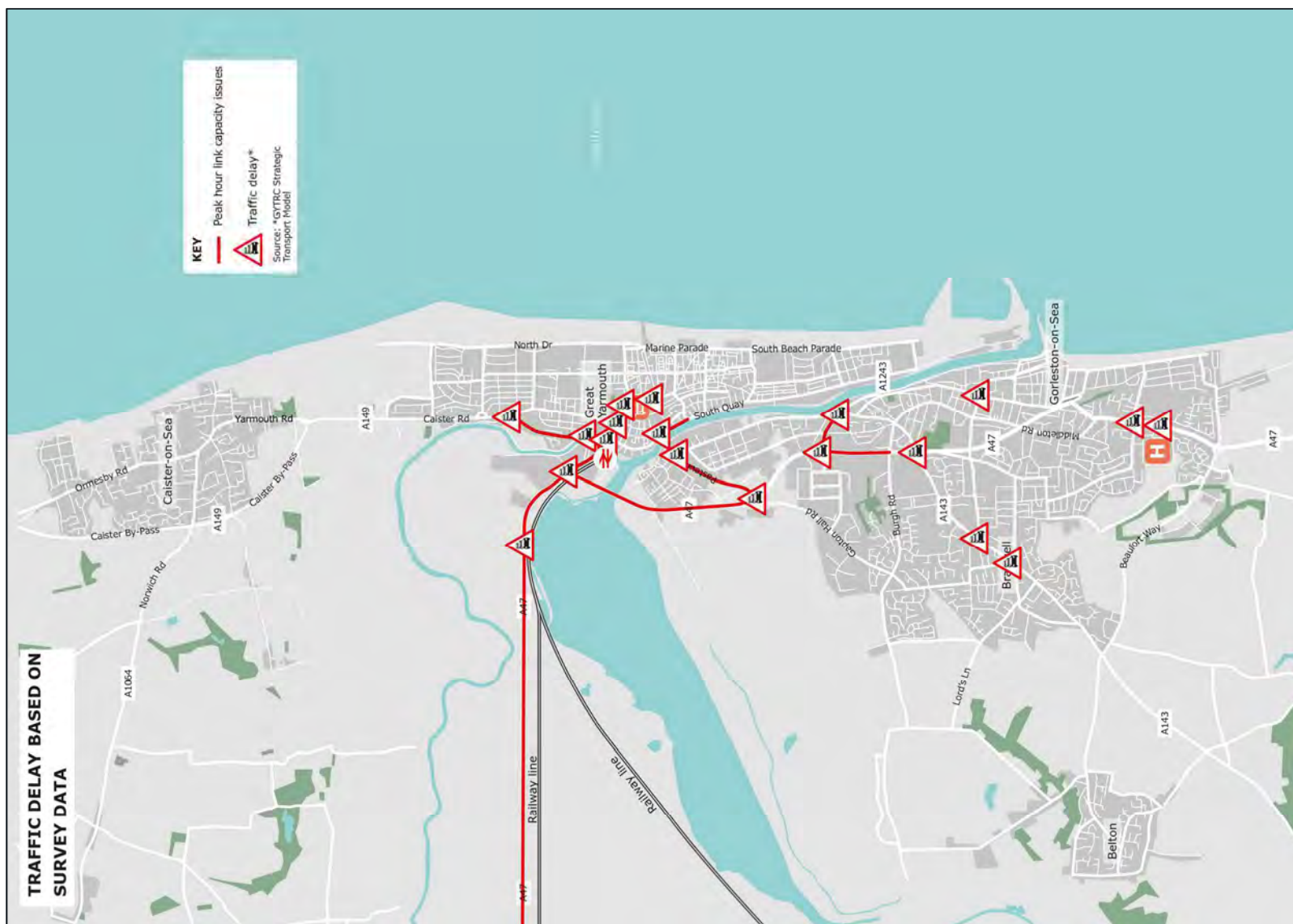
- 3.3.18. The local highway network in Great Yarmouth experiences significant delay and congestion at peak times.
- 3.3.19. Strategic modelling work undertaken for the Great Yarmouth Third River Crossing has identified a number of links and junctions in the town that experience significant levels of queuing and delay at peak periods.
- 3.3.20. The limited number of existing crossings of the River Yare create a pinch point on the local highway network. It is anticipated that the Great Yarmouth Third River Crossing will help alleviate these pinch points on the network and help reduce traffic and congestion to the north of Great Yarmouth.

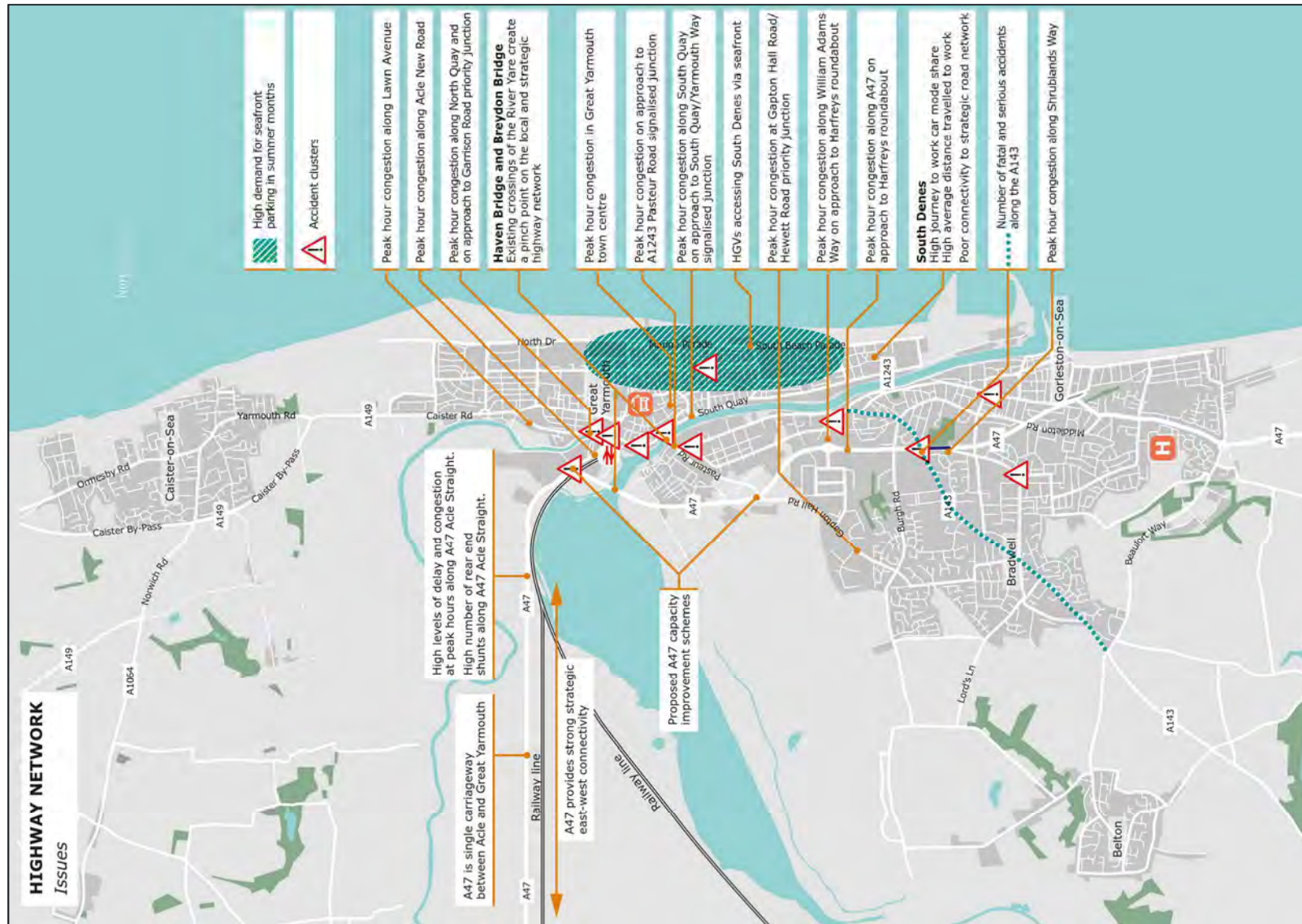
Local highway network:

- *existing crossings across the River Yare create a pinch-point on the local highway network*
- *significant delay and congestion and queuing at many junctions at peak periods*



Traffic Congestion along Hall Quay





PERSONAL INJURY ACCIDENTS

3.3.21. Between July 2013 and June 2018, a total of 637 personal injury accidents were recorded in the Transport Strategy study area, of these:

- 337 occurred at a junction
- 527 were of slight severity
- 106 were of serious severity
- 4 were fatal

3.3.22. Three of the fatal severity accidents occurred along the A143 Beccles Road. A description of these fatal accidents is provided below:

- Vehicle travelling along Beccles Road towards the town centre collided with the A47 concrete flyover support
- A pedestrian stepped out into the path of an oncoming vehicle at the junction with Crab Lane
- A passenger fell from the cargo area of a car when turning around a corner

3.3.23. The fourth fatal severity accident occurred on Burgh Road and involved a pedestrian walking into the path of a vehicle.

3.3.24. The highest concentration of personal injury accidents in the Transport Strategy study area occurred in the centre of Great Yarmouth, with clusters recorded at: Hall Quay; St Peter's Road between King's Street and Nelson Road Central; North Quay; Southtown Road between Station Road and Bridge Road; Fullers Hill Roundabout; and the A47 Vauxhall Roundabout.

3.3.25. Outside of the central area of Great Yarmouth the most significant accidents clusters areas are:

- A47 / A143 signalised junction; along Lowestoft Road / High Street between Clarkes Road and Cross Road
- A47 Garton Hall roundabout; A47 Harfreys roundabout
- Within the Magdalen Way / Trinity Way area

3.3.26. A high number of serious severity accident involving non-motorised users occurred along links with relatively poor provision for non-motorised users:

- **North Quay:** two serious severity accidents involved pedal cyclists and one involved a pedestrian
- **Haven Bridge:** two serious severity accidents involving pedal cyclists
- **Beccles Road, south of William Adam's Way:** two serious severity accidents involving pedestrians crossing the road

A47 Acle Straight

3.3.27. Outside of the main urban area of Great Yarmouth, a large number of personal injury accidents have been recorded along the A47 Acle Straight.

3.3.28. In total, 77 accidents were recorded along the A47 Acle Straight between January 2012 and December 2017. Of these 58 accidents were of slight severity, 15 serious severity and four were fatal.

- 3.3.29. Most accidents were associated with rear end shunts (44 accidents), whilst others were associated with head-on collisions, offside collisions, skidding or overtaking. Two of the fatal accidents were caused by rear end shunts, and two by head-on collisions. Only one accident involved a non-motorised user, whereby a pedal cyclist was struck by an overtaking car.
- 3.3.30. The high number of rear end shunts are reflective of the A47's single carriageway nature, high speed and frequency of side accesses which lead to stationary or slow-moving traffic.

Personal injury accidents:

- *highest concentration of personal injury accidents recorded within the centre of Great Yarmouth and at strategic junctions on the A47 and A143*
- *a number of serious severity accidents recorded along links with poor provision for non-motorised users*
- *a number of fatal severity accidents recorded along the A47 and A143*
- *a large number of rear end shunts along the A47 Acle Straight*

CAR PARKING

- 3.3.31. Car parking in the centre of Great Yarmouth comprises a combination of short and long stay car parks and on-street parking bays. At the time of the last audit in 2013, there were 2,647 public car parking spaces in the town centre and 2,778 public car parking spaces along the sea front. This was in addition to 3,098 spaces in private car parks.



Howard Street Car Park

- 3.3.32. Outside of the summer peaks there is generally a good availability of car parking within the town centre and along the sea front. However, in July and August, most car parks along the sea front are full by late morning.
- 3.3.33. No utilisation survey of car parking in Great Yarmouth has ever been undertaken, but car parking ticket sales suggest demand has remained relatively static.
- 3.3.34. Between 2014 and 2017 there was a 6% reduction in ticket sales; however, this is partly attributable to the introduction of initiatives to provide free parking at selected times; this included:

- Free car parking on selected town centre short-stay car parks every Wednesday from 12 noon
- Removal of overnight charges from 4pm on all town centre car parks

3.3.35. Great Yarmouth does not currently have a parking strategy. A parking strategy is important as it helps to balance the parking needs of residents, visitors and workers with the need to promote sustainable travel, whilst supporting local shops and businesses.

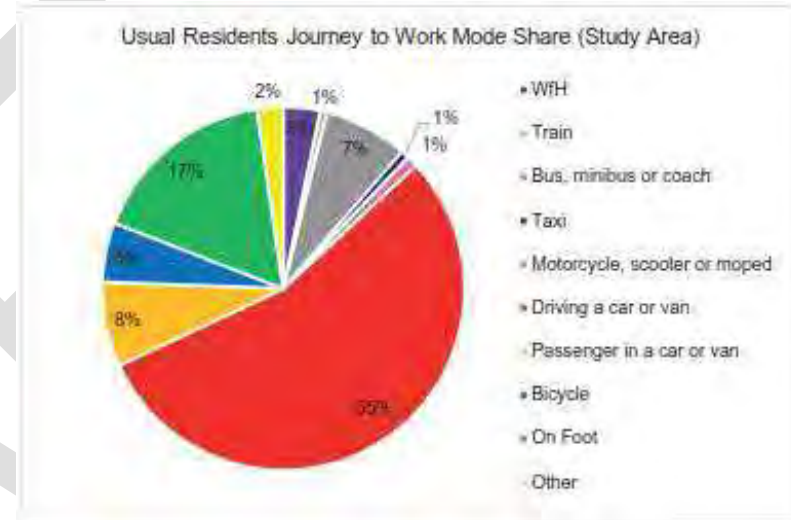
Car parking:

- *Great Yarmouth Borough Council car parking ticket sales have remained relatively static*
- *there is a high demand for sea front parking in the summer months*
- *Great Yarmouth currently does not have a car parking strategy*

3.4 CURRENT TRIP MAKING PATTERNS

- 3.4.1. The main mode of travel for journeys to work in Great Yarmouth is by car. Within the Transport Strategy study area 55% of resident's journeys to work are undertaken by car or van. This compares with an average of 61% for the Borough.
- 3.4.2. In the Transport Strategy study area active travel accounts for 22% of resident commuting trips (17% walking and 5% cycling) which is higher than the average for the Borough (13% walking and 4% cycling).

- 3.4.3. Journeys to work by public transport are predominately undertaken by bus (7%) and is in line with the average mode share for the Borough (6%).



- 3.4.4. In the Transport Strategy study area the highest car or van driver mode share was recorded in Bradwell (>50%) and the lowest was observed in Great Yarmouth town centre and the South Denes Peninsula (<10%). Outside of the Transport Strategy study area and main urban area of Great Yarmouth the car or van mode share is significantly higher at between 51% and 71%.
- 3.4.5. There is a high level of self-containment of commuting trips within Great Yarmouth with 63% of the employed population living and working in the Transport Strategy study area.

3.4.6. Furthermore, 74% of all residents living in the Transport Strategy study area and 76% of all workers working in the Transport Strategy study area live in the Great Yarmouth Borough. The high levels of self-containment support opportunities for commuting trips to be undertaken by sustainable modes of travel.

3.4.7. The relatively low journey to work car mode share is reflective of:

- the urban nature of the Transport Strategy study area
- strong north-south bus connectivity
- good availability of local services and facilities
- relatively high internalisation of commuting trips



Great Yarmouth Outer Harbour. Photograph: Mike Page.

3.4.8. The growth of the offshore-energy sector in the town has the potential to change commuting patterns to the town. The average commuting distance by Great Yarmouth workers is less than 20km; however in South Denes (where there has been a growth in off-shore energy industries) the average distance travelled to work is 31 to 41km.

3.4.9. Furthermore, the majority of workers in South Denes travel to work by car (81%-90%). To facilitate these commuting movements strong strategic road and public transport routes are essential.

Travel patterns:

- the low journey to work car mode share is reflective of the high proportion of residents living and working within the Transport Strategy study area
- the offshore energy sector appears to be changing commuting patterns with workers commuting longer distances
- longer average commuting distances suggest many jobs in the South Denes area are not being filled by local residents

3.5 SUPPORTING PLANNED GROWTH

LOCAL PLANNED GROWTH

3.5.1. Great Yarmouth Borough Council's Local Plan sets out the planned growth for the Borough for the period 2013 to 2030. During this period, it seeks to deliver 7,140 dwellings.

3.5.2. The strategy identifies two key sites for development within the main urban area of Great Yarmouth. These are the 'Waterfront Area' and the 'Land to the south of Bradwell'.



Beacon Park – Policy CS18

This development will provide approximately:

- 1,000 new dwellings
- 10-15 hectares of new employment land to the south of the A47 / A143 link road and west of the existing Beacon Business Park

Great Yarmouth's Waterfront – Policy CS17

This development will provide approximately:

- 1,000 new dwellings of mixed types
- 16,500 sqm of employment floorspace
- 14,200 sqm of retail and leisure space

Supporting Infrastructure Improvements – Policy CS16

3.5.5. Policy CS16 of the Local Plan relates to improving accessibility and transport within Great Yarmouth, and identifies the following high priority schemes:

- Supporting proposals to dual the A47
- Supporting proposals for a Great Yarmouth Third River Crossing over the River Yare
- Upgrading Great Yarmouth Railway and Bus Station
- Supporting the port and its future development as a passenger and freight intermodal interchange

Emerging Local Plan Part 2

3.5.6. A variation to the current housing target set out in Local Plan Part 1 has been proposed via the emerging Local Plan Part 2, which may revise the housing target down to 5,139 dwellings for the same plan period 2013-2030.

GROWTH FORECASTS

3.5.7. Between 2018 and 2030 (the end of the current local plan period) it is forecast²⁰ that in the Transport Strategy study area:

- the population will grow by 11.24%
- the total number of households will grow by 15.29%²¹
- the total number of jobs will grow by 4.54%
- the total number of workers will grow by 5.93%

²⁰ TEMPro v7.2. This includes planning data from the Department for Transport's National Trip End Model (NTEM) and is used to forecast the growth in the trip origin-destinations (or product-attractions) up to 2050 for use in transport modelling

²¹ This does not reflect the changes set out in the emerging Local Plan Part 2

- 3.5.8. The growth forecast in the Transport Strategy study area is slightly higher than the average growth predicted across the borough as a whole.

Area	Period	Population	Households	Jobs	Workers
Great Yarmouth Borough	2018	100,768	44,924	44,675	38,604
	2030	111,983 (+11,214)	51,745 (+6,821)	46,686 (+2,011)	40,809 (+2,205)
	Growth	11.13%	15.18%	4.50%	5.71%
Transport Strategy Study Area (based on MSOA boundaries ²²)	2018	78,005	34,888	38,983	29,239
	2030	86,776 (+8,771)	40,223 (+5,335)	40,753 (+1,770)	30,973 (+1,734)
	Growth	11.24%	15.29%	4.54%	5.93%

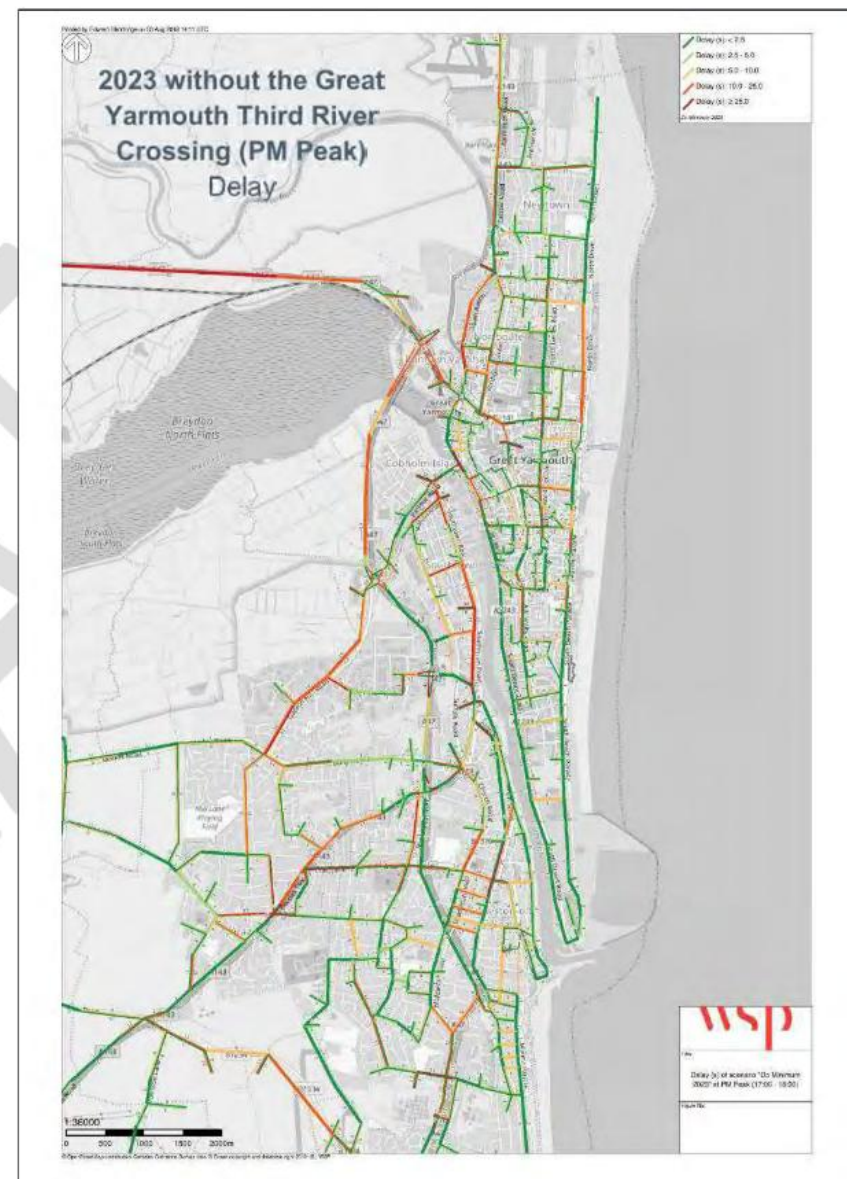
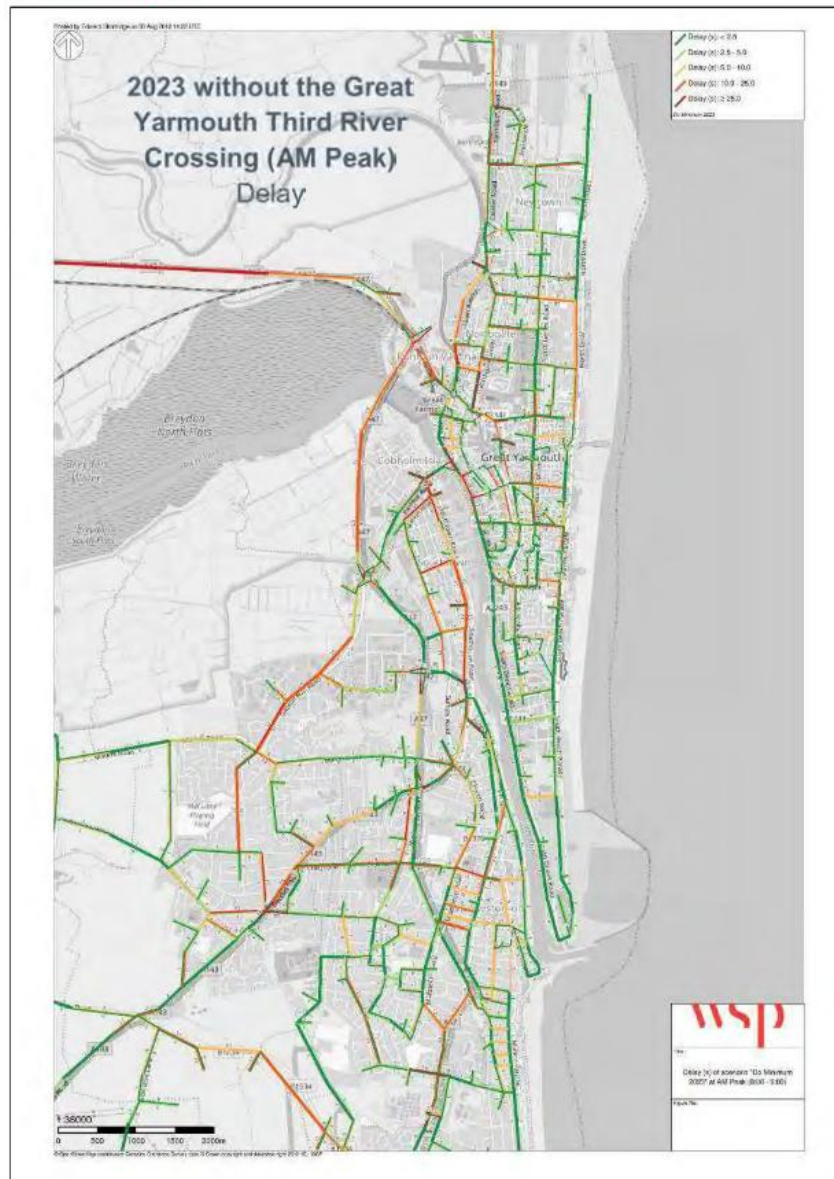
- A47 south of Vauxhall Roundabout
- Acle New Road
- Fullers Hill
- Priory Plain
- Temple Road
- Haven bridge
- Garton Hall Road
- A47 / A143 Slip Roads
- South Quay
- Southgate Road

3.6 TRAFFIC GROWTH FORECASTS

- 3.6.1. Traffic flows in the Great Yarmouth area are forecast to increase by 14%-19% between 2018 and 2030²³. The highest levels of traffic growth are forecast within the centre of Great Yarmouth and Gorleston-on-Sea. The lowest levels of traffic growth are forecast within Bradwell.
- 3.6.2. The strategic transport model produced for the Great Yarmouth Third River Crossing shows that between 2018 and 2023, without the Great Yarmouth Third River Crossing, the highest increase in AM and PM peak hour traffic flows will be on:

²² Transport Strategy Study area based on combined boundary of Great Yarmouth 003, 004, 005, 006, 007, 008, 009, 010, 011, 013 MSOAs

²³ TEMPro V7.2. The software calculates the traffic growth factors through the use of the National Trip End Model (NTEM) and National Transport Model (NTM) datasets (dataset AF15)



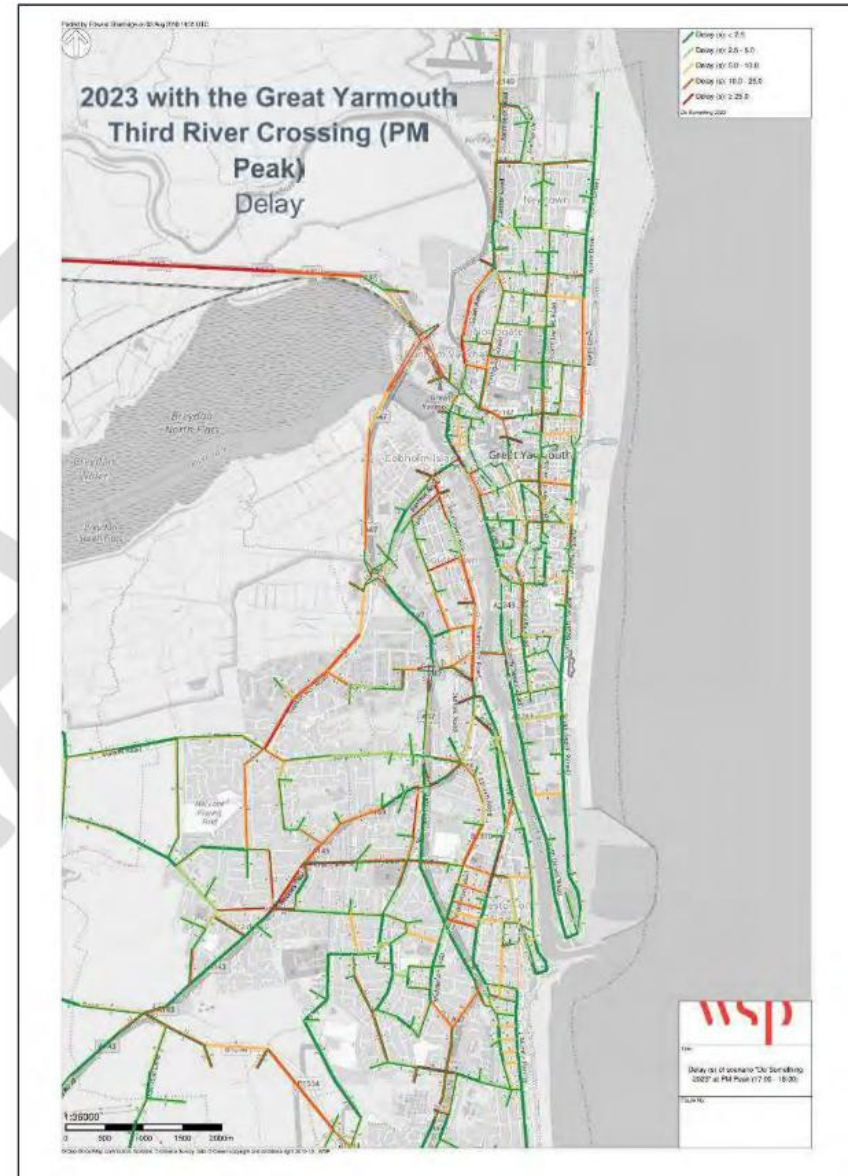
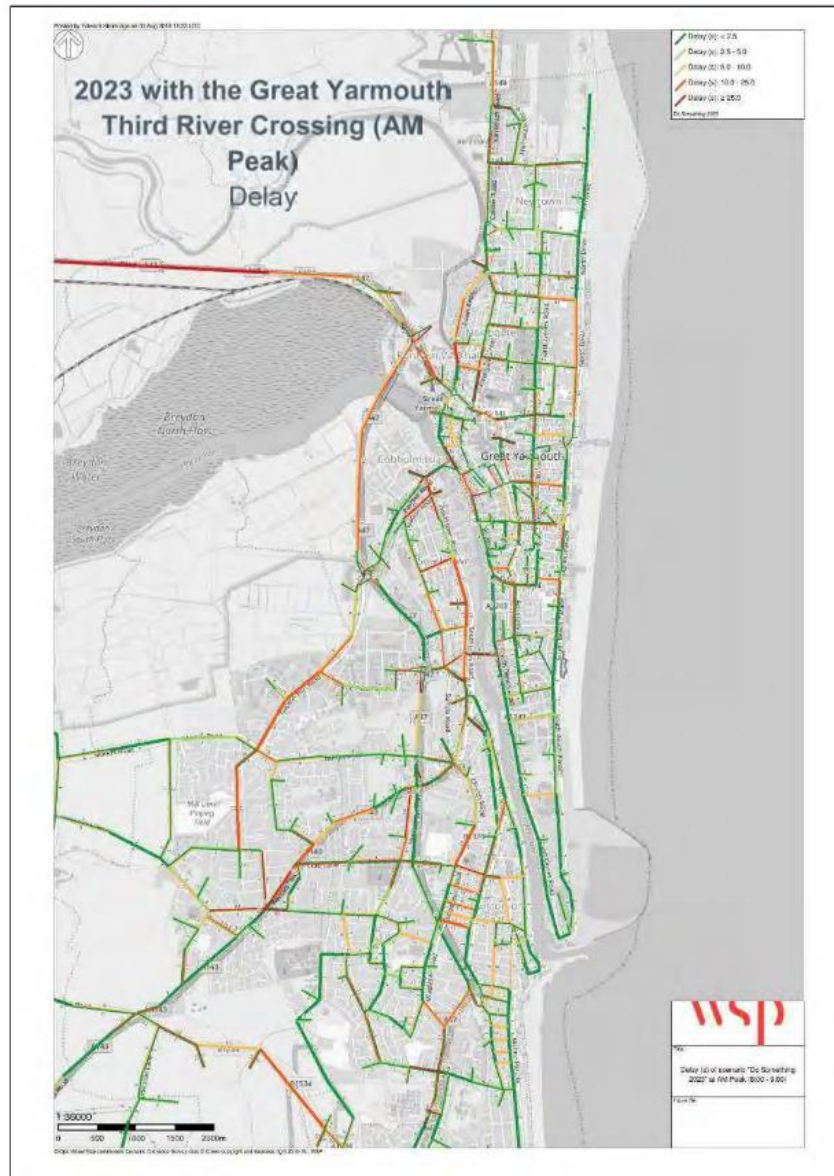
3.7 GREAT YARMOUTH THIRD RIVER CROSSING

- 3.7.1. The Great Yarmouth Third River Crossing is expected to lead to a significant redistribution of traffic on the local and strategic road networks in Great Yarmouth.
- 3.7.2. The scheme will principally reduce the volume of traffic using routes to the west and north-west of the scheme (A47 north of Harfreys Roundabout, Hall Quay, South Quay and Fullers Hill), but lead to an increase in traffic using routes to the south, east and north-east of the scheme (A47 south of Harfreys Roundabout and residential routes to the east of the River Yare that provide access to the town centre and sea front).



Illustrative design of the Great Yarmouth Third River Crossing.





4 PLANNED INFRASTRUCTURE IMPROVEMENTS

4.1 LOCAL & STRATEGIC INFRASTRUCTURE IMPROVEMENTS

- 4.1.1. To address a number of the transport challenges and opportunities within Great Yarmouth a range of transport policy and infrastructure projects are already planned for delivery in the short and medium-terms. These schemes are being delivered by a variety of stakeholders including: Norfolk County Council, Great Yarmouth Borough Council, Highways England, Greater Anglia and Network Rail.

- 4.1.2. For the purpose of this Transport Strategy, short-term schemes are those that have either recently been completed or expected to be completed by the end of 2022, and medium-term infrastructure projects are expected to be delivered by the end of the current local plan period in 2030.

- 4.1.3. All of these schemes have a firm funding commitment from the relevant stakeholders and a clear delivery timetable. The following sections provide details on the short and medium-term policy and infrastructure improvements proposed in Great Yarmouth at a strategic and local scale. The schemes have been grouped based on the broad overarching aim of each option.

4.2 SHORT TERM (SCHEMES RECENTLY DELIVERED, OR EXPECTED TO BE DELIVERED BY 2022)

STRATEGIC IMPROVEMENTS

Schemes to encourage journeys by rail		
Reference	Scheme	Description
SC8	Improve amenity for passengers travelling on the Wherry Line	New rolling stock across the Greater Anglia Network. All of the trains will have plug and USB sockets, fast free Wi-Fi, air conditioning, accessible toilets, wheelchair spaces and bicycle spaces. The scheme is being funded by Great Anglia and all the new rolling stock should all be in service by the end of 2020.
SC9	Improve the reliability of train services on the Wherry Line	Network Rail is currently upgrading the existing Victorian signalling systems along the Wherry Line. This will improve the safety and reliability of the railway, operational flexibility, level crossing safety, sustainability and efficiency by using modern technology and reduce the duration of level crossing closures. The works are currently ongoing and a date for the new signalling system to be activated is currently unknown.


LOCAL INFRASTRUCTURE

Schemes to reduce delay and improve capacity of the local highway network		
Reference	Scheme	Description
SC1	Southtown Road / Bridge Road Area Improvement scheme	This scheme is the removal of the existing signals on the Southtown Road junction with Station Road, including the exit from Matalan car park. Along with the addition of 'right-turn' lanes, this is designed to keep traffic free-flowing and to reduce queuing and the time taken to exit the car park. A new toucan crossing and extension of existing cycle lanes will help those getting around by foot or bicycle, whilst a relocated bus stop on Southtown Road (closer to the toucan crossing) will make it easier for buses to re-join traffic lanes into town. The scheme will increase capacity of the junction and improve provision for pedestrians and cyclists. Norfolk County Council are currently consulting on this option.
SC2	Market Place / Fullers Hill Capacity Improvement Scheme	This scheme is the conversion of the existing bus only right-turn between Market Place and Fuller's Hill to all vehicles right-turn to improve the flow of traffic in the town centre area. This scheme was implemented in early 2019 on a one-year trial.


Schemes to better manage traffic on the local highway network

Reference	Scheme	Description
SC3	Traffic management measures to reduce HGV movements along the sea front	This scheme is the investigation of traffic management measures to reduce the number of HGV movements along the sea front. Possible measures could include width restrictions or new Traffic Regulation Orders (TROs). Investigative work to progress this scheme was undertaken by Norfolk County Council's Infrastructure Delivery Team in Summer 2018. This work concluded that no further action is needed at this time.

Schemes to improve bus interchange facilities and encourage travel on local bus services

Reference	Scheme	Description
SC5	Improve bus interchange facilities at Great Yarmouth railway station	<p>This scheme is to provide improvements to the rail station forecourt at Great Yarmouth railway station, including improvements to the existing bus interchange facilities (a new bus shelter and improvements to the existing bus stop).</p> <p>A railway station forecourt improvement scheme was completed in September 2018. This included improvements to the existing bus interchange facilities as well as improvements to the wider public realm in the station area and improvements to pedestrian and cycle connectivity.</p> <div data-bbox="840 959 1814 1326">  </div> <p><i>Great Yarmouth Railway Station Concourse Improvements</i></p>

Schemes to improve bus interchange facilities and encourage travel on local bus services

Reference	Scheme	Description
SC7	Upgrade and improvement works to the waiting facilities and general surroundings at Market Gates Bus Interchange	<p>This scheme is to improve waiting facilities and general surroundings at Market Gates bus station in Great Yarmouth town centre. The works include new bus shelters, replacement of pedestrian railings, additional cycle parking, cladding of concrete pillars, new information boards, improvements to lighting and retention of electronic passenger information screens. This scheme is currently ongoing.</p>  <p><i>Market Gates Bus Station</i></p>

Schemes to encourage journeys to be made on foot and bicycle

Reference	Scheme	Description
SC11	Improve pedestrian crossing facilities along Nottingham Way	This scheme is to improve pedestrian crossing facilities along Nottingham Way to make it safer and easier for pedestrians. This scheme will be delivered by Norfolk County Council's Infrastructure Delivery Team. Work on this scheme has not yet commenced.
SC12	Improve the pedestrian amenity of The Rows	This scheme considers improvements to the pedestrian amenity of The Rows, to make the area more enjoyable for pedestrians. This scheme is currently being progressed by Great Yarmouth Borough Council as a part of their Town Centre Masterplan.

Schemes to encourage journeys to be made on foot and bicycle

Reference	Scheme	Description
SC13	Simplify signalised arrangement / improve crossing facilities at junction of Fuller's Hill / Northgate Street	This scheme is the simplification of existing signalised arrangements and improvements to pedestrian crossing facilities. The previous arrangement was a pedestrian crossing for half of the Fuller's Hill / Northgate Street junction, with a full pedestrian crossing further down Northgate Street. The scheme will improve safety for non-motorised users and improve the operation of the junction. This scheme was delivered by Norfolk County Council and is now complete.
SC14	Town Centre Wayfinding Strategy to improve pedestrian connectivity between the Town Centre, Seafront, bus station, railway station and other key trip attractors	This scheme is the creation of a Town Centre Wayfinding Strategy to help improve pedestrian connectivity between the Town Centre, Seafront, bus station, railway station and other key trip attractors. This will help to direct pedestrians to their destinations more quickly and may help to make individuals more aware of the attractions on offer. This scheme is being progressed by Norfolk County Council.
SC15	Travel Planning	Norfolk County Council can already request that new expanding residential, commercial and educational premises to produce a Travel Plan.
SC20	Improve facilities for pedestrians and cyclists around Gapton Hall Retail Park	This option explores improvements to facilities for pedestrians and cyclists around Gapton Hall Retail Park. There is currently a small amount of shared access paths, but a zebra crossing could be useful to help users crossing from one side of the retail park to the other.
SC21	Improve pedestrian crossing facilities at Crab Lane / Magdalen Way signalised junction	This option considers improving pedestrian crossing facilities at Crab Lane / Magdalen Way signalised junction. There are currently no signalised pedestrian crossings – adding these would help to improve the safety for pedestrians.
SC24	Investigate reallocation of carriageway space within Great Yarmouth town centre to improve bus and pedestrian routes	This scheme is to investigate the reallocation of carriageway space for improved bus and pedestrian routes. This could include the removal of parking at the western end of Stonecutters Way to east right-turn movements for buses, realignment of the Stonecutters Way / Howard Street North junction to ease left-turn movements for buses, and improving pedestrian crossing facilities between Broad Row and Market Row. A scheme is currently being developed as a part of Norfolk County Council's Local Growth Fund Programme.
SC25	Review of existing and provision of new or upgraded cycle parking in Great Yarmouth Town Centre, along the seafront and close to large trip attractors in the wider Transport Strategy study area	This option explores assessing the current level of cycle parking and looks at adding new or upgraded parking in the town centre, along the sea front and close to large trip attractors. This would allow cyclists to leave their bikes in secure places and could encourage others to use their bikes more often.

Schemes to better manage parking		
Reference	Scheme	Description
SC26	Update and improve signage of car parks in Great Yarmouth.	This scheme is the installation of new car parking signage within Great Yarmouth. The improved signage will assist residents, visitors and workers finding a car parking space in the town and help car drivers make more informed decision about where they choose to park. This scheme has recently been delivered.

4.3 MEDIUM TERM (SCHEMES EXPECTED TO BE DELIVERED BETWEEN 2022 & 2030)

STRATEGIC INFRASTRUCTURE

MC1 – Great Yarmouth Third River Crossing

4.3.1. The Great Yarmouth Third River Crossing is a new connection between the A47 and South Denes Peninsula, an area home to many businesses operating within the offshore energy sector. In the 2017 Autumn Budget the Government allocated a contribution of £98 million towards the construction of a crossing.

4.3.2. The Great Yarmouth Third River Crossing is needed to deliver the following objectives:

- to support Great Yarmouth as a centre for both offshore renewable energy and the offshore oil and gas industry, enabling the delivery of renewable energy Nationally Significant Infrastructure Projects (NSIPs) and enhancing the port's role as an international gateway

- to improve access and strategic connectivity between Great Yarmouth port and the national road network, thereby supporting and promoting economic and employment growth (particularly in the Enterprise Zone)
- to support the regeneration of Great Yarmouth, including the town centre and seafront, helping the visitor and retail economy
- to improve regional and local access by enhancing the resilience of the local road network, reducing congestion and improving journey time reliability
- to improve safety and to reduce road casualties and accidents, in part by reducing heavy traffic from unsuitable routes within the town centre
- to improve access to and from the Great Yarmouth peninsula for pedestrians, cyclists and buses, encouraging more sustainable modes of transport and also reducing community severance
- to protect and enhance the environment by reducing emissions of greenhouse gases and minimising the environmental impact of the proposed scheme

- 4.3.3. The project is expected to cost approximately £120 million, with £98 million being provided by the Department for Transport. The remaining cost will be locally funded from a range of sources. Construction of the crossing is due to start in late 2020 and the aim is for the bridge to be operational by early 2023. Delivery of this scheme is being led by Norfolk County Council.

MC2 – A47 Junction Improvements

- 4.3.4. To address congestion and delays at junctions on the A47, Highways England have identified two improvement schemes for the Vauxhall Roundabout and Gapton Hall Roundabout junctions.
- 4.3.5. The preferred option for Vauxhall Roundabout is a new larger signalised roundabout widened over the railway line and the preferred option for Gapton Hall Roundabout is the installation of traffic signals on the existing roundabout with the potential to improve provision for non-motorised users.
- 4.3.6. Following the announcement of the Great Yarmouth Third River Crossing, Norfolk County Council is currently working with Highways England to review the proposed improvement scheme at Vauxhall and Gapton Hall roundabouts. This is to consider whether the improvement schemes need to be amended to reflect, and be more compatible with, the benefits of the Great Yarmouth Third River Crossing. A final decision on the A47 junction improvements is expected in 2019.



Proposed Improvements: Vauxhall Roundabout (Highways England)



Proposed Improvements: Gapton Hall Roundabout (Highways England)

LOCAL INFRASTRUCTURE

MC4 – Hall Quay Improvements

- 4.3.7. Norfolk County Council's Infrastructure Delivery Team are currently developing an improvement scheme for Hall Quay. The initial focus of the scheme was the provision of new right-turn facilities between the A1243 Hall Quay and A1423 Bridge Road and reallocation of highway space to improve non-motorised user provision. However, initial transport modelling work undertaken by Norfolk County Council, showed that the right-turn facilities would increase delay and congestion at the junction. As a result, the focus of the scheme has shifted towards improving the public realm along Hall Quay and movement of non-motorised users. Work on this scheme commenced in Spring 2019 and is currently ongoing.

4.4 SCHEMES READY FOR DELIVERY (SUBJECT TO FUNDING)

- 4.4.1. Following the completion of the Stage 2 Options Appraisal Report in June 2019, it has not been possible to programme the delivery of 11 planned infrastructure improvement schemes. A key funding source is the Local Growth Fund and in order to spend the full allocation a degree of over programming was made. Unfortunately, there is insufficient funding for these schemes at this time.
- 4.4.2. The Council still has a commitment to delivering these schemes as and when a new funding source is identified. As such these schemes have been retained within the Transport Strategy as short and medium-term schemes ready for delivery, subject to funding. These schemes are summarised in the following sections

SHORT-TERM

Schemes to better manage traffic on the local highway network

Reference	Scheme	Description
SC19	Introduction of urban clearways on key strategic routes	This scheme is the introduction of urban clearways or loading restrictions on key strategic routes throughout the Transport Strategy study area. An urban clearway prevents vehicles from stopping on the carriageway for sustained periods of time, typically during the peak hours. Urban clearways encourage enhanced traffic flow during the busiest periods of the day, whilst allowing overnight and daytime stopping.

Schemes to encourage journeys to be made on foot and bicycle

Reference	Scheme	Description
SC10	Improve crossing facilities at B1370 / Church Lane roundabout and outside East Norfolk Sixth Form College	This scheme is improvements to pedestrian crossing facilities at the B1370 / Church Lane roundabout, as well as outside of East Norfolk Sixth Form College as currently there are no formal pedestrian crossing facilities at the B1370 / Church Lane roundabout. This scheme is being delivered by Norfolk County Council's Infrastructure Delivery Team. Work on this scheme has not yet commenced.
SC16	Improve lighting and tactile paving along northern section of esplanade	This scheme is to improve the lighting and tactile paving along the northern section of the esplanade in Great Yarmouth. These improvements would make the area safer for individuals and more accessible to all, as well as making the area more attractive to visit the area in the evening. Investigative work has not yet commenced.
SC17	Improve pedestrian crossing facilities along the A143 Beccles Road	This scheme is improvements to pedestrian crossing facilities along the A143 Beccles Road, including minor improvements to the existing uncontrolled crossings. This would allow for safer crossing space and make it easier for pedestrians to get across Great Yarmouth. Improvements could be made to signalised crossing to ensure that pedestrians have an appropriate amount of time to cross and space to walk alongside the A143.
SC18	Improvement to the access and signage and promotion of Norfolk's long-distance footpath network from Great Yarmouth	This scheme is to improve access and signage to Norfolk's long-distance footpath from Great Yarmouth. This includes: Norfolk Coastal Path (Hunstanton to Hopton on Sea), Angles Way (Great Yarmouth to Thetford), Weavers Way (Cromer to Great Yarmouth), Cross-Norfolk Trail (King's Lynn to Great Yarmouth) and Wherryman's Way (Norwich to Great Yarmouth).

Schemes to encourage journeys to be made on foot and bicycle

Reference	Scheme	Description
SC22	Improve wayfinding for cyclists in the centre of Great Yarmouth and along existing pedalways	This option explores improving wayfinding for cyclists in the centre of Great Yarmouth and along the existing pedalways. Wayfinding includes using signage to direct users to cycle routes, to make the navigation of the routes simpler. The areas of Wherryman's Way, Weavers Way, recreational cycle routes around Great Yarmouth and Angles Way have been highlighted for improved signage; Burgh Park and Cobham park have been highlighted for accessibility improvements; and the addition of Stalham to Great Yarmouth cycle facilities.
SC27	Review use and efficiency of traffic signals along Southtown Road	This option looks to review the efficiency of the traffic signals along Southtown Road to in order to increase junction capacity and improve efficiency capacity. Improvements could include upgrade to UTC or installation of MOVA at individual junctions.

Schemes to improve bus interchange facilities and encourage travel on local bus services

Reference	Scheme	Description
SC4	Enhanced bus interchange facilities at the James Paget University Hospital	This scheme is improvements to the bus interchange and waiting facilities at James Paget University Hospital. This scheme will be delivered by Norfolk County Council. Investigative work on this scheme has not yet commenced.
SC6	New / improved coach drop-off facilities in Great Yarmouth Town Centre	Great Yarmouth's coach station is currently situated on the outskirts of the town centre. The purpose of this scheme is to provide a drop off / pick up zone in the centre of Great Yarmouth. The location has not been finalised, but could include a drop off / pick up zone along Regent Street or Howard Street within the town centre one-way system. Surveys of the existing coach station are due to commence in Summer 2019.

MEDIUM-TERM

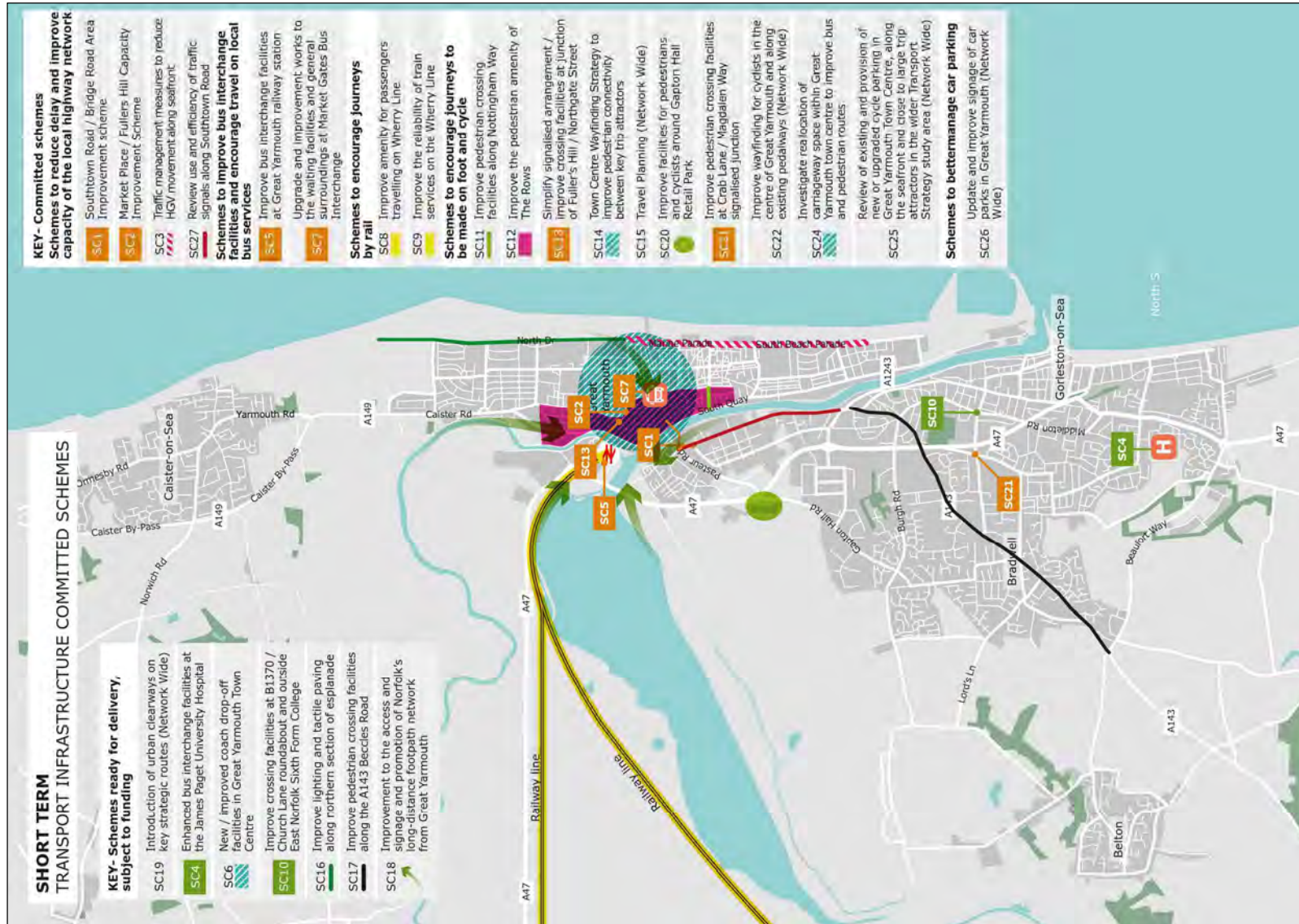
MC3 – Investigate ‘lay by’ bus stops on Acle New Road

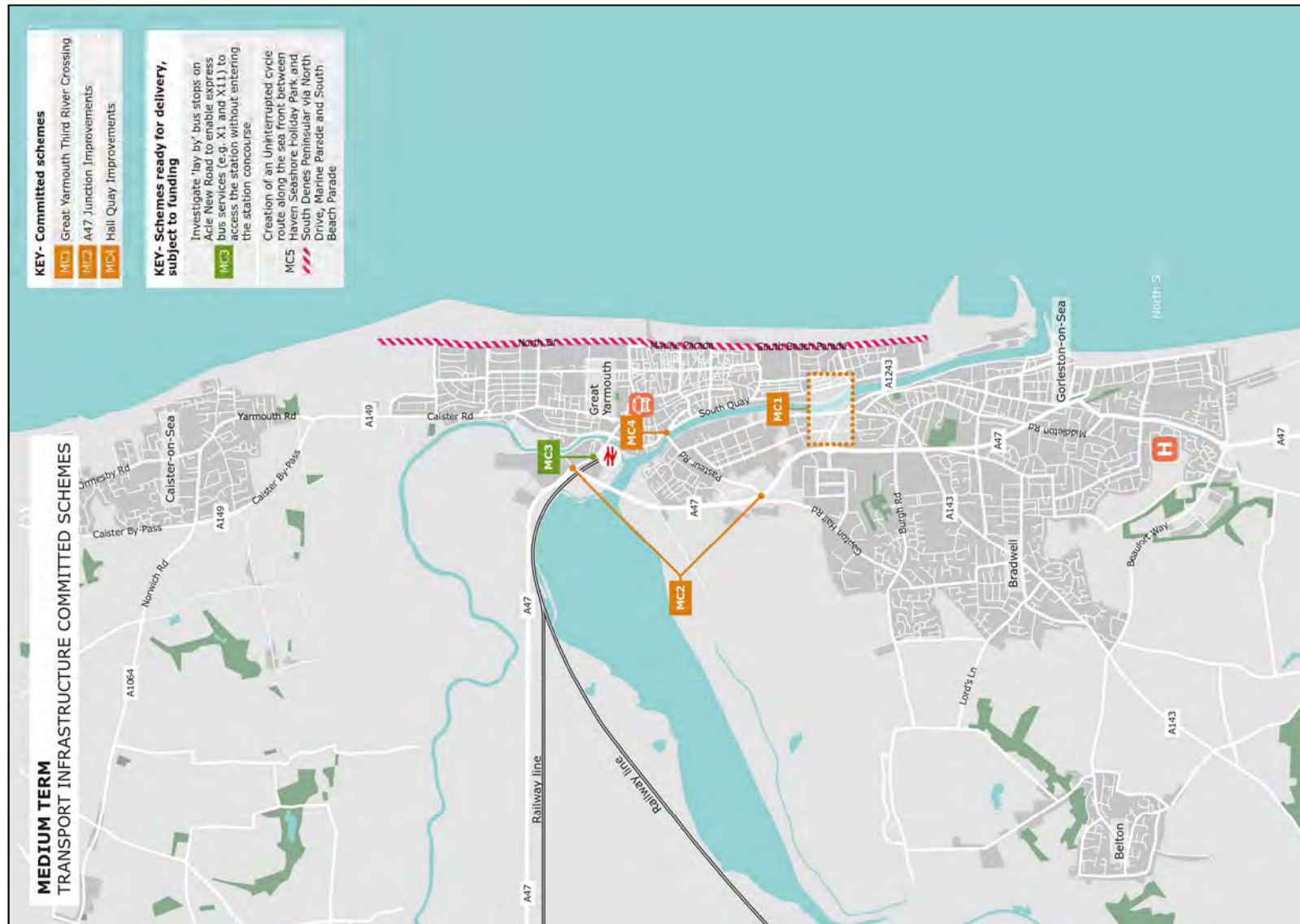
- 4.4.3. Norfolk County Council’s Infrastructure Delivery Team are currently investigating ‘lay by’ bus stops on the Acle New Road to enable express bus services including the X1 and X11 to serve Great Yarmouth Railway Station without entering the forecourt area. Currently no buses serve Great Yarmouth railway station, as such this will provide the potential for passengers to interchange with existing bus services. Investigative works for this scheme has not yet commenced.

MC5 – Creation of an uninterrupted cycle route along the sea front between Haven Seashore Holiday Park and South Denes Peninsula via North Drive, Marine Parade and South Beach Parade

- 4.4.4. This scheme is the creation of a new long-distance cycle route that will run along the sea front between Haven Seashore Holiday Park and South Denes Peninsula. Areas for improvement include the link between the cycle lane south of Britannia Pier and the shared space cycle facility north of Britannia Pier. This scheme is currently being progressed by Norfolk County Council’s Infrastructure Delivery Team.

There are currently north-south off carriageway cycle facilities south of Britannia Pier (shared-use path) and north of Euston Road (shared-use path) on the promenade east of the bowls green. The link between these two facilities currently requires cyclists to either dismount or to ride onto the carriageway around the cinema. Near the Pleasure Beach there are a number of pay and display parking bays which could be removed to allow the introduction of a dedicated cycle lane that connects with existing cycling infrastructure.





5 THE NEED FOR PRIORITISED INVESTMENT

5.1 TRANSPORT CHALLENGES & ISSUES

- 5.1.1. The transport issues set out in Section 3 have been used to inform the development of a long list of potential transport infrastructure interventions that can support the vision and objectives of this Transport Strategy.



Breydon Bridge. One of two existing road crossings of the River Yare. © Copyright John Fielding and licensed for reuse under this Creative Commons Licence: <https://creativecommons.org/licenses/by-sa/2.0/>

- 5.1.2. The development of this long list is discussed in more detail in the subsequent sections, however in summary the main transport challenges and opportunities that need to be considered are:

- **The existing crossings across the River Yare (Breydon Bridge and Haven Bridge) creates a pinch point for all road users.**

This results in significant delay and congestion on approach to these crossings at peak times, poor reliability of bus services and a disjointed cycle network.

- **The expansion of the off-shore energy sector appears to be changing commuting patterns in the town.**

Workers in areas of the town where there is a strong presence of off-shore energy industries commute significantly further than the average for Great Yarmouth.

- **Cycling infrastructure provision in Great Yarmouth is incomplete and disjointed.**

A large number of local and national cycle routes cross the town; however, the provision for cyclists along these routes is disjointed. For instance, despite there being no dedicated provision for cyclists, all cycle routes between Great Yarmouth and Gorleston-on-Sea route via Haven Bridge.

- **Walking and cycling improvements have the potential to help make jobs and local facilities more easily accessible by non-car modes.**

The compact nature of Great Yarmouth and high level of internalisation of commuting trips within the town means that there is strong potential for shorter journeys to be undertaken by active modes of travel. Improvements to walking and cycling networks would help facilitate sustainable economic growth, encourage mode-shift, encourage more active lifestyles and improve air quality.

- **Great Yarmouth has some of the most economically and socially deprived neighbourhoods in the UK.**

The high levels of deprivation can be associated in part with poor access to jobs and other everyday services and activities. In Great Yarmouth the severance created by the River Yare is likely to play a role in attributing to this. As such any improvement to transport networks in areas of high deprivation is likely to promote social inclusion.

- **The A47 experiences high levels of congestion at peak times.**

The A47 provides strategic connectivity to Norwich and Lowestoft. Many of the junctions along the A47 in Great Yarmouth are approaching capacity. The A47 Acle Straight is a single carriageway road with frequent side accesses. This results in stop-start traffic and is likely to be attributable to the high number of rear end shunts recorded along this road. The single carriageway nature of the road means that minor incidents can lead to significant delays and disruption.

Stakeholders including Great Yarmouth Borough Council, Norfolk County Council and the A47 Alliance have identified the Acle Straight as their top priority for inclusion in Highways England's Road Investment Strategy 2 (2020-2025). Whilst there are currently no committed improvement schemes along A47 Acle Straight, stakeholders continue to lobby for them.

- **Areas identified for growth currently have poor connectivity.**

The South Denes area, which forms part of the Great Yarmouth and Lowestoft Enterprise Zone, has weak local and strategic connectivity and is poorly served by public transport. This is reflected by a high journey to work car share amongst workers of South Denes.

- **The Great Yarmouth Third River Crossing has the potential to provide significant benefit to Great Yarmouth.**

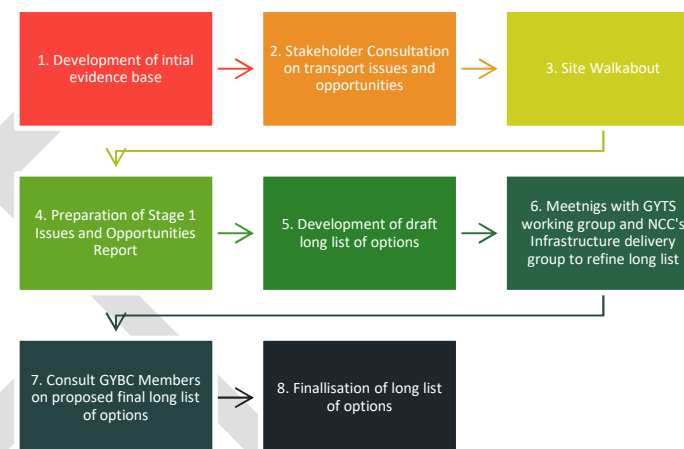
The crossing will significantly improve the local and strategic connectivity of Great Yarmouth and the South Denes Peninsula by providing improved access to the A47, helping to promote sustainable housing and economic growth. The crossing will also create new opportunities for bus, walking and cycling routes. It also has the potential to address the high levels of social deprivation experienced in the town by providing better access to jobs and services.

5.2 PRIORITISED INVESTMENT

- 5.2.1. To address the identified challenges and opportunities there is a need for prioritised investment in transport infrastructure. This can help address the reasons for social exclusion by providing better access to jobs and services, but also help promote sustainable housing and economic growth in the town by reducing the need to travel by car and improving access to supply chains and labour markets.
- 5.2.2. The investment in transport infrastructure is envisaged to be through a package of short, medium and long-term infrastructure interventions that could be delivered during, up to and beyond the current local plan period (up to 2030).
- 5.2.3. The following sections summarises the option development process used to identify a recommended shortlist of transport infrastructure schemes, currently uncommitted, that are recommended for progression over the next 10+ years.

5.3 TRANSPORT INFRASTRUCTURE OPTION DEVELOPMENT

- 5.3.1. The initial step was to develop a long list of short (0 to 3 years), medium (3 to 10 years) and long-term (10+ years) options based on the evidence base presented in the Stage 1 Transport Issues and Opportunities Report (summarised in Section 3 of this Transport Strategy), working group meetings with Norfolk County Council and Great Yarmouth Borough Council and consultation with stakeholders and Members of Great Yarmouth Borough Council.



- 5.3.2. No single option was considered capable of solving all the identified issues or achieve all the study specific objectives. Therefore, a number of overarching transport themes that are complementary to each other have been used to group the identified options. The transport themes are:



5.4 STAKEHOLDER ENGAGEMENT

- 5.4.1. A stakeholder consultation event was held on 14 June 2018. The purpose of this event was for the project team to introduce the Transport Strategy to key stakeholders and Council Members. The workshop consisted of a presentation by WSP setting out the transport issues and opportunities in the Transport Strategy study area.
- 5.4.2. The presentation was followed by a feedback session where key Stakeholders and Council Members could provide comment on the transport issues and opportunities identified in the presentation.
- 5.4.3. Comments were received in regard to:
- Walking and cycling infrastructure;
 - Travel patterns of residents;
 - Visitors and workers of Great Yarmouth,
 - Rail and bus services; and
 - The local and strategic road network.
- 5.4.4. Feedback received was incorporated into the Stage 1 Issues and Opportunities report and taken into consideration during the development of the long list of options.

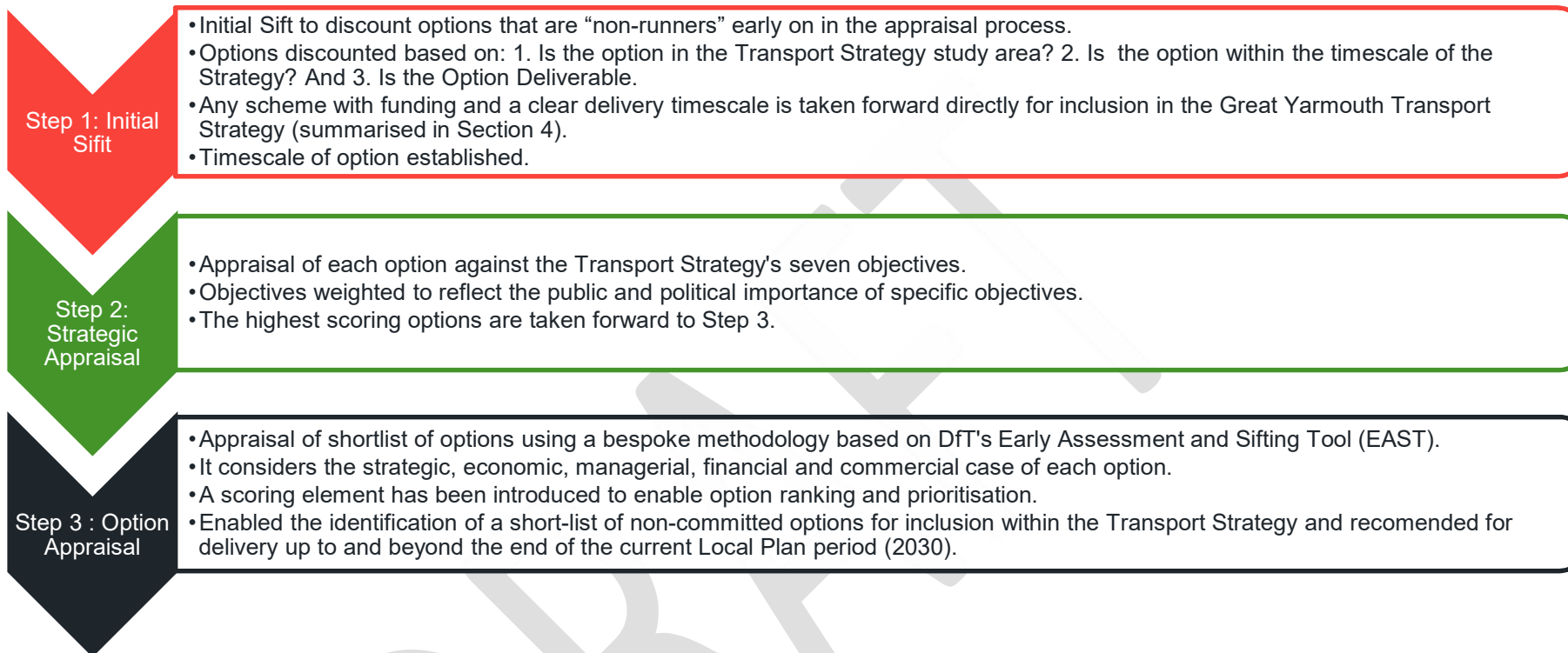
5.5 LONG LIST OF OPTIONS

- 5.5.1. In total, 118 conceptual options were identified for Great Yarmouth, this comprised:
- 12 General local highway improvement schemes;
 - 18 Local highway capacity improvement schemes;
 - 8 Strategic Road Network improvement schemes;

- 14 Bus service & associated infrastructure improvement schemes;
- 6 Heavy rail service and Great Yarmouth railway station improvement schemes;
- 16 Walking infrastructure improvement schemes;
- 32 Cycling infrastructure improvement schemes – of which 9 are area wide and 23 are area specific;
- 3 Parking policies / improvement schemes;
- 2 Electric vehicle schemes;
- 3 Car sharing / car club initiatives;
- 3 Smarter choices initiatives; and
- 1 Autonomous vehicle technology initiative.

5.6 OPTION APPRAISAL

- 5.6.1. It is not possible to deliver all of the options identified on the long list due to timescale, funding and deliverability constraints. Therefore, in order to identify a prioritised list of options for inclusion in the Transport Strategy an option appraisal of the long list of options was undertaken. This appraisal undertaken using a bespoke Strategic Assessment tool based on the Department for Transport's Early Assessment and Sifting Tool (EAST) which compares the Strategic, Economic, Managerial, Financial and Commercial case for each transport option.
- 5.6.2. The purpose of the option appraisal is to produce a shortlist of short, medium and long-term options recommended for delivery up to and beyond the end of the current local plan period (2030).
- 5.6.3. The appraisal was a three-step process:



5.6.4. The following section identifies the shortlist of short, medium and long-term options recommended for delivery by the end of the current local plan period (by 2030).

6 AN INTEGRATED TRANSPORT STRATEGY FOR GREAT YARMOUTH

6.1 OVERVIEW

- 6.1.1. This section sets out a package of short, medium and long-term options to address the transport issues in Great Yarmouth and support sustainable economic growth.
- **Short-term** options are planned for delivery by 2022;
 - **Medium-term** options are planned for delivered between 2023 and 2030 (end of the current local plan period); and
 - **Long-term** options are planned for delivery beyond 2030.
- 6.1.2. All of the options identified in this section of the Transport Strategy are non-committed, unfunded and have no confirmed timescale for delivery. As such the expected delivery should be treated as a recommendation and may change based on funding availability or following future development of the option.
- 6.1.3. It should be noted that all the options presented in the Transport Strategy are all unranked. Further detail on possible option prioritisation is provided in the Stage 2: Options Appraisal Report.

6.2 A MULTI-MODAL STRATEGY

- 6.2.1. One of the challenges faced by Great Yarmouth is its rural sub-region, whilst the compact nature of the town provides opportunities for movement by walking, cycling and public transport, access to the rural settlements that surround Great Yarmouth is more challenging by sustainable modes. As such the Transport Strategy include a range of strategic and local highway improvement schemes.
- 6.2.2. No one single mode or option can address the transport issues in Great Yarmouth. As such a package of measures are required including strategic and local car and non-car based options, that enhance:
- Local Highway Network capacity;
 - Strategic Highway Network capacity
 - The bus services and bus stops;
 - Rail services and Great Yarmouth Railway Station;
 - Walking infrastructure;
 - Cycling infrastructure;
 - Parking provisions and management; and
 - Smarter Choices (e.g. Travel Plans).

6.3 GEOGRAPHIC SCALES

- 6.3.1. The short and medium-term infrastructure options have been categorised based on geographic scale:
- **Strategic:** These options relate to the core transport corridors and networks that connect Great Yarmouth (such as the A47, Wherry Line and National Cycling Routes).

- **Area Wide:** These options relate to transport schemes or initiatives proposed across the Transport Strategy study area (e.g. transport policies, bus stop improvements etc.).
- **Local:** These options address local transport issues and are considered to have a localised benefit (e.g. local junction capacity improvement scheme or localised pedestrian infrastructure improvement scheme).

6.4 ACTION PLAN

- 6.4.1. In order to realise the ambitious aims of this Transport Strategy and help deliver the infrastructure solutions identified, an outline Action Plan has been developed. This is intended to:
- Help identify initial actions to develop each option; and
 - Identify stakeholder engagement likely to be required.
- 6.4.2. The initial actions are intended to help steer the development any business case for the programme of work as a whole as well as individual projects within the programme, and to secure funding.
- 6.4.3. The initial actions and stakeholders likely to be involved are provided alongside the description of each option in Sections 6.6, 6.7 and 6.8.

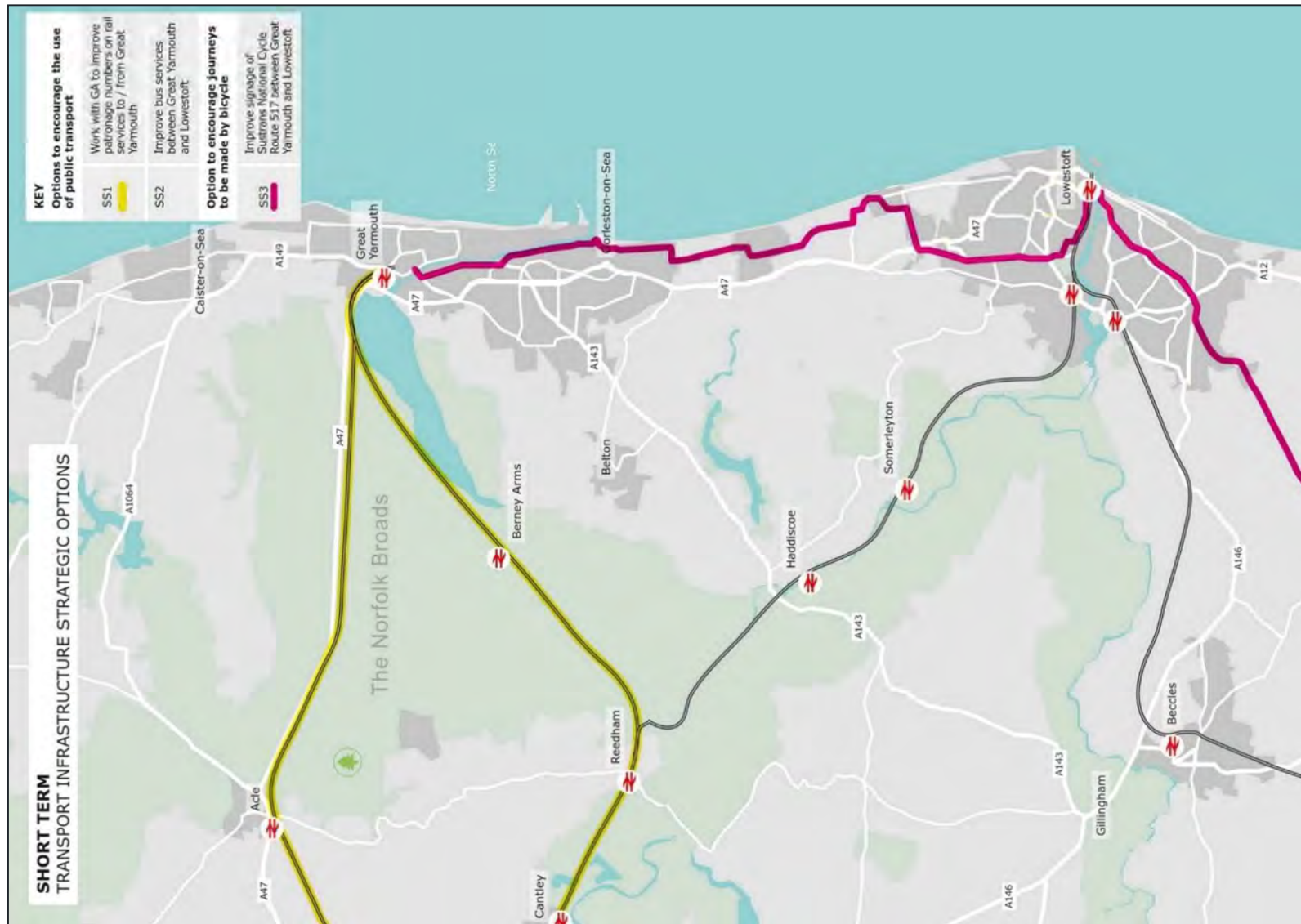
6.5 SHORT TERM (OPTIONS EXPECTED TO BE DELIVERED BY 2022)

STRATEGIC

Options to encourage the use of public transport						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SS1	Work with Greater Anglia to improve patronage numbers on rail services to / from Great Yarmouth	Working with Greater Anglia, this option looks to improve patronage numbers on rail services to / from Great Yarmouth. Greater Anglia are committed to introducing new rolling stock in 2019 / 2020, which include greater WIFI connectivity, charging points and other passenger amenity measures. Other ways to improve patronage include advertising, service frequency, service reliability, rail schemes and greater ticketing options.	Encourage modal shift through improve public transport facilities	Require wider changes (frequency / reliability) to increase patronage. Measures taken require cost with no guaranteed result.	Engage with Greater Anglia and understand existing use of train services and measures that could increase patronage.	Greater Anglia Norfolk County Council Developers
SS2	Improve bus services between Great Yarmouth and Lowestoft	This option seeks to improve the public transport connectivity between Great Yarmouth Lowestoft. This could be achieved through the introduction of a new bus service, improved frequency of existing services, inclusion of more stops between the two coastal towns and improved experience for users (journey time reliability, on-board features).	Improve public transport strategic coastal connections. Encourage modal shift through improved public transport services.	Requires support of bus operators	Engage with bus operators to establish commercial viability. Identify future development that could support new services (through Section 106Developer contributions). Identify where new bus stop infrastructure may be required to support a new service.	Bus Operators Norfolk County Council Developers

Option to encourage journeys to be made by bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SS3	Improve signage of Sustrans National Cycle Route 517 between Great Yarmouth and Lowestoft	This option considers the improvements to signage of the Sustrans National Cycle Route 517 between Great Yarmouth and Lowestoft. This would ensure that the cycle routes meet the highest design standards and offer the best experience to users.	<p>Promotes cycling.</p> <p>Helps users to identify the route.</p> <p>Improves accessibility of the bikeway system for all users.</p>	Route only go through part of Great Yarmouth	<p>Undertake detailed review of existing wayfinding provision.</p> <p>Establish wayfinding strategy for cyclists that is coherent across Great Yarmouth.</p> <p>Identify location for new wayfinding infrastructure.</p>	Norfolk County Council



AREA WIDE

Option to encourage the use of public transport

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA1	Bus stop improvements throughout the main urban area of Great Yarmouth, Gorleston-on-Sea and Caister-on-Sea	This option is to provide improvements to bus stops throughout the main urban area of Great Yarmouth, Gorleston-on-Sea and Caister-on-Sea. Improvements could include the introduction of real time passenger information (RTPI), new and improved bus shelters, new and improved waiting facilities and raised kerbs.	Encourage modal shift	No improvement to bus service frequencies or capacity of the public transport network	Engage with bus operators. Understand current situation regarding bus stops that have been recently improved, or are proposed to be improved.	Bus Operators Norfolk County Council Great Yarmouth Borough



*Left: Flag and pole bus stop cut into the Quayside on Southtown Road.
Right: Flag and pole bus stop on Admiralty Road.*

Option to better manage traffic on the local and strategic highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA2	Develop and introduce a signage strategy to inform drivers of car parking availability, congestion and, when implemented, status of the Great Yarmouth Third River Crossing	Improvements to existing signing and provision of new signage to help drivers make more informed decisions (e.g. route choice, car park etc). This could include the introduction of Variable Message Signs (VMS) to warn drivers of congestion, accidents, roadwork zones, speed limits, car park availability and status of river crossings (including the Third River Crossing once constructed). A scheme is currently being developed as a part of the Great Yarmouth Third River Crossing scheme.	Help drivers make more informed decisions on their route choices / choice of car park Improve journey time reliability and reduced congestion, particularly when crossings are closed	Signage may be ignored, especially by drivers using Satnavs. Increase rat-running if drivers have knowledge of the local road network.	Understand signage strategy proposed as a part of the GYTRC. Work with GYTRC team to Develop signage strategy that could provide drivers with information on traffic and parking issues across Great Yarmouth.	Norfolk County Council

Options to encourage journeys to be made by bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA3	Develop a cycle route map / smartphone app for Great Yarmouth showing cycling routes and associated infrastructure	The option looks at developing a cycle route map or smartphone app for Great Yarmouth to show users the standard of cycle infrastructure (e.g. shared use (segregated, advisory, on-road cycle lane and on-road). An app could be designed to calculate journey times, distance to local amenities and highlight the different types of cycle routes a user could follow.	Helps a user to plan their cycling routes more effectively. May make users aware of new routes. May reduce journey times if routes can be planned beforehand.	Would have to be updated regularly to include all route upgrades or changes.	Understand whether existing / similar apps are available and offer same functionality. Identify availability of data / additional data requirements. Engage with app developers / graphic designers to understand cost and feasibility of producing app / updated route map.	Norfolk County Council Great Yarmouth Borough Council Cycling Groups / Organisations

Option to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA5	Upgrade existing traffic signal network within Great Yarmouth to coordinate signal times and phasing and improve the flow of traffic	This option involves upgrading and improving the traffic signal network within Great Yarmouth to coordinate signal times and phasing. Improvements could include introduction of Urban Traffic Control (UTC) to coordinate traffic signals across a network, or upgrading existing signal controllers to include MOVA.	<p>Improve connectivity and reliability on the network by improving junction efficiency and capacity.</p> <p>Improve access to goods and services through reduced journey times</p>	Provides junction capacity benefits only, no increase in physical capacity of links	<p>Develop design for an improvement scheme.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council

Option to encourage journeys by public transport

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SA6	Work with bus operators to maintain and where possible improve the frequency of rural bus services that serve villages to the north west and south west of Great Yarmouth	Great Yarmouth has an extensive bus network, however away from residential areas in the rural villages surrounding the town, there is limited or no provision. This option looks to work with bus operators to maintain, and where possible, improve the frequency of rural bus services that connect Great Yarmouth with the villages to the north-west and south-west of the town.	Encourage modal shift through improve public transport facilities to rural locations	Dependent upon public transport operators	<p>Engage with bus operators to establish commercial viability of existing services.</p> <p>Identify future Development that could support existing / new services (through Section 106 Developer contributions).</p>	<p>Bus Operators</p> <p>Developers</p>



LOCAL

- 6.5.1. Following a review of the 2018 strategic modelling for the Great Yarmouth Third River Crossing a number of junctions have been identified as experiencing high levels of queuing and delay at peak periods. Whilst the intention of the options below is to address existing pinch points on the local highway network further work will need to be undertaken to determine the details of any highway intervention (including carrying out surveys and undertaking additional modelling).

Options to reduce delay and traffic congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL2	Capacity improvement at A143 Beccles Road / Church Lane / Long Lane / Mill Lane signalised junction	The A143 Beccles Road / Church Lane / Long Lane / Mill Lane junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL3	Capacity improvement at A143 Beccles Road / Crab Lane priority junction	The A143 Beccles Road / Crab Lane priority junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include signalling the junction or replacing the existing priority arrangement with a small roundabout.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	Identify capacity improvement options.	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL4	Capacity improvement at A143 Beccles Road / Shrublands Way / A147 slip road signalised junction	The A143 Beccles Road / Church Lane / Long Lane / Mill Lane junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL5	Capacity improvement at A143 Beccles Road / William Adam's Way / Southtown Road signalised junction	The A143 Beccles Road / William Adam's Way / Southtown Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements. A scheme at this junction is incorporated within the Great Yarmouth Third River Crossing scheme.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL6	Capacity improvement at Fuller's Hill / Northgate street signalised junction	The Fuller's Hill / Northgate junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements. Any	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g.</p>	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
		scheme would tie in with the recent improvement works at this junction (Scheme SC13).	for non-motorised users.		using GYTRC Paramics & Saturn models).	
SL7	Capacity improvement at Gapton Hall Road / Hewett Road (Gapton Hall Industrial Estate) priority junction	The Gapton Hall Road / Hewett Road (Gapton Hall Industrial Estate) priority junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include upgrading to a signalised crossing or replacing the existing priority arrangement with a small roundabout.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p> <p>Improve facilities for non-motorised users.</p>	<p>Benefit limited to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council
SL9	Capacity improvement at Lawn Avenue / Tar Works Road / Caister Road junction	The Lawn Avenue / Tar Works Road / Caister Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve connectivity and reliability on the network by improving junction efficiency and capacity.</p>	<p>Limited impact to individual junction.</p> <p>Potential to shift the problem to elsewhere on the network.</p>	<p>Identify capacity improvement options.</p> <p>Develop high level option plans.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL10	Capacity improvement at A47 Lowestoft Road / High Street / Church Lane / Baker Street signalised junction	The A47 Lowestoft Road / High Street / Church Lane / Baker Street junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve connectivity and reliability on the network by improving junction efficiency and capacity	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models). Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council
SL11	Highway works to improve operation of the Market Gates / Temple Road / South Market Road signalised junction	The Market Gates / Temple Road / South Market Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. It has been suggested that existing on-street bus stops and taxi ranking contribute to queuing and delays at this junction. The operation of this junction could be improved through a review of on-street bus stops and taxi ranks within the immediate locality of this junction and / or junction capacity improvements (e.g. a review of phasing and timings and / or reallocation of carriageway space within the highway boundary to support the dominant movements).	Improve connectivity and reliability on the network by improving junction efficiency and capacity.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify capacity improvement options. Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL12	Capacity improvement at Priory Plain / St Nicholas Road / Temple Road signalised junction	The Priory Plain / St Nicholas Road / Temple Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Improve connectivity and reliability on the network by improving junction efficiency and capacity.	Limited impact to individual junction. Potential to shift the problem to elsewhere on the network.	Identify capacity improvement options. Develop high level option plans. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council
SL13	Provide 'OUT' movement from Lidl and B&M car parks onto A1243 Pasteur Road	This option explores providing an 'OUT' movement for vehicles from Lidl and B&M car parks onto the A1243 Pasteur Road. Currently vehicles can only enter the car parks from Pasteur Road (westbound) and Station Road, but only exit onto Station Road. To re-join the A1243 Pasteur Road users must travel through two signalised junctions. There is a pedestrian crossing along Pasteur Road outside the entrance to B&M, which could be incorporated into a signalised junction to allow vehicles to exit safely onto the A1243.	Reduced congestion onto Station Road. Improve accessibility of Lidl and B&M.	Land ownership issues. Reduced car parking. Potential for "rat running" through car park. Increase traffic congestion on A1243 Pasteur Road.	Develop design for an improvement scheme. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council

Options to reduce delay and traffic congestion on the local highway network

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL23	Capacity improvement at Hall Quay / South Quay / Bridge Road signalised junction	The Hall Quay / South Quay / Bridge Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings, and the reallocation of carriageway space within the highway boundary to support the dominant movements.	<p>Improve journey time reliability.</p> <p>Increase junction capacity and improve efficiency.</p>	<p>Limited impact to individual junction.</p> <p>Potential to shift the problem to elsewhere on the network.</p>	<p>Identify improvement options.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).</p>	Norfolk County Council

Options to encourage journeys by public transport

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL16	Improve public transport connectivity of South Denes peninsula / South Denes Enterprise Zone through introduction of new bus services / extension of existing services	This option seeks to improve the public transport connectivity between Great Yarmouth town centre and the South Denes peninsula and South Denes Enterprise Zone. This could be achieved through the introduction of a new bus service, or the extension of an existing service (for example Route 2, which currently connects Great Yarmouth Town Centre to the Barrack Estate).	<p>Encourage modal shift through improve public transport facilities.</p> <p>Improved connectivity of public transport hubs to key employment areas</p>	<p>Unlikely to be run as a commercial service.</p> <p>Likely need for services to be subsidised or externally supported.</p>	<p>Engage with bus operators to establish commercial viability.</p> <p>Identify future development that could support new services (through Section 106 Developer contributions).</p> <p>Identify where new bus stop infrastructure may be required to support a new service.</p>	<p>Bus Operators</p> <p>Norfolk County Council</p> <p>Developers</p>

Options to encourage journeys by public transport

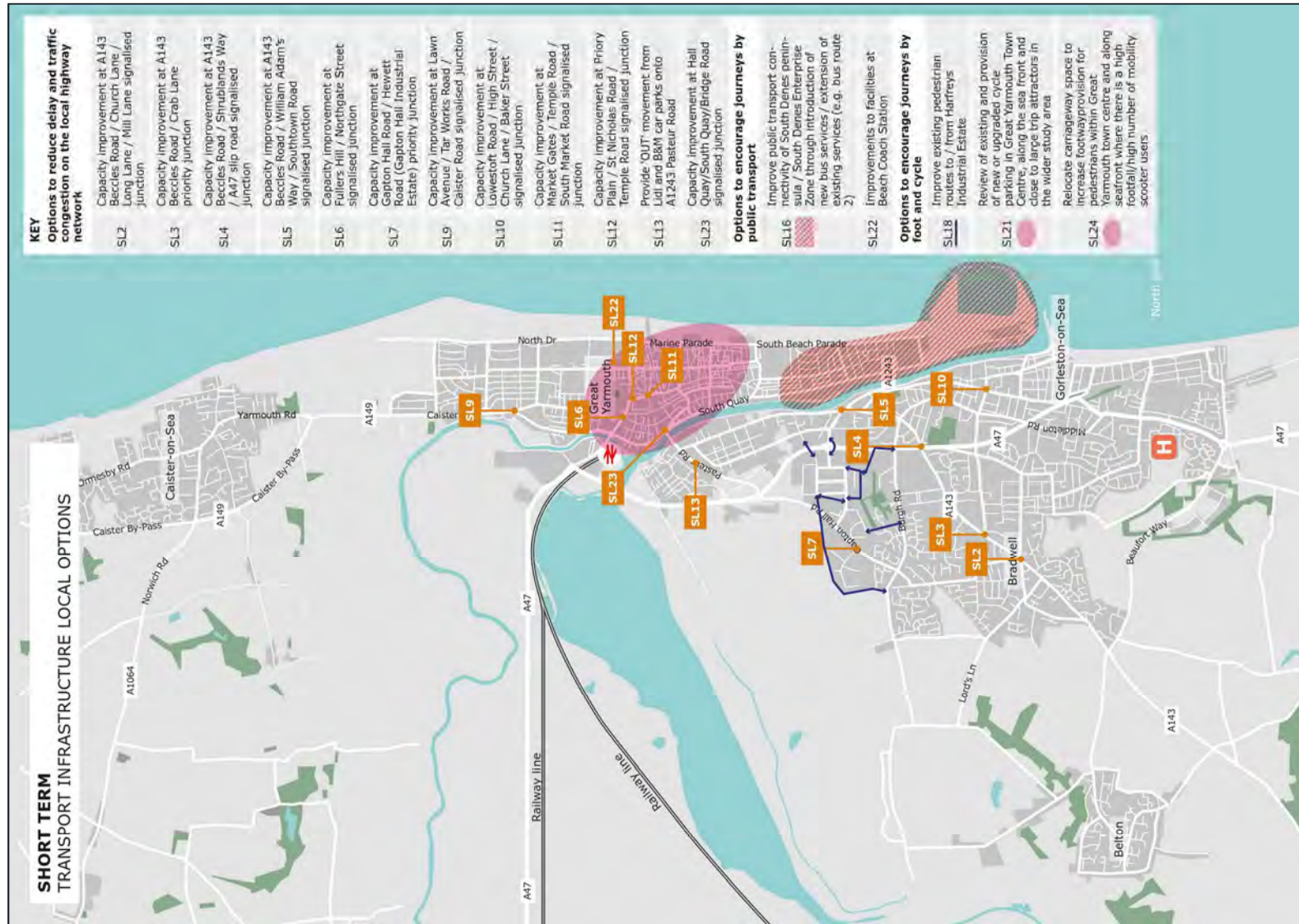
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL22	Improvements to facilities at Beach Coach Station	Currently the coach park is on the outskirts of the town centre, so the purpose of this option is to provide improvements to the facilities at the Beach Coach Station. Improvements could include the introduction of real time passenger information (RTPI), new and improved bus shelters, new and improved waiting facilities, raised kerbs and improved drop off / pick up facilities.	Encourage more coach trips to Great Yarmouth. Encourage mode shift from car to coach.	Increase in coach services likely to be in summer months only.	Audit of existing coach station and NMU access	Norfolk County Council Great Yarmouth Borough Council Coach Operators



Informal pedestrian crossing facilities across the A47

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
SL18	Improve existing pedestrian routes to / from Harfreys Industrial Estate	This option considers improvements to the existing pedestrian route to / from Harfreys Industrial Estate. Improvements could be made to: the foot/ cycle bridge across A47; footpath between Harfreys Road and Burgh Road; and the footpath between Edison Way and Burgh Road (recently delivered). This scheme would help to improve accessibility for pedestrians because they include path widening, replacing styles of barriers, reviewing pedestrian crossing points and cutting back vegetation.	Improve access in and around Harfreys Industrial Estate. Safer walking routes.	Proposed pedestrian routes may not be seen as attractive. Routes may offer no / limited journey time benefit to workers of Harfreys Industrial Estate.	Survey existing pedestrian routes. Establish proposed upgrades (e.g. lighting, surfacing, signage etc.).	Norfolk County Council Great Yarmouth Borough Council
SL21	Review of existing and provision of new or upgraded cycle parking in Great Yarmouth Town Centre, along the seafront and close to large trip attractors in the wider Transport Strategy study area	This option explores assessing the current level of cycle parking and looks at adding new or upgraded parking in the town centre, along the sea front and close to large trip attractors. This would allow cyclists to leave their bikes in secure places and could encourage others to use their bikes more often.	Increase cycle capacity. Encourages use of bicycles, which could help to reduce the need for use a car to go about town.	Requires adequate road / cycleway infrastructure to support an increase in cycle numbers.	Undertake audit of existing cycle parking provision and survey its utilisation. Review survey results to understand need for additional cycle parking provision.	Operators of large trip attractors (e.g. Britannia Pier) Norfolk County Council Great Yarmouth Borough
SL24	Reallocate carriageway space to increase footway provision for pedestrians within Great Yarmouth Town Centre and along seafront where there is a high footfall / high number of mobility scooter users	This option explores a reallocation of carriageway space to increase footway provision for pedestrians within the town centre and along the seafront. These improvements would help to mitigate the high footfall / high number of mobility scooter users and improve safety in the area.	Improve safety and amenity for pedestrians. Encourage shorter journeys to be made on foot.	May result in reduction in carriageway space for other road users.	Identify non-pedestrianised links with high footfall. Develop design for an improvement scheme.	Norfolk County Council Great Yarmouth Borough Council Town Centre Businesses and Residents



6.6 MEDIUM TERM (OPTIONS EXPECTED TO BE DELIVERED BY 2030)

STRATEGIC

Options to reduce delay and congestion on the strategic road network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS1	A47 Acle Straight Dualling	Upgrading the A47 Acle Straight to dual carriageway standard would increase capacity and create a continuous stretch of dual carriageway from Dereham to Great Yarmouth when combined with the other A47 Highways England schemes.	<p>Improve road user safety.</p> <p>Improve journey times and journey time reliability.</p> <p>Create continuous dual carriageway between Dereham and Great Yarmouth.</p>	<p>May create new pinch points on network in Great Yarmouth.</p> <p>Requires consultation and coordination with Highways England.</p>	<p>Engage with Highways England on work undertaken to date.</p> <p>Undertake corridor study exploring possible improvement options along the A47.</p> <p>Work with Highways England to have the scheme allocated in the next Road Investment Strategy.</p>	<p>Norfolk County Council</p> <p>Highways England</p>
MS2	Capacity improvements at A47 Harfreys Roundabout	The stretch of the A47 through northern Great Yarmouth experiences heavy congestion during peak times. Capacity improvements at the A47 Harfreys Roundabout could include signalisation, reallocation of lane space and widening within the highway boundary to support the dominant movements. The A47 Harfreys Roundabout will be one of the main accesses to the Third River Crossing from the west. A scheme at this junction is currently being investigated by Highways England, but is not currently committed.	<p>Increase junction capacity.</p> <p>Reduce traffic congestion.</p> <p>Improve journey time reliability.</p> <p>Improve road user safety.</p>	<p>Benefit restricted to single junction.</p> <p>Potential to shift the problem to other junctions on the network.</p>	<p>Identify improvement options.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).</p>	<p>Norfolk County Council</p> <p>Highways England</p>

Options to reduce delay and congestion on the strategic road network

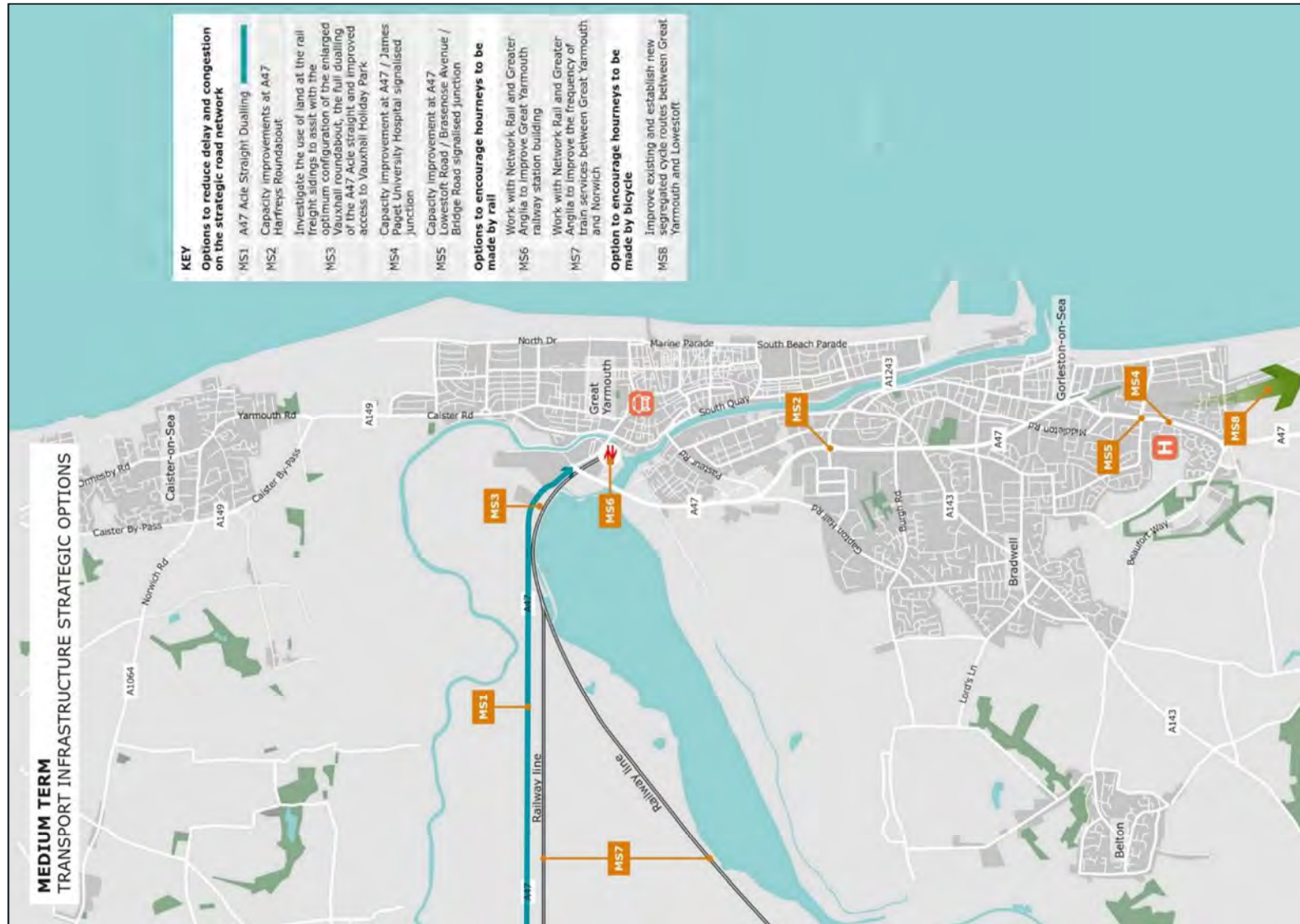
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS3	Investigate the use of land at the rail freight sidings to assist with the optimum configuration of the enlarged Vauxhall Roundabout, the full dualling of the A47 Acle Straight and improved access to Vauxhall Holiday Park.	This option considers investigating the use of land at the rail freight sidings to assist with the optimum configuration of the enlarged Vauxhall Roundabout, the full dualling of the A47 Acle Straight and improved access to Vauxhall Holiday Park. Land-take will help with the re-alignment of the roundabout to improve access for pedestrians, cyclists and other road vehicles.	Improve access to Vauxhall Holiday Park. Potential to help reduce congestion on the A47 Acle Straight and at Vauxhall Roundabout.	Limit or prevent any future use of the rail sidings.	Engage with Highways England about the potential to incorporate the land into any future scheme for the A47 and Acle Straight.	Vauxhall Holiday Park Highways England Network Rail Norfolk County Council
MS4	Capacity improvements at A47 / James Paget University Hospital signalised junction	The A47 / James Paget University Hospital junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Capacity improvements at A47 / James Paget University Hospital signalised junction.	Capacity improvements at A47 / James Paget University Hospital signalised junction.	Identify improvement options. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).	Norfolk County Council Highways England
MS5	Capacity improvements at A47 Lowestoft Road / Brasenose Avenue / Bridge Road signalised junction	The A47 Lowestoft Road / Brasenose Avenue / Bridge Road junction has been identified as a pinch point in the Great Yarmouth Third River Crossing transport modelling. Capacity improvements could include a review of the signalised junction arrangement including the phasing and timings and the reallocation of carriageway space within the highway boundary to support the dominant movements.	Increase junction capacity. Reduce traffic congestion. Improve journey time reliability. Improve road user safety.	Benefit restricted to single junction. Potential to shift the problem to other junctions on the network.	Identify improvement options. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models, LinSig).	Norfolk County Council Highways England

Options to encourage journeys to be made by rail

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS6	Work with Network Rail and Greater Anglia to improve Great Yarmouth railway station building	Great Yarmouth Railway Station appears run down and gloomy, giving a poor impression of the town. It also seems remote and is often unmanned for long periods of time. Working with Network Rail and Greater Anglia, this option aims to improve the railway station building and create a sense of arrival to the town. This could include new mixed-use development of the railway station building, public realm improvements and greater presence of railway operator personnel.	Aesthetically pleasing gateway features create a sense of arrival into the town. Encourage modal shift through improve public transport facilities.	Does not provide any direct benefits to transport and different modes of transport.	Work with Great Anglia to establish range of possible short, medium and long-term improvement options for the railway station concourse.	Greater Anglia Norfolk County Council
MS7	Work with Network Rail and Greater Anglia to improve the frequency of train services between Great Yarmouth and Norwich	The current frequency of services between Norwich and Great Yarmouth is approximately one train per hour, with a journey time of 30-35 minutes. Working with Network Rail and Greater Anglia, this option looks to improve the frequency of services between Norwich and Great Yarmouth, subsequently improving connectivity to Norfolk and further afield.	Improved safety in the Transport Strategy study area. Improved connections between Great Yarmouth and Lowestoft.	Only possible if there is enough space, or where it's possible to close one motor vehicle lane. Does not improve connections outside of Great Yarmouth, other than Lowestoft.	Engage with Great Anglia and Network Rail. Seek to understand existing barriers to introduction of more frequent service. Work with Great Anglia and Network Rail to identify ways that rail services between Great Yarmouth and Norwich could be increased.	Greater Anglia Norfolk County Council Great Yarmouth Borough Council

Option to encourage journeys to be made by bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MS8	Improve existing and establish new segregated cycle routes between Great Yarmouth and Lowestoft	This option considers improving existing cycle routes around Great Yarmouth and the potential to establish new routes between Great Yarmouth and Lowestoft. Segregated cycle lanes help to allocate space on roads for cycle use only and this could encourage people to switch from using their personal vehicle.	Improved safety in the Transport Strategy study area. Improved connections between Great Yarmouth and Lowestoft.	Only possible if there is enough space, or where it's possible to close one motor vehicle lane. Does not improve connections outside of Great Yarmouth, other than Lowestoft.	Identify shortlist of route options. Understand existing land ownership (including highway boundary extent). Develop design for an improvement scheme based on option proformas.	Norfolk County Council Great Yarmouth Borough Council



AREA WIDE

Options to encourage journeys to be made by foot and bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA1	New signed strategic cycle route between Great Yarmouth Town Centre and Gorleston-on-Sea that utilise Great Yarmouth Third River Crossing	This option explores the addition of a new strategic cycle link between Great Yarmouth Town Centre and Gorleston-on-Sea. This route would utilise the new Great Yarmouth Third River Crossing and provide a new route around the town that currently lacks cycle access. This option would also tie-into several existing routes (cycle route 2 to the east of the River Yare and Sustrans Route 517, cycle route 5 and cycle route 6 or existing neighbourhood links along the A143) to make sure that the cycle routes are well connected. Norfolk County Council is currently investigating a possible cycle route scheme on both sides of the River Yare, however this is not a committed scheme.	<p>Cycling in the area becomes more connected and easier to navigate around town.</p> <p>Encourage use of a sustainable method of transport.</p>	Relies on the completion of the GYTRC, any time delays will impact on the when the cycle route can be used.	<p>Work with GYTRC team to ensure proposed layout connects with existing cycle network.</p> <p>Work with GYTRC to introduce cycle route signage at and on approach to the crossing.</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>
MA3	Work with dock less cycle operators to introduce a cycle hire scheme in Great Yarmouth	This option explores using dock-less cycle operators to add a cycle hire scheme to Great Yarmouth, similar to Mobike Norwich. Typically cycle hire schemes require an app to be downloaded onto a smartphone and subscription set up using a credit card. Using an app helps the user to locate a bicycle.	<p>Availability of bicycles encourages use for shorter journeys.</p> <p>Does not require bicycle ownership.</p> <p>Does not require formal cycle parking facilities (e.g. Sheffield Standard).</p>	<p>Parked bicycles could block footways.</p> <p>Commercial viability.</p>	<p>Monitor dockless cycle hire schemes in other towns and cities in the UK.</p> <p>Hold discussions with dockless cycle operators.</p> <p>Explore infrastructure requirements to facilitate dockless hire cycle operators.</p>	<p>Dockless Cycle Hire Operators</p> <p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>

Options to encourage journeys to be made by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA5	Investigate accessibility improvements throughout Great Yarmouth for vulnerable pedestrians.	This option is accessibility improvements throughout Great Yarmouth to improve accessibility for vulnerable users. Improvements could include new formalised crossings, improved street lighting, tactile paving and dropped curbs.	<p>Improves connectivity for vulnerable users.</p> <p>Encourage shorter journeys to be undertaken on foot.</p> <p>Help vulnerable users feel safer and more confident travelling in Great Yarmouth.</p>	May only be small pinch point improvement schemes and may not be able to provide any significant improvement in accessibility.	<p>Hold discussions with local action groups to identify existing issues and opportunities.</p> <p>Undertake audit of the current accessibility of the urban environment to vulnerable users.</p>	<p>Great Yarmouth Borough Council</p> <p>Norfolk County Council</p> <p>Local action groups representing vulnerable users</p>
MA6	Improve sustainable transport connectivity of Holiday Parks in Great Yarmouth.	This option is improvements to the sustainable transport connectivity of Holiday Parks in Great Yarmouth (Haven Seashore Holiday Park, Vauxhall Holiday Park and Cherry Tree Holiday Park). Improvements could include new / upgraded walking and cycling routes and provision for shuttle bus services during the summer months.	<p>Improve safety for residents, visitors and workers travelling to Great Yarmouth's Holiday Parks by active modes of transport.</p> <p>Encourage shorter journeys to be undertaken by non-car modes of transport.</p>	Funding / commercial viability of shuttle bus service.	<p>Hold discussions with representatives of the Great Yarmouth Holiday Parks to understand existing travel patterns of residents, visitors and workers.</p> <p>Undertake audit of existing pedestrian and cycle routes to / from Great Yarmouth Holiday Parks.</p> <p>Develop improvement schemes / new pedestrian and cycle routes.</p>	<p>Great Yarmouth Borough Council</p> <p>Norfolk County Council</p> <p>Great Yarmouth Holiday Parks</p>

Option to encourage travel by smarter choices

Ref	Option	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA2	Support and encourage non-residential developments to produce a travel plan	This option explores using a travel plan (e.g. workplace or school travel plan), that aims to encourage behaviour change which will lead to the use of more sustainable modes of travel. Where practical and feasible this should include a commitment to providing facilities for cyclists (e.g. changing areas, showers etc.), increasing walking, encouraging use of public transport and providing information on liftshare opportunities.	<p>Reducing peak time congestion.</p> <p>Reducing harmful transport emissions and energy use.</p> <p>Improving accessibility.</p> <p>Reduced cost of travel.</p>	<p>A reduction in car travel may not be possible for all people, such as a salesperson.</p> <p>The developments may not have the appropriate infrastructure to support a modal shift.</p>	<p>Review existing delivery of Travel Planning in the Transport Strategy Study Area.</p> <p>Look to understand proportion of non-residential Development that currently have a Travel Plan.</p> <p>Review success of existing Travel Plans.</p> <p>Identify particular areas / type of businesses to target as a part of a pilot study.</p> <p>Develop strategy (including marketing materials, presentations, guidance documents and templates) to help non-residential Developments produced their own Travel Plan.</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>

Option to better manage parking

Ref	Option	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
MA4	Develop a parking strategy for Great Yarmouth. This should include a review of visitor / residential demand and a review and re-assessment of on-street parking in the Controlled Parking Enforcement (CPE) area, particularly the use of residential permit zones in order to protect the quality of life of residents.	This option explores how Great Yarmouth Borough Council would develop a parking strategy to assess visitor / residential demand in the town, to ensure that there are adequate spaces for all. There will then be a review of the controlled on-street parking – which could include the decision to limit the amount of spaces and open up the public realm.	<p>Help better manage car parking during peak periods (summer months).</p> <p>Help ensure availability of car parking for residents of Great Yarmouth.</p>	<p>Potential for new car parking charges to be introduced.</p> <p>Potential for removal of uncontrolled on-street parking in central locations.</p>	<p>Car Parking Utilisation Survey during summer months</p> <p>Survey of existing residents to understand issues / receptibility to introduction of permits</p>	<p>Norfolk County Council</p> <p>Great Yarmouth Borough Council</p>



LOCAL

Option to reduce delay and congestion on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML1	New link road between Thamesfield Way and Suffolk Road	This option looks to provide a new link road between Thamesfield Way and Suffolk Road to provide an additional access into the Southtown area and to relieve Southtown Road of congestion.	<p>Relieve congestion on Southtown Road and Pasteur Road.</p> <p>Provide an additional access into the Southtown area.</p>	<p>Land will need to be acquired in order to build the scheme.</p> <p>May lead to “rat running” by non-local traffic.</p>	<p>Establish land ownership.</p> <p>Develop option.</p> <p>Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).</p>	<p>Local land owners, residents and businesses</p> <p>Norfolk County Council</p>

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML2	Package of Cycle Improvements along A143 Beccles Road	<p>This option is the delivery of a range of cycle infrastructure improvements along the A143 Beccles Road, including:</p> <p>Widening the existing shared-use route on the A143 Beccles Road between Burnet Road and New Road. This could lead onto the opportunity for a new segregated route;</p> <p>Adding a new cycle route along the A143 Beccles Road between Primrose Way and Beccles Road / Burgh Road Roundabout. Cycle crossing facilities could also be considered to make the route much more accessible and quicker for users;</p> <p>Developing the existing neighbourhood cycle routes between Bussey's Loke and Crab Lane to improve the east-west cycle connectivity (scheme currently being progressed by Norfolk County Council); and</p> <p>Exploring how the existing neighbourhood cycle route between Burnet Road and Sun Lane can be used to improve east-west cycle connectivity. The developments would include improvements to crossing facilities for cyclists at A143 / Sun Lane priority junction.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users.	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML3	Package of Cycle Infrastructure Improvements in Gorleston-on-Sea	<p>This option is the delivery of a range of cycle infrastructure improvements in Gorleston-on-Sea, including:</p> <p>Adding new or improving crossing facilities for pedestrians and cyclists along the A47 Lowestoft Road. Safer crossings could be added at major junctions to make it easier to cross the road; and</p> <p>Consideration of a new north-south cycle route along the B1370. A scheme could build upon the existing cycle route along Lowestoft Road.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML4	Package of Cycle Infrastructure Improvements in Great Yarmouth Town Centre	<p>This option is a range of cycle infrastructure improvements in Great Yarmouth Town Centre, including:</p> <p>Consideration of a new cycle route between The Conge and Regent Street to improve north-south connectivity. Initial improvements have been made to the Conge and it has been noted that there is a missing link between The Conge and The Minster. Cycle links between The Conge and the town centre could be improved either along Hall Quay and Georges Street, along Howard Street South or a north-south link across the edge of the Market Place from King Street to The Conge;</p> <p>Exploration of a new north-south cycle route between Fuller's Hill roundabout, The Conge and The Minster. The improvements to the roundabout would allow users to cross safely and could build upon the existing pathway around the roundabout; and</p> <p>Consideration of a new east-west cycle route between the town centre, Hall Quay and the Seafront. A contraflow cycle lane exists along most of the Transport Strategy study area, however there are some sections that could be improved. These improvements could be made to: junctions of King Street (both with Regent Road and with Regent Street), pedestrian crossings and eastern and western tie-in points to the network.</p> <p>All of these links are currently being investigated by Norfolk County Council, however none of these are committed schemes.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML5	Improve east west pedestrian and cycle connectivity between Vauxhall Holiday Park, residential areas to the west of the River Yare and Fullers Hill Roundabout	This option considers cycle improvements and bus stop locations along the New Acle Road, as well as cycle tie-in points on the eastern side of the bridge to Fuller's Hill roundabout and Tar Works Road. Improvements to these areas would encourage modal shift for users that visit the Vauxhall Holiday Park. Part of this scheme is currently being delivered between Vauxhall Roundabout and Acle New Road Bridge. The section at Vauxhall Roundabout will need to be delivered by Highways England and is not currently a committed scheme.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council
ML6	Improve facilities for pedestrians and cyclists between Caister-on-Sea and Great Yarmouth Town Centre	This option considers improvements to facilities for pedestrians and cyclists between Caister-on-Sea and Great Yarmouth Town Centre. These improvements would allow for improved accessibility and improved journey times for users. There are currently shared use and segregated access for cyclists and pedestrians into Caister-on-Sea, but these could be improved so that the cycle lanes are segregated from the main road more frequently. A number of possible improvements are being investigated by Norfolk County Council, however none of these are committed schemes.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council
ML7	New on-road cycle facilities along South Quay / Southgates Road, to tie-up with Great Yarmouth Third River Crossing	This option considers measures to add new on-road cycle facilities along the South Denes Peninsula. The new measures would link up with the Great Yarmouth Third River Crossing, so that there is cycle access across the town. The on-road cycle facilities can include; cycle lanes, controlled crossings, advisory routes and traffic calming etc. A number of possible improvements are being investigated by Norfolk County Council, however none of these are committed schemes.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML8	Package of Cycle Infrastructure Improvements in North Quay	<p>This option is a range of cycle infrastructure improvements in the North Quay area, including:</p> <p>Improvements to the east-west cycling connectivity between Lawn Avenue and North Drive. Salisbury Road could provide a connecting route, but due to cars parking on both sides of the road, it may be difficult to fit in a cycle lane. Barnard Avenue (with a link to the A149 Caister Road) could provide a suitable platform, but the current road will need to be reduced to fit in the cycle lanes; and</p> <p>Improvements to the east-west route along Fuller's Hill and St Nicholas Road for use by pedestrians and cyclists. Existing highway boundary could be used to accommodate a new cycle lane and make it safer to cross the busy junctions.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

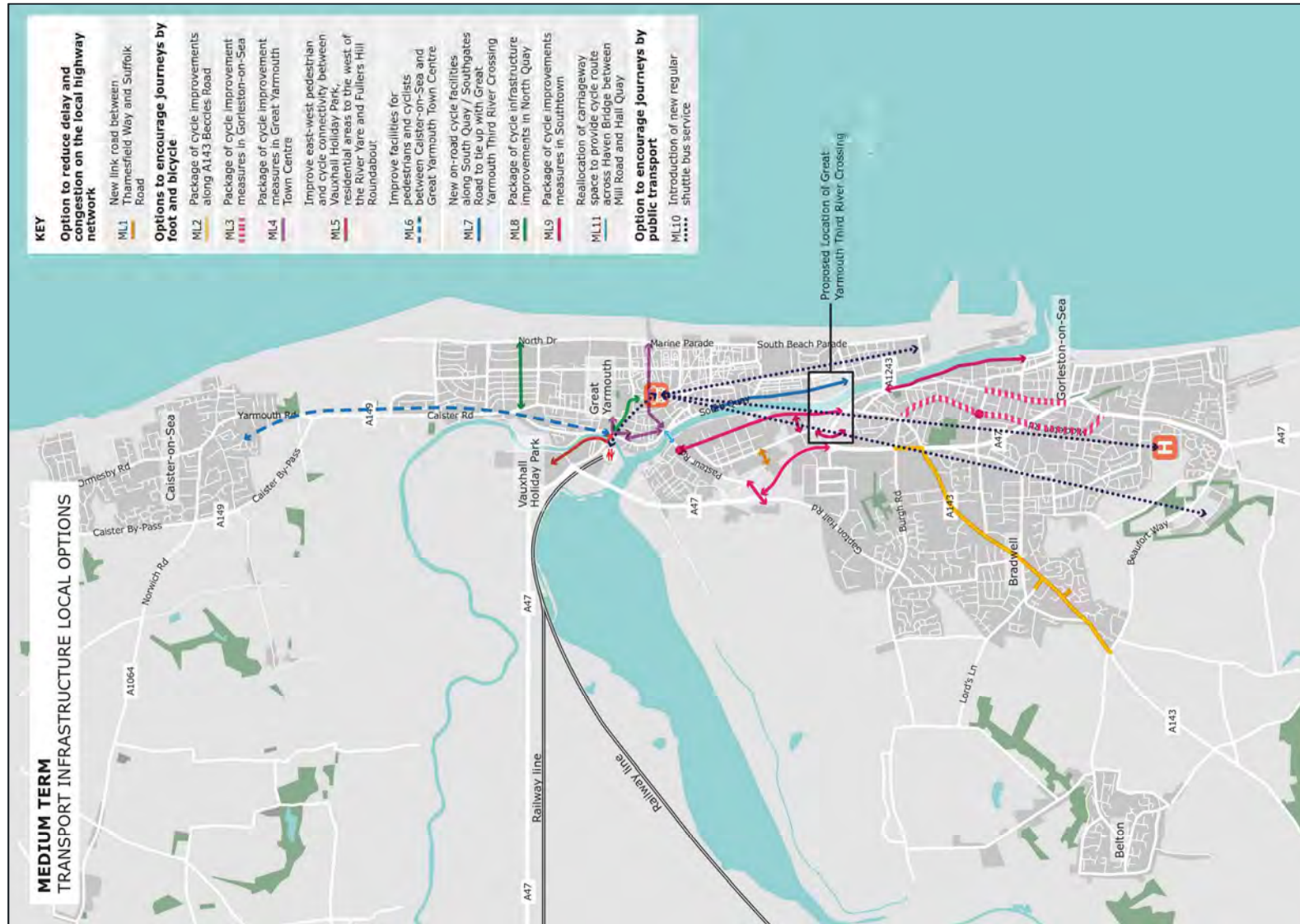
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML9	Package of Cycle Infrastructure Improvements in Southtown	<p>This option is a range of cycle infrastructure improvements in the Southtown area, including:</p> <p>Exploring improving cycle route and crossing facilities along Southtown Road. Particularly between the signalised and priority junctions;</p> <p>Exploring the measures that could be employed to improve cycling connectivity between Suffolk Road and Southtown Road. Improvements could involve adding dedicated cycle lanes on the road or on the pedestrian walkway.</p> <p>Consideration of the opportunities to improve cycling connectivity across William Adam's Way;</p> <p>Provision of a cycle bridge at Garton Hall roundabout or a segregated cycleway running alongside the A47 that connects with the overbridge north of Harfreys Roundabout;</p> <p>Improvements to the 1.5km route along Riverside Road for cyclists between Pier Walk and Williamson's Lookout (this has recently been delivered).</p> <p>Improvements to the pedestrian and cycling crossings at the B1370 / Church Lane roundabout. There are currently three uncontrolled crossings outside of East Norfolk Sixth Form College, however, due to how busy this road is, especially when the college opens and closes, a controlled crossing may be more beneficial.</p> <p>All of these improvements are currently being investigated by Norfolk County Council, however none of these are committed schemes.</p>	<p>Create safer environment for cyclists.</p> <p>Encourage mode shift.</p>	May lead to reduction in road space for other road users	Develop design for an improvement scheme based on option proformas.	Norfolk County Council

Options to encourage journeys by foot and bicycle

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML11	Reallocation of carriageway space to provide cycle route across Haven Bridge between Mill Road and Hall Quay.	This option considers the reallocation of carriageway space to provide for cycle route access across Haven Bridge between Mill Road and Hall Quay. This would allow for faster journeys for cyclists and safer journeys if the cycle route is segregated. This option would be implemented after the construction of the GYTRC and the traffic impacts of the scheme are known.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users. Potential to increase congestion on approach to Haven Bridge.	Develop design for an improvement scheme based on option proformas.	Norfolk County Council Great Yarmouth Borough Council

Option to encourage journeys by public transport

Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
ML10	Introduction of new regular shuttle bus service	This option looks to introduce a new shuttle bus service at regular intervals between Great Yarmouth railway station and Great Yarmouth town centre with a possibility to extend the shuttle bus service to include key employment sites to the south of Great Yarmouth including: James Paget University Hospital, Beacon Park Enterprise Zone and South Denes Enterprise Zone.	Increase capacity of public transport network. Provide new direct public transport connection between rail station and major employment sites.	Unlikely to be run as a commercial service. Likely need for services to be subsidised or externally supported	Engage with bus operators to establish commercial viability. Identify future Development that could support new services (through Section 106 Developer contributions). Identify where new bus stop infrastructure may be required to support a new service.	Bus Operators Norfolk County Council Great Yarmouth Borough Council



6.7 LONG TERM (OPTIONS EXPECTED TO BE DELIVERED AFTER 2030)

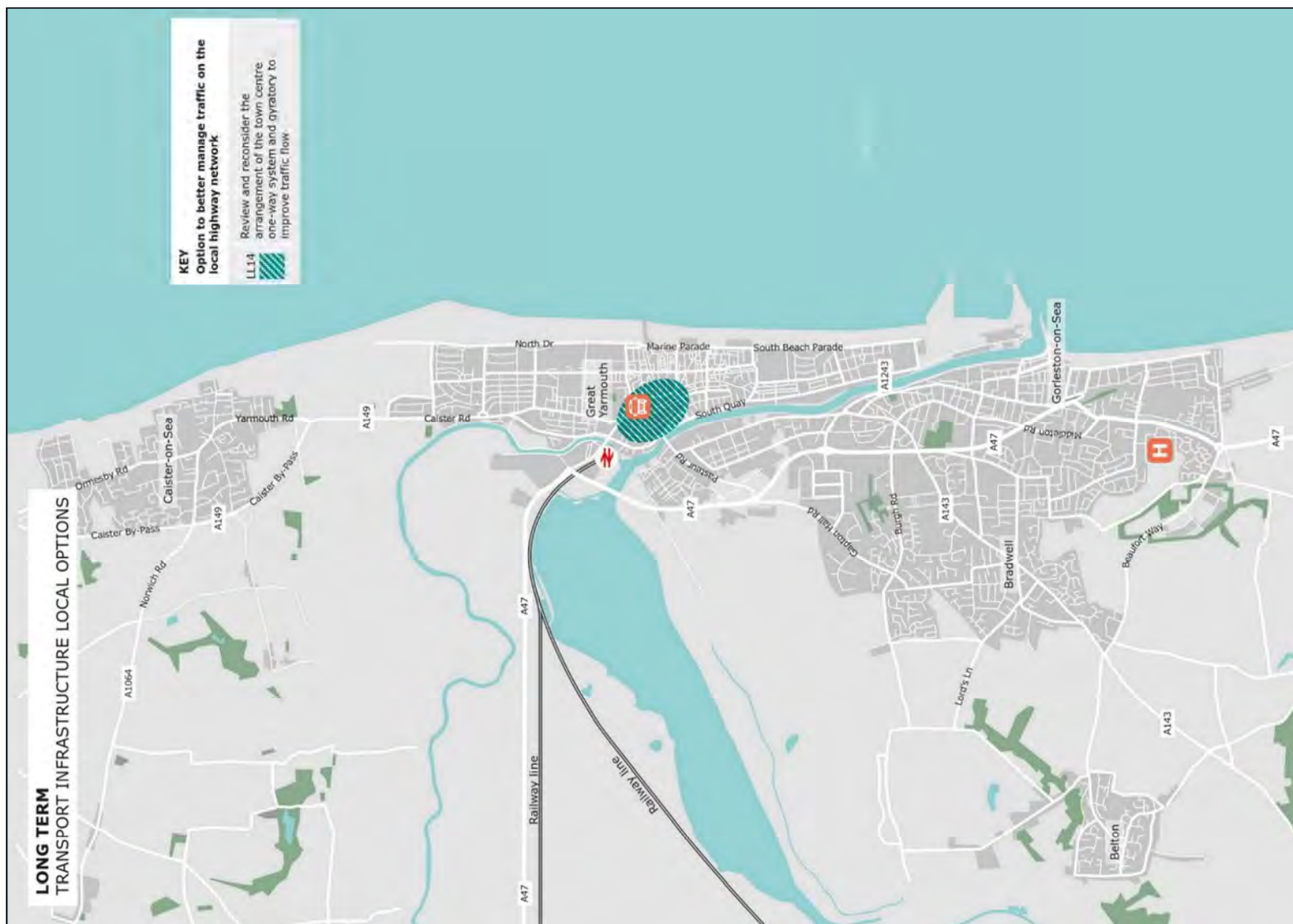
STRATEGIC

Options to encourage journeys by bicycle						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
LS1	Comprehensively join up and fill in the gaps in Great Yarmouth's cycling network to create a coherent network that allows uninterrupted journeys across the town by bicycle	This option is to comprehensively join up and fill in the gaps on Great Yarmouth's cycling network. This would allow the town to create a coherent network that enables uninterrupted journeys by bicycle. Norfolk County Council are currently investigating / working on a number of schemes in Great Yarmouth to help deliver this option.	Create safer environment for cyclists. Encourage mode shift.	May lead to reduction in road space for other road users	Identification of gaps in cycle network. Packaging of cycle schemes that address gaps in the network.	Norfolk County Council Great Yarmouth Borough Council

LOCAL

Option to better manage traffic on the local highway network						
Ref	Summary	Description	Benefits	Dis-Benefits	Initial Actions	Stakeholders
LL14	Review and reconsider the arrangement of the town centre one-way system and gyratory to improve traffic flow	This option looks to review and reconsider the arrangement of the one-way system and gyratory in order to improve traffic flow throughout the town centre. This could include generic directional traffic management schemes such as changing two-way sections of road altered to one-way only sections and vice versa. This could be achieved through the reallocation of the carriageway within the highway boundary and could accommodate provision for other modes of transport.	Improve traffic flow by reconsidering the one-way system and gyratory. Improve connectivity and reliability on the network by improving efficiency and capacity.	Increase rat-running if drivers have knowledge of the local road network. Shifting traffic onto other areas of the local road network.	Identify improvement options. Undertake option testing using existing transport models (e.g. using GYTRC Paramics & Saturn models).	Norfolk County Council Great Yarmouth Borough Council Town Centre Residents, & Businesses





7 NEXT STEPS

7.1 OVERVIEW

- 7.1.1. This Transport Strategy has identified a short-list of about 50 non-committed transport infrastructure options to address the transport challenges and opportunities in Great Yarmouth and support the overarching vision and objectives.
- 7.1.2. Most of these options are at a very early stage of development and very high level, although a few are actively being developed by Norfolk County Council. The options identified in this Transport Strategy are intended to steer the development of more detailed options at a variety of spatial scales.
- 7.1.3. This section sets out the work required to progress the options presented in this Transport Strategy further.

7.2 COLLABORATIVE ACTION

- 7.2.1. One of the first actions will be to broaden the dialogue and engagement with local and strategic partners. A Great Yarmouth Working group should be established to help guide the development and delivery of options and include a range of Stakeholders. This should include:
 - Great Yarmouth Borough Council
 - Norfolk County Council
 - Highways England
 - New Anglia Local Enterprise Partnership
 - Network Rail
 - Greater Anglia

- 7.2.2. The level of collaboration required will depend on the scale of the options being progressed. Local options are likely to be developed by Norfolk County Council and Great Yarmouth Borough Council. Whereas strategic road or rail options, such as the dualling of the A47 Acle Straight will require greater collaboration with Highways England, Network Rail and Greater Anglia.

- 7.2.3. The priority of the working group meetings will be to establish the delivery priority of options, progress the development of options and identify possible funding options.

7.3 POLICY INTEGRATION

- 7.3.1. In order for the Great Yarmouth Transport Strategy to be successful, local and regional economic, transport and land use policies will need to be integrated and aligned.
- 7.3.2. Ensuring that policies support future developments in the Transport Strategy study area, be they in urban or rural settings, and deliver strong transport links is an imperative for sustainable economic growth in Great Yarmouth.

7.4 EVIDENCE BASE

- 7.4.1. To deliver as many of the options in the Transport Strategy as possible, a number of options will require a more detailed evidence base.
- 7.4.2. The strategic and microsimulation models produced for the Great Yarmouth Third River Crossing provide a robust tool for assessing the impact of highway interventions in Great Yarmouth, but this has a number of limitations:

- The microsimulation model is focused around the Great Yarmouth Third River Crossing and does not cover the entirety of the town; and
- The strategic model does not fully cover the route of the A47.

7.4.3. As such, new traffic surveys and new traffic models may need to be created to help develop a number of the local highway capacity improvement options.

7.5 SCHEME DEVELOPMENT

7.5.1. The Transport Strategy has presented a high-level list of short and medium-term options recommended for delivery by the end of the current local plan period (by 2030). However, before the options can be delivered, further work will be needed to develop the design and detail.

7.5.2. At this stage it is anticipated that this work will include:

- **Engagement with Stakeholders**, including:
 - New Anglia Local Enterprise Partnership
 - Norfolk County Council
 - Great Yarmouth Borough Council
 - Highways England
 - Network Rail
 - Great Anglia
 - Local bus operators
 - Local businesses
- **Ensure that the options align with Stakeholder's existing and emerging strategies**, including:

- Highways England's East of England Route Strategies;
- Norfolk County Council's Local Transport Plans;
- Great Yarmouth Borough Council's Local Plan; and
- Great Yarmouth Borough Council's Town Centre Masterplan.

- **Developing the design of the option** (e.g. identifying possible routes, alignments, layouts etc.).
- **Undertaking further feasibility assessments to ensure the option is deliverable.** This will be particularly important for strategic transport infrastructure schemes such as dualling the A47 Acle Straight.
- **Undertake a high-level costing exercise** to assist with identifying and securing option funding.
- **Option Assessment to understand the impact of the proposed option** (e.g. e.g. impact on other junctions, environmental impacts etc.).

Development of Highways Schemes

7.5.3. It is recommended that highway options are developed and assessed using Norfolk County Council's strategic and micro-simulation models of Great Yarmouth. These models cover large parts of Great Yarmouth and were developed to assess the traffic impacts of the Great Yarmouth Third River Crossing.

7.5.4. For Strategic Highway Schemes such as dualling the A47 Acle Straight, new traffic models may be required. This however should be established early on during stakeholder engagement with Highways England.

7.6 FUNDING

- 7.6.1. All the options identified in the Transport Strategy are currently un-funded. Critical to the delivery of the options in this Transport Strategy is the identification of possible funding sources.
- 7.6.2. There is the potential for options to be funded by both the public sector (Local Government and Central Government funding allocations and initiatives) and private sector (through other funding mechanisms and avenues).
- 7.6.3. Potential sources of funding include:
- **New Anglia Local Enterprise Partnership:** In 2017 the LEP was awarded £8.875 million from a Government Growth Deal to deliver a package of measures to improve public transport, walking and cycling links in Great Yarmouth.
 - **Highways England:** Funding allocation in their next Road Investment Strategy.
 - **Network Rail:** Funding allocation in their next Control Period.
 - **Central Government Funds:** Local Sustainable Transport Fund, National Productivity Investment Fund etc.
 - **Norfolk County Council**
 - **Great Yarmouth Borough Council**
 - **S106 Contributions / Planning Conditions**
 - **Private Operators:** (e.g. Greater Anglia, bus operators etc.).
 - **Social Enterprises:**

- 7.6.4. To identify and secure funding for the options outlined in this Transport Strategy it is recommended that relevant stakeholders are engaged early on during the scheme development.

7.7 BUSINESS CASE DEVELOPMENT

- 7.7.1. To access public funding streams and attract private funding business cases for the short and medium-term options will need to be developed.
- 7.7.2. This will build on the evidence base presented in the Stage 1 Issues and Opportunities Report and Stage 2 Options Appraisal Report.
- 7.7.3. It is expected that the business case will follow DfT guidance and set out the following:
- **A case for the scheme**, the strategic case
 - **The value for money**, the economic case
 - **Commercial viability**, the commercial case
 - **The financial affordability**, the financial case
 - **Achievability**, the management case
- 7.7.4. The decision-making process typically takes place in three phases:
1. Strategic Business Case
 2. Outline Business Case
 3. Full Business Case
- 7.7.5. After each stage is an investment decision point on whether to proceed to the next stage.

- 7.7.6. Critical to the business cases will be identifying funding sources including innovative funding streams across all modes.

7.8 CONTINUED REVIEW OF THE INTEGRATED TRANSPORT STRATEGY

- 7.8.1. The Transport Strategy has presented a package of high-level short and medium-term options for delivery at a strategic, area wide and local scale.
- 7.8.2. It is recognised that as options are developed and further studies are undertaken there is the potential for the scope, deliverability, funding options and delivery timescale of the options to change.
- 7.8.3. For this reason, the Transport Strategy will be a 'living plan' that will be regularly reviewed throughout the plan period as further studies are undertaken and as more detail on proposed option becomes available. This will include:
- Additional clarity and detail on the option proposals
 - Updates to the list of planned improvement schemes,
 - Updates to the delivery timescale, and
 - Updates to option funding sources



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Cabinet

Item No. 7

Decision making report title:	Regulation of Investigatory Powers Act 2000 and Investigatory Powers Act 2016
Date of meeting:	06 April 2020
Responsible Cabinet Member:	Cllr Andrew Proctor (Executive Leader)
Responsible Director:	Tom McCabe (Executive Director Community and Environmental Services)
Is this a key decision?	No

Introduction from Cabinet Member

Since 2010 members have received regular reports of the Council's use of the Regulation of Investigatory Powers Act 2000 (RIPA) and approved the Council's policy and guidance. This is the report for 2018/19, which covers implementation of the Investigatory Powers Act 2016 (IPA). It is proposed that the existing RIPA policy and guidance is replaced with separate policies for each piece of legislation. Currently the legislation is used by Trading Standards only, but the policies are corporate policies applicable to the Council as a whole. Compliance with the legislation ensures that the Council's use of investigatory powers is in accordance with the Human Rights Act 1998.

Executive Summary

This report details the use of RIPA and the IPA by the Council for 2018 and 2019 and explains the replacement of the Council's RIPA policy and guidance with separate policies under RIPA and the IPA. New policies have been produced to reflect recent changes to legislation. Once approved, the new policies will be published via the NCC intranet pages.

Recommendations

- 1. To note the use of RIPA and the IPA by the Council for 2018 and 2019, as set out in Appendix A; and**
- 2. To approve the new policy documentation provided at Appendix B and Appendix C; and**
- 3. To note that future reports will be made to Cabinet bi-annually.**

1. Background and Purpose

- 1.1. The current RIPA policy and guidance was first developed in 2010, to provide a framework to ensure the Council's use of investigatory techniques regulated by the legislation (directed surveillance, the use of covert human intelligence sources and the acquisition of communications data) is compliant with the law. It has since been regularly updated and approved by members. Following implementation of the IPA in late 2019, the acquisition of communications data by public bodies is now regulated by this separate piece of legislation.

2. Proposals

2.1 Cabinet notes the use of RIPA and the IPA by the Council for 2018 and 2019

A report setting out the use of the legislation by the Council is attached at Appendix A

The report gives the date, general purpose or reason for which authority was granted together with the grade of senior manager that granted the authority. It is not possible to give further details as this may breach confidentiality or legislation, offend the sub-judice rules, interfere with the proper investigation of potential offenders, or disclose other operational information which could hinder past, current or future activities, investigatory techniques or investigations.

In summary, the total number of authorisations granted in this period was as follows:-

- Surveillance: 6
- Covert Human Intelligence Source :0
- Acquisition of communications data: 2

It can be seen from the information in Appendix A that, across the whole of the Council, the only activities covered by the legislation were authorised in relation to Trading Standards' investigations.

2.2 Cabinet approves the new policy documentation provided at Appendix B and Appendix C

These policies have been drafted in conjunction with Trading Standards to reflect changes to the legislation and the updated Codes of Practice accompanying the legislation. In general, the policies refer the reader to the Codes of Practice for more detailed guidance in relation to specific issues. The accessing of communications data is no longer regulated by RIPA, but now comes under the remit of the IPA. A separate policy has therefore been developed for accessing communications data. The two policies are crossed referenced.

The main change to the way in which the Council can obtain access to communications data is that an independent authorising body has been

established and the requirement for judicial approval has been removed. The IPA policy explains the new process.

Consultation and user engagement has not been necessary.

2.3 Cabinet notes that future reports will be made to Cabinet bi-annually.

As this is not a key decision, it is proposed that future reports and member approval of any revised policies should be undertaken by way of a bi-annual report to Cabinet, unless it is considered that an earlier report is necessary.

3. Impact of the Proposal

- 3.1. The revised policies will help to ensure that the Council's use of investigatory powers remains compliant with the relevant legislation, including the Human Rights Act 1998 and that evidence gathered as a result of the use of these techniques is admissible under law in criminal prosecutions.

4. Evidence and Reasons for Decision

- 4.1. The two Acts, the associated Regulations and Codes of Practice set out expectations for local authorities in relation to the oversight of RIPA authorisations for directed surveillance and CHIS and for the acquisition of communications data under the IPA. The recommendations set out in this report meet the requirements of the legislation. There are no other reasonably viable options to the recommendations above.

5. Alternative Options

- 5.1. These corporate policies are considered to be the most effective way to ensure the Council fulfils its legal responsibilities, when using covert investigatory techniques to gather intelligence for the purposes of one of its regulatory functions.

6. Financial Implications

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

7. Resource Implications

- 7.1. **Staff:** N/A

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

- 7.3. **IT:** N/A

8. Other Implications

8.1. Legal Implications

The legislation sets out the expectations for local authorities in relation to covert surveillance and the acquisition of communications data.

8.2. Human Rights implications

The legislation ensures that, in conducting surveillance, public authorities have regard to the Human Rights Act 1998 and to Article 8 of the European Convention on Human Rights (the ECHR) – the right to a private and family life.

8.3. Equality Impact Assessment (EqIA)

The legislation requires the authority's decision makers to take into account a person's human rights, including any potential discrimination. Monitoring of the use of RIPA and the IPA in relation to individuals could be considered for the future, but is not considered necessary at this stage.

The policies will continue to be reviewed periodically to ensure they reflect changes to legislation and that they safeguard the interests and rights of all.

8.4. Health and Safety implications

There are no health and safety implications.

8.5. Sustainability implications

There are no sustainability implications.

8.6. Any other implications

None.

9. Risk Implications/Assessment

- 9.1. The proposed policies set out expectations for the Council's use of RIPA and the IPA. Compliance with the policies will help to ensure that the Council's use of investigatory powers remains compliant with the relevant legislation, including the Human Rights Act 1998.

10. Select Committee comments

- 10.1. None.

11. Recommendations

- 11.1. 1.To note the use of RIPA and the IPA by the Council for 2018 and 2019, as set out in Appendix A; and
2. To approve the new policy documentation provided at Appendix B and Appendix C; and
3. To note that future reports will be made to Cabinet bi-annually.

12. Background Papers

- 12.1. The Council's current RIPA policy and guidance can be accessed on the intranet pages at <http://inet.norfolk.gov.uk/view/INET188866>.

Officer Contact

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

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Email address: helen.edwards2@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.

Appendix A

RIPA AND IPA AUTHORISATIONS 2018-19

NO	DATE	NATURE OF AUTHORISATION	REASON FOR AUTHORISATION	GRADE OF AUTHORISING/ APPROVING OFFICER	DEPT.
1.	28.06.18	Directed Surveillance	Underage sale of alcohol and knives	Section Manager (Shaun Norris)	CES
2.	24.08.18	Directed Surveillance	Supply of illegal tobacco	Head of Trading Standards (Sophie Leney)	CES
3.	28.09.18	Directed Surveillance	Underage sale of alcohol and tobacco	Section Manager (Shaun Norris)	CES
4.	18.04.19	Directed Surveillance	Underage sale of tobacco	Section Manager (Shaun Norris)	CES
5.	15.05.19	Directed Surveillance	Underage sale of tobacco	Section Manager (Shaun Norris)	CES
6.	03.09.19	Communications Data	Illegal tobacco sales	Section Manager (Shaun Norris)	CES
7.	08.10.19	Communications Data	Illegal tobacco sales	Section Manager (Shaun Norris)	CES
8.	02.12.19	Directed Surveillance	Underage sale of nicotine inhaling products	Section Manager (John Peddle)	CES



Accessing Communications Data

Investigatory Powers Act 2016

Policy and Guidance Notes

nplaw
Norfolk Public Law

Last Updated January 2020

1.0 Introduction

- 1.1 The Investigatory Powers Act 2016 (IPA) regulates access to Communications Data. This policy should be read in conjunction with the current Home Office Code of Practice on Communications Data. The Code is available at; <https://www.gov.uk/government/consultations/investigatory-powers-act-2016-codes-of-practice>
- 1.2 The Regulation of Investigatory Powers Act 2000 regulates investigatory actions involving surveillance and the use of covert human intelligence sources. These actions are therefore outside the scope of this guide and reference should be made to the Council's "Regulation of Investigatory Powers Act 2000" guidance.
- 1.3 Communications data includes the 'who', 'when', 'where', and 'how' of a communication but not the content i.e. what was said or written. It includes the way in which, and by what method, a person or thing communicates with another person or thing. It excludes anything within a communication including text, audio and video that reveals the meaning, other than inferred meaning.

It can include the address to which a letter is sent, the time and duration of a communication, the telephone number or email address of the originator and recipient, and the location of the device. It covers electronic communications including internet access, internet telephony, instant messaging and the use of applications. It also includes postal services.

Communications data is generated, held or obtained in the provision, delivery and maintenance of communications services including telecommunications or postal services.

Application to the County Council

- 1.4 The County Council is only entitled to seek the acquisition of communications data defined as Entity data and/or Events data. Both these terms are defined within the Code of Practice at paragraph 2.38 through to 2.43 for Entity Data, and from para 2.44 to 2.45 for Events Data.

The interception of postal, telephone, email and other electronic communications

- 1.5 There is no legal means for the County Council to 'intercept communications data' under the IPA.

2.0 Authorising the acquisition and disclosure of communications data

Authorisation

- 2.1 It is crucial that the acquisition of communications data is properly authorised. No officer may seek the acquisition of any form of communication data unless he is authorised to do so, an Approved Rank Officer is aware of the Application, and the application has been provided to the Single Point of Contact (SPoC) and approved by the Office for Communications Data Authorisations (OCDA) in accordance with the Code of Practice.

Failure to secure proper approval and to comply with this procedure could lead to evidence being excluded by Courts, complaints against the Council, and in some cases the commission of criminal offences. The Council is subject to audit and inspection by the Investigatory Powers Commissioner's Office and it is important that we demonstrate compliance with the IPA.

Acquisition of communications data

- 2.2 Where an authorisation for the acquisition of communications data has been granted, persons within a public authority may engage in conduct relating to a postal service or telecommunication system, or to data derived from a telecommunication system, to obtain communications data.

The following types of conduct may be authorised:

- conduct to acquire communications data - including obtaining data directly or asking any person believed to be in possession of or capable of obtaining such data to obtain and disclose it; and/or
- giving of a notice – requiring a telecommunications operator to obtain and disclose the required data.

- 2.3 In the case of Norfolk County Council the physical acquisition of communications data will be facilitated through our membership of the National Anti-Fraud Network (NAFN), with NAFN providing a comprehensive SPoC service.

- 2.4 It will be the responsibility of NAFN to ensure all requests to a telecommunications/postal operator for communications data, pursuant to the granting of an authorisation, comply with the requirements of the Code of Practice, specifically para's 6.1 to 6.18.

3.0 Roles & Responsibilities

- 3.1 Acquisition of communications data under the Act involves four roles:

- (a) Applicant;
- (b) Approved Rank Officer (ARO)
- (c) Single point of contact (SPoC);
- (d) Senior Responsible Officer in a Public Authority (SRO)

The Applicant

- 3.2 The applicant is a person involved in conducting or assisting an investigation or operation within a relevant public authority who makes an application in writing or electronically for the acquisition of communications data.

Any person in a public authority which is permitted to acquire communications data may be an applicant, subject to any internal controls or restrictions put in place within public authorities.

Approved Rank Officer (ARO)

- 3.3 The Approved Rank Officer is a person who is a manager at service level or above within the Public Authority. The ARO's role is to have an awareness of the application made by the Applicant and convey this to the SPoC when requested to do so.

The ARO does not authorise or approve any element of the application and is not required to be 'operationally independent'. The AROs for Norfolk County Council are identified in **Appendix I**.

The Single Point of Contact (SPoC)

- 3.4 The SPoC is an individual trained to facilitate the lawful acquisition of communications data and effective co-operation between a public authority, the Office for Communications Data Authorisations (OCDA) and telecommunications and postal operators. To become accredited an individual must complete a course of training appropriate for the role of a SPoC and have been issued the relevant SPoC unique identifier.

Public authorities are expected to provide SPoC coverage for all communications data acquisitions that they reasonably expect to make. Norfolk County Council is a member of the National Anti-Fraud Network (NAFN). NAFN is an accredited body for the purpose of providing data and intelligence under the IPA for all public bodies. As part of their portfolio they offer a comprehensive SPoC service.

Authorising Agency (OCDA)

- 3.5 The Office for Communications Data Authorisations (OCDA) is the independent body responsible for the authorisation and assessment of all Data Communications applications under the Act. They undertake the following roles:

- Independent assessment of all Data Communications applications.
- Authorisation of any appropriate applications.

- Ensuring accountability of Authorities in the process and safeguarding standards.

The Senior Responsible Officer (SRO)

- 3.6 The Senior Responsible Officer (SRO) is a person of a senior rank, a manager at service level or above within the Public Authority. The SRO for Norfolk County Council is identified in **Appendix 1**.

The SRO is responsible for:

- the integrity of the process in place within the public authority to acquire communications data;
- engagement with authorising officers in the Office for Communications Data Authorisations (where relevant);
- compliance with Part 3 of the Act and with the Code of Practice, including responsibility for novel or contentious cases;
- oversight of the reporting of errors to the Investigatory Powers Commissioner's Office (IPCO) and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors;
- ensuring the overall quality of applications submitted to OCDA;
- engagement with the IPCO's inspectors during inspections; and
- where necessary, oversight of the implementation of post-inspection action plans approved by the IPCO.

4.0 Necessity & Proportionality Test

When should an Application for Communications Data be made?

- 4.1 Applications for the acquisition of Communications Data should only be made where it is **necessary** for an '**Applicable Crime Purpose**', as defined by Section 60(A) of the Act.

This allows for applications to be made for '**Entity data**', previously referred to as subscriber data, where the purpose of obtaining the data is for the **prevention and detection of crime**. This definition permits the obtaining of Entity data for 'any' crime, irrespective of seriousness.

Applications for '**Events data**', previously referred to as service or traffic data, requires a higher standard, and applications for this data should only be made where the purpose is the 'prevention and detection of **serious crime**'. Serious crime is defined in Section 86(2A) of the Act, and includes, but is not limited to the following;

- Any crime that provides the potential for a 12mth+ sentence of imprisonment. (Either way or indictable offences)
- Offences committed by Corporate Bodies

- Any offence involving, **as an integral part**, the sending of a communication OR a breach of a person's privacy.

Applications should only be made where they are proportionate, and alternative means of obtaining the information are either, exhausted, not available or considered not practical to obtain the same information.

However, use of applications to obtain data **should not be considered a last resort**. Where applications are 'proportionate & necessary' the IPA should be used as a tool to advance criminal investigations efficiently and quickly, and where this is considered by the Local Authority to be in the public interest, and in the interest of suspects.

Any Applicant must ensure clear explanation is provided to demonstrate the necessity and proportionality test in any application, and the Approved Rank Officer must be satisfied that such explanation has been provided. Where any explanation is insufficient it should be referred back to the applicant for rework by the Approved Rank Officer.

How should we demonstrate Necessity?

4.2 A short explanation must be provided in every application explaining:

- (a) The event under investigation, such as a crime.
- (b) The person whose data is sought, such as a suspect **AND** a description of how they are linked to the event.
- (c) The communications data sought, such as a telephone number or IP address, and how this data is related to the person and event.

The application must explain the link between the three aspects to demonstrate the acquisition of communications data is necessary.

How should we demonstrate Proportionality?

4.3 Applications should include the following key explanations;

- (a) An outline of how obtaining the data will benefit the investigation. The relevance of the data being sought should be explained and anything which might undermine the application.
- (b) The relevance of time periods requested.
- (c) How the level of intrusion is justified against any benefit the data will give to the investigation. This should include consideration of whether less intrusive investigations could be undertaken.

- (d) A consideration of the rights (particularly to privacy and, in relevant cases, freedom of expression) of the individual and a balancing of these rights against the benefit to the investigation.
- (e) Any details of what collateral intrusion may occur and how the time periods requested impact on the collateral intrusion, if applicable.
- (f) Where no collateral intrusion will occur, **such as when applying for entity data**, the absence of collateral intrusion should be noted.
- (g) Any circumstances which give rise to significant collateral intrusion.
- (h) Any possible unintended consequences. This is more likely in more **complicated requests for events data** or in **applications for the data of those in professions with duties of confidentiality**. E.G journalists/doctors/solicitors.

Type of Data not permitted to be requested by the Local Authority

4.4 The following data is not permitted to be applied for by the Local Authority:

- Internet Connection Records
- Content of data communications e.g. content of text messages, emails etc.

5.0 The Application Procedure

Applying for authority to acquire communications data

- 5.1 Applicants must submit applications through the central NAFN (SPoC) portal. Applicants will need to be registered with NAFN to access the portal and have valid login and security details (currently a randomised number/alphabet grid card). An allocated SPoC officer will then check all applications for legal compliance and, where necessary, provide feedback. NAFN will then request confirmation from a local authority Approved Rank Officer (ARO) of their awareness of the application before submitting for authorisation to the OCDA.
- 5.2 The OCDA will independently assess each application and will undertake one of the following actions;
 - Authorise the application
 - Require reworking of the application
 - Reject the application

Authorised Applications

- 5.3 Where the OCDA authorises the data request, this decision is communicated to the SPoC (NAFN) and actions are taken to request the data from the

relevant telecommunications providers and other agencies holding such communications data to provide the necessary data.

Reworking Applications

- 5.4 Where rework is required, the application will be returned to the applicant, via the SPoC and the **applicant will have 14 calendar days to rework** the application and resubmit. Failure to rework the application within the 14 days will result in the application being automatically rejected.

Rejected Applications

- 5.5 Where the OCDA rejects an application, the Authority has three options;
- Cease to proceed with the application
 - Re-submit the application with revised justification and/or revised course of conduct to acquire the data
 - Re-submit the application without alteration and request a review of the decision by the OCDA.

In the case of seeking a review, or effectively appealing against the original determination **the Authority has 7 calendar days to seek the review**. Any appeal must be made by the Authority's SRO. The OCDA will provide guidance on this process.

Notices in Pursuance of an Authorisation

- 5.6 The giving of a notice is appropriate where a telecommunications operator or postal operator can retrieve or obtain specific data, and disclose that data, and the relevant authorisation has been granted. A notice may require a telecommunications operator or postal operator to obtain any communications data, if that data is not already in its possession.
- 5.7 For Local Authorities the role to issue Notices to telecommunications/postal operators sits with the SPoC (NAFN), and it will be the SPoC's role to ensure notices are given in accordance with the Code of Practice meeting the requirements of 6.19 to 6.29 of the Code.

Duration of authorisations and notices

- 5.8 An authorisation becomes valid on the date the authorisation is granted by the OCDA. It remains valid for a maximum of one month. Any conduct authorised or notice served should be commenced/served within that month.
- 5.9 Any notice given under an authorisation remains in force until complied with or until the authorisation under which it was given is cancelled.
- 5.10 All authorisations should relate to a specific date(s) or period(s), including start and end dates, and these should be clearly indicated in the authorisation.

Where the data to be acquired or disclosed is specified as 'current', the relevant date is the date on which the authorisation was granted.

Please note however that where a date or period cannot be specified other than for instance; 'the last transaction' or 'the most recent use of the service', it is still permitted to request the data for that unspecifiable period.

- 5.11 Where the request relates to specific data that will or may be generated in the future, the future period is restricted to no more than one month from the date of authorisation.

Renewal of authorisations and notices.

- 5.12 A valid authorisation may be renewed for a period of up to one month by the grant of a further authorisation and takes effect upon the expiry of the original authorisation. This may be appropriate where there is a continuing requirement to acquire or obtain data that may be generated in the future.
- 5.13 The Applicant will need to consider whether the application for renewal remains 'necessary and proportionate' and should reflect this in any renewal application made. The Authorising body (OCDA) will need to consider this carefully in authorising any renewal.

Cancellation of an Authorisation where it is no longer Necessary/Proportionate

- 5.14 Where it comes to the Authority's attention after an authorisation has been granted that it is no longer necessary or proportionate, the authority is under a duty to notify the SPoC (NAFN) immediately.
- 5.15 It is the SPoC's (NAFN) responsibility to cease the authorised action and take steps to notify the telecommunications service provider. E.g. Such a scenario may occur where a legitimate application has been made for Entity data to identify and locate a suspect, but subsequently, and before the data has been acquired the Authority becomes aware by some other legitimate means of the suspect's name and address etc.

6.0 Offences

- 6.1 Under section 11 of the Act, it is an offence for a person in a public authority knowingly or recklessly to obtain communications data from a telecommunications operator or postal operator without lawful authority.
- 6.2 The roles and responsibilities laid down for the Senior Responsible Officer and SPoC are designed to prevent the knowing or reckless acquisition of communications by a public authority without lawful authorisation. Adherence to the requirements of the Act and this Code, including procedures detailed in this Policy, will mitigate the risk of any offence being committed.

- 6.3 An offence is not committed if the person obtaining the data can show that they acted in the reasonable belief that they had lawful authority.
- 6.4 It is not an offence to obtain communications data where it is made publicly or commercially available by a telecommunications/postal operator. In such circumstances the consent of the operator provides the lawful authority. However, public authorities should not require, or invite, any operator to disclose communications data by relying on this exemption.

7.0 Keeping of records

- 7.1 Applications, authorisations, copies of notices, and records of the withdrawal and cancellation of authorisations, must be retained in written or electronic form by the Council for 5 years. A record must be kept of the date and, when appropriate, the time each notice or authorisation is granted, renewed or cancelled.
- 7.2 Records kept must be held centrally by the SPoC and be available for inspection by the Investigatory Powers Commissioner's Office upon request and retained to allow the Investigatory Powers Tribunal (IPT), to carry out its functions. The retention of documents service will be provided by NAFN. In addition, the ARO must provide the SRO with copies of the records referred to in 7.1 above, for the purposes of the SRO monitoring role.
- 7.3 Nothing in the Code or this policy affects similar duties under the Criminal Procedure and Investigations Act 1996 requiring material which is obtained in the course of an investigation and which may be relevant to the investigation to be recorded, retained and revealed to the prosecutor.
- 7.4 For full details of the level of information expected to be retained by the SPoC reference should be made to the Code, para's 24.1 to 24.9.

8.0 Recordable/Reportable Errors

- 8.1 Where any error occurs in the granting of an authorisation or because of any authorised conduct a record should be kept.
- 8.2 Where the error results in communications data being acquired or disclosed incorrectly, a report must be made to the IPCO by whoever is responsible for it. ('reportable error'). E.g. The telecommunications operator must report the error if it resulted from them disclosing data not requested, whereas if the error is because the public authority provided incorrect information, they must report the error. The SRO would be the appropriate person to make the report to the IPCO.
- 8.3 Where an error has occurred before data has been acquired or disclosed incorrectly, a record will be maintained by the public authority ('recordable error'). These records must be available for inspection by the IPCO.

- 8.4 A non-exhaustive list of reportable and recordable errors is provided in the Code at para 24.25.

9.0 Notification of serious errors under the Act

- 9.1 There may be rare occasions when communications data is wrongly acquired or disclosed and this amounts to a 'serious error'. A serious error is anything that **'caused significant prejudice or harm to the person concerned.'** It is insufficient that there has been a breach of a person's human rights.
- 9.2 In these cases, the public authority which made the error, or established that the error had been made, must report the error to the authority's Senior Responsible Officer and the IPCO.
- 9.3 When an error is reported to the IPCO, the IPC may inform the affected individual subject of the data disclosure, who may make a complaint to the IPT. The IPC must be satisfied that the error is a) a serious error AND b) it is in the public interest for the individual concerned to be informed of the error.
- 9.4 Before deciding if the error is serious or not the IPC will accept submissions from the Public Authority regarding whether it is in the public interest to disclose. For instance, it may not be in the public interest to disclose if to do so would be prejudicial to the 'prevention and detection of crime'.

10.0 Notification in criminal proceedings

- 10.1 When communications data has been acquired during a criminal investigation that comes to trial an individual may be made aware data has been obtained.
- 10.2 If communications data is used to support the prosecution case it will appear in the 'served' material as evidence and a copy provided to the defendant.
- 10.3 Where communications data is not served but retained as unused material it is subject to the rules governing disclosure under the Criminal Procedure and Investigations Act 1996 (CPIA). The prosecution may reveal the existence of communications data to a defendant on a schedule of non-sensitive unused material, only if that data is relevant, and copies of the material may be provided to the defendant if it might reasonably be considered capable of undermining the prosecution case and/or assisting the defence.
- 10.4 Where communications data is acquired but not directly relied on to prove offences, the material may alternatively be listed in the schedule of 'Sensitive' unused material and not disclosed to the defendant. The CPIA sets out exemptions to the disclosure obligation. Under section 3(6) of that Act, data must not be disclosed if it is material which, on application by the prosecutor, the Court concludes it is not in the public interest to disclose. Any communications data which comes within the scope of this exemption cannot

be disclosed. E.g. Material that reveals a 'method of investigation' is usually not disclosable.

- 10.5 If through any of the above notification processes, an individual suspects that their communications data has been wrongly acquired, the IPT provides a right of redress. An individual may make a complaint to the IPT without the individual knowing, or having to demonstrate, that any investigatory powers have been used against them.

APPENDIX 1

<u>Officer</u>	<u>Name</u>
Head of Paid Service	Tom McCabe
Senior Responsible Officer (SRO)	Helen Edwards, Chief Legal Officer
Approved Rank Officers	Sophie Leney, Head of Trading Standards Shaun Norris, Section Manager – Trading Standards Alice Barnes, Section Manager – Trading Standards Jon Peddle, Section Manager – Trading Standards Nick Johnson, Head of Planning

SPoC Service provided by NAFN



Directed Surveillance and the use of Covert Human Intelligence Sources

Regulation of Investigatory Powers Act 2000

Policy and Guidance Notes

nplaw
Norfolk Public Law

Last Updated January 2020

1. Introduction

- 1.1 The main purpose of the Regulation of Investigatory Powers Act 2000 (“the Act”) is to ensure that public bodies use their investigatory powers in accordance with the Human Rights Act 1998. The investigatory powers covered by the legislation are: -
 - (a) intrusive surveillance (on residential premises/in private vehicles) (NB: The Council is not permitted to engage in intrusive surveillance);
 - (b) covert surveillance in the course of specific operations;
 - (c) the use of covert human intelligence sources (agents, informants, undercover officers);
- 1.2 For each of these powers the Act ensures that the law clearly covers the purposes for which they may be used, which authorities can use the powers, who should authorise each use of power, the use that can be made of the material gained, independent judicial oversight and a means of redress for any individual aggrieved by use of the powers.
- 1.3 In addition to the legislation itself, the Home Office has issued Codes of Practice dealing with covert surveillance and covert human intelligence sources. This guide is designed to cover the aspects of RIPA that regulate the use of investigatory powers by the Council.
- 1.4 Directed Surveillance can only be undertaken if it is for the purpose of preventing/detecting a criminal offence which is punishable (whether on summary conviction or on indictment) by a maximum term of **at least 6 months of imprisonment** - or would constitute an offence under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933 (sale of tobacco and alcohol to underage children).

2. What is regulated by RIPA

- 2.1 The monitoring, observing or listening to persons, their movements, their conversations or their other activities or communications where this is done in a manner calculated to ensure that the subject of surveillance is unaware that they are being monitored or observed etc.
- 2.2 The recording of anything monitored observed or listened to during surveillance.
- 2.3 Use of a surveillance device, e.g. a hidden video camera, a listening device.
- 2.4 See paragraph 19 below for further advice on activities/operations considered to involve directed surveillance.

3. What is not regulated by RIPA?

- 3.1 Local authorities are only able to seek authorisations under RIPA for covert surveillance carried out **for the purposes of preventing or detecting crime**. No RIPA authorisations can be sought for covert surveillance being undertaken for other purposes, nor should they be sought for crime prevention or detection purposes, if that purpose is not linked to one of the authority's regulatory functions. This was stated by the Investigatory Powers Tribunal in the case of *C v The Police and the Secretary of State for the Home Department* (14/11/2006, No: IPT/03/32/H), who held that surveillance of employees is unlikely to be for a regulatory function of the authority.
- 3.2 This means that there may be circumstances when the Local Authority wishes to carry out surveillance and will not be able to rely on a RIPA authorisation (e.g. surveillance of employees). Not being able to seek an authorisation under RIPA means there is a greater risk of a human rights challenge, as privacy rights under Article 8 are likely to be interfered with. This can be reduced by following a similar self- authorisation process, which can be achieved by using the non-RIPA authorisation form available on the nplaw pages of the intranet and which should be completed by the officer and authorised by a person identified in Appendix A.
- 3.3 The Authorising Officer should consider the same issues as if he were responding to a request under RIPA, particularly the necessity of the operation, whether it is proportionate and whether there are any other methods of obtaining the information. If there is any doubt as to the issue of a Local Authority regulatory role and its ordinary functions, then advice should be sought from nplaw.
- 3.4 Directed surveillance does not include covert surveillance carried out by way of an immediate response to events or circumstances which, by their very nature, could not have been foreseen. Thus, a local authority officer would not require an authorisation to conceal himself and observe a suspicious person that he came across in the course of his duties.
- 3.5 Overt CCTV surveillance systems are not normally covered by the Act as their use is obvious to the public. There may, however, be occasions where public authorities use material obtained from overt CCTV systems for the purpose of specific investigation or operation. In such cases authorisation for directed surveillance may be necessary.
- 3.6 The Investigatory Powers Act 2016 regulates investigatory actions in respect of the acquisition of communications data. This is therefore outside the scope of this guide and reference should be made to the Council's "Investigatory Powers Act 2016" guidance.
- 3.7 See paragraph 22 below for further advice on activities/operations considered **not** to involve directed surveillance.

4. Rules of Evidence

- 4.1 Material obtained through covert surveillance may be used as evidence in criminal proceedings. Provided that surveillance has been properly authorised, the evidence gathered should be admissible under law and in accordance with Section 78 of the Police and Criminal Evidence Act 1984 and the Human Rights Act 1998. Material gathered as a result of surveillance authorised under the Act is subject to the ordinary rules for retention and disclosure of material and the Criminal Procedure and Investigations Act 1996.

5. Some Definitions

- 5.1 “Covert”: Concealed, done secretly
- 5.2 “Covert surveillance”: Surveillance which is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place.
- 5.3 “Directed surveillance”: Surveillance which is covert, but not intrusive, and is undertaken for the purposes of a specific investigation or specific operation, in such a manner as is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation) and otherwise than by way of an immediate response to events or circumstances.
- 5.4 “Intrusive surveillance”: Is covert surveillance that is carried out in relation to anything taking place on any residential premises or in any private vehicle and involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device.
- 5.5 “Private information”: Includes any information relating to a person’s private or family life. Private information should be taken generally to include any aspect of a person’s private or personal relationship with others, including family and professional or business relationships.
- 5.6 “Confidential Information”: Confidential information consists of communications subject to legal privilege, communications between a Member of Parliament and another person on constituency matters,

confidential personal information, or confidential journalistic material.

6. Entering onto or interfering with property, or with wireless telegraphy or postal communications

- 6.1 Only members of the intelligence services are able to make applications to enter onto or interfere with property or with wireless telegraphy. Council staff are not permitted, under any circumstances, to engage in such activity.
- 6.2 It is an offence to intercept communications sent by public postal service and public telecommunication systems. Interception of communication can be done with lawful authority, however only a limited group can grant a warrant for such an activity (Secretary of State or his representative to such persons as the Directors-General of the Security Service and Director of GCHQ, the Chief of Secret Intelligence Service and the Chief Constables of Police). Therefore, it is not envisaged that the Local Authority would ever be permitted to make a lawful interception of a communication.

7. Authorisations

7.1 Purpose of Authorising surveillance

- 7.1.1 An authorisation under the Act, with subsequent appropriate approval by a Justice of the Peace, provides lawful authority for a public authority to carry out surveillance. Responsibility for authorising surveillance investigations is given by an "authorising officer". Approval is then required by a Justice of the Peace. Surveillance must not be carried out without prior authorisation and approval (but see 2.1 above).
- 7.1.2 The consequence of not obtaining an authorisation and approval under the Act may be that the action is in breach of the Human Rights Act and that any evidence so gained could be excluded in any proceedings that arise.
- 7.1.3 Authorisation should be obtained for any covert surveillance that is likely to interfere with a person's Article 8 rights to privacy by obtaining private information about that person, whether or not that person is the subject of the investigation or operation.

7.2 Basis for Authorising Surveillance Activities

- 7.2.1 Authorisation can only be granted where there is justifiable interference with an individual's human rights, i.e. it is necessary and proportionate for surveillance activities to take place.
- 7.2.2 The authorising officer must believe that the authorisation is necessary in the circumstances of the particular case for the statutory grounds for directed surveillance to exist (See paragraph 12.1).

- 7.2.3 The authorising officer must also believe that the activity is proportionate to what is sought to be achieved. They must balance the intrusiveness of the activity proposed on both the target and others who may be affected, against the need for the activity in operational terms.
- 7.2.4 Before authorising surveillance, the authorising officer must also take into account the risk of intrusion into the privacy of persons other than those who are the target of the investigation. This is known as collateral intrusion. The authorisation procedures allow for an assessment of collateral intrusion which the authorising officer will be required to consider prior to granting authorisation. In order to decide whether to grant authorisation the authorising officer must have a full picture of the operation, the proposed method(s) of observation and the Human Rights Act implications of the operation.
- 7.2.5 Where one agency acts on behalf of another, for example, this authority acts on behalf of a neighbouring authority, it will be the responsibility of the lead authority to obtain the authorisation.
- 7.2.6 Once authorisation is obtained, approval by a Justice of the Peace must be granted before the relevant surveillance activity can be undertaken. The requirement for Magistrates' approval applies to both authorisations and renewals.

8. The Senior Responsible Officer's Role

8.1 The Council's Senior Responsible Officer (SRO) is the Chief Legal Officer.

8.2 The SRO is responsible for:

- The integrity of the process in place within the Council for the management of Covert Human Intelligence Sources and Directed Surveillance
- Compliance with Part II of RIPA and the Codes of Practice
- Oversight of the reporting of errors to the Investigatory Powers Commissioner's Office (IPCO) and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors
- Engagement with IPCO inspectors when they conduct their inspections
- Oversight of the implementation of any post-inspection action plan approved by the IPCO
- Ensuring that all Authorising Officers are of an appropriate standard in light of any recommendations in the inspection reports by the Investigatory Powers Commissioner's Office.

8.3 Specific responsibilities

- 8.3.1 The Senior Responsible Officer is responsible for ensuring this **Policy Guidance is reviewed** on a regular basis with Cabinet. Cabinet is responsible for ensuring the Policy Guidance remains fit for purpose; they are not involved in making decisions on specific authorisations.
- 8.3.2 The Senior Responsible Officer is responsible for submitting **annual statistics** to the IPCO in relation to authorisations.
- 8.3.3 The Senior Responsible Person is also responsible for communicating to the IPCO any **unauthorised activity** that might come to the attention of the authority. This must be done within 5 working days. The records, documentation, and associated documentation relating to this unauthorised activity must be retained by the Senior Responsible Officer and disclosed to the IPCO upon request, and certainly to an inspector from the IPCO at the commencement of the next scheduled inspection.
- 8.3.4 The Senior Responsible Officer must also undertake a regular review of **Errors**. The Codes of Practice provide that a written record must be made of each review and include requirements to report relevant and serious errors to the IPCO.

Officers should familiarise themselves with the requirements in the Codes of Practice relating to errors.

9. Records

- 9.1 The Senior Responsible Officer is responsible for ensuring a central record of authorisations and approvals is maintained. Each application must be given a Unique Reference Number, which will then be used to locate the application on the Central Record.
- 9.2 The central record and all associated documents relating to authorisations and approvals, reviews, cancellations, or renewals and refused applications should be retained in an auditable format, with each particular authorisation and approval allocated a unique reference number.
- 9.3 Records should be retained for a period of five years from the ending of the authorisation and should contain information as specified in the Codes of Practice.

10. Retention and destruction of results of investigations

- 10.1 Material obtained in the course of criminal investigations and which may be relevant to the investigation must be recorded and retained in accordance with the Criminal Procedure and Investigations Act 1996.
- 10.2 The authority must have in place arrangements for handling, storage and destruction of material obtained through the use of covert surveillance and

compliance with the appropriate data protection requirements must be ensured.

11. Confidential Information

- 11.1 Confidential information consists of; communications subject to legal privilege, (i.e. matters arising from the confidential lawyer – client relationship), communications between a Member of Parliament and another person on constituency matters, confidential personal information or confidential journalistic material. Special consideration must be given to authorisations that involve confidential information. If the use of surveillance may result in confidential information being acquired, the use of surveillance will be subject to a higher level of authorisation. (i.e. the Head of Paid Service)
- 11.2 Confidential personal information is information held in confidence relating to the physical or mental health or spiritual counselling of a person (whether living or dead) who can be identified from it. Examples include consultations between a health professional and a patient, or information from a patient's medical records. Such information is held in confidence if it is held subject to an express or implied undertaking to hold it in confidence or it is subject to a restriction on disclosure or an obligation of confidentiality contained in existing legislation.
- 11.3 Material which is legally privileged is particularly sensitive and an application for surveillance which is likely to result in the acquisition of legally privileged information should only be authorised in exceptional and compelling circumstances. The person authorising must also be satisfied that the proposed covert surveillance or property interference is proportionate to what is sought to be achieved.
- 11.4 Legal privilege is defined in section 98 of the 1997 Act. This definition should be used to determine how to handle material obtained through surveillance authorised under RIPA. Special safeguards apply to matters subject to legal privilege and legal advice should be sought.
- 11.5 If there is any doubt as to the handling and dissemination of confidential information, legal advice should be sought before any further dissemination of material takes place.

12. Grounds for Authorisation

- 12.1 Section 28(3) of the Act allows for authorisation for directed surveillance to be granted by an authorising officer where he believes that the authorisation is necessary in the circumstances of the particular case. In the case of a Local Authority the only circumstances allowed are: -

28(3) b for the purpose of preventing and detecting crime.

- 12.2 The authorising officer must also believe that the surveillance is proportionate to what it seeks to achieve. “Proportionality” is defined by paragraph 3.6 of the Covert Surveillance and Property Interference Revised Code of Practice: -

3.6 *The following elements of proportionality should therefore be considered:*

- *balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;*
- *explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;*
- *considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result;*
- *evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.*

- 12.3 Authorisation must be given in writing.

- 12.4 Authorising officers should not ordinarily give authorisations in investigations or operations in which they are directly involved unless this is unavoidable.

13. Information to be provided in applications for authorisation

- 13.1 An application for authorisation for directed surveillance should be made in writing and should describe any conduct to be authorised and the purpose of the investigation or operation. The application should include:

- (a) the reasons why the authorisation is necessary;
- (b) the grounds upon which it is sought, including specifying the offence(s) under investigation;
- (c) the reasons why the surveillance is considered proportionate to what it seeks to achieve; (see paragraph 12.2) e.g. could the information be achieved by other means?
- (d) the nature of the surveillance; e.g. where will officers be located, will they use a vehicle, what equipment will be used?
- (e) the identities, where known, of those to be the subject of the surveillance;
- (f) an explanation of the information which it is desired to obtain as a result of a surveillance;
- (g) the details of any potential collateral intrusion and why the intrusion is justified;

- (h) the details of any confidential information that is likely to be obtained as a consequence of the surveillance;
- (i) the level of authority required (or recommended where that is different) of the surveillance;
- (j) a subsequent record of whether authority was given or refused, by whom and the time and date.

14. Duration of authorisations

- 14.1 A written authorisation/approval ceases to have effect unless renewed and approved at the end of a period of three months beginning with the date on which it took effect (12 months for CHIS)

15. Reviews

- 15.1 Authorisations should be reviewed regularly to assess the need for surveillance to continue. The results of a review should be recorded on the relevant form in the central record of authorisations. Particular attention should be paid to reviews where the surveillance provides access to confidential information or involves collateral intrusion.
- 15.2 It is the responsibility of the authorising officer to determine how often a review should take place and this should be as frequently as is considered necessary and practicable.

16. Renewals

- 16.1 If at any time before an authorisation would cease to have effect the authorising officer considers it necessary for the authorisation to continue for the purpose for which it was given, he may renew it in writing for a further period of three months. Magistrate approval must then be obtained prior to expiry of the original authorisation in order for activity to continue.
- 16.2 All applications for renewal of an authorisation should record:
- (a) whether this is the first renewal or every occasion on which the authorisation has been renewed previously;
 - (b) any significant changes to the information contained in the original application;
 - (c) the reasons why it is necessary to continue the surveillance;
 - (d) the content and value to the investigation or operation of the information so far obtained from the surveillance;

(e) the result of regular reviews of the investigation or operation.

16.3 Renewal records should be kept as part of the central record of authorisations.

17. Cancellations

17.1 The authorising officer who granted or last renewed the authorisation **must** cancel it if he is satisfied that the directed surveillance no longer meets the criteria upon which it was authorised. Where the authorising officer is no longer available, this duty will fall on the person who has taken over the role of authorising officer. If in doubt about who may cancel an authorisation, please consult nplaw. Cancellations are to be effected by completion of the cancellation form available on the [government website](#).

17.2 It is essential that there is a completed cancellation for each authorisation once surveillance has been completed. An authorisation cannot simply be left to expire. Those acting under an authorisation must keep their authorisations under review and notify the authorising officer if they consider that the authorisation is no longer necessary or proportionate.

17.3 As soon as any decision is taken to discontinue surveillance, instruction must be given to those involved to stop all surveillance. The date and time of such an instruction must be included in the Notification of Cancellation form.

17.4 It is also good practice to retain a record of the product obtained from the surveillance and whether or not objectives were achieved. The Authorising Officer should give directions on the handling, storage or destruction of the product of surveillance.

18. Authorising the Use of Covert Human Intelligence Sources

18.1 In most cases a human source that volunteers or provides information that is within their personal knowledge, without being induced, asked or tasked by a public authority, will not be a CHIS and therefore will not require authorisation. However, the tasking of a person is not the sole benchmark in seeking a CHIS authorisation. It is the activity of the CHIS in exploiting a relationship for a covert purpose which is ultimately authorised by the 2000 Act, whether or not that CHIS is asked to do so by a public authority. It is possible therefore that a person will become engaged in the conduct of a CHIS without a public authority inducing, asking or assisting the person to engage in that conduct.

18.2 Local Authorities are permitted to use CHIS.

18.3 A person is a CHIS if:

- a) he establishes or maintains a personal or other relationship with a person for a covert purpose or facilitates the doing of anything within paragraph b) or c).
- b) he covertly uses such a relationship to obtain information or to provide access to any information to another person; or
- c) he covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

18.4 The grounds for authorisation and approval under Section 29(3) of the Act are broadly similar to those in S28(3) (see paragraph 12.1 above). However, note there is no requirement to meet the serious crime threshold for CHIS.

18.5 In line with section 29(5)(a) and (b) of the 2000 Act a “handler” and a “controller” will be appointed for each CHIS.

The person referred to in section 29(5)(a) of the 2000 Act (the “handler”)

- will have day to day responsibility for dealing with the CHIS.
- directing the day to day activities of the CHIS;
- recording the information supplied by the CHIS; and
- monitoring the CHIS’s security and welfare.

The handler of a CHIS will usually be of a rank or position below that of the authorising officer.

The person referred to in section 29(5)(b) of the 2000 Act (the “controller”) will normally be responsible for the management and supervision of the “handler” and general oversight of the use of the CHIS.

The authorising officer must ensure that there is a satisfactory risk assessment in place.

18.6 Detailed records must be kept of the authorisation and approval and use made of a CHIS. Section 29(5) of the 2000 Act provides that an authorising officer must not grant an authorisation for the use or conduct of a CHIS unless he believes that there are arrangements in place for ensuring that there is at all times a person with the responsibility for maintaining a record of the use made of the CHIS. The Regulation of Investigatory Powers (Source Records) Regulations 2000; SI No: 2725 details the particulars that must be included in these records. The records kept by public authorities should be maintained in such a way as to preserve the confidentiality, or prevent disclosure of the identity of the CHIS, and the information provided by that CHIS.

Particulars to be contained in records

The following matters are specified for the purposes of paragraph (d) of section 29(5) of the 2000 Act (as being matters particulars of which must be included in the records relating to each source):

- the identity of the source;
- the identity, where known, used by the source;
- any relevant investigating authority other than the authority maintaining the records;
- the means by which the source is referred to within each relevant investigating authority;
- any other significant information connected with the security and welfare of the source;
- any confirmation made by a person granting or renewing an authorisation for the conduct or use of a source that the information in paragraph (d) has been considered and that any identified risks to the security and welfare of the source have where appropriate been properly explained to and understood by the source;
- the date when, and the circumstances in which, the source was recruited;
- the identities of the persons who, in relation to the source, are discharging or have discharged the functions mentioned in section 29(5)(a) to (c) of the 2000 Act or in any order made by the Secretary of State under section 29(2)(c);
- the periods during which those persons have discharged those responsibilities;
- the tasks given to the source and the demands made of him in relation to his activities as a source;
- all contacts or communications between the source and a person acting on behalf of any relevant investigating authority;
- the information obtained by each relevant investigating authority by the conduct or use of the source;
- any dissemination by that authority of information obtained in that way;
- and

- in the case of a source who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the source's activities for the benefit of that or any other relevant investigating authority.

18.7 Vulnerable adults and minors are the subject of special provisions when used as CHIS. Authorisation will not be given for the collation of information from a CHIS under the age of 16 for the purpose of gathering information against his parents.

18.8 Where the use of a CHIS is being contemplated, the need to seek legal advice should be considered. Consideration should be given, in any case likely to place the CHIS at any risk of danger or of violence, to seeking assistance from Norfolk Constabulary.

19. Activities/operations involving directed surveillance

19.1 It is safest to assume that any operation that involves planned covert surveillance of a specific person or persons (including Council employees) likely to obtain private information, of however short a duration, falls within the definition of directed surveillance and will, therefore, be subject to authorisation under RIPA.

19.2 The consequence of not obtaining an authorisation may render the surveillance action unlawful under the HRA, or any evidence obtained may be inadmissible in Court proceedings.

19.3 It is strongly recommended that Council Officers seek an authorisation, where the surveillance is likely to interfere with a person's Article 8 rights to privacy. Obtaining an authorisation will ensure that the surveillance action is carried out in accordance with the law and is subject to stringent safeguards against abuse.

19.4 Proper authorisation of directed surveillance should also ensure the admissibility of evidence under the common law, PACE and the Human Rights Act. Directed surveillance might be used, for example:

- For fraud or similar offences, where there is a need to observe premises in order to establish who the owner/occupier is, to find out who the occupier has associations with, or to establish whether or to what extent they are being used as business premises.
- Where the Council directs another person/organisation to act as its 'agent' for the purposes of obtaining private information e.g. where Council Officers specifically ask residents to maintain diary notes of the incidence of sales of alcohol to young persons.

- By placing a stationary mobile or video camera outside a building or the use by officers of covert recording equipment to record suspected illegal trading activity, such as the sale of counterfeit goods or 'mock' auctions.

19.5 It will not be necessary to obtain authorisation for directed surveillance when using surveillance devices such as standard video cameras, still cameras, or binoculars, which are utilised on an overt basis.

20. Online covert activity, including covert surveillance of Social Networking Sites

- 20.1 Wherever possible officers should continue to adopt overt methods in seeking to achieve business compliance. However, as a result of the scale of online trading the need to make online test purchases and investigation checks is inevitably increasing. It is therefore recognised that from time to time covert methods will need to be employed. Whenever it is intended to carry out covert activity online, officers must first consider whether the proposed activity is likely to interfere with a person's Article 8 rights, including the effect of any collateral intrusion. 'General' test purchases from an open internet site or marketplace (such as Ebay) are unlikely to require RIPA authorisation. However, any covert activity likely to interfere with an individual's Article 8 rights should only be carried out when it is necessary and proportionate to meet the objectives of a specific case. Where it is considered that private information is likely to be obtained, a directed surveillance authorisation must always be sought, as set out elsewhere in this guidance.
- 20.2 Although social networking and internet sites are easily accessible, if they are going to be used during the course of an investigation, consideration must be given as to whether a RIPA authorisation should be obtained.
- 20.3 Viewing of open source material does not require authorisation unless and until it is repeated or systematic, at which stage a directed surveillance authorisation should be considered.
- 20.4 Passing an access control so as to look deeper into the site, for example by making a 'friend request', requires at least directed surveillance authorisation. If the investigator is to go further and pursue enquiries within the site, thereby establishing a relationship with the site host in the guise of a member of the public, this requires CHIS authorisation.
- 20.5 The Home Office Revised Codes of Practice on Covert Surveillance and Property Interference and Covert Human Intelligence Sources provide detailed guidance in relation to online covert activity, including covert surveillance of Social Networking Sites:

<https://www.gov.uk/government/collections/ripa-codes>

21. Test Purchasing of Age Restricted Products

- 21.1 It has long been the view that the use of young persons, pursuant to an arrangement with an officer of a public authority, to conduct test purchasing exercises attracts the desirability to obtain RIPA authorisation for directed surveillance. The Covert Surveillance and Property Interference Revised Code of Practice states that if covert recording equipment is worn by the test purchaser, or an adult is observing the test purchase, it will be desirable to obtain an authorisation for directed surveillance.
- 21.2 Local authority use of directed surveillance under RIPA is now limited to the investigation of crimes which attract a six month or more custodial sentence, with the exception of offences relating to the underage sale of alcohol and tobacco. The majority of other age restricted products already attract a six month or more imprisonment penalty, for example gas lighter refills, fireworks, knives and solvents all attract those penalties and so RIPA would be triggered.
- 21.3 This means that in most cases a directed surveillance application would be required for test purchasing of age-restricted products. However, there may be circumstances where different age restricted products are under consideration for which a test purchasing operation is being considered. In these circumstances it is good practice to record the reasons for the decision on the 'non-RIPA' form which has been devised to cover this eventuality.
- 21.4 It is unlikely that authorisations will be considered proportionate without demonstration that overt methods have already been attempted and failed, or that they would not be appropriate given the circumstances. This may include where advice visits to establishments have taken place and subsequent intelligence of sale to minors is being received.
- 21.5 Premises identified for a test purchase may be combined within a single directed surveillance application on a 'per operation' basis, provided that each premises is clearly identified at the outset and the intelligence sufficient to prevent "fishing trips".
- 21.6 It is important that those individuals involved in the planning and conduct of test purchasing exercises avoid inciting, instigating, persuading or pressurising a person into committing an offence that, otherwise, would not have been committed. This includes giving due consideration to the impact of instructing an underage test purchaser to lie about their age if challenged by the seller of an age restricted product. The application for directed surveillance or the CHIS application must fully consider the impacts this might present together with the mitigation measures of any additional risks that may emerge as a result of the change in approach.

The individual making the test purchase is not classed as a CHIS for single transaction operations. This is because he/she does not establish or maintain a personal or other relationship with a person for the covert purpose of facilitating the obtaining of information. The one-time act of making a

purchase in a shop open to the public, where there may even be no verbal exchange, cannot reasonably constitute establishing a relationship, personal or otherwise – other than a momentarily fleeting one in which no information is obtained, which could reasonably constitute an interference with the privacy of the retailer/proprietor.

- 21.7 These assumptions are equally valid in circumstances where it is appropriate to evidence systematic breach of legislation at any given premises by using a number of different test purchasers, each making a one-off purchase. There are, however, some important qualifications to this advice. Firstly, different considerations would apply where the test purchaser has made previous visits to the premises, or is to make repeated visits, and in doing so, has established or is seeking to establish a relationship with the retailer/occupier prior to the attempted test purchase. In this case the juvenile would be revisiting in a way that encourages familiarity and as such they would be deemed a CHIS. Secondly, different considerations would apply, if the attempted test purchase is made other than from business premises open to the public, for example from a person's home including parts of their home adjacent to retail premises.
- 21.8 In circumstances where the test purchaser is not deemed to be a CHIS, it is nevertheless considered good practice to follow the requirements to ensure that:
- The safety and welfare of the test purchaser has been fully considered;
 - Any risk has been properly explained to, and understood by the test purchaser; and
 - A risk assessment has been undertaken, covering the physical dangers including any moral and psychological aspects of the test purchaser's deployment.
- 21.9 In the vast majority of test purchase operations, it is likely that there will be minimal risk to the test purchaser involved. Where an operation differs in the standard approach, for example where the test purchaser of an age restricted product may be asked to lie about their age, a directed surveillance or CHIS application must fully consider the mitigation of any additional risks that may emerge as a result of the change in approach.

22. Activities/operations not involving directed surveillance

- 22.1 Directed surveillance is conducted where it involves the observation of a person or persons with the intention of gathering private information to produce a detailed picture of a person's life, activities and associations. Private information includes any information relating to the person's private or family life.
- 22.2 However, it does not include general observation which is part of an Enforcement Officer's normal work.

- 22.3 General observation duties of the Council's Enforcement Officers whether overt or covert, frequently form part of their day to day activities and the Council's legislative core functions – such activities will not normally require a directed surveillance authorisation as the obtaining of private information is highly unlikely.
- 22.4 Examples of activities/operations which are unlikely to involve directed surveillance are:
- Enforcement officer's attendance at a car boot sale where it is suspected that counterfeit goods are being sold. In such a case, the officer is not carrying out surveillance of particular individuals - the intention is, through enforcement, to identify and tackle offenders;
 - A one-off identification/confirmation of the existence of a premises address by officer observation;
 - Anything which constitutes an immediate response e.g. a council officer with regulatory responsibilities may by chance be present when an individual is potentially infringing the law and it is necessary to observe, follow, or engage in other surveillance tactics as an instant response to the situation to gather further information or evidence. Once this immediacy has passed, however, any further directed surveillance of the individual, must be subject to a RIPA authorisation.
- 22.5 In circumstances where such activities/operations are considered to fall outside the scope of RIPA, it is good practice to record the reasons for this decision.

23. Investigatory Powers Commissioner's Office

- 23.1 The Investigatory Powers Commissioner is an independent person who has oversight of the operation of the Act. Public bodies are liable to inspection on behalf of the Investigatory Powers Commissioner and have a duty to produce records and comply with requests for information made by the Investigatory Powers Commissioner or his inspectors.

24. Safeguarding Surveillance Material Obtained

- 24.1 The revised Codes set out significant requirements relating to the handling of any material obtained as a result of surveillance or the use of a CHIS. Officers should familiarise themselves with the requirements in the Codes relating to safeguarding. Officers should also refer to any Departmental policies regarding evidential material.

25. Complaints

25.1 Where any person expresses their dissatisfaction with a surveillance operation carried out by the Council or with a communications data issue and they are either unwilling to accept an explanation or are dissatisfied with the explanation offered or they wish to complain about any other aspect of the Council's operations under RIPA, they must be informed of the existence of the Investigatory Powers Tribunal.

25.2 Every assistance shall be given to the person to complain to the Council's Corporate Complaints Officer or to contact the Tribunal and make their dissatisfaction known to it.

25.3 The address for the Investigatory Powers Tribunal is:

PO Box 33220

London

SW1H 9ZQ.

Tel: 0207 035 3711

Website address: www.ipt-uk.com

PROCEDURE FOR OBTAINING AUTHORISATION FOR DIRECTED SURVEILLANCE OR USE OF CHIS UNDER RIPA

DIRECTED SURVEILLANCE

1. Applying for Authorisation

- 1.1 Where an Investigating Officer believes that there is a need for Directed Surveillance during the course of an investigation, the Investigating Officer must complete an Application for Authority for Directed Surveillance [see appendix B] after discussion with his line manager, if appropriate.
- 1.2 The completed form must be submitted to the Authorising Officer [see appendix A for departmental Authorising Officers.]
- 1.3 The Authorising Officer can only approve an application where the statutory grounds for doing so are met.
- 1.4 Where the Authorising Officer is satisfied that the criteria for granting authorisation are met, he will approve the application and return a copy of the endorsed application to the Investigating Officer. In authorising the application, the Authorising Officer will set the first review date and specify the expiry date in accordance with the prompts provided on the authorisation forms (3 months less one day for directed surveillance; 12 months less one day for CHIS).

2. The judicial approval process

- 2.1 Once an application has been authorised by an authorising officer, it will not take effect until it has been approved by a Justice of the Peace (JP).
- 2.2 The process for seeking judicial approval is as follows: -
 - The local authority must contact HMCTS to arrange a hearing, or to deal with the matter administratively.
 - The JP should be provided with a copy of the authorisation/notice, all supporting documentation and a partially completed judicial approval/order form. (The original authorisation/notice should be provided to the JP.)
 - Unless dealt with administratively, a hearing will usually take place in private, usually attended by the case investigator, who will be best placed to answer the JP's questions about the investigation. However, in some cases, for example where there are sensitive issues, it may be appropriate for the Authorising Officer to attend to answer questions.
 - The JP will consider the application and record his/her decision on the order section of the application/order form.

2.3 The JP may decide to: -

- Approve the grant or renewal of the authorisation/notice;
- Refuse to approve the grant or renewal of the authorisation/notice;
- Refuse to approve the grant or renewal and quash the authorisation/notice.

2.4 For the form for seeking judicial approval, see Appendix B.

2.5 Once approved by a JP, the Authorising Officer must ensure that a copy of the completed application and approval documentation is included within the central record of authorisations.

3. Reviewing Authorisations

3.1 The Authorising Officer, in granting the Authorisation, will endorse it with a review date. At the review the Investigating Officer will complete the Review of Directed Surveillance Authorisation form [see appendix B] for consideration by the Authorising Officer. The Authorising Officer is responsible for determining whether the grounds for continued surveillance remain. If not, the application should be cancelled.

3.2 It is recommended that authorisations are reviewed on at least a monthly basis. The maximum period that may elapse between reviews is 3 months.

3.3 The Authorising Officer must ensure that a copy of the Review of Directed Surveillance Authorisation documentation is included within the central record of authorisations.

4. Refusing Authorisations

4.1 Where the Authorising Officer is not satisfied that the criteria for granting an authorisation for directed surveillance are met, he will refuse the application and endorse the application accordingly.

5. Cancelling Authorisations

5.1 Any activity authorised under RIPA must be kept under review. Where surveillance is completed the IO will complete a Cancellation of Directed Surveillance form [see appendix B] and forward it to the Authorising Officer for approval.

5.2 The Authorising Officer must ensure that a copy of the cancellation documentation is included within the central record of authorisations.

6. Renewals

- 6.1 Authorisations last for a maximum of 3 months in the first instance and must be renewed if surveillance is to continue beyond this time limit. The Investigating Officer is responsible for ensuring that any application for a renewal is made in a timely manner.
- 6.2 Where it is necessary to renew an authorisation, the Investigating Officer will complete a Renewal of Directed Surveillance Authorisation form and forward it to the Authorising Officer for approval. The investigating officer must then obtain approval for the renewal from a Justice of the Peace, using the specified form and supplying the required authorisation documentation, before the expiry of the original authorisation in order for the activity to continue.
- 6.3 The Authorising Officer will arrange for the original application and renewal approval documentation to be included within the central record of authorisations.

7. Retention of Authorisation Records

- 7.1 The SRO will retain records relating to authorisations under RIPA for 5 years from the date authorisation was granted or renewed.

8. COVERT HUMAN INTELLIGENCE SOURCES

- 8.1 Applications, Reviews, Cancellations and Renewals apply in relation to CHIS as above, and there are separate forms applicable to such applications [See appendix B.]
- 8.2 The Authorising Officer should not grant any such application without first considering whether to take legal advice.

APPENDIX A

<u>Officer</u>	<u>Name</u>
Head of Paid Service	Tom McCabe (Authorising Officer for confidential information)
Senior Responsible Officer (SRO)	Helen Edwards, Chief Legal Officer
Authorising Officers	Sophie Leney, Head of Trading Standards Shaun Norris, Section Manager – Trading Standards Alice Barnes, Section Manager – Trading Standards Jon Peddle, Section Manager – Trading Standards Nick Johnson, Head of Planning

APPENDIX B RIPA FORMS

All forms can be downloaded from:

<https://www.gov.uk/government/collections/ripa-forms--2>

It is your responsibility to ensure that you are using the current version of the RIPA forms.

The form to be used for applications for Magistrate approval, in both the Directed Surveillance and CHIS sections is at:

<http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/>

Directed Surveillance

1. Application for Directed Surveillance Authorisation
2. Review of Directed Surveillance Authorisation
3. Cancellation of Directed Surveillance Authorisation
4. Renewal of Directed Surveillance Authorisation
5. Magistrate approval of authorisation/renewal.

Covert Human Intelligence Sources

6. Application for Use of CHIS
7. Review of CHIS Authorisation
8. Cancellation of CHIS Authorisation
9. Renewal of CHIS Authorisation
10. Magistrate approval of authorisation/renewal.

Please also see:

Home Office Guidance to Local Authorities, at:

<http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/local-authority-england-wales?view=Binary>

The application process to the Magistrates is explained from page 10 onwards.

Report title:	Corporately Significant vital signs report
Date of meeting:	06 April 2020
Responsible Cabinet Member	Cllr FitzPatrick, Cabinet Member for Innovation Transformation and Performance
Responsible Director:	Fiona McDiarmid, Executive Director strategy & Governance
Is this a key decision?	No

Executive Summary/Introduction from Cabinet Member

This paper presents the current performance information for corporately significant vital signs.

The purpose of this report is to provide the Cabinet with an update on the current performance and to highlight the key challenges and to provide supporting information to the summary slides.

This is an opportunity to review performance, validate the actions being taken to address off-track performance and identify further opportunities for improvement using the resource and knowledge of the council as a whole.

The report provides key points on each vital sign, a summary dashboard of the monthly and quarterly vital signs is at Appendix 1 followed by individual report cards for each of the vital signs which are at Appendix 2.

The number of green and amber indicators vs. red is similar to the previous quarter report, with 48% of the indicators currently red. The overall direction of travel of the corporately significant vital signs is positive, as can be seen from the trend columns in the dashboard, with performance of 62% of the vital signs moving in a positive direction.

Cabinet are asked:

- 1. Review and comment on the performance data and planned actions.**

1. Background and Purpose

Vital signs provide measurements of operational processes (internal) and strategic outcomes (external). Poor performance represents a risk to the organisation in terms of our ability to meet legal responsibilities, maintain financial health and meet the needs of our citizens.

- 1.1 The Corporately Significant Vital Signs are closely aligned to the four principles underpinning the Strategy:

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

- **Joining up** our work so that similar activities and services are easily accessible, **done well and done once**
- Being **business-like** and making best use of **digital technology** to ensure value for money
- Using evidence and data to **target our work** where it can make the most difference.

1.1 Each vital sign has a target which has been set based on the performance required for us to work within a balanced budget and meet statutory requirements. Where the measure relates to the delivery of services benchmarking data has also been used to assess our performance against that of our statistical neighbours.

1.2 The Dashboard at Appendix 1 contains the current performance, historical performance and trends of the monthly, quarterly and annual corporately significant vital signs. The data reported represents the latest validated data available for each of the vital signs.

1.3 Report cards, detailing the performance of each vital sign and actions being taken to address performance issues are contained at Appendix 2.

1.4 New set of corporately significant vital signs for April 2020

1.5 The move to a new Cabinet system of Governance and the launch of Together, For Norfolk provides an opportunity to review the current vital signs to align them to our revised priorities and ensure that they also provide early indicators of future operational and strategic risks.

1.6 Directorate outcomes and performance indicators will be aligned to the relevant Portfolio holder and a review of these indicators is taking place with each Portfolio holder and lead Executive Directors, with a view to developing a new reporting framework to be agreed from April 2020, with work to set targets against each from quarter 1 in 2020/21.

2. Current performance

2.2 This report provides an update on the monthly and quarterly corporately significant vital signs. We currently have vital signs which measure key elements of the performance of our services and organisation wide monitor financial and workforce measures to maintain a view of how effectively the council is maximising the resources available for service delivery. This report is broken down into these two distinct areas. Please note with the emergence of the COVID-19 Virus some performance deviate from expected plans and trajectories over the coming months.

2.3 Services performance

2.4 The following section outlines the vital signs that are being monitored to maintain a view of the current and forecast pressures for Adults Social Services and Children's Services and also to monitor progress of the activities that are being delivered to establish a more sustainable model.

2.5 Adult Social Services

Promoting Independence is the Adult Social Services strategy for accelerating the delivery of improved outcomes for people who require adult social care within the ongoing challenging financial context.

People who live in their own homes tend to have better outcomes than those cared for in residential care and the Care Act 2014 requires that the council does all that it can to prevent or delay the need for formal or long-term care. Therefore, two vital signs track the number of people in residential care. This is split into two cohorts, people between 18 and 64 and those who are 65 and over; performance of both of these indicators has been positive over the last year with downward trends.

203: Permanent admissions to residential and nursing care per 100k population (18-64)

Improvements have seen year-on-year reductions but most recently, the rate has remained largely static. There are some issues with the data collected for this indicator –with analysis showing that there is a ‘data lag’ with many admissions not making onto our system immediately, artificially reducing the rate for the most recent months. Reflecting on the figures presented here –the last five months’ figures are likely to understate admissions. We are currently working with practitioners to improve data compliance.

Actions to bring this rate down further include an increased focus in independence through the development of ‘Enablement centres’ to help to develop skills for independent living and ‘Preparing for Adult Life’ services across adults, children’s and health.

204: Permanent admissions to residential and nursing care per 100k population (65+)

There are some issues with the data collected for this indicator, with analysis showing that there is a ‘data lag’ with a number of admissions not making onto our system immediately, artificially reducing the rate for the most recent months. Nevertheless, there appears to be a real reduction in the rate of permanent admissions, as overall numbers of people in long term residential care has reduced slightly in the last year. As overall numbers of people aged 65+ within all residential care settings has not reduced by the same amount, it is likely that reductions in permanent admissions are offset by increases in short-term placements. We will continue to monitor this trade-off, to ensure that moving to a greater proportion of short-term placements delivers the right outcomes and is cost-effective.

- 2.6 A key element of the Adults’ Strategy is to intervene and keep people independent and the council has provided a reablement service for a number of years to help people get back on their feet after a crisis.

202: The effectiveness of Reablement Services - % of people who do not require long term care after completing reablement.

Current performance shows slightly increasing effectiveness, although there are some seasonal pressures (January) where performance dips in light of heightened demand. Rates of people receiving reablement are below the target, though represent a year-on-year increase. Recruiting and retaining staff is a continuing challenge, and targets may be revisited if it is not possible to recruit the number of staff required to hit target.

Home-based reablement has achieved an expansion of capacity by 15%, jointly funded by the Council and Clinical Commissioning Groups (CCGs) which has meant

around an additional 900 people have been supported, although demand continues to increase. Accommodation based reablement was initiated in 2018 and there are now a total of 40 beds across the county available and in use with the flow and capacity managed by a central team.

210: Delayed transfers of care attributable to Adult Social Care.

High levels of delayed transfers of care remain a performance issue for both health and social care partners in Norfolk. Norfolk's rate at December 2019 meant that it was ranked 117 (out of 150 authorities) for total delays and ranked 131 out of 150 for social care delays. In December there were 1,335 adult social care 'delay days'. The largest proportion of these occurred at the Norfolk and Norwich University Hospital although their figure was 20% lower than in December 2018.

The majority of social care delays (713 or 53.4% of the delay days in December) were attributed to "awaiting residential care packages". The care market in Norfolk continues to be fragile. It is increasingly difficult to make care home placements for older people in nursing care and residential care for people with dementia and associated challenging behaviours in most parts of Norfolk. Referral numbers remain high, including an increasing number of safeguarding referrals. There are increasing numbers of delayed days for Mental Health discharges because of difficulties matching need to market provision for a smaller number of people, but with longer lengths of stay and delay.

Improvement actions continue to deliver short-term improvements, but these continue to struggle to be sustainable against the background of increased referral rates.

2.7 Children's Services

The Children's Services strategy focuses on meeting the needs of children by ensuring that they are:

- Resilient and able to learn
- Build positive, long-lasting relationships
- Receive family-based care

The number of Looked after children and those returning to being looked after are key indicators of how successful we are being in our early interventions and in identifying the right children to return to their families.

410: Rate of Looked After Children per 10,000 of the overall 0-17 population.

The LAC population at end of January 2020 is 1,114 giving us a rate per 10,000 of 65.5 bringing us ever closer to the national average of 65.3.

The number of LAC ceases was higher than the number of LAC starts in every Quarter in 2019, compared to 2018 where the opposite was true. This evidences sustained improvements, and is likely to indicate that the changes in practice and approaches, started in 2018, have been embedded consistently across the county.

This is testimony to the improved availability of edge of care services and support to families earlier in the process. In addition, better demand management following changes at the front door and inception of FAST teams means SWs now have more capacity and continuity in their work with families around affecting positive change as a diversion away from the need for care.

403: Percentage of children starting to be looked after who have previously been looked after

The current December 2019 rate of 13.1% is within target and is a decrease on the previous figure of 13.7% for December 2019.

There had been a steady decline in the number of children needing to come back into the care of the local authority until recent months. There is currently an exercise underway to explore the reasons and the timescales for the children who returned to our care during 2019 to ensure we are making correct decisions when planning for children to return home or move to family care outside of being looked after (e.g. SGO and adoption).

402: Children Starting a Child Protection Plan for a 2nd/subsequent time within 2 years of a previous plan ceasing.

The rate in January 2020 is 11% which is higher than in previous months but well within the target of 15%. Since October 2019 there has been a steady increase in numbers of children who have become subject to a Child Protection Plan having previously been subject to one in the previous two-year period.

Norfolk is the best performing local authority in the eastern region for this measure. This is testament to the quality of intervention that has enabled families to protect their children for an enduring period of time once the Child Protection Plan has ceased. It is indicative of more children receiving appropriate support in a timely way when they need it, affecting required change, and not requiring the need for ongoing statutory intervention at this level.

Participating in full time education or employment with accredited training is a key indicator and demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life and contribute fully within their communities.

In addition to this, a number of measures monitor the quality of the educational establishments in Norfolk, the participation in education and the identification of educational, health and social needs and additional support needed to meet these needs.

414: Percentage year 12 and 13 cohort participating in full time education or employment with accredited training (EET).

Norfolk participation (91.7%) is 1.1% points above statistical neighbours (90.6%) and 1.5% points above national. Statistical neighbour not-knowns are at 4.5% compared to Norfolk's 2.0% making the Norfolk position more accurate while the neighbours' 4.5% will be hiding NEET and other non-participating young people.

Actions to improve this rate include identifying and supporting young people in year 11 and 12 who are at risk of not continuing in learning with a specific focus on progression from year 12 to 13.

417: Relevant and Former Relevant Care Leavers (19-21) in Employment, Education and Training

As corporate parents, Norfolk County Council has high aspirations for the young people formerly in our care. High levels of engagement in education, employment or training among our care leavers improves their outcomes both in terms of their self-esteem and life goals.

In October 50.6% of Norfolk's 19-21-year-old care leavers were engaged in employment, education or training. This has increased in a relatively short period to

53.9%. This performance is better than the national average of 51% and whilst below our statistical neighbour average of 54.4% and the regional average of 55.5% we are closing the gap.

416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

Performance for the last quarter (Oct-Dec 2019) has increased to 13.3%, compared with 10.3% for the previous quarter. Performance in relation to EHCPs has been an area of leadership focus since 2018 when additional capacity was deployed to address timescale issues. However, the ongoing rising referral rates has outstripped that additional capacity and so we have not yet seen a significant performance improvement. Further investment is being made in the EHCP workforce as part of the 20/21 budget to continue to respond to the rising referral rate. EHCP systems and processes have not been robust enough to track and manage progress through the timescale at a granular level.

The Executive Director Children's Service has established a Rapid Action Team and has authorised a further significant injection of EHCP coordinator and Educational Psychology Capacity. New operational leadership is in place to bring improved monitoring and challenge and improvement to process and practice.

415: Number of children subject to a Permanent Exclusion

Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

The number of pupils permanently excluded in Autumn 2019 was the lowest recorded in this period over the past three years. The reason for this continued reduction is due to the development of a dedicated Inclusion Team which supports schools who request support through the Inclusion Helpline.

349: Number of Apprenticeship starts

Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay). This performance indicator is currently red.

Data for overall volumes shows a continued slide both locally at 1,820 (-10%) and nationally (-4%). Norfolk continues to perform less well than England in respect of level 2 at 520 (Norfolk -25% National 20%) and Advanced Apprenticeships, Level 3, at 850 (Norfolk 5%, National 4%). 16-18-year-old starts are down by 18% in Norfolk at 620 compared to a national decrease of 11%. However, Higher Apprenticeship increased by 39% at 460 are outperforming the growth across England at 29%.

This is possibly due to levy paying organisations upskilling their existing workforce to higher levels and may reflect a wider availability of provision and national policy drivers. All the providers visited so far by the Apprenticeship Norfolk Network team where the offer is predominately intermediate/advanced have not fully utilised their funding allocations, so this seems to reflect that. Work is ongoing to develop the Apprenticeship Norfolk Network in a number of areas.

In addition to the social care measures we monitor a number of indicators relating to access to wider services across Norfolk:

317: on call (retained) fire station availability

Responding quickly to an emergency can reduce the impact of an incident and to do this the service needs response resources to be available. On call (retained) Fire Station availability measures the availability of retained fire fighters, located within 5 minutes of their station.

NFRS On-call fire station availability against a target of 90% was 87.3% in January.

Monthly On-call availability continued its five-month trend of improvement, with performance varying across stations around the county. Since last reported to Cabinet, performance has improved by four percentage points.

325: Customer Satisfaction (with council services)

This indicator measures customer satisfaction across a wide range of council services.

For January 2020, overall satisfaction is 92.5% against the target of 90%.

Email satisfaction was 72% for January 2020, based on the 502 completed surveys. Phone satisfaction was 96% for January 2020, based on the 3183 completed surveys. Face to face (reception) satisfaction was 94% for December 2019. Overall satisfaction in January 2020 has increased to 92.5%. This is partly due to the increase in contacts and increase of completed surveys.

311: % of Norfolk Homes with superfast broadband coverage

Access to superfast broadband will provide businesses and individuals access to the resources needed to maintain independence and a strong economy. Currently 94% of properties in Norfolk can access fast broadband which is higher than the target of 90%.

Work continues to extend this coverage through the Better Broadband for Norfolk partnership.

2.9 Financial and Workforce Measures

A number of financial and workforce measures are monitored to review how effectively the council is maximising the resources available for service delivery. All of these indicators are NCC-wide measures.

Financial indicators

500: Budget monitoring – Forecast vs. Budget

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves, this measure monitors the forecast spend vs. the budget. The forecast position for 2019-20 as of January is for an end of year budget shortfall of £1.375m which is an improving position.

A Children's Services net forecast overspend is due mainly to high and increasing levels and complexity of need across placement and support budgets, including children looked after, young people leaving care and children at risk of harm, and transport costs. Transport costs of home to school transport, particularly Special Educational Needs, Disabilities and Alternative Provision (SEND & AP) transport, are under significant pressure due to the unit cost of provision. Within Adults, there are pressures on Purchase of Care budgets, mainly related to Older People and Mental Health services. The forecast overspends have been largely balanced by forecast underspends in Finance General.

503: Ratio of Corporate net expenditure compared to Frontline

The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

Following the removal of depreciation revaluation charges to service budgets in the ratio has increased when compared to original budgets, by about 1%. This is not a change in the underlying ratio, as the charges are simply reallocations of capital costs between service departments. The forecast is slightly lower than budget, due to the majority of forecast overspends being in frontline services rather than support functions.

501 Savings targets delivered – by Department

Making savings is key to supporting the delivery of a balanced budget and ensuring that the Council maintains a robust financial position. Savings are identified across the council each financial year and the savings identified for 2019/20 the savings target is £31.605m.

In the current year, 2019-20, as at Period 10 (January), a shortfall of £5.398m is being forecast against budgeted savings of £31.605m. Savings of £26.207m are forecast to be delivered (83% of planned savings). The main area of non-delivery continues to relate to delays in the achievement of Adult Social Services savings linked to Promoting Independence, but also savings relating to Transport and Digital / New Technology.

504 Savings – Support Services compared to Front Line

This figure demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over savings which impact on front line delivery. In the current year, 2019-20, as at Period 10 (January), the forecast percentage savings from efficiencies is 89%, which is in line with the budgeted percentage (89%).

502: Capital Programme Tracker

Members set a capital budget each year in the expectation that capital projects will be delivered, and budgets controlled. on actual expenditure in the year to date, total spend in 2019-20 is forecast to be in the region of £175m. This is less than expected based previous years' patterns of spend, although it is higher than last year, and previous years were unusually high in that they included the construction of the NDR.

The programme and capital budgets will be re-profiled as the timing of projects become more certain.

Workforce

A number of measures are monitored to understand the total available capacity and engagement of the organisation to deliver our services.

615: HR: % lost time due to sickness

Supporting employees to be healthy, positive and productive at work is a priority and staff absence is also an indicator of the overall relationship between the employee and employer.

The sickness absence rate to the end of December 2019 was 3.72% against the target of 3.5% and compared to 3.7% at the same point last year. The average lost time due to sickness absence for local government is 2.7% (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available) and for large employers (5,000+ employees) is 4.3% (CIPD Health and Wellbeing at work survey 2018).

This equates to 210 fte in lost productivity. *This represents a reduction from 3.8% in September and the 5th consecutive month where absence has reduced or stayed the same.*

For the period Jan 19 to Dec 19 40.29% of sickness absence episodes are due to short term viral infections, however the biggest number of days lost (NCC 32.25%) are due to mental health issues.

A number of actions are underway to manage data collection. HR & Finance Replacement system will help automate management information, currently reliant on self-reporting. More proactive support for managers, ensuring that all absence cases have a clear case management plan. Focussed support is being provided to ASD and Children's, both in terms of absence management and well-being e.g. seeking advice from occupational health and supporting managers with absence review meetings, undertaking well-being assessments and signposting to additional services such as Norfolk Support Line (NSL) and the musculoskeletal scheme where appropriate.

637: New employee retention

Improving our retention rate will reduce costs associated with recruitment and training and improve service performance, this indicator measures how many new entrants to NCC stay in post for longer than two years. Currently the retention rate is below our stretching target of 80%, at 62.71% in December, however there is considerable fluctuation month to month. Our average retention rate during 2018/19 was 66% which is comparable with the 2018 national CIPFA survey where the average retention rate was 70%.

As a percentage of all leavers, both Adults and Children are around 50% of leavers having less than two years' service whereas C&Es have just over 26% of leavers failing to reach two years' service. Recent work to identify mechanisms to retain social workers will be measured carefully to identify its impact, however it is too soon to show this impact.

638: HR Performance Development (Previously appraisals) Percentage of written goals agreed

This measure identifies the percentage of performance development written goals agreed. This is a new approach to Performance Development which is intended to contribute to the people development of an effective performance culture. External research identifies that goals linked to future plans and conversations between

managers and building on employee strengths are critical for effective people performance. The goal is for all employees between April and June annually to have Performance Development Goals and for these to be followed up in mid-year October – November with a timescale of August – September for Education finance teams.

Data for the latest quarter (December 2019) shows that 49% of staff have agreed performance development goals. The overall trend has remained static for the last six months.

A new dashboard is ready to provide at both Directorate and Service level data on written goals completed and not completed. Manager Workshops for new managers from March will include content on performance development goals and PC lock screen will remind staff to complete written goals. New functionality is also planned from March 2020 within MyHR and Payroll to make it easier for managers to record information on goals and for an employee to view this information.

639: Vacancy Rate (Accuracy of establishment data)

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being. Accurate data allows for recruitment planning to fill vacancies in a timely way and identify challenges in recruitment for professional groups.

The vacancy rate for December was 9.9%, so has slipped below the target rate. The overall trend continues to move downwards with a rolling average reducing from 15.78% in April to 14.2% in September.

It is difficult to fully reconcile the various data sets to accurately update, maintain and report on establishment, however are implementing some changes to RMS to make it easier for managers to keep establishment accurate. In the longer term, the HR& Finance System Transformation project will deliver an end to end solution with integrated HR and Finance data. In the interim several tactical solutions are being implemented.

The following appendices contain the current vital signs dashboard and the individual report cards for each vital sign.

3. Impact of the Proposal

3.1 Information Report

4. Evidence and Reasons for Decision

4.1 N/A

5. Alternative Options

5.1 Information Report

6. Financial Implications

6.1 N/A

7. Resource Implications

7.1 Staff N/A

7.2 Property N/A

7.3 IT N/A

8. Other Implications

8.1 Legal Implications N/A

8.2 Human Rights implications N/A

8.3 Equality Impact Assessment (EqIA) (this must be included) N/A

8.4 Health and Safety implications (where appropriate) N/A

8.5 Sustainability implications (where appropriate) N/A

8.6 Any other implications N/A

9 Risk Implications/Assessment

9.1 N/A

10 Select Committee comments

10.1 N/A

11 Recommendations

11.1 1. To

12. Background Papers

12.1 Information within Appendices 1 and 2

Officer Contact

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

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Tel No	01603 973591
Email address	andrew.staines@norfolk.gov.uk



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

Appendix 1: Corporately Significant Vital Signs Dashboard – monthly indicators

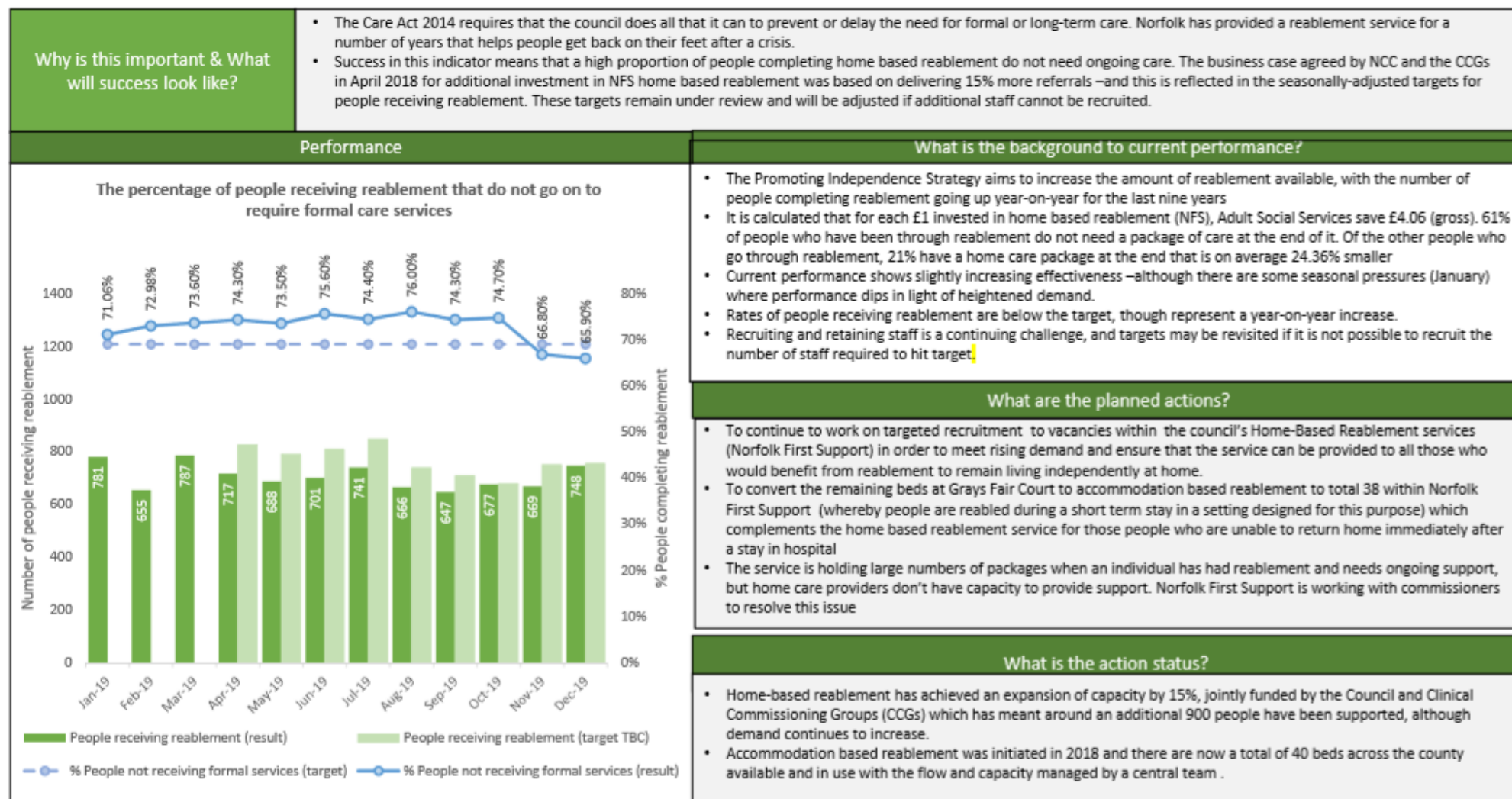
Ref	Monthly	Bigger or Smaller is better	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19	Jun 19	Jul 19	Aug 19	Sep 19	Oct 19	Nov 19	Dec 19	Jan 20	Target	Trend	Part Performance
202	{ASC} % of people who require no ongoing formal service after completing reablement	Bigger	74.66%	71.06%	72.98%	73.60%	74.30%	73.50%	75.60%	74.40%	76.00%	74.30%	74.70%	66.80%	65.90%		69%	↓	
203	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	Smaller	25.27	24.68	23.90	23.90	21.55	24.09	21.94	20.76	21.55	21.55	20.76	19.78	19.78		22.70	↓	
204	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	Smaller	631.41	628.59	624.36	607.93	599.01	583.05	571.79	563.34	555.82	542.68	529.54	527.66	533.29		571.1	↓	
210	{ASC} Number of days delay in transfers of care per 100,000 population (attributable to social care)	Smaller	5.40	5.67	5.66	5.68	5.09	6.43	6.59	6.68	6.86	6.91	6.99	7.03	7.13		3.4	↑	
317	{NFRS} On call (retained) fire station availability	Bigger	85.7%	87.3%	86.1%	87.3%	87.3%	86.3%	83.6%	83.7%	80.0%	82.7%	83.3%	84.2%	85.3%	87.3%	90%	↓	
325	Customer satisfaction (with council services)	Bigger	90.2%	90.2%	93.9%	95.4%	93.3%	92.7%	86.9%	86.6%	88.3%	90.4%	88.8%	88.4%	88.9%	92.5%	90%	↓	
402	{ChS} Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2 yrs)	Smaller	8.4%	8.7%	9.4%	9.4%	9.9%	10.6%	10.3%	10.2%	9.6%	9.2%	8.9%	9.9%	11.1%	10.9%	<15%	↑	
414	{ChS} Percentage of all young people in EET	Bigger	91.5%	91.1%	91.0%	90.3%	89.9%	89.3%	89.3%	89.1%	85.4%	86.9%	90.1%	91.7%			92%	↓	
417	{ChS} Percentage of Relevant and Former Relevant Care Leavers in EET	Bigger	56.5%	55.9%	49.7%	50.3%	50.1%	52.9%	52.6%	50.7%	49.7%	50.8%	50.6%	51.1%	52.7%	53.9%	70.0%	↑	
500	{Finance} Budget monitoring - forecast vs budget at a County level	On plan	-£0.04m	-£0.02m	-£0.02m	-£0.02m	-£0m	£5.7m	£6.11m	£5.01m	£4.62m	£4.37m	£3.82m	£3.7m	£1.92m	£1.38m	£0.0m	↓	
501	{Finance} Savings targets delivered - by Service	Bigger	£24.54m	£25.56m	£25.56m	£25.5m	£31.61m	£26.9m	£26.9m	£26.9m	£26.9m	£26.69m	£26.69m	£26.69m	£26.69m	£26.21m	£31.6m	-	
502	{Finance} Capital programme tracker	Bigger	59.2%	59.2%	59.2%	57.2%	55.0%	55.0%	82.9%	86.7%	77.6%	81.7%	78.7%	76.7%	75.7%	74.7%	100.0%	↑	
503	{Finance} Ratio of corporate net expenditure compared to frontline net expenditure	Smaller	5.4%	5.5%	5.5%	5.9%	5.8%	5.8%	5.8%	5.8%	5.8%	5.8%	6.4%	6.6%	6.6%	6.5%	6.8%	↑	
504	{Finance} Savings - support services compared to front line	Bigger	67.5%	68.8%	68.8%	68.7%	88.5%	89.3%	89.3%	89.3%	89.3%	89.2%	89.2%	89.2%	89.2%	89.0%	89.0%	↑	
615	{HR} Sickness absence - percentage lost time	Smaller	3.70%	3.77%	3.79%	3.81%	3.90%	3.95%	4.10%	4.20%	3.95%	3.80%	3.80%	3.77%	3.72%		3.50%	↓	
637	{HR} New Employee Retention	Bigger	63.44%	60.00%	63.79%	68.09%	59.26%	56.20%	62.07%	68.97%	61.70%	68.63%	57.14%	75.68%	62.71%		80.0%	↑	
639	{HR} Vacancy rate	Smaller	11.97%	14.92%	14.78%	17.60%	16.50%	13.50%	13.50%	16.40%	12.2%	10.2%	12.8%	13.2%	9.9%		12.00%	↓	

Appendix 1: Corporately Significant Vital Signs Dashboard – Quarterly and Termly indicators

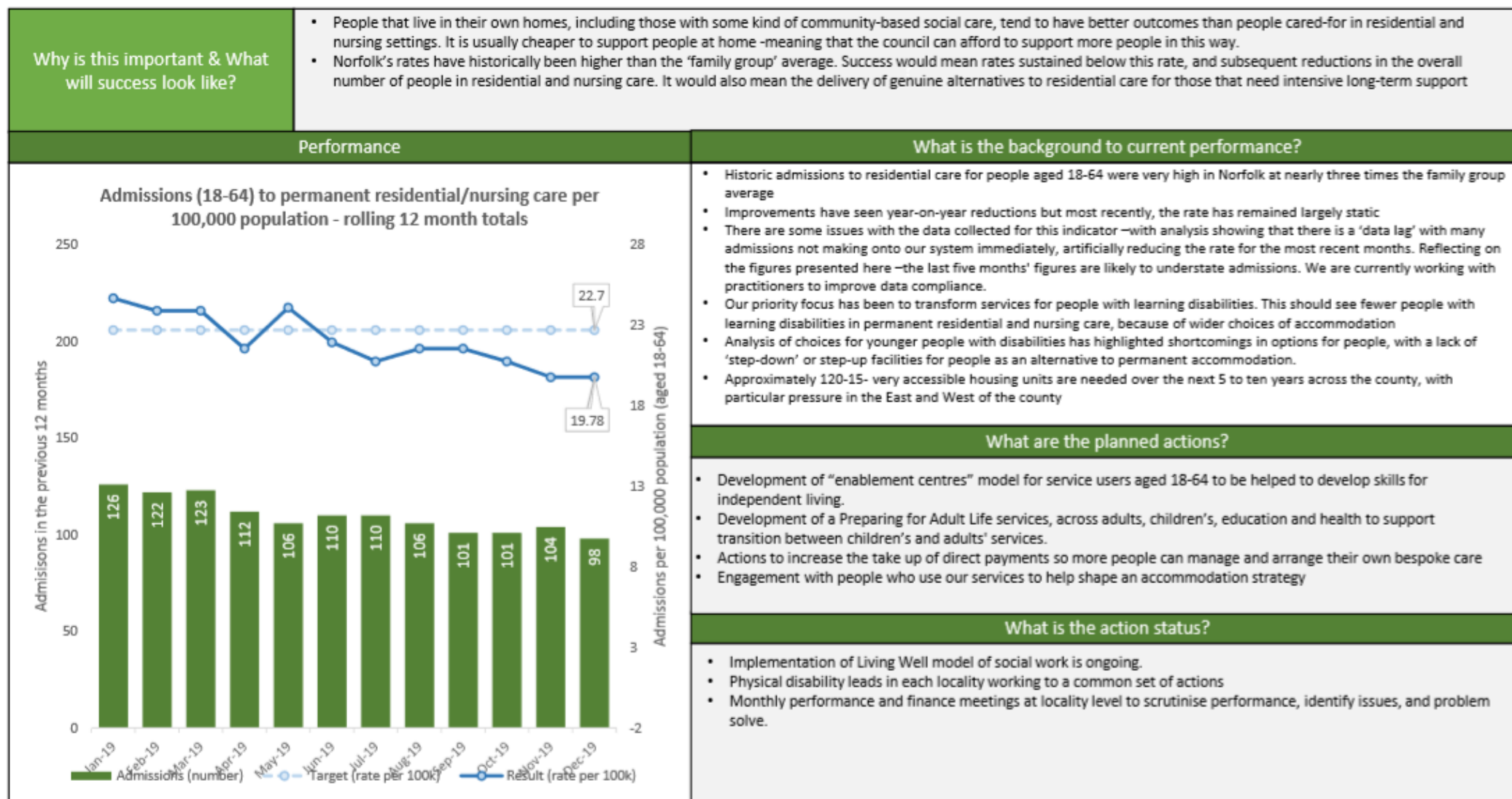
Ref	Quarterly	Bigger or Smaller is better	Dec 18	Mar 19	Jun 19	Sep 19	Dec 19	Target	Trend	Past Performance
331	{BBfN} % of Norfolk homes with superfast Broadband coverage	Bigger	92.0%	93.0%	93.0%	94.0%	94.0%	90%	↗	
349	{PE} Number of apprenticeship starts	Bigger	2030	3210	4740	5740	1820	2,045	-	data is cumulative
403	{ChS} Percentage of Children Starting to be looked-after who have previously been looked-after	Smaller	5.10%	5.10%	9.30%	13.70%	13.10%	<15%	↗	
410	{ChS} Rate of Looked-After Children per 10,000 of the overall 0-17 population	Smaller	71	70.2	69.4	67.3	65.5	69.4	↘	
416	{ChS} Percentage of Education, Health & Care Plans completed within timescale	Bigger	10.2%	3.1%	4.6%	10.3%	13.3%	55%	↗	
638	{HR} Performance Development % of written goals agreed	Bigger			27%	47%	49%	95%	↗	
Termly			Summer 18	Autumn 18	Spring 19	Summer 19	Autumn 19			
415	{ChS} Number of Children subject to a Permanent Exclusion	Smaller	88	91	84	55	83	-		

Appendix 2: Individual report cards

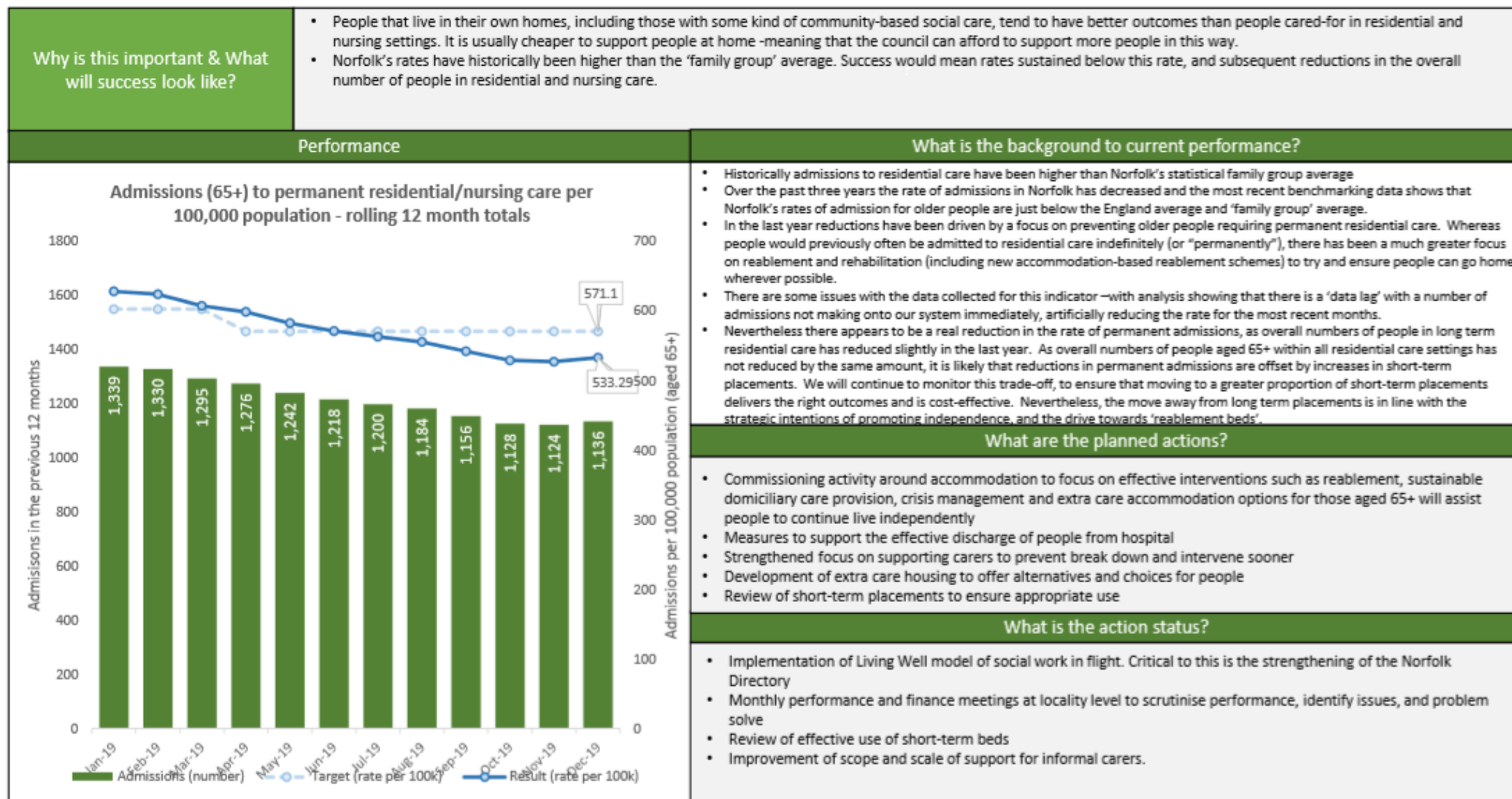
202: The effectiveness of Reablement Services -% of people who do not require long term care after completing reablement



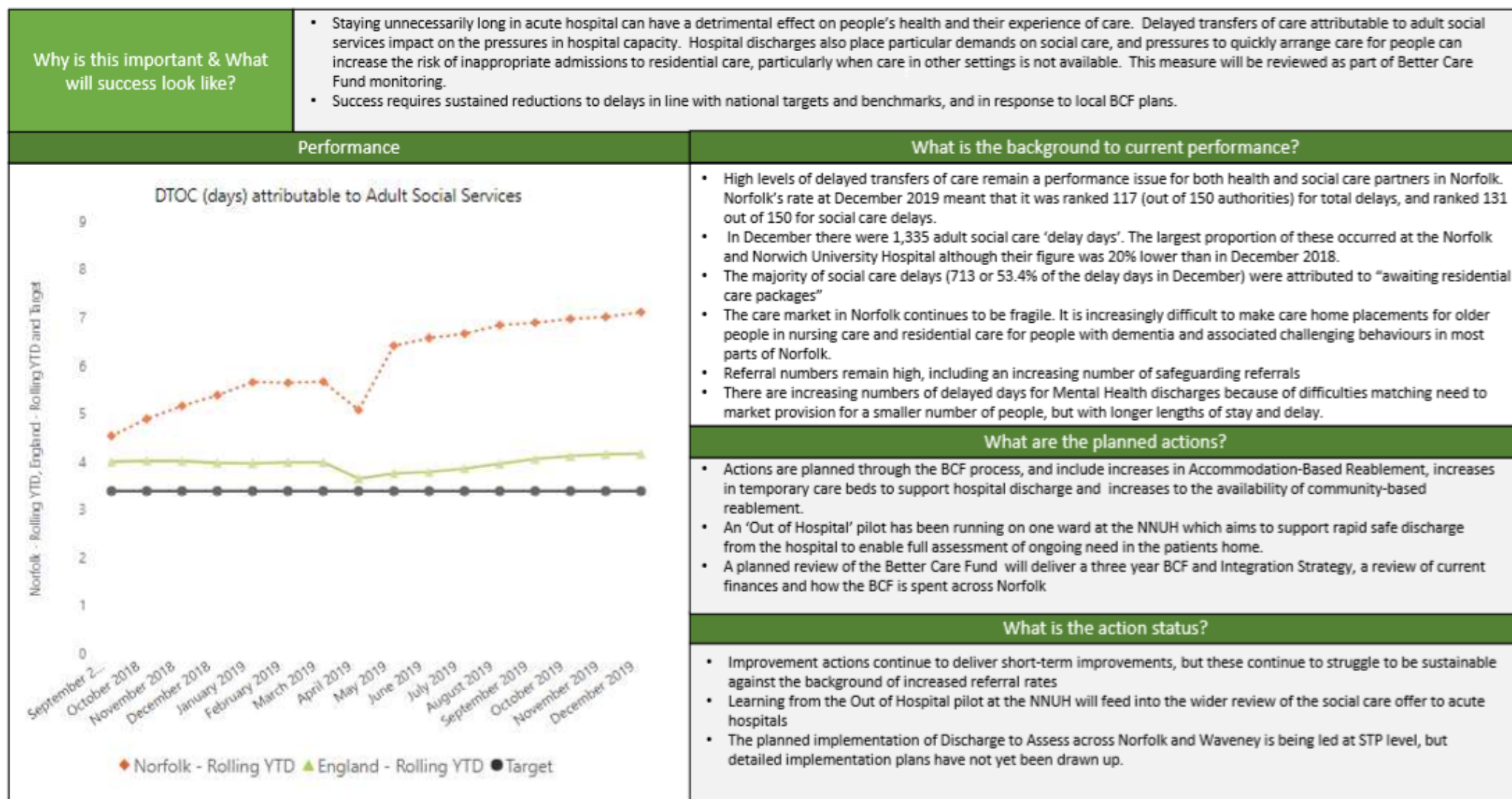
203: Permanent admissions to residential and nursing care per 100k population (aged 18-64)



204: Permanent admissions to residential and nursing care per 100k population (aged 65+)



210: Delayed transfers of care attributable to Adult Social Services

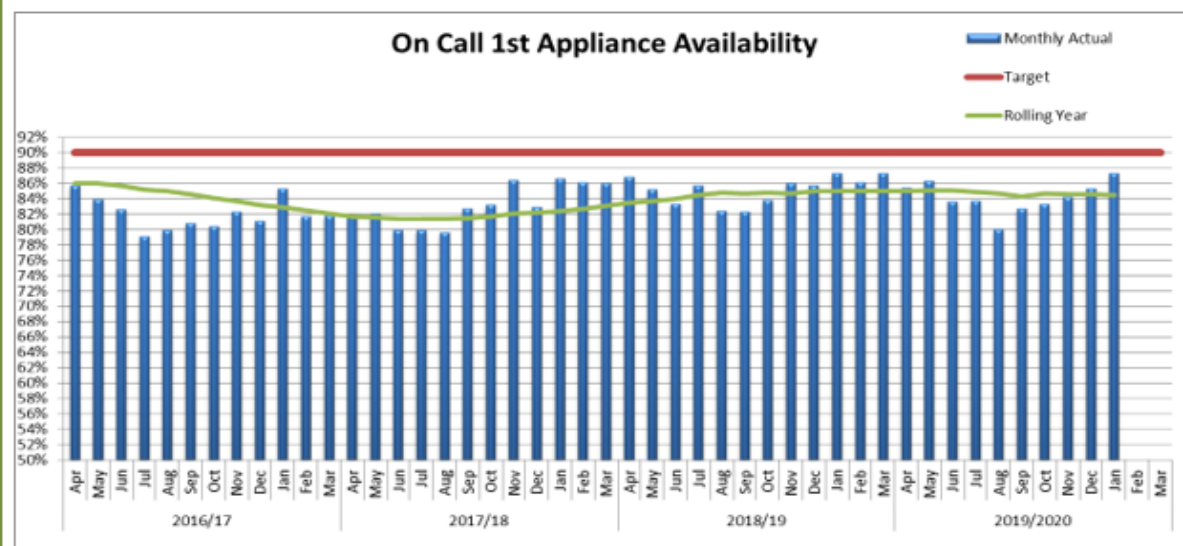


317: On Call Fire Station Availability

Why is this important?

Responding quickly to an emergency can reduce the impact of the incident. To do this the service needs its response resources to be available. This measure records the combined availability of the first on call fire engine from each station. The aim is to have these available 90% of the time.

Performance



What is the background to current performance?

- On-call firefighters are employed on a contract to provide a set number of hours of availability. They must be located within five minutes of their station and are paid to respond to emergencies. They often have other primary employment.
- Monthly On-Call Availability** continued its five month trend of improvement with a 2.0% increase between December and November. Acle was lowest, though improving at 47.3%. Reepham improved to 60.8%. Outwell improved once more to 62.0%.
- We have been managing personnel issues at one of our stations for a number of months. This situation, while having a negative impact on availability, is showing signs of improvement.
- It is challenging to recruit firefighters who are prepared to remain within five minutes of a station. Many of our on-call firefighters are also Wholtime fire fighters; this restricts their availability for on-call duty. Firefighters must pass an annual fitness test to be available. We currently have a few firefighters who have failed the test, this makes them temporarily unavailable. Some stations are experiencing a lack of personnel qualified to be officers in charge, without whom a crew cannot mobilise. To address the shortfall of officers in charge, we are coaching personnel through the qualification process and we are reviewing the competencies required to be an officer in charge.
- Following the recent successful recruitment exercise 12 new firefighters will begin work in February. We now embarked on the next recruitment campaign.
- Annual On-Call Availability** has been steadily improving over recent years as the service has been taking effective action to improve.

2016/17	82.1%
2017/18	83.1%
2018/19	85.1%
2019/20	84.1% to end of January, +0.9% on December.

What will success look like?

- Consistent performance improvement to achieve the 90% target
- The first fire engine responds to an emergency when they are needed (avoiding the need to send the next closest available fire engine).
- Wholtime (full-time) firefighting resources are almost always available so they have not been included in this data. They provide a level of resilience and support for surrounding On-Call stations. .

Action required

- Currently recruiting on-call firefighters at a number of stations, a media campaign has recently been run with significant interest.
- Resources have been identified to enable focused improvement for on On-Call recruitment.
- Managers regularly review the availability provided by on-call firefighters to ensure they comply with their contracted arrangements and performance manage this where required.

Responsible Officers

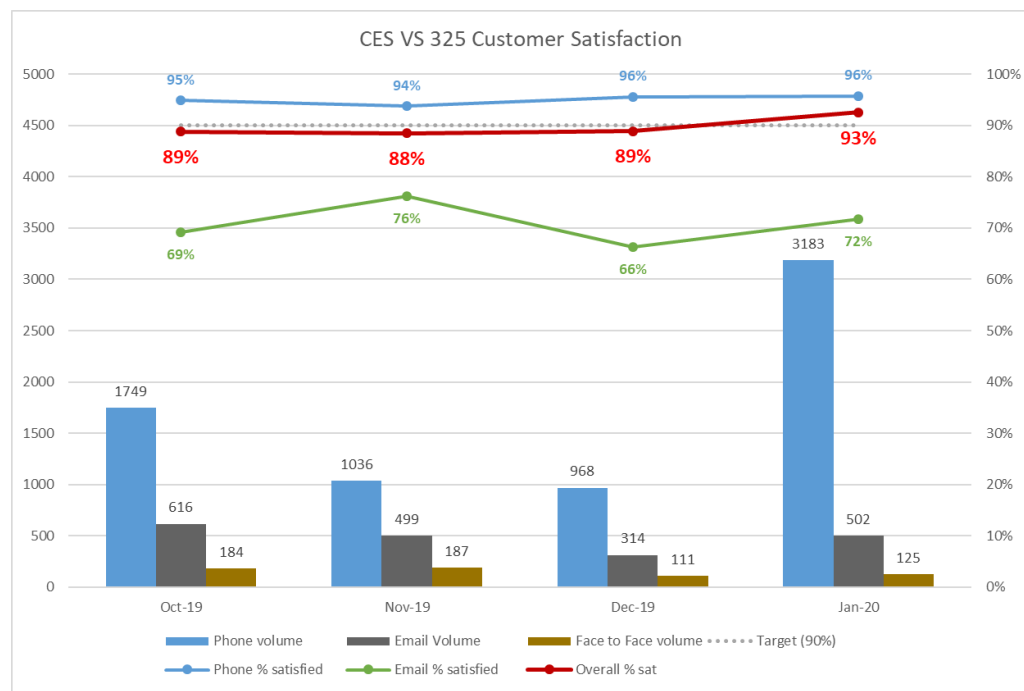
Lead: Stuart Ruff, *Chief Fire Officer* Data: Stephen Maxwell, *Intelligence and Performance Analyst*

325: Customer Satisfaction

Why is this important?

This measures the organisations ability to attract the right calls and deal with them effectively. Where people are phoning to chase an earlier contact / request it is a signal of inefficiency in the organisation – it also adds unnecessary cost in dealing with a second customer contact.

Performance



What is the background to current performance?

Email

Email satisfaction was 72% for January 2020, based on the 502 completed surveys.

Phone

Phone satisfaction was 96% for January 2020, based on the 3183 completed surveys.

Face to Face

Face to face (reception) satisfaction was 94% for December 2019.

Overall satisfaction in January 2020 has increased to 93%. This is partly due to the increase in contacts and increase of completed surveys.

What will success look like?

- Over 90% of customers are satisfied with the service they receive
- As the customer service programme progresses the number of avoidable customer contacts by service should reduce, as customers are more able to self-serve online.

Action required

Responsible Officers

Lead: Ross Cushing, Contact Centre Delivery Manager; Data: Paul Green, Customer Services Reporting Officer

402: Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)

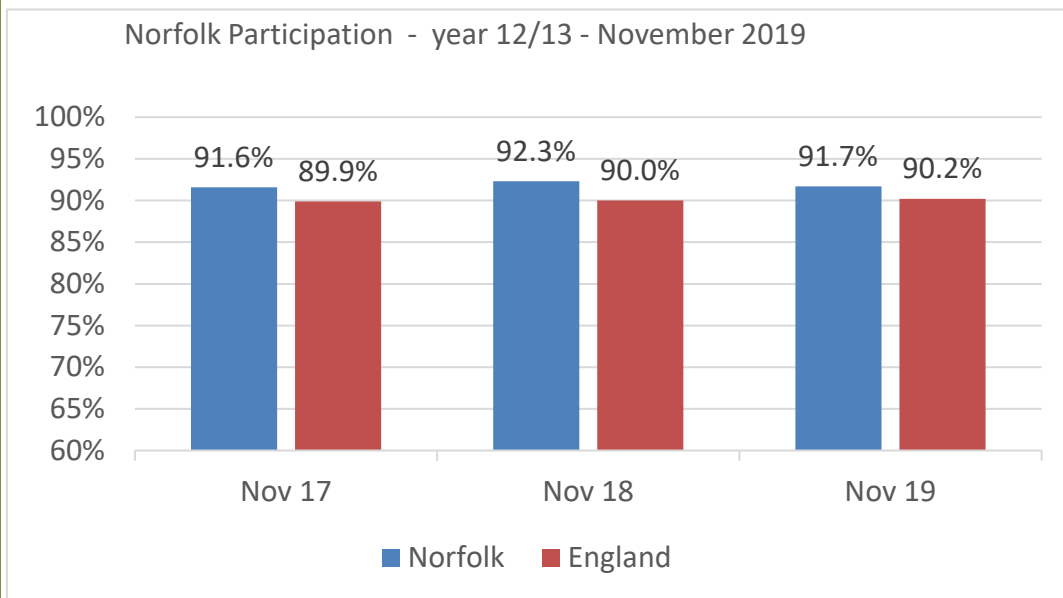
Why is this important?																																											
A successful CP Plan outcome is not just about reducing risk at a particular point in time but is about ensuring that children who have been subject to CP intervention stay safe after the plan has ended.																																											
Performance	What is the background to current performance?																																										
<p>Children Starting a Child Protection Plan for a 2nd/Subsequent Time (Rolling 12 months)</p> <table><caption>Approximate data from the chart</caption><thead><tr><th>Month</th><th>Actual (%)</th><th>Target (%)</th></tr></thead><tbody><tr><td>Jan-18</td><td>10.5</td><td>15</td></tr><tr><td>Mar-18</td><td>10.5</td><td>15</td></tr><tr><td>May-18</td><td>10.2</td><td>15</td></tr><tr><td>Jul-18</td><td>10.0</td><td>15</td></tr><tr><td>Sep-18</td><td>10.5</td><td>15</td></tr><tr><td>Nov-18</td><td>10.5</td><td>15</td></tr><tr><td>Jan-19</td><td>10.5</td><td>15</td></tr><tr><td>Mar-19</td><td>10.8</td><td>15</td></tr><tr><td>May-19</td><td>11.0</td><td>15</td></tr><tr><td>Jul-19</td><td>10.8</td><td>15</td></tr><tr><td>Sep-19</td><td>10.5</td><td>15</td></tr><tr><td>Nov-19</td><td>10.8</td><td>15</td></tr><tr><td>Jan-20</td><td>10.9</td><td>15</td></tr></tbody></table> <p>— Target — Actual Linear (Actual)</p>	Month	Actual (%)	Target (%)	Jan-18	10.5	15	Mar-18	10.5	15	May-18	10.2	15	Jul-18	10.0	15	Sep-18	10.5	15	Nov-18	10.5	15	Jan-19	10.5	15	Mar-19	10.8	15	May-19	11.0	15	Jul-19	10.8	15	Sep-19	10.5	15	Nov-19	10.8	15	Jan-20	10.9	15	<p>The rate in January 2020 is 11% which is higher than in previous months but well within the target of 15%. Since October 2019 there has been a steady increase in numbers of children who have become subject to a Child Protection Plan having previously been subject to one in the previous 2- year period.</p> <p>Norfolk is the best performing local authority in the eastern region for this measure. This is testament to the quality of intervention that has enabled families to protect their children for an enduring period of time once the Child Protection Plan has ceased. It is indicative of more children receiving appropriate support in a timely way when they need it, affecting required change, and not requiring the need for ongoing statutory intervention at this level</p>
Month	Actual (%)	Target (%)																																									
Jan-18	10.5	15																																									
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Jan-20	10.9	15																																									
What will success look like?	Action required																																										
<p>For the numbers of children subject to a Child Protection Plan who have previously been subject to one in the last 2 years to continue to decline.</p> <p>For no more than 10% of those starting a Child Protection Plan to be for a second or subsequent time.</p>	<ol style="list-style-type: none">1. Consideration of reducing the target as this has consistently been better than the agreed target for 2 years.2. For this measure to continue to be monitored and reported locally to ensure any increase in this cohort is properly analysed and addressed.																																										
Responsible Officers	Lead: Phil Watson Data: CS Reporting Team																																										

414: Percentage of year 12 and 13 cohort participating in fulltime education, or employment with accredited training (EET)

Why is this important?

This key indicator demonstrates that young people are achieving their potential through continuing in learning and gaining the skills which will enable them to lead an independent economic life. The Department for Education requires us to report this data to them each month.

Performance



What is the background to current performance?

- Those participating post-16 include those in fulltime education or employment with accredited training e.g. apprenticeships. Those who are employed but not undertaking accredited training are not counted as participating in EET
- The participation level will continue to increase for both Norfolk and England between October and December however we expect the gap between Norfolk and England performance to decrease as it has in previous years
- Norfolk participation (91.7%) is 1.1% points above statistical neighbours (90.6%) and 1.5% points above national
- Statistical neighbour not-knowns are at 4.5% compared to Norfolk's 2.0% making the Norfolk position more accurate while the neighbours' 4.5% will be hiding NEET and other non-participating young people

What will success look like?

- Closing the gap for young people who are disadvantaged and achieving sustained participation in EET that is better than England

Action required

- Identifying and supporting young people in year 11 and 12 who are at risk of not continuing in learning with a specific focus on progression from year 12 to 13
- Decreasing the number of young people who enter into employment without accredited training through promotion of apprenticeships
- Work with providers to reduce the number of young people who 'drop out' and providing support for those who do to re-engage

Responsible Officers

Lead: Karin Porter, Participation & Transition Strategy Manager

Data: Joseph Alexander-Phelan, Information Systems and Analysis Officer

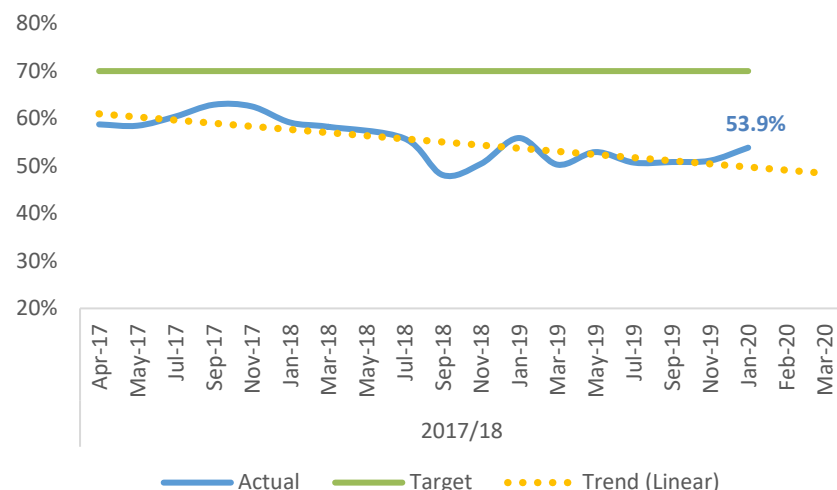
417 Relevant & Former Relevant Care Leavers (aged 19-21) in Employment, Education or Training

Why is this important?

As corporate parents, Norfolk county Council has high aspirations for young people formerly in our care. High levels of engagement in education, employment or training among our care leavers improves their outcomes both in terms of their self-esteem and life goals.

Performance

Percentage of Relevant & Former Relevant Leavers aged 19-21 EET:



What is the background to current performance?

We have changed the age parameters for these measures to 19-21-year olds in line with the benchmarking. However, we continue to monitor the data across all age groups.

In October 50.6% of Norfolk's 19-21-year-old care leavers were engaged in employment, education or training. This has increased in a relatively short period to 53.9%

This performance is better than the national average of 51% and whilst below our statistical neighbour average of 54.4% and the regional average of 55.5% we are closing the gap.

Action required

- Via focus of the Corporate Parenting Board EET subgroup;
- Continue to work relentlessly with education providers, young people and partners to identify and resolve barriers to participation.
- To build the promotion of employment and education more fully into the specifications of accommodation providers working with care leavers
- To support the development of apprenticeships and similar schemes which are suitable for care leavers – including directly within the County Council

What will success look like?

The percentage of 19-21-year-old care leavers engaged in some form of employment, education or training will be-above the national average.

This cohort will have access to a variety of suitable, aspirational and ambitious opportunities that will enhance their longer-term future life chances.

The Council will act as the 'family firm' and maximize opportunities within its services and those it commissions to provide employment opportunities for Care Leavers.

Responsible Officers

Lead: Phil Watson

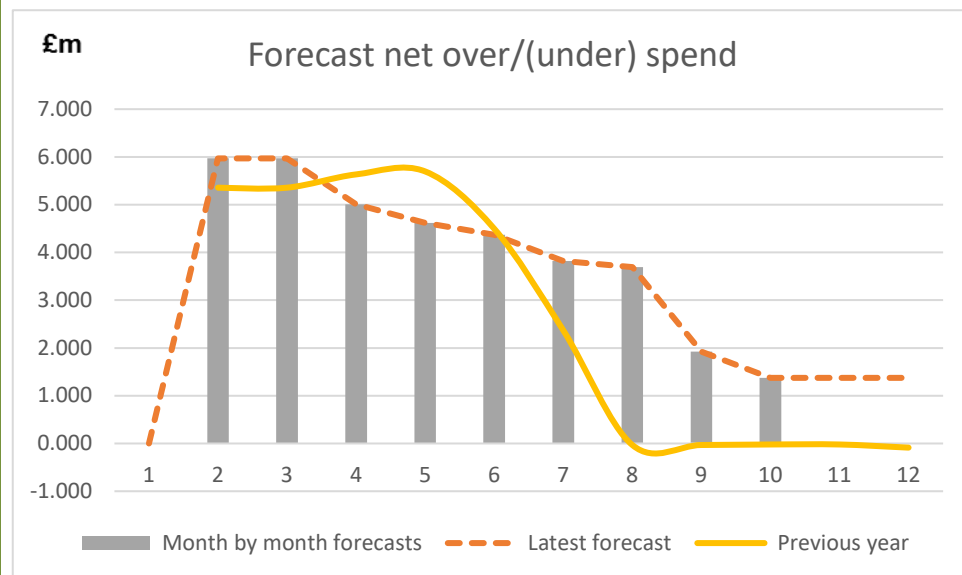
Data: CS Reporting Team

500: Budget monitoring – Forecast v Budget

Why is this important?

Members set an affordable cash limited revenue budget each year: any net overspends will reduce already limited reserves.

Performance



The graph above shows a forecast overspend of **£1.375m** for 2019-20.

What is the background to current performance?

A Children's Services net forecast overspend is due mainly to high and increasing levels and complexity of need across placement and support budgets, including children looked after, young people leaving care and children at risk of harm, and transport costs. Transport costs of home to school transport, particularly Special Educational Needs, Disabilities and Alternative Provision (SEND & AP) transport, are under significant pressure due to the unit cost of provision. Within Adults, there are pressures on Purchase of Care budgets, mainly related to Older People and Mental Health services.

The forecast overspends have been largely balanced by forecast underspends in Finance General.

What will success look like?

- A balanced budget, with no net overspend at the end of the financial year.
- Where forecast overspends are identified, actions are put in place to mitigate and minimise these overspends.

Action required

- Chief Officers have responsibility for managing their budgets within the amounts approved by County Council.
- Chief Officers will take measures throughout the year to reduce or eliminate potential over-spends.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

501: Savings targets delivered – by Service

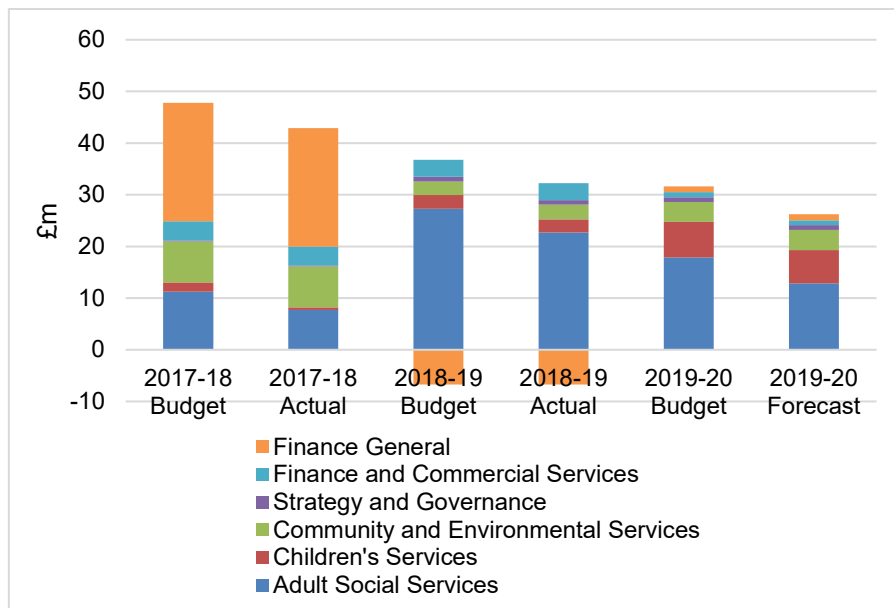
Why is this important?

Making savings is key to supporting delivery of a balanced outturn position and ensuring the Council maintains a robust financial position.

Performance

What is the background to current performance?

Budgeted Savings compared to Actual / Forecast by Service



As at Period 10, the savings forecast for 2019-20 is £26.207m, this is 17% below budget.

- Historically the Council has a good record of achieving budgeted savings, delivering £300.204m of savings in the period 2011-12 to 2017-18, against budgeted savings of £333.769mm (90%).
- In 2018-19 savings of £25.502m were delivered, a shortfall in savings of £4.497m, compared to budgeted savings of £29.999m (85%). The shortfall principally related to delays in the achievement of Promoting Independence savings, which are ultimately expected to be delivered, although not in line with the original timescales.
- In the current year, 2019-20, as at Period 10 (January), a shortfall of £5.398m is being forecast against budgeted savings of £31.605m. Savings of £26.207m are forecast to be delivered (83% of planned savings). The main area of non-delivery continues to relate to delays in the achievement of Adult Social Services savings linked to Promoting Independence, but also savings relating to Transport and Digital / New Technology.

What will success look like?

- Planned levels of savings are achieved, supporting the Council to deliver a balanced outturn position for 2019-20.
- A robust financial position ensuring stability for the budget-setting process for future years.

Action required

- Actions to deliver individual saving plans taken in 2019-20, or alternative options identified.
- Details of the shortfall in savings is reported to Cabinet and details of mitigating actions are set out in the separate report.

Responsible Officers

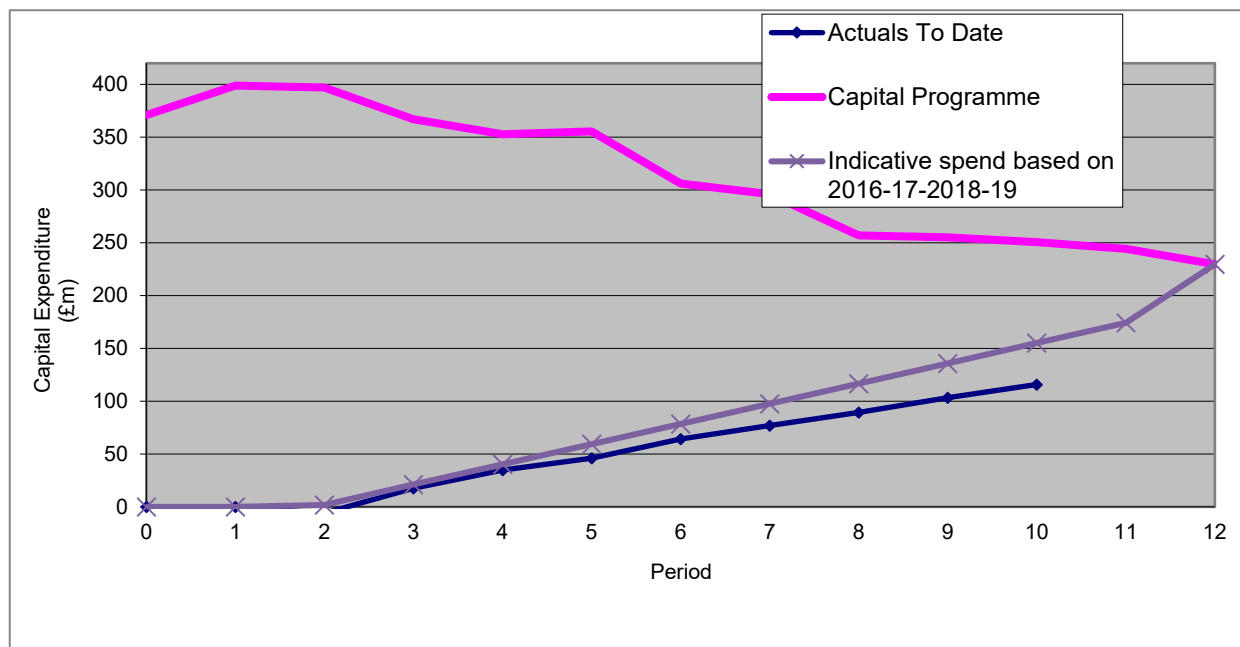
Lead: Harvey Bullen, Assistant Director – Finance
Data: Titus Adam, Financial Projects and Planning Manager

502: Capital Programme Tracker

Why is this important?

Members set a capital budget each year in the expectation that capital projects will be delivered and budgets controlled.

Performance



Actual spend to date of £116m is 75% of indicative spend based on the current year's capital programme and previous year's patterns of expenditure and re-profiling

What is the background to current performance?

Capital spend in 2018-19 was £158.5m, just over 57% of approved spend, which is in line with previous year's expenditure and taking into account patterns of re-profiling of capital expenditure into future years.

Based on actual expenditure in the year to date, total spend in 2019-20 is forecast to be in the region of £175m. This is less than expected based previous years' patterns of spend, although it is higher than last year, and previous years were unusually high in that they included the construction of the NDR.

The programme and capital budgets will be re-profiled as the timing of projects become more certain.

What will success look like?

- Expenditure in line with indicative calculations based on budgets and historic patterns of expenditure.
- Capital projects and programmes remain within budget, and are delivered on time.

Action required

- Capital budgets continue to be re-profiled into future years to reflect likely project spend.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

503: Ratio of Corporate net expenditure compared to Frontline

Why is this important?

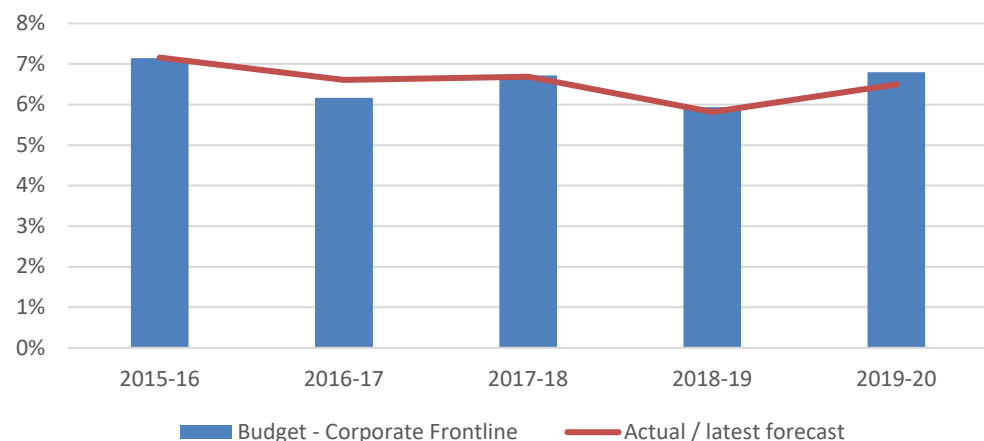
The ratio of Corporate to Frontline net budget demonstrates the value for money of the internal organisation and indicates how effectively the costs of running the council are being managed to maximise the resources available for service delivery.

Performance

What is the background to current performance?

Budgeted ratio of Corporate to Frontline compared to Actual / Forecast

Corporate costs as percentage of front line



At end January 2020 (P10), the 2019-20 forecast ratio is 6.5% against a budget ratio of 6.8%.

- Following the removal of depreciation revaluation charges to service budgets in the ratio has increased when compared to original budgets, by about 1%. This is not a change in the underlying ratio, as the charges are simply reallocations of capital costs between service departments.
- The forecast is slightly lower than budget, due to the majority of forecast overspends being in frontline services rather than support functions.

What will success look like?

- Corporate costs of Resources and Finance and Property departments minimised and delivered in line with budget plans.
- Corporate: Frontline ratio is maintained or improved in future years as efficiencies in support services are delivered.

Action required

- Where overspends are identified, action is taken to deliver savings plans and achieve an overall outturn position in line with the approved budget.

Responsible Officers

Lead: Harvey Bullen, Director of Financial Management
Data: Howard Jones, Corporate Accounting Manager

504: Savings – Support Services compared to Front Line

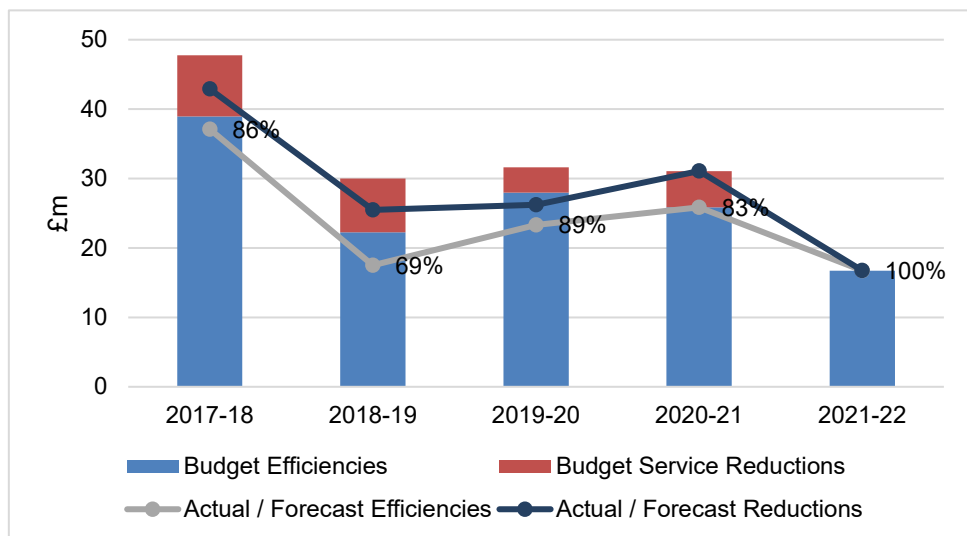
Why is this important?

Demonstrates to what extent savings that achieve efficiencies in systems and processes, and better use of resources and technology have been prioritised over those which impact on front line delivery (ceasing or reducing a service) to users, partners, and members of the public.

Performance

What is the background to current performance?

Budgeted Efficiencies and Service Reductions compared to Actual / Forecast, with percentage of Efficiencies



As at Period 10, the forecast percentage savings from efficiencies in 2019-20 is 89%, this is in line with the budgeted percentage (89%).

- The Council has a good track record of savings, with a focus on delivering efficiencies while minimising service reductions.
- In the period 2011-12 to 2017-18, against budgeted savings of £333.769m, £223.897m (67%) were planned to come from efficiencies. Actual savings achieved for the period saw £212.134m from efficiencies against total savings of £300.204m (71%)
- In 2018-19 £17.516m came from efficiencies out of total savings delivered of £25.502m (69%). There was a shortfall in the overall delivery of savings in the year of £4.497m, mainly relating to delays in achieving efficiency savings.
- Savings of £31.605m are budgeted for 2019-20 of which £27.980m are planned to be efficiencies (89%).
- The forecast outturn position for 2019-20 (as at Period 10), is a shortfall in savings of £5.398m, mainly relating to efficiencies. Forecasts for the subsequent years reflect 2019-20 MTFS and are assumed to be in line with budget.

What will success look like?

- Savings delivered in line with budget plans, with a focus on efficiency savings – 89% of total savings delivered from efficiencies.
- Council budget balanced with the impact on front line service delivery to the public minimised as far as possible.
- Improvements in support service effectiveness and efficiency achieved.

Action required

- Actions to deliver individual saving plans taken in 2019-20.
- Details of the shortfall in savings is reported to Cabinet and any mitigating actions are set out in the separate report.

Responsible Officers

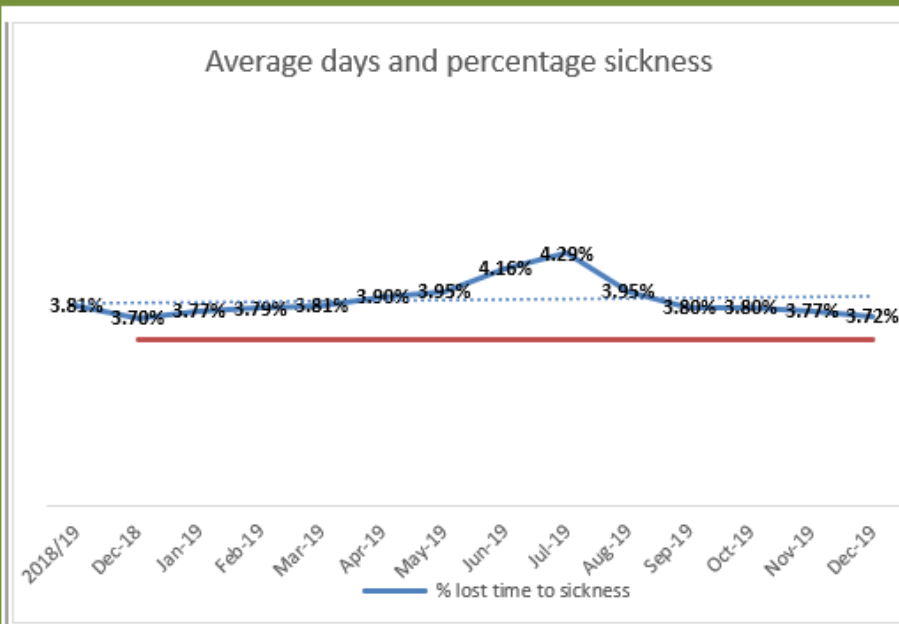
Lead: Harvey Bullen, Assistant Director – Finance
Data: Titus Adam, Financial Projects and Planning Manager

615: HR % lost time due to sickness

Why is this important?

Supporting employees to be healthy, positive and productive at work is a priority. Staff absence is an important indicator to measure the overall relationship between the employee and employer.

Performance



What is the background to current performance?

- The **sickness absence** rate to the end of December 2019 was **3.72%** against the target of **3.5%** and compared to **3.7%** at the same point last year. The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available) and for large employers (5,000+ employees) is **4.3%** (CIPD Health and Wellbeing at work survey 2018).
- This equates to 210 fte in lost productivity.
- This represents a reduction from **3.8%** in September and the **5th** consecutive month where absence has reduced or stayed the same
- Adults (**4.79%**) and Children's Services (**3.95%**) continue to have the highest levels of absence and we continue to work proactively with these services
- All other departments have absence rates at under **3.1%**, with Strategy & Governance the lowest at **2.46%**
- For the period Jan 19 to Dec 19 40.29% of sickness absence episodes are due to short term viral infections, however the biggest number of **days** lost (NCC **32.25%**) are due to mental health issues.

NB: Due to seasonal viral illnesses, it would be expected that absence would increase over the early months of 2020.

What will success look like?

- Continuing to achieve our sickness absence target. The target is **3.5%**
- The average lost time due to sickness absence for local government is **2.7%** (based on ONS Sickness Absence rates in public sector 2018 – the latest figures available)
- The average absence rate for large organisations (5,000+ employees) is 4.3% (CIPD Health and Wellbeing at work survey 2018).

Action required

- HR & Finance Replacement system will help automate management information, currently reliant on self reporting
- More proactive support for managers, ensuring that all absence cases have a clear case management plan
- Focussed support is being provided to ASSD and Children's, both in terms of absence management and well-being e.g. seeking advice from occupational health and supporting managers with absence review meetings, undertaking well-being assessments and signposting to additional services such as [Norfolk Support Line \(NSL\)](#) and the [musculoskeletal scheme](#) where appropriate.
- Proactive support from HR to managers across NCC to target action on key cases will commence following launch of the dashboards.
- Identify underlying reasons and promote mental health training for managers

Responsible Officers

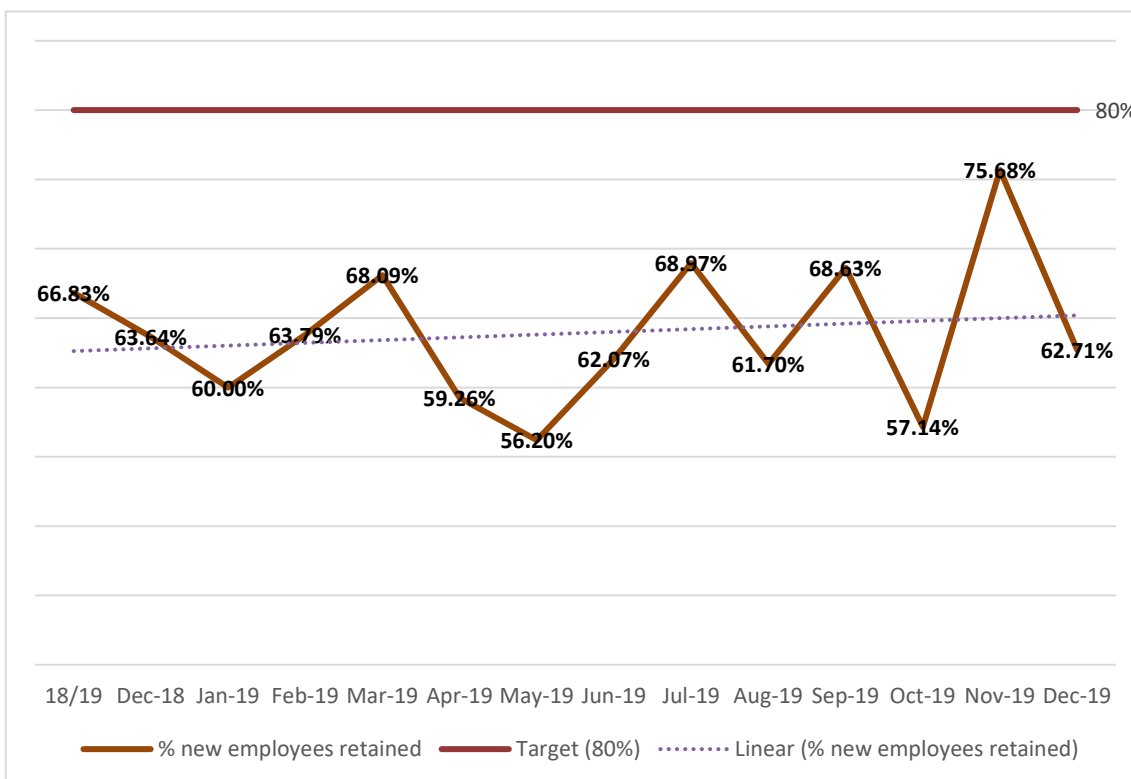
Lead: Sarah Shirtcliff, Head of HR Data: Teresa Baker, HR Customer Services Manager Manager and Dave Nugent, Workforce Insight Lead

637: New employee retention

Why is this important?

Evidence shows that where there is a mismatch in terms of employee skills, experience and engagement with the organisation (ie the employee deal) to those required in the post they have been recruited to, will make an early exit from NCC more likely. Improving our retention rate will reduce costs associated with recruitment and training and improve service performance.

New employee retention rate 2018/19



The new employee retention rate is **62.71%** as at the end of December 19, which is under the stretching target of **80%**.

The average retention rate for the financial year to date is **62.63%**.

This measures how many of the new entrants to NCC stay in post for longer than 2 years. The measure excludes fixed term and temporary contracts to avoid planned short term appointments skewing the data.

Turnover for the last 12 months is **12.7%** (9.6% voluntarily) with **911** (**690** voluntarily) employees leaving NCC employment. Of those, **240** had less than one years' service on leaving. There were a total of **1,143** new starters to NCC during the same period. The relationship between recruitment and retention is an important one. If we are successful at retaining colleagues the recruitment demand will reduce.

Currently the retention rate is below our stretching target of **80%**, however there is considerable fluctuation month to month. Our average retention rate during 2018/19 was **66%** which is comparable with the 2018 national CIPFA survey where the average retention rate was **70%**.

As a percentage of all leavers, both Adults and Children are around **50%** of leavers having less than two years' service whereas C&Es have just over **26%** of leavers failing to reach two years' service.

Recent work to identify mechanisms to retain social workers will be measured carefully to identify its impact, however it is too soon to show this the impact.

Departments are asked to urgently correlate their turnover data and employee survey feedback for insight to act upon.

- 80%** of our new entrants to NCC will be retained longer than 2 years. This is a stretching benchmarked target when comparing data from the annual CIPFA HR benchmarking survey, however given recruitment challenges for certain key groups, this must be a key priority.

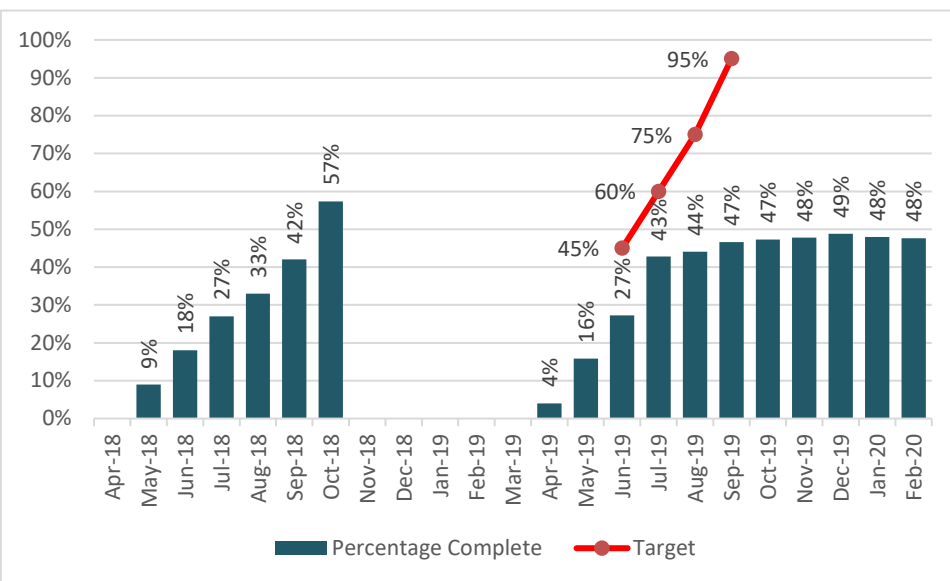
- Identify the total costs of a leaver and the likely cost of not meeting this target – HR Q2 (ONGOING)
- Provide dashboard data monthly to departments (COMPLETED)
- Carry out deep dive of areas with poor retention rates to understand root cause and identify possible

		improvement actions– HR Q2/3 2019/20 with HR Business Partners with leadership teams (IN PROGRESS)
Responsible Officers	Lead: Sarah Shirtcliff, Head of HR Data: David Nugent, Workforce Insight Lead	

638 HR: Performance Development (previously appraisals) - % Written Goals agreed

Why is this important?	
The new approach to Performance Development is intended to contribute to the people development of an effective performance culture.	
Performance	What is the background to current performance?

% Performance Development written goals agreed



Note The % drops in Dec to the New year because staff with PDPs have left NCC and new recruits have not had their PDP.

- External research identifies that goals linked to future plans and conversations between managers and building on employee strengths are critical for effective people performance.
- This is the second year of goals being linked to growing coverage of Plans on a Page and performance development. In 2018, 57% of staff had written goals agreed recorded. 91% of respondents surveyed in 2018 had their PD discussion, with 28% (33% of managers) having an improved quality of conversation.
- The goal is for all employees between April and June annually to have a PDP and followed up mid-year Oct-Nov. * For Education financial the annual discussion is Aug-Sept.
- 3,119 staff in the 2019 survey told us that 2 out of 5 Key Drivers that have the greatest impact on staff engagement and motivation are 'There is a clear link between my Performance Development Discussion and my team's goals' and 'My manager encourages conversations that enable the team to be more effective in achieving its performance goals.'

What will success look like?

- 95% of employees having agreed written goals

Action required

- A new dashboard is ready to provide information at Directorate and Service level on completions and non-completions or written goals agreed for 20/21 (Director for People, EDs)
- Planned new functionality within My HR and Payroll to make it easier for a manager to record and update employees date of written goals agreed and for an employee to view this within their HR record March 2020 (Director for People, ED Finance & Commercial Services)
- Manager Workshops for new managers from March 2020 and PC Lock screen reminders to complete PDPs (Director for People)

Responsible Officers

Lead: Sarah Shirtcliff, Director for People Data)

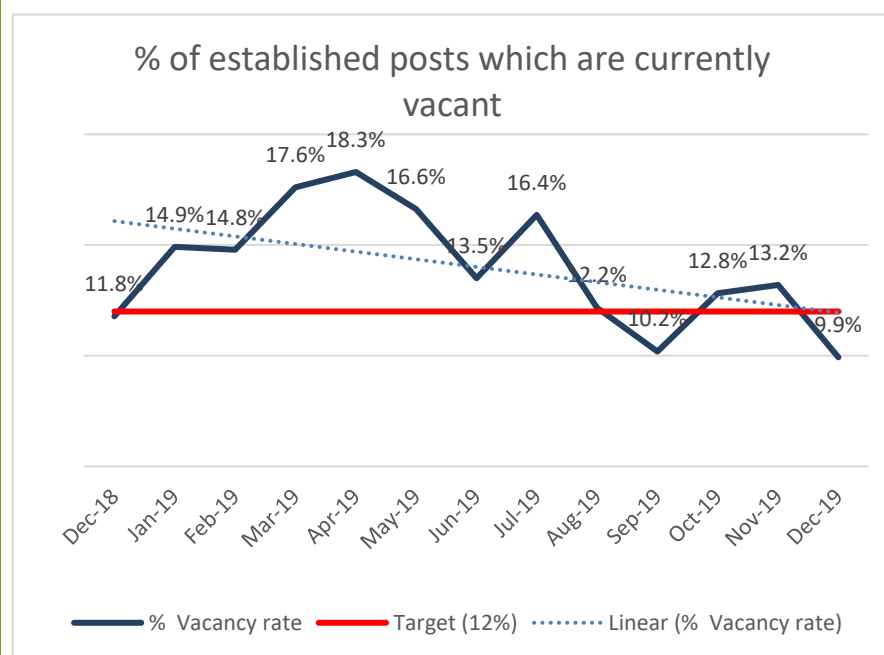
Data: Ruth Grant (Strategic OD Lead) Dave Nugent (Workforce Insight and

639: Vacancy Rate (requires accuracy of establishment data)

Why is this important?

This measure identifies the number of unfilled posts in the budgeted staffing establishment. The consequence of failure to fill roles to the agreed target, is a potential impact on our ability to deliver services and achieve outcomes for residents, and additional costs of temporary cover and increased impact on existing employee well-being. Accurate data allows for recruitment planning to fill vacancies in a timely way and identify challenges in recruitment for professional groups.

Performance



The vacancy rate for December was 9.9%, so has slipped below the target rate. The overall trend continues to move downwards with a rolling average reducing from 15.78% in April to 14.2% in September.

What is the background to current performance?

12% is the target set which broadly mirrors the turnover rate to ensure an optimal workforce and delivery of people costs within budget, while maintaining services. Any deviation above or below could carry risk. If the vacancy rate is above 12% there is a risk to service delivery. It is expected to have a vacancy rate as managers manage budget opportunities and to reflect the time to hire.

This measures the number of FTE posts which are shown as vacant as a percentage of the total established FTE posts in the HR system (Oracle).

Oracle data may not be up to date, nor reflective of current organisational structures as it is reliant on the departments to update their data. Managers may believe that as they have updated other sources such as Budget Manager, all data is accurate. Unfortunately, Oracle and Budget Manager are not integrated systems.

Therefore, it is difficult to fully reconcile the various data sets to accurately update, maintain and report on establishment, however are implementing some changes to RMS to make it easier for managers to keep establishment accurate

In the longer term, the HR& Finance System Transformation project will deliver an end to end solution with integrated HR and Finance data. In the interim several tactical solutions are being implemented as described below:

What will success look like?

Action required

- NCC will have a vacancy rate of 12% of established posts
- We will hold and maintain accurate establishment data

- Task and Finish Group sponsored through Business Transformation to enable joint working between HR and Finance on improving establishment control
- Establishment launched by the HR Workforce Insight Team Q3 19/20.
- Encourage managers to act on the information in the dashboard to update Oracle, as the primary data source for all subsequent systems While the expectation is that the dashboard will encourage managers to maintain their own establishments, the effect of this won't become apparent until the dashboards are shared lower down each organisation. At present it is limited to the first two tiers. This is envisaged to happen during Q4.

Responsible Officers

Lead: Sarah Shirtcliff, Head of HR
Workforce Insight Lead

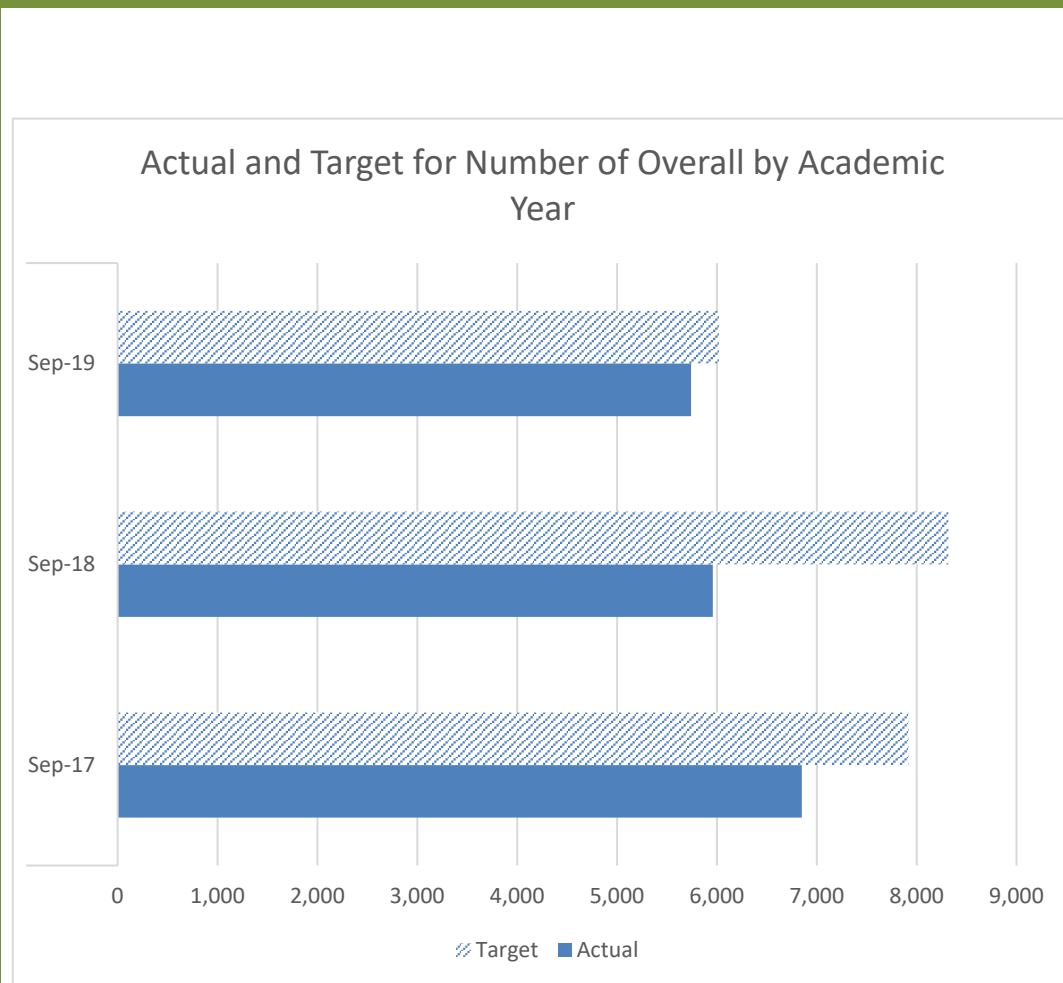
Data: Teresa Baker, HR Customer Delivery Manager and Dave Nugent,

349: Number of Apprenticeship starts

Why is this important?

Better qualified staff are a key first rung on the ladder to our twin goals of higher value jobs and a reduction in the gap between Norfolk's and England's average earnings (weekly gross pay). Apprenticeships can offer a route into employment, provide upskilling or re-skilling opportunities and higher level qualifications, enabling individuals to progress through the various levels.

Performance



What is the story behind current performance?

Apprenticeship Starts	2014/15	2015/16	2016/17	2017/18 (Aug-July)	2018/19 (Aug-July)	2018/19
	Actual	Actual	Actual	Actual	Actual	Target
All starts – all levels/ages	7,290	7,670	6,850	5,960	5,740	6,019

Data for overall volumes shows a continued slide both locally at 1,820 (-10%) and nationally (-4%). Norfolk continues to perform less well than England in respect of level 2 at 520 (Norfolk -25% National 20%) and Advanced Apprenticeships, Level 3, at 850 (Norfolk 5%, National 4%). 16-18 year old starts are down by 18% in Norfolk at 620 compared to a national decrease of 11%. However, Higher Apprenticeship increased by 39% at 460 are outperforming the growth across England at 29%. This is possibly due to levy paying organisations upskilling their existing workforce to higher levels and may reflect a wider availability of provision and national policy drivers. All the providers visited so far by the ANN team where the offer is predominately intermediate/advanced have not fully utilised their funding allocations so this seems to reflect that.

- We are aware that it appears as if the figures don't add up to the total, however, this is the way that the Government releases the data. When adding up each area, they round up to the next 10 (e.g. 61 starts would be rounded up to 70).

What will success look like

Action required

Success will be measured by the overall achievement of annual target whilst maintaining quality, level and range.

Work is ongoing to develop the Apprenticeship Norfolk Network in a number of areas including

- ANN website, developing case studies, increasing vacancy numbers up from 34 (December) to 98 (current), peaking at 120 in January
- Attending job fairs, including, Diss, Great Yarmouth, Lowestoft with 8 more planned in the new couple of months
- Increasing sign ups to the website mostly as a result of activity at job fairs, as of 6th February we now have over 500 sign-ups on the website, 70 in the last 30 days
- Meetings with providers to gain an understanding of how best we can support them and the system to drive increases in the number of starts
- ANN provider meeting 25th February to jointly develop priorities and actions following on from individual meetings
- Refresh of the 'Routes Leaflet' for job fairs and events, planning for complete reformatting with children's services colleagues for academic year 2020/21
- Refresh of marketing materials currently being undertaken, to being used at future events
- Attendance at the launch event for the Norfolk Skills and Careers Festival and attendance planned for the festival on 4th and 5th March
- Attendance planned for the Litcham High School Careers Fair on 26th February
- Development of the ANN website is planned but may take a few months to go through the appropriate processes
- Revamp of social media activity in facebook, plans to begin using LinkedIn

The NCC Apprenticeships Board, responsible for setting the vital signs target, will consider a proposal on revising the target for 2019/20 when it meets in early March

Responsible Officers

Lead: Jan Feeney

Data: Jan Feeney 17/02/20

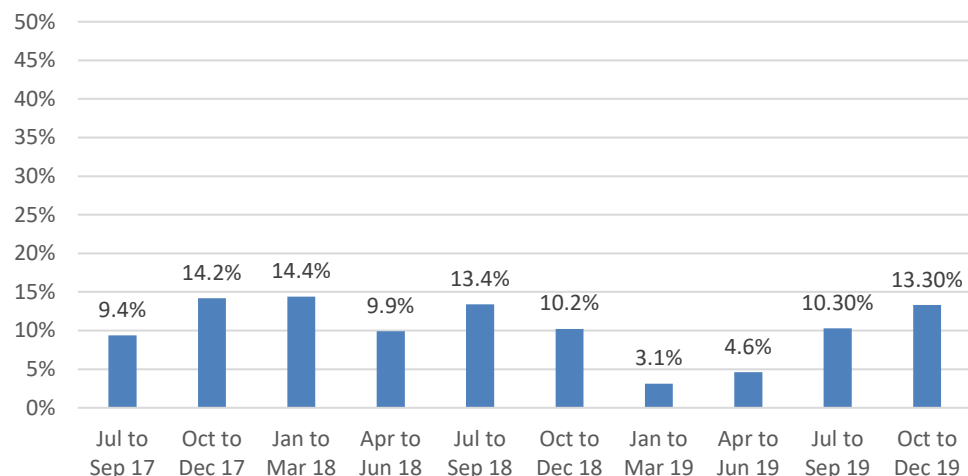
416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

Why is this important?

Completion/conversion of the EHCP within required timescales in order to establish and secure best possible outcomes across education, health and social care.

Performance

% Norfolk EHCP's Completed in Timescales



What is the background to current performance?

- Performance in relation to EHCPs has been an area of leadership focus since 2018 when additional capacity was deployed to address timescale issues. However, the ongoing rising referral rates has outstripped that additional capacity and so we have not yet seen a significant performance improvement.
- Further investment is being made in the EHCP workforce as part of the 20/21 budget to continue to respond to the rising referral rate.
- EHCP systems and processes have not been robust enough to track and manage progress through the timescale at a granular level.

What will success look like?

- The improvement team has re-baselined the improvement trajectories and we are confident we now have the capacity, oversight and process in place to dramatically improve the current poor performance.
- We expect performance to improve so that within this year we achieve our interim target of 55% completion within a 20-week timescale. Further improvement in our completion rate will come when the backlog of cases that are out of timescale is fully cleared.

Action required

- The Executive Director Childrens service has established a Rapid Action Team and has authorised a further significant injection of EHCP coordinator and Educational Psychology Capacity.
- New operational leadership is in place to bring improved monitoring and challenge and improvement to process and practice.

Responsible Officers

Lead: Nicki Rider, Interim Head of Education High Needs SEND Service

Data: Dom Mingaye, Data Manager Education Achievement and Early Years Service

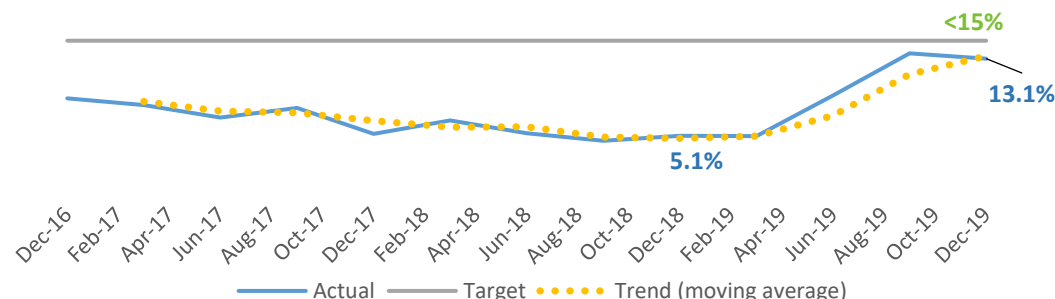
403: Percentage of children starting to be looked after who have previously been looked after within the last 12 months

Why is this important?

Where it is safe to do so, sustained reunification with family or permanency by other means is our primary aim for Looked After Children. The rate of re-entry to care is a one indicator of the extent to which the service is successful in ensuring children do not need to re-enter our care.

Performance

Percentage children starting to be looked-after who have previously been looked-after:



What is the background to current performance?

There had been a steady decline in the number of children needing to come back into the care of the local authority until recent months. The percentage of LAC who started to be Looked After and who had been Looked After in the preceding 12 months of start date is evidenced in the adjacent graph. A lower number of LAC starts would have some impact on the percentages seen. However, we still saw 19 more children coming back into care within 12 months when comparing 2019 to 2018 data. For some localities, whilst the percentage has increased the number has not. There is currently an exercise underway to explore the reasons and the timescales for the children who returned to our care during 2019 to ensure we are making correct decisions when planning for children to return home or move to family care outside of being looked after (e.g. SGO and adoption).

Action required

- 1 Further understanding via dip sample into reasons behind any breakdown of Special Guardianship arrangements in the period Mar 2019 - Oct 2019.
- 2 Audit of children who have returned home since Mar 2019 and the circumstances that led to this and whether support to families is sufficient and effective.
- 3 An analysis of how many children have returned to care more than once during this period as a small number of children in this cohort will increase the overall %.

What will success look like?

Children to achieve permanence by the most appropriate means.

For children to return to care only when all other options have been explored and exhausted.

Whilst it is recognized that there is likely to be an element of risk when children and their families are reunified, this doesn't mean that with robust assessment, planning and ongoing support that reunification cannot be successfully achieved.

Responsible Officers

Lead: Phil Watson Data: CS Reporting Team

415: Number of children subject to a Permanent Exclusion

This report is based on mainstream schools and only Confirmed Exclusions (as per DfE methodology)

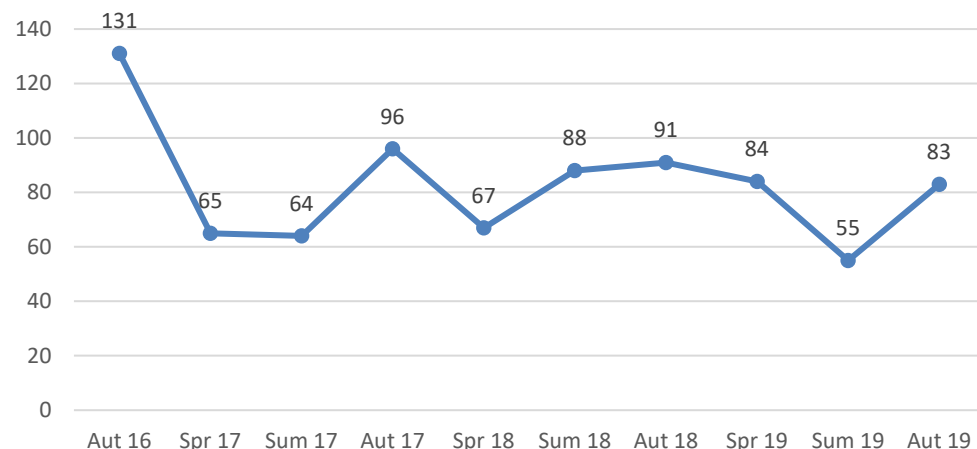
Why is this important?

Exclusions result in breaks in, and disruptions of, learning for children and young people which research shows has a negative impact on education outcomes and life-chances.

Performance

What is the background to current performance?

Number of children subject to a Permanent Exclusion (Norfolk Mainstream Schools / Confirmed Exclusions only)



Reported termly

- The number of pupils permanently excluded in Autumn 2019 was the lowest recorded in this period over the past three years.
- The reason for this continued reduction is due to the development of a dedicated Inclusion Team which supports schools who request support through the Inclusion Helpline.
- The Inclusion Helpline took 271 calls in Autumn 2019 and the Inclusion Team completed 163 school visits to give advice and support for pupils at risk of exclusion; a significant number of permanent exclusions were avoided as a result of these visits and intervention.
- There is increasing engagement and relationships building with secondary schools and academies which is helping to have a positive impact on exclusions in key stage 3 and 4 (years leading up to formal qualifications including GCSE exams).
- The Inclusion Team is forming links with wider agencies including police, YOT and CAMHs projects such as the Mental Health Support Team pilots to provide a multi-agency approach whenever possible.

What will success look like?

Fewer children subject to Permanent Exclusions from schools & colleges

Action required

For pupils who need short term intensive interventions to stabilise challenging behaviours to receive this whilst remaining in mainstream settings through a combination of bespoke support and accessing alternative provision as appropriate.

For pupils to make timely reintegrations from the Short Stay School for Norfolk when appropriate.

Responsible Officers

Lead: Stuart Mason, Head of Service, Education Vulnerable Groups Achievement & Access

Data: Dom Mingaye, Data Manager, Education Achievement and EY Service

410: Rate of Looked-After Children per 10,000 of the overall 0-17 population

Why is this important?																																																																																																																										
Norfolk has more children in care than its statistical neighbours and we have implemented a strategy to keep families together and reduce the need for children to be looked after. Number of children in care per 10k of population is a key indicator in assessing the success of that investment. The LAC rate also provides an indication of the success of the wider children’s system.																																																																																																																										
Performance	What is the background to current performance?																																																																																																																									
<p>Rate of Looked-After Children per 10,000 of the overall 0-17 population</p> <table><tr><th>Date</th><th>Actual</th><th>Target</th><th>Trend (Linear)</th></tr><tr><td>Jun-15</td><td>55</td><td>55</td><td>55</td></tr><tr><td>Aug-15</td><td>55</td><td>55</td><td>55.5</td></tr><tr><td>Oct-15</td><td>55</td><td>55</td><td>56</td></tr><tr><td>Dec-15</td><td>55</td><td>55</td><td>56.5</td></tr><tr><td>Feb-16</td><td>55</td><td>55</td><td>57</td></tr><tr><td>Apr-16</td><td>55</td><td>55</td><td>57.5</td></tr><tr><td>Jun-16</td><td>55</td><td>55</td><td>58</td></tr><tr><td>Aug-16</td><td>55</td><td>55</td><td>58.5</td></tr><tr><td>Oct-16</td><td>55</td><td>55</td><td>59</td></tr><tr><td>Dec-16</td><td>63.2</td><td>63.2</td><td>59.5</td></tr><tr><td>Feb-17</td><td>63.2</td><td>63.2</td><td>60</td></tr><tr><td>Apr-17</td><td>63.2</td><td>63.2</td><td>60.5</td></tr><tr><td>Jun-17</td><td>63.2</td><td>63.2</td><td>61</td></tr><tr><td>Aug-17</td><td>63.2</td><td>63.2</td><td>61.5</td></tr><tr><td>Oct-17</td><td>63.2</td><td>63.2</td><td>62</td></tr><tr><td>Dec-17</td><td>63.2</td><td>63.2</td><td>62.5</td></tr><tr><td>Feb-18</td><td>63.2</td><td>63.2</td><td>63</td></tr><tr><td>Apr-18</td><td>63.2</td><td>63.2</td><td>63.5</td></tr><tr><td>Jun-18</td><td>63.2</td><td>63.2</td><td>64</td></tr><tr><td>Aug-18</td><td>63.2</td><td>63.2</td><td>64.5</td></tr><tr><td>Oct-18</td><td>63.2</td><td>63.2</td><td>65</td></tr><tr><td>Dec-18</td><td>63.2</td><td>63.2</td><td>65.5</td></tr><tr><td>Feb-19</td><td>67.1</td><td>67.1</td><td>66</td></tr><tr><td>Apr-19</td><td>67.1</td><td>67.1</td><td>66.5</td></tr><tr><td>Jun-19</td><td>67.1</td><td>67.1</td><td>67</td></tr><tr><td>Aug-19</td><td>67.1</td><td>67.1</td><td>67.5</td></tr><tr><td>Oct-19</td><td>67.1</td><td>67.1</td><td>68</td></tr><tr><td>Dec-19</td><td>67.1</td><td>67.1</td><td>68.5</td></tr><tr><td>Feb-20</td><td>65.5</td><td>65.5</td><td>69.4</td></tr></table>	Date	Actual	Target	Trend (Linear)	Jun-15	55	55	55	Aug-15	55	55	55.5	Oct-15	55	55	56	Dec-15	55	55	56.5	Feb-16	55	55	57	Apr-16	55	55	57.5	Jun-16	55	55	58	Aug-16	55	55	58.5	Oct-16	55	55	59	Dec-16	63.2	63.2	59.5	Feb-17	63.2	63.2	60	Apr-17	63.2	63.2	60.5	Jun-17	63.2	63.2	61	Aug-17	63.2	63.2	61.5	Oct-17	63.2	63.2	62	Dec-17	63.2	63.2	62.5	Feb-18	63.2	63.2	63	Apr-18	63.2	63.2	63.5	Jun-18	63.2	63.2	64	Aug-18	63.2	63.2	64.5	Oct-18	63.2	63.2	65	Dec-18	63.2	63.2	65.5	Feb-19	67.1	67.1	66	Apr-19	67.1	67.1	66.5	Jun-19	67.1	67.1	67	Aug-19	67.1	67.1	67.5	Oct-19	67.1	67.1	68	Dec-19	67.1	67.1	68.5	Feb-20	65.5	65.5	69.4	<p>The LAC population at end of January 2020 is 1114 giving us a rate per 10k of 65.5 bringing us ever closer to the national average of 65.3.</p> <p>The number of LAC ceases was higher than the number of LAC starts in every Quarter in 2019, compared to 2018 where the opposite was true. This evidences sustained improvements and is likely to indicate that the changes in practice and approaches, started in 2018, have been embedded consistently across the county.</p> <p>This is testimony to the improved availability of edge of care services and support to families earlier in the process. In addition, better demand management following changes at the front door and inception of FAST teams means SWs now have more capacity and continuity in their work with families around affecting positive change as a diversion away from the need for care.</p>	
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<p>That children come into the care of the Local Authority only when all other available options have been explored.</p> <p>That all permanency arrangements are considered at the earliest opportunity.</p> <p>That families continue to be supported to enable them to parent and care for their children more safely and sustainably without the need for them to come into care.</p>	<p>1) Ongoing monitoring and analysis of LAC population via various forum to understand trends, spikes, correlations and what is working to successfully to help keep families together.</p> <p>2) Continue to focus on, further embed and implement new transformation initiatives and investment that improve our interventions and ways of working with families and children that support a continued and safe reduction in the LAC population.</p>																																																																																																																									
Responsible Officers	Lead: Phil Watson Data: CS Reporting Team																																																																																																																									

Cabinet

Item No: 9

Decision making report title:	“Together, for Norfolk” Proposed new corporately significant vital signs
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Tom Fitzpatrick (Cabinet Member for Innovation, Transformation and Performance)
Responsible Director:	Fiona McDiarmid, Executive Director for Strategy & Governance
Is this a key decision?	No
<p>Executive Summary / Introduction from Cabinet Member</p> <p>The move to a Cabinet system of governance and the launch of the NCC corporate plan, <i>Together, for Norfolk</i>, provides the opportunity to review and refresh NCC’s corporate performance indicators, known as “vital signs”. Additionally, the LGA corporate peer review which took place on 14 October 2020 highlighted the need to review performance and develop “increased corporate overview and the opportunity for greater challenge” across the organisation and with elected members. Specifically, the Council needs to address issues of comparative performance and spend, with increased corporate overview of performance and the opportunity for greater challenge being required.</p> <p>The objective of the refresh of our “vital signs” is to ensure that there is a clear alignment between the strategic outcomes stated in <i>Together, for Norfolk</i>, the Council’s top priorities, the key outcomes for each Cabinet Portfolio, and the targets and measures that evidence delivery across the whole Council.</p> <p>The proposed performance pyramid ensures that there is a clear strategic fit throughout the organisation from high level strategic plans down to team plans and individual performance. This “golden thread” is reinforced through the setting of goals and supporting targets at all levels that are monitored, and with other assurance mechanisms ensure robust senior leadership oversight and scrutiny, as well as continuous improvement in service delivery.</p> <p>It is proposed that the NCC “performance pyramid” continues to provide the framework for reviewing performance. This report focuses on the new measures identified and the next steps in implementing and embedding the framework across the whole organisation.</p> <p>Cabinet are asked:</p> <ol style="list-style-type: none"> 1. To review and agree the NCC performance pyramid approach 	

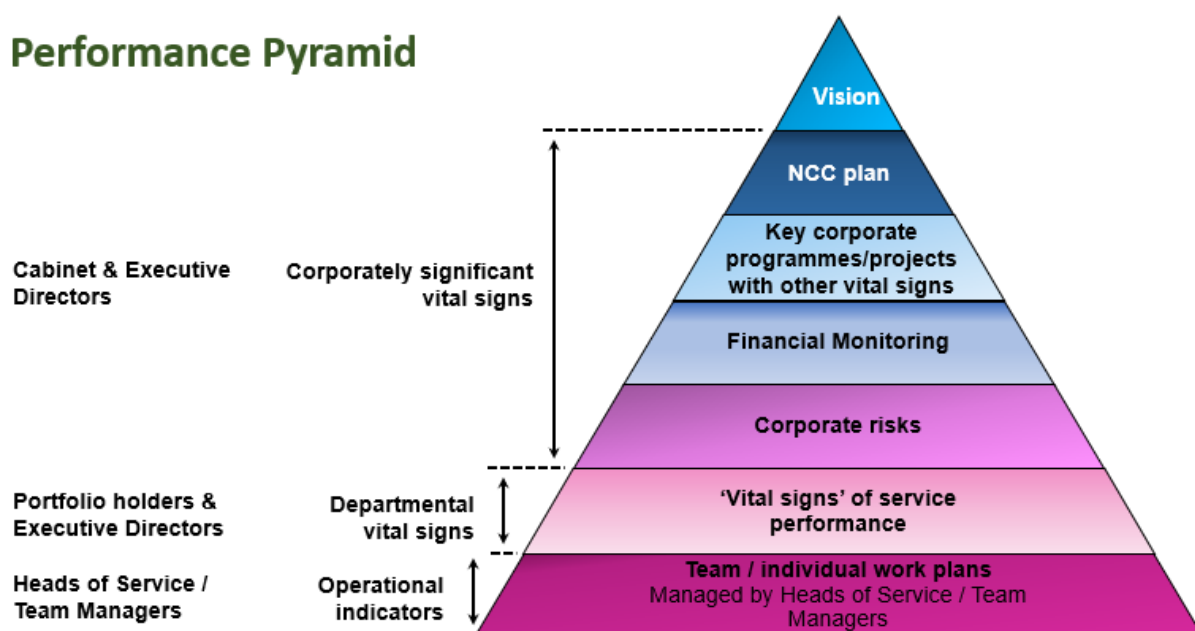
2. To endorse the proposed outcomes and key performance indicators by department as outlined in Appendix A.
3. To endorse the next steps in section 3

1. Background and Purpose

- 1.1. Performance management is at the heart of any modern and effective organisation. To be an effective organisation, Norfolk County Council needs to evidence a strong strategic narrative, which flows through to action at the front line. Whilst the current focus on realising financial savings continues to be vital, there is a risk that performance issues are seen as peripheral.

Over the past 5 years, Norfolk County Council has had a performance framework, the “performance pyramid” which describes the link between strategies and plans and creates a “golden thread” for both planning and organisational performance through to individual goals’ setting and work plans.

Performance Pyramid



Effective management of Performance will help to:

- Clearly articulate our priorities and desired outcomes;
- Prioritise what gets done within the resources available;
- Highlight where more resources may be required;
- Provide and demonstrate value for money;
- Provide good services and satisfaction for users and the local community;
- Provide clarity and direction and so enable higher performance for our colleagues;
- Identify local, regional and national emerging patterns and trends;
- Respond effectively to existing and new challenges.

A number of corporately significant vital signs have been in place and have been reported to Cabinet on a quarterly basis. The reporting cycle is described in the integrated service and financial planning framework in **Appendix A**. There is now the opportunity to refresh those and ensure they stem from and are fully aligned to the strategic ambitions, outcomes and objectives of the Council, as described in *Together, for Norfolk*.

2. Proposals

- 2.1. If the Council is going to deliver the outcomes that people of Norfolk want, there has to be suite of corporate key performance indicators that:
 - Is based on key priorities and objectives and helps to measure the right things at the right time;
 - Is based on a few key performance metrics which measure the right things at the right time and frequency;
 - Is used to continually improve how we work together and the way services ;
 - Is based on quality and accuracy of current and forecasted information which produces meaningful measures of how services are performing;
- 2.2. The proposed corporate outcome and key performance indicators are listed in **Appendix B**. These are aligned with the strategic ambitions in *Together, for Norfolk*, (Growing Economy, Thriving People, Strong Communities), Cabinet members strategic outcomes and departmental priorities. The proposed Outcomes and KPIs have been developed through:
 - Engagement with Cabinet members on their top three priority outcomes
 - Engagement with Executive Directors on the strategic performance indicators for their respective department
 - Validation with key service leads

For each Portfolio lead there will be 3 outcomes that are key to the success of the portfolio area. Each outcome will be monitored by a basket of key performance indicators that sits underneath it, to provide a more nuanced understanding of portfolios that single indicators cannot provide.

A number of Member workshops have been scheduled for 26 April 2020 and 13 May 2020 to introduce the new KPIs to members, raise awareness of performance matters and get further member input on the proposed performance processes.

- 2.3. It is proposed that, to ensure a joined up and continuous oversight of performance across all levels of the performance pyramid, the following approach is adopted:
 - Corporately significant measures (outcomes) and KPIs to be reported to Cabinet on a quarterly basis, except for cases where it has been deemed that a KPI can only be reported meaningfully on a 6-monthly or annual basis. This continues the current approach of reporting quarterly to Cabinet and ensures public visibility and scrutiny of performance.

- Directorate measures and KPIs to be reported to the relevant Portfolio holder on a quarterly basis to support them in their role on a frequency which is appropriate for the specific indicator. This approach will ensure that each Portfolio holder has a clear line of sight from local departmental KPIs through to the Corporate KPIs.

- 2.4. As there is a close link between corporate risks and corporate KPIs, it is also proposed that the two reports are presented together to Cabinet, to ensure a close relationship and joined-up process between performance and risk.
- 2.5. The Intelligence & Analytics team is responsible for ensuring that timely and accurate performance information is available. To ensure visibility of performance, a Strategic Performance Dashboard is being developed on PowerBI. This dashboard will have a “drill-down” capability, enabling a more in-depth discussion about those factors which impact on the top KPI. Below is an example of the top-level Dashboard.



The Dashboard will also ensure that data presented is the most up to date and accurate for each KPI, thus overcoming previous problems of timely reporting.

3. Next Steps

- 3.1. The above proposal covers the Corporately Significant KPIs only and there is a need to develop the framework further to all levels of the performance pyramid. The next steps will involve:
1. Working with departments to develop appropriate collective and individual goals and targets for all Corporately Significant KPIs, in time for the first Performance reporting point in July 2020.
 2. Building the reporting dashboard through I&A expertise
 3. Refocusing resources to create a dedicated role within the Strategy, Innovation and Performance Team to build the new performance management

system and process, using that and other methods to improve performance across the organisation

4. Engaging with key stakeholders across the organisation to understand the key performance challenges and build a pipeline of proposed action
5. Ensuring both the scrutiny and wider corporate ownership of children's services matters by establishing a sub-committee of scrutiny to focus specifically on children and young people, as recommended in the review of our governance arrangements conducted by the LGA in January 2020.

4. Impact of the Proposal

- 4.1. The updated corporately significant vital signs will strengthen the current performance management system across NCC, ensuring a clear line of sight from our vision and strategic plans through to the strategic measures and key performance indicators. Future work with departments to review their own performance measures will ensure this alignment and line of sight follows through to all teams and staff and more transparency of our performance reporting, driving better outcomes.

5. Alternative Options

- 5.1. This is a refresh of an existing performance management framework, therefore no alternative options are presented.

6. Financial Implications

- 6.1. N/A

7. Resource Implications

- 7.1. **Staff:** There are no additional staff implications as the existing work is being carried out within existing establishments. Resources from across the organisation will be involved in developing and implementing the new performance framework, to be determined as the work programme is defined.
- 7.2. **Property:** N/A
- 7.3. **IT:** The design of dashboards is being done by the Intelligence and Analytics team using existing systems and capabilities so there are currently no IT implications. Further IT implications may arise in workshops with Members, and will be dealt with through our member development programme.

8. Other Implications

8.1. Legal Implications

N/A

8.2. Human Rights implications

N/A

8.3. Equality Impact Assessment (EqIA) (this must be included)

The proposed corporately significant vital signs set out in this report will enable the Council to continue to ensure robust and comprehensive monitoring of all measures and targets. This lays an essential role in delivery of the Council's duty to promote equality and eliminate unfair discrimination, as it enables effective and accurate scrutiny of progress against the Council's priorities, including those that relate to improved outcomes for people with protected characteristics - such as older and disabled people and children.

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

Health, safety and well-being implications of specific vital signs measures are identified in the updates where relevant.

8.5. **Any other implications**

N/A

9. **Risk Implications/Assessment**

9.1. N/A

10. **Recommendations**

10.1. Cabinet are asked:

1. To review and agree the NCC performance pyramid approach
2. To endorse the proposed key performance indicators and measures by department as outlined in Appendix A and the reporting schedule

11. **Background Papers**

11.1. N/A

Officer Contact

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

Officer Name: Markella Papageorgiou, Strategy & Planning Manager
Tel No: 01603 973595
Email address: markella.papageorgiou@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.

APPENDIX A

Integrated Service and Financial Planning Framework

ORGANISATIONAL LEVEL				
	CORPORATE	SERVICE	TEAM	
April - June	<ul style="list-style-type: none"> Review of existing strategy objectives and measures in light of context and forecasts Set/review high level outcome targets Set/revise financial planning targets Cabinet agree priorities for the next planning period Communicate revised strategic direction to services Corporately significant vital signs reviewed and reported 	<ul style="list-style-type: none"> Services set/revise aspirational priorities for medium term in-line with corporate assessment Identify initial budget options based on performance and planning targets Initial risk assessment of budget options Departmental performance reviewed and reported 	<ul style="list-style-type: none"> Services identify internal and external context issues Communicate revised corporate objectives and priority activity areas 	
June - October	<ul style="list-style-type: none"> Cabinet challenge of budget options and key impact Corporately significant vital signs reviewed and reported 	<ul style="list-style-type: none"> Services generate options for Cabinet Consultation with services on the implications of different budget scenarios (including consideration of current year spending) Development and approval of business cases for proposed activities Consideration of budget implications Development of Capital Bids Risk assessment to further inform decision making Departmental performance reported 	<ul style="list-style-type: none"> Involve service teams in developing plan options 	

ORGANISATIONAL LEVEL				
	CORPORATE	SERVICE	TEAM	
October - February	<ul style="list-style-type: none"> Options for service development and budget proposals considered by Cabinet (September & October) Action plans developed and annual Performance Indicators and targets (re)set Public and stakeholder consultation as appropriate (November & December) Consideration of final service and budget proposals by Cabinet (<i>January</i>) Revise corporate risk register in line with new objectives, priorities, budgets and actions Medium Term Financial Plan and corporate risk register refreshed Revenue Budget and Capital Programme agreed and Council Tax set (February Full Council) Corporately significant vital signs reported 	<ul style="list-style-type: none"> Action plans developed Service plans and detailed action plans agreed Action planning risk assessment Revise departmental/service risk registers in line with new objectives, priorities, budgets and actions Budget allocated to service areas based on service plans and targets Assessment of capital bids within capital prioritisation model (<i>November</i>) Consideration of government's financial settlement, capital announcements and budget options by corporate board and political leadership (<i>December</i>) Departmental performance reviewed and reported 	<ul style="list-style-type: none"> Translate into team and individual targets Communicate service and team goals and targets to teams 	
February - May	<ul style="list-style-type: none"> Identify internal capacity issues Review of end of year corporate performance Corporate contextual review Review of corporate risk registers Review of financial performance for previous year Corporately significant vital signs reviewed and reported 	<ul style="list-style-type: none"> Review service risk registers Services identify relevant external contextual issues Services review internal capacity issues Departmental performance reviewed and reported 	<ul style="list-style-type: none"> Appraisal process started Monitor individual and team performance 	

Appendix B

2020/21 Proposed Performance Indicators

A1 – Top 3 outcomes for each Portfolio Holder

Departmental Plan	Portfolios	Portfolio holders	Suggested Top 3 Outcomes
Adult Social Care	Adult Social Care, Public Health and Prevention	Cllr Bill Borrett	Independence choice for people using Adult Social Services (other portfolio priorities covered within CES below)
Children's Services	Children's Services	Cllr John Fisher	<ul style="list-style-type: none"> • Signs of Success • Signs of Wellbeing • Signs of Safety
Community & Environmental Services	1. Growing the economy 2. Highways, infrastructure and transport 3. Environment & Waste 4. Communities & Partnerships 5. Adult Social Care, Public Health and Prevention	1. Cllr Graham Plant 2. Cllr Martin Wilby 3. Cllr Andy Grant 4. Cllr Margaret Dewsbury 5. Cllr Bill Borrett	Growing the economy
			<ul style="list-style-type: none"> • Strategic infrastructure for growth • Support key sector developments • Workforce growth and skills
			Highways, infrastructure and transport
			<ul style="list-style-type: none"> • Delivering world class infrastructure • Maintaining investment in high quality transport • Customer focus
			Environment & Waste
			<ul style="list-style-type: none"> • Addressing key environmental concerns • Caring for Norfolk's distinctive environment • Sustainable waste and use of natural resources
			Communities & Partnerships
			<ul style="list-style-type: none"> • Keeping people of Norfolk safe • Improving people's health and wellbeing • Improving education and employment opportunities
			Adult Social Care, Public Health and Prevention
			<ul style="list-style-type: none"> • Improve our commissioned specialist services • Prioritise prevention • Use data and intelligence to target our work
Finance and Commercial Services	1. Finance 2. Commercial Services & Asset Management	1. Cllr Andrew Jamieson 2. Cllr Greg Peck 3. Cllr Tom Fitzpatrick	Finance <ul style="list-style-type: none"> • Current year spend within budget • Setting a balanced budget / sustainable MTFS

Departmental Plan	Portfolios	Portfolio holders	Suggested Top 3 Outcomes
	3. Innovation, Transformation & Performance		<ul style="list-style-type: none"> Capital and Treasury activities support long term aims and objectives of authority <p>Commercial Services & Asset Management</p> <ul style="list-style-type: none"> Efficient management and rationalisation of the NCC estate and driving forward One Public Estate initiative Effective leadership and governance off NCC wholly owned companies and affiliates, to maximise return to shareholder through increased dividends or clear social returns Delivery of property savings and capital receipts targets, including reviewing commercialisation opportunities to generate income stream <p>Innovation, Transformation & Performance</p> <ul style="list-style-type: none"> Transformation programmes are delivering the change we need for the Council and people of Norfolk Performance of the Council is well managed We are driving innovation to benefit the County
Strategy & Governance	1. Governance & Strategy 2. Innovation, Transformation & Performance	1. Cllr Andrew Proctor 2. Cllr Tom Fitzpatrick	<p>Governance & Strategy</p> <ul style="list-style-type: none"> Good governance Strong reputation for the Council Delivering Together, for Norfolk <p>As above (shared)</p>

A2 – Proposed Key Performance Indicators to underpin each outcome

Adult Social Services Proposed Performance Indicators – Cllr Borrett Portfolio Lead**Outcome: Improving our commissioned specialist services***(other portfolio priorities covered within CES below)***Regular Cabinet Reporting**

% Reablement cases where the outcome is recorded as not requiring any further social care support (Current vital sign)

% of providers judged good or outstanding by CQC

% of service users with LD who are in employment

% of people with mental health who are in employment

Number of permanent admissions to residential and nursing care for people aged 18-64 per 100k population (Current vital sign)

Number of permanent admissions to residential and nursing care for people aged 65+ per 100k population (Current vital sign)

Delayed discharges of care attributable to Adult Social Services (Current vital sign)

Total revenue expenditure on Adults' services per head of population (aged 18+) (raw values)

Social care-related quality of life (raw values) (LGA 44)

Carer related quality of life

Overall satisfaction of people who use services with their care and support

Reported Annually

Total revenue expenditure on Adults' services per head of population (aged 18+) (raw values) (LGA 44)

Social care-related quality of life (raw values) (LGA 44)

Carer related quality of life

Overall satisfaction of people who use services with their care and support

Children's Services - Proposed Outcomes and Key Performance Indicators - Cllr Fisher Portfolio Lead **TO BE CONFIRMED**

Outcomes	Signs of Success	Signs of Wellbeing	Signs of Safety
Proposed Performance Indicators	% settings judged good or outstanding	% of children achieving early years development goals	Rate of children in care per 10k
	KS2 Outcomes	Mental health and emotional wellbeing of children	Average caseloads in teams
	KS4 Outcomes	Instance of self-harm by CYP	Workforce stability - Proportion of agency workers of SW teams
	Free School Meals attainment Gap	Rate of entrants to the youth justice system	Re-referral rates social care
	Attainment at KS4 for Children in Care	Rates of Drug and Alcohol misuse by children and young people	Number of children subject to a child protection plan for a 2nd time
	Rate of permanent exclusions	Teenage pregnancy rate	Proportion of SW cases closed as needs met
	Proportion of learners in mainstream settings	Indices of deprivation scores	Feedback from children and families receiving support
	Number of children missing education	Proportion of family focus cases stepped down as needs met	Number of children going missing from care or home
	Rate of breakdowns of education or care for children looked after	Re-referral rate for family focus teams	TBC – measure of vulnerable adolescents service impact on YP at risk of exploitation/harm
	% young people who are NEET		
	% Care Leavers who are NEET		
	All underpinned by Financial Principles		
	Overall CS budget outturn HNB recovery plan position SCARF transformation programme savings delivery Split of spend between care and protection		

Community and Environmental Services - Proposed Outcomes and Key Performance Indicators																
Outcomes		Alignment to Cabinet Member priorities														
		Cllr Borrett			Cllr Dewsbury			Cllr Grant			Cllr Plant			Cllr Wilby		
		Improving our commissioned spend on specialist services	Prioritising prevention	Use data and intelligence to target our work	Keeping people of Norfolk safe	Improving people's health and wellbeing	Improving education and employment opportunities	Addressing key environmental concerns	Caring for Norfolk's distinctive environment	Sustainable waste and use of natural resources	Strategic infrastructure for growth	Support key sector developments	Workforce growth and skills	Delivering world class infrastructure	Maintaining investment in high quality transport	Customer focus
Proposed Performance Indicators	% settings judged good or outstanding				X											
	CIL - participation of EYFS activity in libraries						X									
	CIL - % of learning delivered to the most deprived wards in Norfolk						X									
	NFRS - % of high-risk fire safety audits completed				X											
	NFRS - % of high-risk home safety visits carried out					X										
	NFRS - % of emergency response within 10 minutes to incidents where life is at risk				X											
	G&D - Sq m of commercial and sector space supported										X					
	G&D - number of enterprises supported (Invest East)											X				
	G&D - Value of developer contributions secured												X			
	PH - Average ranking across PHE public health dashboard	X														
	PH - Healthy Life expectancy and component indicators		X													

	C&H - number of museum visits					X										
	C&H - speed of planning application determination									X						
	C&H - % of actions in Environmental Policy completed on time							X	X							
	H&W - Kg of residual waste per household									X						
	H&W - recycling rate at Recycling Centres									X						
	H&W - % of buses on time														X	
	H&W - % of defects dealt with within timescales															X
	H&W - % of highways capital programme funded by external sources												X			

Finance and Commercial Services - Proposed Outcomes and Key Performance Indicators -			
Finance - Cllr Jamieson Portfolio Lead			
Outcomes	Current year spend within budget	Setting a balanced budget / sustainable MTFS	Capital and Treasury activities support long term aims and objectives of authority
Proposed Performance Indicators	Revenue monitoring by Department	MTFS / level of forecast budget gap (Annual)	Capital monitoring – spend vs budget
	Savings delivery in year	Income forecasts including CT/NNDR (Annual)	Level of borrowing / debt
	Reserves use vs budget	Process for identification of pressures (Annual)	Cashflow / Treasury indicators
	FES – debt recovery	Input to Government policy decision making (consultations)	Monitoring of compliance with prudential indicators
	FES – Payment performance	Reserves forecasts (Annual)	Compliance with CIPFA Prudential Code
		Robustness of estimates judgement (Annual)	
		Compliance with CIPFA FM Code (Annual)	
		Audit VFM judgement	

Commercial Services & Asset Management - Cllr Peck Portfolio Lead			
Outcomes	Efficient management and rationalisation of the NCC estate and driving forward One Public Estate initiative	Effective leadership and governance off NCC wholly owned companies and affiliates, to maximise return to shareholder through increased dividends or clear social returns	Delivery of property savings and capital receipts targets, including reviewing commercialisation opportunities to generate income stream
Proposed Performance Indicators	Budget book – savings target	Capital receipt for land sold, that will be counted as part of overall capital receipts	Budget book – savings target:
	Total property cost/FTE	Annual income from interest charged for loans	Capital receipt target:
	floor area of property disposed of	Private sector units sold	
	Number of partnership projects, NCC is participating in.	Affordable units built in each of the tenures of: Shared equity Affordable rented Social rented	

Innovation, Transformation & Performance - Cllr FitzPatrick Portfolio Lead			
Outcomes			

	Transformation programmes are delivering the change we need for the Council and people of Norfolk	Performance of the Council is well managed	We are driving innovation to benefit the County
Proposed Performance Indicators	HR & Finance Replacement Project is delivering to defined and agreed milestones and costs	Performance Management System developed and on track	County Broadband Target
	Smarter Working – 10% improvement in measure “ My manager encourages me and my colleagues to be flexible about when and where we work and to use space and technology creatively.”		
	Smarter Working programme targets being met		

Strategy & Governance - Proposed Outcomes and Key Performance Indicators - Cllr Proctor Portfolio Lead			
Outcomes	Good governance	Strong reputation for the Council	Delivering Together, for Norfolk
Proposed Performance Indicators	Decision making processes robust and timely	Customer satisfaction with council services	Composite measure of other portfolios key indicators to be defined in Quarter 1 2020/21.
	A positive Annual Governance Statement for NCC		
	Decisions challenged by threat of / actual judicial review		
	Full engagement with key stakeholders is carried out		
	New employee retention (24 mnths+) is at 70%		
	85% of employees have written goals		
	Absence levels at 3.5% (8.1 days) for NCC		

	Social Worker Vacancies - 90 % of workforce plan filled		
	Employee Engagement – annual measure – improvement of satisfaction and employer contribution score by 2%	-	-

Cabinet

Item 10

Decision making report title:	Risk Management
Date of meeting:	6th April 2020
Responsible Cabinet Member:	Cllr. Andrew Proctor, Cabinet Member for Governance and Strategy
Responsible Director:	Simon George, Executive Director of Finance and Commercial Services
Is this a key decision?	No

Introduction from Cabinet Member

Risk management is required by regulations and as part of the Council's Constitution. It contributes to achieving corporate objectives, the Council's key priorities and Business Plan and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework. This report sets out the key messages and the latest corporate risks. As per the Council's Constitution, stipulating that departmental level risks are reported at least annually to Cabinet, a summary of each department's departmental level risks are also reported at Appendix D.

Executive Summary

Risk Management for Norfolk County Council is considered sound, and effective, working to best practice. This report sets out the latest information relating to corporate risks, providing Cabinet Members with an overview of the Corporate level risks being managed within the Council as well as departmental level risk summaries.

Recommendations

- 1. To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2020.**
- 2. To consider and agree the corporate risks as at March 2020, including a new corporate risk RM032a and RM032b to mitigate against the risk of COVID-19 disrupting service delivery (Appendix C).**

1. Background and Purpose

- 1.1. This report sets out the latest corporate risks for the Cabinet, at **Appendix C**. The report also provides risk summaries for all risks being managed by departmental management teams.

The Audit Committee are responsible for monitoring the adequacy and effectiveness of the systems of risk management and internal control, as set out in its Terms of Reference, which is part of the Council's [Constitution](#). There are Risk Management controls in place within the Council as per the Financial Regulations of the Council's Constitution. The Audit Committee will receive the Risk Management Annual Report 2019/20 at its meeting on 9th April 2020.

2. Proposals

- 2.1. The key corporate risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice.
- The review of the corporate risks has taken place with risk owners, the relevant Executive Director, and Corporate Board as a group. For corporate risks the risk title, scoring, mitigations, progress, and target dates have all been reviewed, and updated as necessary. There are some target dates that have been amended to a later date to reflect the current assessment of the timeframe required to achieve the target score by.
- A new corporate risk has been drafted to reflect the risk of COVID-19 to Norfolk County Council. This can be viewed in **Appendix C**. This risk incorporates the numerous mitigations that are being applied to ensure that any disruption to normal service delivery is minimised, and that the health, safety, and wellbeing of all staff and service users continues to be prioritised.
- The Corporate Risks have been reviewed to ensure that they continue to align with the Council's business plan Together, for Norfolk. Key changes to the latest corporate risk register since last report in January 2020 are shown at **Appendix A**, and corporate risk score movement is shown at **Appendix B**. The corporate risks are presented at **Appendix C**. Departmental risk summaries are presented at **Appendix D**.
- This corporate risk management report should be read in conjunction with the corporate vital signs report to ensure that they are interlinked.

- The Audit Committee continues to be responsible for monitoring the adequacy and effectiveness of the systems of risk management.
- Developments of the risk management function during 2019/20 will shortly be reported to Audit Committee as an end of year annual report.

3. Impact of the Proposal

- 3.1. Risk management plays a key role in managing performance and is a requirement in the Accounts and Audit Regulations 2015. Sound risk management helps ensure that objectives are fulfilled, that resources and assets are protected and used effectively and efficiently. The responsibilities for risk management are set out in the Financial Regulations, which are part of the Council's Constitution.

4. Evidence and Reasons for Decision

- 4.1. Not applicable as no decision is being made.

5. Alternative Options

- 5.1. There are no alternatives identified.

6. Financial Implications

- 6.1. There are financial implications to consider, which are set out within the risks at **Appendix C**.

7. Resource Implications

- 7.1. **Staff:** The imminent risk of COVID-19 impacting on staff can be seen within risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)**, and **RM032b - Effect of COVID-19 on supply chain**. There are also staffing resource implications to consider as part of risk **RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term**.
- 7.2. **Property:** There are no major property risk implications to consider within this report.

- 7.3. **IT:** There are no specific major risk IT implications to consider within this report other than as part of **RM010 - The risk of the loss of key ICT systems including: internet connection; telephony; communications with cloud-provided services; or the Windows and Solaris hosting platforms.**

8. Other Implications

8.1. Legal Implications

There are no specific legal implications to consider within this report.

8.2. Human Rights implications

There are no specific human rights implications to consider within this report.

8.3. Equality Impact Assessment (EqIA) (this must be included)

None applicable.

8.4. Health and Safety implications (where appropriate)

There are health and safety risk implications as set out in the new corporate risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery, and RM032b - Effect of COVID-19 on supply chain.** Mitigations are in place to ensure that the health, safety and wellbeing of all Council staff continues as a top priority to ensure that services continue to be delivered as normal. Health, safety and wellbeing is reported as part of the Health, Safety and Wellbeing report.

Other health and safety implications to consider within this report are noted within risk **RM028 - Risk of any failure to monitor and manage health and safety standards of third-party providers of services.**

8.5. Sustainability implications (where appropriate)

There are no specific sustainability implications to consider within this report. Any sustainability risks identified as part of the Council's recently launched [Environmental Policy](#) (page 58) will be recorded and reported appropriately.

8.6. Any other implications

There are no other risk implications to consider within this report.

9. Risk Implications/Assessment

- 9.1. The risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

10. Select Committee comments

- 10.1. There are no recent Select Committee comments to note within this report.

11. Recommendations

- 11.1. 1) To consider and agree the key messages (2.1) and key changes (Appendices A and B) to corporate risks since the last risk management report in January 2020.
- 2) To consider and agree the corporate risks as at March 2020, including a new corporate risk RM032a and RM032b to mitigate against the risk of COVID-19 disrupting service delivery (Appendix C).

12. Background Papers

There are no further background papers to note, other than those already linked within the body of the report.

Officer Contact

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

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Key Changes to Corporate Risks

The quarterly review of the corporate risk register has generated changes. These are captured below as follows;

<i>Risk Number</i>	<i>Risk Score Change</i>	<i>Risk title Change</i>	<i>Risk Description Change</i>	<i>Mitigations Change</i>	<i>Risk Owner Change</i>	<i>New Corporate Risk</i>
<i>RM001</i>						
<i>RM002</i>						
<i>RM003</i>						
<i>RM004</i>						
<i>RM006</i>						
<i>RM007</i>						
<i>RM010</i>						
<i>RM013</i>						
<i>RM016</i>						
<i>RM022</i>						
<i>RM023</i>						
<i>RM024</i>						
<i>RM026</i>				✓		
<i>RM027</i>						
<i>RM028</i>						
<i>RM029</i>						
<i>RM030</i>						
<i>RM031</i>						
<i>RM032a</i>						✓
<i>RM032b</i>						✓

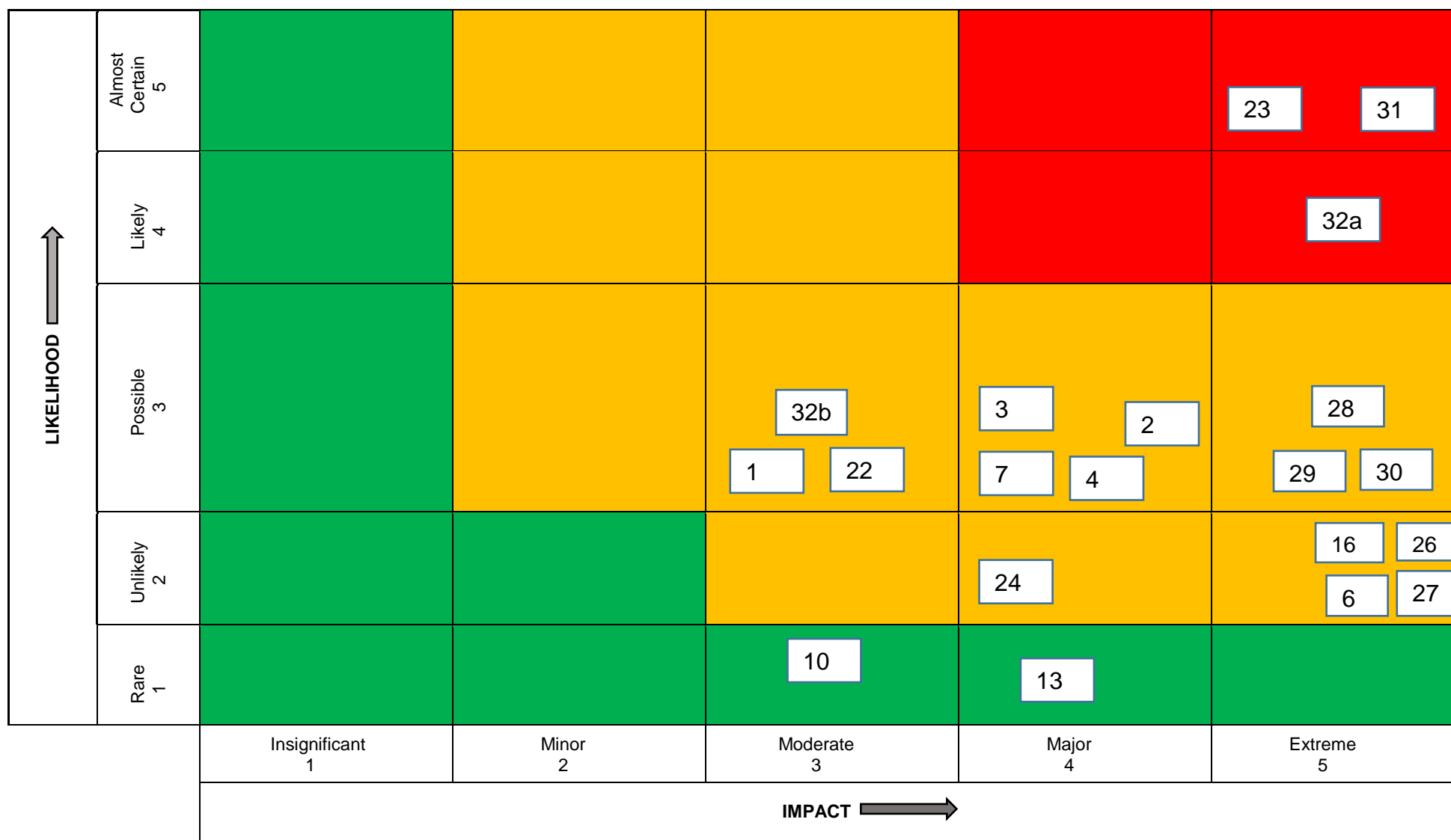
New risk

RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)

RM032b - Effect of COVID-19 on supply chain

With the recent implications of COVID-19, a new corporate risk is proposed. This risk is split into two parts, covering the risk to the health, safety and wellbeing of NCC staff and service users, and the risk of supply chain disruption, with both parts relating to the overall risk of service disruption.

Corporate Risks - Heat Map

**Key**

= Risk score increase



= no score change



= risk score decrease

No.	Risk description	No.	Risk Description
1	Realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.	13	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.
2	The potential risk of failure to manage significant reductions in local and national income streams.	16	Failure to adequately prepare for and respond to a major disruption to Norfolk County Council services.
3	Potential for failure to comply with information compliance and information security requirements.	22	Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union which may impact on Council objectives, financial resilience and affected staff ('Brexit').
4	The potential risk of failure to deliver effective and robust contract management for commissioned services.	23	Lack of clarity on sustainable long-term funding approach for adult social services at a time of increasing demographic pressures and growing complexity of need.
6	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.	24	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023).
7	Risk of inadequate data quality resulting from poor data governance, leading to poor decisions being made affecting outcomes for Norfolk citizens.	26	Legal challenge to procurement exercise.
10	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.	27	Risk of failure of new Human Resources and Finance system implementation.
		28	Risk of failure to monitor and manage health and safety standards of third party providers of services.
		29	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term.
		30	Realisation of Children's Services Transformation change and expected benefits.
		31	NCC Funded Children's Services Overspend

		32a	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)
		32b	Effect of COVID-19 on supply chain

Risk Number	RM001					Date of update		25 February 2020		
Risk Name	Realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description						Date entered on risk register		03 June 2019		
1) Not securing sufficient funding to deliver all the required infrastructure for existing needs and planned growth leading to: • Congestion, delay and unreliable journey times on the transport network • A lack of the essential facilities that create attractive conditions for business activity and investment, and sustainable communities, including good connectivity, public transport, walking and cycling routes, open space and green infrastructure, and funding for the infrastructure necessary to enable the county council to perform its statutory responsibilities, eg education. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	3	2	6	Mar-21	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment. 1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment. 1.3) Engage with providers of national infrastructure – Highways England for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks. 1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. 1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the emerging Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner. 1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.										
Progress update										

Progress update

Overall: Assessing likely impacts of, and reviewing likely necessary mitigation for, potential new government following general election announcement; there being central government pledged funds wrapped up in several major infrastructure schemes.

1.1) Maintain up-to-date project pipeline of future schemes and develop evidence and business cases for priority projects. Compiling evidence to respond to DfT following their request for further information on Norwich Western Link, Long Stratton Bypass, West Winch Housing Access Road and A47/A14 Pullover Junction King's Lynn (submitted as Transport East priorities for Large Local Major Projects and Major Road Network alongside Long Stratton Bypass, which has been given funding to develop its business case to the next stage). Successful in securing Business Rates Pool funding to develop schemes as part of preparing schemes for next round of funding opportunities including successor to Growth Deal. Finalising Strategic Outline Business Case for Transforming Cities funding for submission in November.

1.2) Developing schemes and projects including the following, part-funded from Pooled Business Rates: King's Lynn Transport; Norwich Western Link; Fakenham Market Town Study;

Downham Market Market Town Study; Wroxham / Hoveton Market Town Study; Wymondham Market Town Study; Long Stratton; Bypass; West Winch Housing Access Relief Road.

1.3) Continuing work to secure investment into the strategic road network including A47 dualling and investment into the rail network. Continuing to work Great Eastern Main Line (Norwich to London): Network Rail have produced a draft study setting out infrastructure constraints for Norwich in 90 services. Local authorities commissioned study on wider economic benefits. Continuing to work on Ely Task Force: Network Rail is producing a business case for infrastructure improvements required to unlock a range of additional passenger and freight services. Continuing to support East West Rail Consortium: Eastern Section prospectus published.

1.4) Review of Planning Obligations Standards completed, new standards adopted by Cabinet in September 2019.

1.5) Continuing to work with Transport East on transport strategy; liaising with DfT, Network Rail and Highways England on strategic road and rail schemes; attending wider partnership groups including LEP Transport Board.

1.6) Continuing to update new systems to ensure monitoring is effective and up to date.

Risk Number	RM002					Date of update		10 March 2020		
Risk Name	The potential risk of failure to manage significant reductions in local and national income streams									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			31 May 2019		
This may arise from global or local economic circumstances (i.e. Brexit), government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Strategy savings required for 2018/19- 2021/22 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website. Overall risk treatment:Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	4	8	Mar-21	Amber
Tasks to mitigate the risk										
Medium Term Financial Strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by Corporate Board and members. Regular finance monitoring reports to Cabinet. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received.										
Progress update										

Progress update

Government's 2018-19 local government finance settlement reflected in the 2019/20 budget and Medium Term Financial Strategy. County Council on 11.02.19 approved the 2019/20 budget and future medium Term Financial Strategy taking into account the Final Local Government Finance settlement for 2019/20.

The council's external auditors gave an unqualified audit opinion on the 2018-19 Statement of Accounts and were satisfied that the County Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31.03.2019.

The commitment to additional funding for the NHS (<https://www.gov.uk/government/news/prime-minister-sets-out-5-year-nhs-funding-plan>) inevitably means less funding will be available for other government priorities. However, the plan sets out a commitment that the Government will ensure that adult social care doesn't impose additional pressure on the NHS. The former Prime Minister has also signaled the intention to produce proposals to put social care on a more sustainable footing, and to set out budgets for social care and public health as part of the forthcoming spending review. As such the implications for the Council of the Government's various funding commitments across the public sector will not become fully clear until after the December 2019 General election. Following the December 2019 General Election, the Government announced the Final Local Government Finance Settlement for 2020/21 on 6.02.20 and after being debated in the House of Commons this was confirmed on 25.02.20. County Council on 17.2.20 approved the 2020/21 budget and future Medium Term Financial Strategy taking into account the Final Local Government Settlement for 2020/21.

Risk Number	RM003					Date of update		25 February 2020		
Risk Name	Potential for failure to comply with information compliance and information security requirements.									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Helen Edwards		
Risk Description					Date entered on risk register			05 June 2019		
There is a risk of failing to comply with statutory and/(or) national/local codes of practices in relation to Information Compliance, coupled with a risk of loss of sensitive data. This could lead to significant reputational and financial risk for NCC. This risk is separate to RM007, which looks at the risk of not having the correct or accurate data to make key decisions. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	4	12	1	4	4	Mar-21	Green
Tasks to mitigate the risk										
1) Implementation of SIRO (Senior Information Risk Owner) , CIO (Chief Information Officer), Corporate Information Management Team encompassing Information Management, Information Governance, Records Management, policies confirming responsibilities. 2) Ensure that information and data held in systems (electronic and paper) is accurate, up to date, comprehensive, secure against security breaches, and fit for purpose to enable managers to make confident and informed decisions. Continue CS data project to retain / destroy data appropriately. 3) Ensure that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory standards for information management. 4) Ensure that the mandated eLearning Data Protection 2 year refresher data continues to be sent to CLG on a monthly basis for review and action. 5) SIRO to receive assurance of compliance with statutory and/or national/local codes of practice in relation to information compliance from Information Asset Owners when reporting the Annual Governance Statement. 6) NCC is NHS Information Governance Toolkit compliant to Level 2 7) Embedding and enhancing Cyber Security techniques and Protocols through recommendations from the Cyber Security Audit - i.e data loss, ransomware and system outages etc. in line with National Cyber Security Centre best practice. 8) Embedding of GDPR 9) Undertake a six month review to reduce demand and increase capacity										
Progress update										

Progress update

The Chief Legal Officer has responsibility as SIRO and DPO.

GDPR programme of work has been implemented with all but low risk areas. Programme of work is now continuing for the low risk areas. There is an increased volume of Subject Access Requests (SARs). A six monthly review is in place to reduce demand and increase capacity.

Audit successfully undertaken by Internal Audit in regards to the use and implementation of Caldicott Guardians across Childrens and Adults with no significant or high outcomes. Quarterly meetings are in place to monitor the Caldicott process. Work is underway to promote and prevent potential data security breaches followed by departmental checking and reporting of compliance.

Cyber security action plan has been developed and is currently being actioned.

Norfolk County Council is NHS IG Toolkit accredited to Level 2 by NHS Digital in lines with NHS partners within Norfolk and Waveney STP.

There are different aspects to this risk, which when considered together, make up the current risk score.

SOCITM Advisory Limited were asked to carry out an Information Management Governance Review.

The discovery phase is done and we are now awaiting a draft report from them around how we can improve our overall information governance. This was authorised by the Executive Director of Strategy and Governance and led by the Assistant Director of Finance and Commercial Services (Audit) for NCC.

Risk Number		RM004				Date of update		10 March 2020		
Risk Name		The potential risk of failure to deliver effective and robust contract management for commissioned services.								
Portfolio lead		Cllr. Andrew Jamieson				Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 June 2019		
Ineffective contract management leads to wasted expenditure, poor quality, unanticipated supplier default or contractual or legal disputes. The council spends some £700m on contracted goods and services each year. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	3	6	Sep-20	Amber
Tasks to mitigate the risk										
<p>1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately.</p> <p>Next steps:</p> <ul style="list-style-type: none">- Develop robust process to respond to CreditSafe alerts by end June 2019- Develop robust process to spot other early warning signs eg late filing of accounts, media monitoring by end September 2019 <p>2) Continue to report the pipeline of expiring contracts to Corporate Board every six months.</p> <p>Continue to discuss the pipeline of expiring contracts with CES DMT every quarter.</p> <p>Next steps:</p> <ul style="list-style-type: none">- Start to discuss the pipeline of expiring contracts with other departmental management teams or individual senior managers on a quarterly basis from quarter 3 of 2019 <p>3) Through the contract compliance and optimisation workstream of the Smarter Workstream priority under the Norfolk Futures programme, implement measures to ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively.</p> <p>Next steps:</p> <p>Implement phased plan as agreed at corporate board 3 December 2020</p> <p>4) Develop a standard specification for service transition that can be used as the basis for new sourcing exercises and used to manage transitions effectively by end June 2019</p> <p>5) From 2017 internal audit to conduct an audit of 2 contracts each year from the list of top 50 contracts by value</p> <p>6) Internal audit to undertake audits of the contract management control environment in the three service directorates in second half of the financial year.</p>										
Progress update										
<p>1) Process developed with finance to respond to CreditSafe alerts.Creditsafe contract being reviewed to see whether it remains the best solution.</p> <p>2) Pipeline frequency at Corporate Board increased to quarterly and process in place for monthly review by Director of Procurement and Executive Director of Finance</p> <p>3) Contract compliance and optimisation workstream plan was approved at Corporate Board in December 2019 and phased implementation is under way</p> <p>4) Transition/handover checklist developed and in use.</p>										

Risk Number	RM006					Date of update		10 March 2020		
Risk Name	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			13 June 2019		
The failure to deliver agreed savings or to deliver our services within the resources available, resulting in the risk of legal challenge and overspends, requiring the need for in year spending decisions during the life of the plan, to the detriment of local communities and vulnerable service users. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Mar-21	Green
Tasks to mitigate the risk										
1) Clear robust framework, 'Together for Norfolk - Business Plan' in place which drives the delivery of the overall vision and priority outcomes. The delivery of a council-wide strategy which seeks to shift focus to early help and prevention, and to managing demand. 2) Delivery against the strategic service and financial planning, by translating the vision and priorities into achieved, delivered targets. 3) A robust annual process to provide evidence for Members to make decisions about spending priorities. 4) Regular and robust in-year financial monitoring to track delivery of savings and manage in-year pressures. 5) Sound engagement and consultation with stakeholders and the public around service delivery. 6) A performance management and risk system which ensures resources are used to best effect, and that the Council delivers against its objectives and targets.										
Progress update										
Regular budget and performance monitoring reports to Cabinet now set out how the Council is delivering against the 2019/20 budgets and priorities set for each of our services. The Council has a robust and established process, including regular reporting to members, which is closely linked to the wider Council Strategy, in order to support the development of future year budget plans taking account of the latest available information about Government funding levels and other pressures. This process includes reviewing service budgets and taking into account financial performance and issues arising in the current financial year as detailed in the budget monitoring reports.										

Risk Number	RM007					Date of update		25 February 2020		
Risk Name	Risk of inadequate data quality resulting from poor data governance, leading to poor decisions being made affecting outcomes for Norfolk citizens									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Helen Edwards		
Risk Description					Date entered on risk register			05 June 2019		
This places the Council at risk of making decisions using data that is not always as robust as it should be. This may lead to poor or ineffective commissioning, flawed decision making and increased vulnerability of clients, service users and staff. This risk is separate to RM003, which looks at the risk of failure to adhere to national and/or local statute or codes of practice relating to information compliance or information security. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	4	12	3	4	12	2	3	6	Mar-21	Amber
Tasks to mitigate the risk										
1) Implementation of the Information Management Strategy, Information Governance Framework, Data Protection, Information Sharing, Freedom of Information, Records Management, Managing Information Risk, and Information Security. 2) Information Compliance Group (ICG) has the remit to ensure the overarching Information Governance Framework is embedded within business services and NCC and elements of the IM Maturity Readiness Plan. 3) Ensuring that all staff and managers are provided with training, skills, systems and tools to enable them to meet the statutory/NCC standards for information management. 4) Develop and link in to department risks on the management of departmental data.										
Progress update										

Progress update

The ICG has clear terms of reference and a work plan to cover its responsibilities. Data Quality (DQ) audits have been undertaken by internal audit with no significant or concerning outcomes.

Manual records management project looking at retention periods of manual records held with BoxIt is providing positive results.

Moving forward all new systems being procured like Liquid Logic have more validation and integrity checks on the data/information at field level, row level and at page level thus ensuring the data/information is treated as a corporate asset inline with the NCC IM Strategy.

We have undertaken significant data cleansing work this year or so in the migration to Liquid Logic for Social Care data and in preparation for a new ERP system (Financial & Procurement data in particular). We have also conducted extensive work to cleanse data in files-shares and paper documents in storage, also scanning extensively to support Liquid Logic & Oracle EBS and associated systems. DQ audits undertaken have also shown reasonable findings.

The Risk Management Officer will consult with departments to ensure risks associated with the management of their data are considered.

Bringing Liquid Logic into service provided an opportunity to understand where issues lie. Additional understanding gained from new Liquid Logic reports being written relying on accurate data.

Risk Number	RM010					Date of update		10 March 2020		
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Portfolio lead	Cllr. Tom Fitzpatrick					Risk Owner		Simon George		
Risk Description					Date entered on risk register			01 July 2019		
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood, or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: Treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	1	3	3	1	3	3	Sep-20	Met
Tasks to mitigate the risk										
1) Full power down completed periodically 2) Replace ageing Local Area Network (LAN) equipment 3) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory) 4) Implement Cloud-based business systems with resilient links for key areas 5) Replace voice services (contact center / desk phones) with cloud based Microsoft Teams 6) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including 7) We will be running a number of Cyber Attack exercises with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack 8) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 9) Implement new data centre to reduce the risk of power failure, loss of data connectivity and reduce ICT hardware failures										
Progress update										
1) Full power down completed as required by Property programme plans 2) New Local Area Network equipment has been procured and we are now implementing with County Hall. 3) Access services have been migrated to the new DR site so work can continue if county hall unavailable 4) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly. 5) Contact services have been migrated to a cloud based system, Telephony resilience will be improved as part of the Microsoft Teams (Formerly Skype for Business project) which recommenced in Feb 2020. 6) We are still working through the cyber audit actions which are more complex than first thought. Target date for completion is now June 2020. 7) The Cyber Attack exercise with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack. We delivered an 'EXECSIM' exercise with the corporate board to ensure										

Progress update

we are fully prepared in the event of a Cyber Attack, communications and approach at a senior level (Jan 2020). We are scheduling a National Cyber Security Centre (NCSC) 'Exercise in a box' session for IMT to test our approach during a cyber attack and we will follow this up with a NCSC 'Exercise in a box' exercise for the business leads, resilience team and IMT to jointly rehearse a cyber attack.

8) We have already held a Business Continuity exercise to understand and reduce the impact of risk scenarios and this will be re-run within 12 months to further reduce the risk. Large scale remote access exercise successfully carried out in February 2020, with over 3000 staff working remotely from a non-NCC based site. This demonstrates that the network can cope effectively with a vastly increased number of users working remotely. There are plans to run Exercise Steel later in 2020, building on the work of Exercise Horseshoe.

9) The new data centre is now live.

The score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure.

We currently running an increased short term risk to data cables and connectivity being damaged due to basement building work - We are working closely with the corporate property team to highlight areas of concern.

Risk Number	RM013					Date of update		10 March 2020		
Risk Name	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.									
Portfolio lead	Cllr. Greg Peck					Risk Owner	Simon George			
Risk Description					Date entered on risk register			02 July 2019		
The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incurring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	4	1	4	4	1	4	4	Mar-21	Met
Tasks to mitigate the risk										
<p>1) All controlled entities and subsidiary companies have a system of governance which is the responsibility of their Board of Directors.</p> <p>The Council needs to ensure that it has given clear direction of it's policy, ambitions and expectations of the controlled entities.</p> <p>The NORSE Group objectives are for Business Growth and Diversification of business to spread risks. Risks need to be recorded on the Group's risk register.</p> <p>2) The NORSE board includes a Council Member and is currently chaired by the Executive Director of Strategy and Governance for the Council. There is a shareholder committee comprised of six Members. The shareholder committee should meet quarterly and monitor the performance of NORSE. A member of the shareholder board, the shareholder representative, should also attend the NORSE board.</p> <p>3) The Council holds control of the Group of Companies by way of its shareholding, restrictions in the NORSE articles of association and the voting rights of the Directors. The mission, vision and value statements of the individual NORSE companies should be reviewed regularly and included in the annual business plan approved by the Board. NORSE should have its own Memorandum and Articles of Association outlining its powers and procedures, as well as an overarching agreement with the Council which outlines the controls that the Council exercises over NORSE and the actions which require prior approval of the Council.</p> <p>4) To ensure that governance procedures are being discharged appropriately to Independence Matters. The Executive Director for Finance and Commercial Services' representative attends as shareholder representative for Independence Matters.</p> <p>5) Approve the Outline Business Case for Repton Property Developments Ltd.</p> <p>6) Shareholder representation required from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.</p>										
Progress update										

Progress update

- 1) There are regular Board meetings, share holder meetings and reporting as required. For NORSE, risks are recorded on the NORSE group risk register.
- 2) The Norse Group follows the guidance issued by the Institute of Directors for Unlisted Companies where appropriate for a wholly owned LA company. The shareholder committee meets quarterly and monitors the performance of Norse. A member of the shareholder board, the shareholder representative, also attends the Norse board.
- 3) The Council has reviewed its framework of controls to ensure it is meeting its Teckal requirements in terms of governance and control, and a series of actions has been agreed by the then Policy and Resources Committee. The Executive Director of Finance and Commercial Services is responsible for reviewing the ongoing viability of wholly owned entities and regularly reporting the performance of their activities, with a view to ensuring that the County Council's interests are being protected. All County Council subsidiary limited company Directors have been approved in accordance with the Constitution. The new Chairman of Norse has initiated change with one Director looking after NCS and NPS, with a view to maximising returns back to NCC. A further strengthening of the Board is proposed with the appointment of two independent Non-Executive Directors with one vote each. As with Repton the appointments would be made through a transparent process of advertisement, interview and appointment.
- 4) The ED of F&CS directs external governance. An external company is undertaking a review of Norse Group's financial performance, discharging the Executive Director for Finance and Commercial Services' responsibility as per the Constitution.
- 5) The Outline Business Case for Repton Property Developments Ltd has been approved.
- 6) There is Shareholder representation from the Executive Director of Finance and Commercial Services on both the Norse, and Repton Boards.

Risk Number	RM016					Date of update		25 February 2020		
Risk Name	Failure to adequately prepare for and respond to a major disruption to Norfolk County Council services.									
Portfolio Lead	Cllr Andrew Proctor					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			22 June 2019		
To ensure disruption is minimised and ensure that we are able to maintain services and respond appropriately to a either a Major or Moderate disruption both within and out of core office hours (N.B. this risk will be scored differently for different departments due to different levels of preparedness).										
Overall risk treatment: Treat										
Original			Current			Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	2	5	10	2	4	8	Mar-21	Amber
Tasks to mitigate the risk					Progress update					
1) All corporately agreed critical activities must have comprehensive Business Continuity plans which are exercised. Plans to be agreed by Senior Managers.					1) All services have plans in place. 90% of critical services have plans which are up-to-date. The Resilience Team audits plans as they are received and provides feedback to service managers where changes are required.					
2) To develop the Professional Development Centre (PDC) Norwich, which was agreed as a key corporate Work Area Recovery (WAR) site by Corporate Board.					Throughout the last year, a series of exercises have been completed to consider the use of the Corporate Work Area Recovery site, the plan for this is now in draft. Once this is circulated and feedback considered services will be invited to work at the site to ensure it is fit for purpose in the event of an incident affecting County Hall. Exercise Horseshoe (2019) was to test the IMT access and Disaster Recovery site for a range of services including access from the Corporate Work Area Recovery site. Actions as a result of Exercise Horseshoe are being completed, and exercise Exercise Steel will take place later this year. The aim is to further test services from the PDC and remote locations to ensure we could continue working from other sites in the event that we lost County Hall.					

Tasks to mitigate the risk	Progress update
<p>3) Embedding Business Continuity - Ensure there is a programme of work to embed BC into the organisation. This includes awareness raising initiatives and training for support staff and resilience representatives. Training also includes the BC e-learning package which needs to be reviewed, relaunched, and the uptake monitored. Departments must ensure staff attend training and complete exercises/tests.</p>	<p>3) The Business Continuity for Managers course continues to be run through the year. The Emergency Planning awareness course has been launched, this course will provide managers with an insight into how an incident would be managed in the event of several agencies being involved.</p> <p>All plans must be exercised once per year. Our e-learning package is ready to launch within the next month, this is for all managers and staff involved in incident response, it is also suitable for councillors to complete.</p>
<p>4) Implement the Business Continuity Framework</p>	<p>4) Resilience Management Board receive an update of where NCC are in implementing the BC Framework. This has been developed further by communicating the position of the departments using the assurance framework and those sections marked as red/amber (where applicable) should be linked to departmental risk registers. The BC survey is due summer 2020 and at the same time departmental reports on the departmental position will be completed.</p>
<p>5) Gain assurance that ICT could be recovered in line with timescales detailed within the BIAs.</p>	<p>5) IMT and Resilience have now completed this piece of work. Systems have been given a timescale for when they would be recovered within in the event of a large scale ICT incident. The system recovery timescales will be of use in projects and during testing after work such as the datacentre move. We are using this data for Exercise Steel. IMT are working on an out of hours rota so these timescales could be achieved in the event of a major incident occurring out of normal working hours.</p>

Risk Number	RM022		Date of update		28 February 2020					
Risk Name	Potential changes in laws, regulations, government policy or funding arising from the UK leaving the European Union, which may impact on Council objectives, financial resilience and affected staff ('Brexit').									
Portfolio lead	Cllr. Graham Plant			Risk Owner	Tom McCabe					
Risk Description			Date entered on risk register		01 July 2019					
Four important implications to the Council: 1) The Council's EU funded programmes supporting the local economy. 2) The legal base – substantial change needed structured around No Deal scenario and likelihood of No Deal. 3) Council services dependent on a migrant workforce – for example nationally, 7% of existing adult social care staff come from other EU nations. 4) Place-based impact – there will be real and varied impacts and opportunities in our local economy. There is a risk that initially, implications for Norfolk County Council of the UK leaving the EU are not known or understood, causing uncertainty in Council business, planning, and service delivery. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	2	3	6	Dec-20	Amber
Tasks to mitigate the risk										
NCC should continue to monitor Brexit developments and developing responses to the four areas in which the council will be affected (EU funding, legal issues, workforce issues, place-based impact).										
1) Regular meetings are taking place with the Ministry for Housing, Communities and Local Government (MHCLG) and the Department for Business, Energy and Industrial Strategy (BEIS) regarding a managed exit from EU funded programmes to ensure NCC's liabilities are met.										
We have agreed the principles and framework for regional investment post Brexit to ensure the level of current funding is protected, including asking for funds to be devolved locally, so that the economic benefit of the funding is secured.										
3) Human Resources to support managers and staff who may be affected by this issue.										
4) Understand the risks and implications of Brexit to service delivery, wider community and business continuity. This includes managing particular risks around the supply of food and fuel, to enable us to support vulnerable people.										
We have jointly commissioned work with the LEP and Suffolk County Council to understand the business impact of Brexit within the New Anglia area and particular sectors likely to be affected, such as agriculture (potential for post-Brexit tariffs making export of some products unviable). Also, signposting to information from Government on preparations businesses should make is available at www.newanglia.co.uk .										
Progress update										

Progress update

1) The Treasury Guarantee provides assurance that funding is assured in the event of a deal for projects committed by 31 December 2020. The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from MHCLG that they will meet our liabilities in order to close the Programme. MHCLG have raised the issue with Ministers, as well as our MA status after we leave the EU. This will now fall under the detailed work around payment mechanisms following the confirmation of extended programme completion.

The Green Paper regarding the Shared Prosperity Fund has still not yet been published and is not expected until the 2020 Autumn Statement, at the earliest. We continue to work with New Anglia and other relevant partners and will report the proposals and our response to members when it has been published.

2) MHCLG have advised they will issue a new set of planning assumptions around a no deal Brexit in due course. NCC Brexit Silver Group and Resilience Reps looked at reasonable worst case planning assumptions in Operation Yellowhammer. Work we had done prior to the original leave date meant that we had covered these potential impacts already.

NCC Brexit risk register completed identifies all Brexit risks & mitigations & is available on Sharepoint. There is now a transition period until the end of 2020, while the UK and EU negotiate additional arrangements. The current rules on trade, travel, and business for the UK and EU continue to apply during the transition period. By 1 January 2021 we will either start a new relationship with the EU or leave without a trade deal.

3) Potential loss of staff for NCC and our service providers was looked at in Feb '19 & is under constant review. Signposting to HM Govt websites was undertaken and correspondence sent to service providers. Most recent update:

- Keeping HR Direct up to date with developments to advise staff
- Refreshing employee information on peoplenet
- Undertook exercise to refresh employee data on nationality status
- Provided information to key stakeholders within social care on the pilot
- Surveyed Heads of Services/Departments regarding impacts

4) We have raised the issue of Trading Standards (their ability to act as a National Body certified by the EU, charging for highway services) with the LGA to play into their negotiations with DExEU.

A task force has been set up, asking each Directorate to provide a summary of the risk posed to them and their service provision by Brexit. Service delivery risks involving the availability of fuel and supply of food are being managed, to ensure that the Council is prepared for any such eventualities. These two issues have been subject of individual NRF multi-agency task & finish groups. Information has been fed back to NCC Silver Group meetings and resilience reps, for them to consider impacts. Covered in full in NCC Brexit Risk Register. Our revised Business Impact Analysis requires departments to identify fuel requirements to deliver critical activities. NCC prepares the NRF Fuel Emergency Plan so we are well embedded into the process.

The NCC website now offers information for businesses and individuals, including our EU No Deal Exit Strategy <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/preparing-for-brexit>

Risk Number		RM023				Date of update		06 March 2020		
Risk Name		Failure to respond to changes to demography, funding, and government policy, with particular regard to Adults Services.								
Portfolio lead		Cllr. Bill Borrett				Risk Owner		James Bullion		
Risk Description					Date entered on risk register			18 August 2017		
Whilst acknowledging the pressures on adult social services, and providing some one-off additional funding, the Government has yet to set out a direction of travel for long-term funding. At the same time, the pressures of demography and complexity of need continue to increase. This makes effective strategic planning highly challenging and there is a risk that short-term reductions in support services have to be made to keep within budget; these changes are likely to be counter to the long-term Promoting Independence strategy. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	2	4	8	Dec-20	Amber
Tasks to mitigate the risk										
1) Implementation of Promoting Independence Strategy. This strategy is shaped by the Care Act with its call to action across public services to prevent, reduce and delay the demand for social care. The strategy aims to ensure that demand is understood and managed, and there is a sustainable model for the future. 2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care. 3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system. 4) Judicious use of one-off winter funding, as announced by Government. 5) Close tracking of government policies, demography trends and forecasts. 6) A new set of NCC corporate priorities which aims to address longer-term demand management in children’s and adult services.										
Progress update										

Progress update

- 1) Demand and demography modelling continues to be refined through the cost and demand model. Five main themes for transformation: Services for people with a learning disability; maximising digital technology; embedding strengths-based social work through Living Well; 3 conversations; health and social care integration and housing for vulnerable people.
- 2) Sector based plans for providers which model expected need and demand associated with demographic and social change
 - 3a) Strengthened investment in prevention, through additional reablement, social prescribing, local initiatives for reducing social isolation and loneliness
 - 3b) Workforce – continued recruitment campaign to sustain levels of front line social workers and occupational therapy staff.
 - 3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care.
- 4) Close joint working with NHS, through the STP, to shape and influence future integration of health and social care
- 5) We are still awaiting the Green Paper on Social Care; will now review the NHS 10-year Plan and establish how this will impact on the direction of travel for health and social care
- 6) Collaboration with children's services to develop a preparing for adult life service to strengthen transition experience for young people, and to improve service and budget planning.

Risk Number	RM024					Date of update		25 February 2020		
Risk Name	Failure to construct and deliver the Great Yarmouth 3rd River Crossing (3RC) within agreed budget (£121m), and to agreed timescales (construction to be completed early 2023)									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description						Date entered on risk register		14 June 2019		
There is a risk that the 3RC project will not be delivered within budget and to the agreed timescales. Cause: delays during statutory processes put timescales at risk and/or contractor prices increase project costs. Event: The 3RC is completed at a later date and/or greater cost than the agreed budget, placing additional pressure on the NCC contribution. Effect: Failure to construct and deliver the 3RC within budget would result in the shortfall having to be met from other sources. This would impact on other NCC programmes. Overall risk treatment: Treat, with a focus on maintaining or reducing project costs and timescales.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	4	8	2	4	8	2	3	6	Jan-23	Amber
Tasks to mitigate the risk										
The project was agreed by Full Council (December 2016) as a key priority infrastructure project to be delivered as soon as possible. Since then, March 2017, an outline business case has been submitted to DfT setting out project costs of 120m and a start of work in October 2020. 80% of this project cost has been confirmed by DfT, but this will be a fixed contribution with NCC taking any risk of increased costs. Mitigation measures are: 1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings. 2) NCC project team to include specialist cost and commercial resource (bought in to the project) to provide scrutiny throughout the scheme development and procurement processes.This will include independent audits and contract/legal advice on key contract risks as necessary. 3) Programme to be developed that shows sufficient details to enable overall timescales to be regularly monitored, challenged and corrected as necessary by the board. 4) Project controls and client team to be developed to ensure systems in place to deliver the project and to develop details to be prepared for any contractual issues to be robustly handled and monitored. 5) All opportunities to be explored through board meetings to reduce risk and programme duration. Overall risk treatment: Reduce, with a focus on maintaining or reducing project costs and timescales										
Progress update										

Progress update

The outline business case was submitted on 30 March 2017, and DfT confirmed approval of this following the autumn statement in November 2017. There is a risk that the scheme development could see changes to the scheme, and therefore to the agreed business case, and any changes will need to be addressed/agreed with DfT. Progress against actions are: 1) Project board in place. Gateway review highlighted a need to assess and amend board attendance and this has been implemented. Progress update report provided to Audit Committee on 31 July 2018. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there are no significant concerns identified that undermine the project delivery). Internal audit on governance ongoing during Feb 19 - report now finalised (dated 14 August 2019) and findings were rated green. 2) Specialist cost and commercial consultants have been appointed and will continue to review project costs. The first element of work for the cost consultant was to review project forecasts. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget is considered sufficient - this work was previously used to update the business case submitted to and accepted by DfT. A further budget review was completed following appointment of the contractor (initial assessments based on tendered submissions provided sufficient confidence to award the contract - in accordance with delegated authority).

3) An overall project programme has been developed and will be owned and managed by the dedicated project manager. Any issues will be highlighted to the board as the project is delivered. Programme updated to fully align procurement and Development Consent Order (DCO) processes. Following the award of the contract, from January 2019, the programme is now focussed on delivering the DCO. Development Consent Order submitted to the Planning Inspectorate (PINS) by end of April 19 as per agreed timescales. The start of DCO examination was 24 September 2019, with a finish date not later than 24 March 2020, but potential to be completed late Feb 2020. 4) Learning from the NDR and experience of the commercial specialist support has been utilised to develop contract details ahead of the formal commencement of the procurement process, which was 27 February 2018. Further work is ongoing and has fed into the procurement processes (and competitive dialogue) with the bidders. The commercial team leads were in place from the start of the contract (January 2019). 5) The project board will receive regular (monthly) updates on project risks, costs and timescales. A detailed cost review was delivered to the board ahead of the award of the contract (following the delegated authority agreed by Full Council), and took into account the contractors tender pricing and associated project risk updates.

Risk Number	RM026					Date of update		10 March 2020		
Risk Name	Legal challenge to procurement exercise									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner	Simon George			
Risk Description					Date entered on risk register			04 June 2019		
That alleged breach of procurement law may result in a court challenge to a procurement exercise that could lead to delay, legal costs, loss of savings, reputational damage and potentially significant compensation Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	1	5	5	Sep-20	Green
Tasks to mitigate the risk										
Review processes and practice in light of recent caselaw, in particular Amey Highways Ltd v West Sussex County Council [2019] EWHC 1291 (TCC) and Lancashire Care NHS Foundation Trust & Anor v Lancashire County Council [2018] EWHC 200 (TCC). 1) At team meeting w/c 10 June 2019, remind procurement staff of need to escalate any proposal to run a procurement exercise in an unreasonably short timescale 2) Take pipeline to corporate board every six months and to directorate management teams quarterly to minimise risk of rushed procurement exercises. 3) Seek corporate board sign-off for new approach with consistently adequate timelines,fewer evaluators and greater control over choice of evaluator 4) Review scale of procurement exercises, avoid unnecessarily large exercises that increase risk and complexity and the scale of any damages claim. 5) Make incremental change to instructions to evaluators and approach to scoring and documenting rationale, and test on tender NCCT41801 in w/c 3 June 2019 6) Review standard scoring grid and test 'offline' on tender NCCT41830 w/c 10 June 2019 7) Review template provisional award letter w/c 17 June 8) Develop standard report to decision-maker w/c 17 June 9) Make more significant changes to instructions to evaluators and pilot new approach on a future tender. 10) Pilot new scoring grid in a future tender 11) Institute formal annual review of sourcing processes in light of developments in case law. Review each December; add to senior staff objectives.										
Additional tasks identified February 2020: 12) Update HotDocs to include definitive versions of new templates - by 31 March 2020 13) Formal sign-off of updated process by Nplaw- by 31 March 2020 14) Further formal training for procurement officers - by 30 April 2020										
Progress update										

Progress update

- 1) Reminder given at team meeting - complete
- 2) Pipeline report frequency now quarterly. Pipeline being discussed with EDs or senior commissioners before each board - complete
- 3) Corporate board has signed off the new approach - complete
- 4) Ongoing as need to consider each procurement on a case by case basis.
- 5) Evaluator guidance was updated immediately. More significant changes have also now been implemented - see 9. Complete.
- 6) Scoring grid was updated as planned. Complete.
- 7) Template provisional award letter has been reviewed and updated. Complete
- 8) Existing reports have been reviewed and new report is being developed. Complete.
- 9) Evaluator guidance updated and in use as standard. Feedback from evaluators is positive. A new mechanism for capturing feedback on tenders is now in use after extensive piloting.
- 10) Scoring grid has now been updated and is in use as standard. - Complete
- 11) Added to senior staff objectives. Reviewed January 2020; no new issues identified beyond those in this risk RM026.

Risk Number	RM027					Date of update		27 February 2020		
Risk Name	Risk of failure of new Human Resources and Finance system implementation									
Portfolio lead	Cllr. Tom FitzPatrick					Risk Owner		Fiona McDiarmid		
Risk Description					Date entered on risk register			16 August 2019		
Risk that there is a significant impact to HR and finance services through potential lack of delivery of the new HR & finance system. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	2	5	10	2	2	4	Sep-21	Green
Tasks to mitigate the risk										
1) Thorough business case to assess Current issues, and solutions available, approved by Cabinet. 2) Third party assurance of plans and timescales 3) Rigorous procurement process - procurement to begin on 31st October 2019. 4) Benefits focus, including senior role with responsibility for benefits realisation 5) Rapid recruitment of programme team to avoid delay 6) Strong governance of time and budget										
Progress update										
1) Cabinet approved the business case in May 2019. 2) On-going visibiility of the plans via Assurance and Compliance Group, also the Corporate Select Committee had attended a workshop on the project implementation plan which had been well received. 3) Procurement started 31st October for the release of the ITT (invitation for tender), which was issued on 29 October (as planned). 4) Eight benefit themes applied to the project from the outset, programme board are responsible for delivering against these benefits. 5) Recruitment for phase one has successfully brought on to the team all required staff; planning for phase two roles ongoing. 6) Governance managed by project board and programme board for project plans and budget. 7) The business case will be revised and scrutinised before any decision to proceed with the procurement is made. Procurement decision delegated by Cabinet to Exec Director S&G in consultation with ED for FCS, the Leader of Cabinet Member for Innovation, Transformation and Performance.										

Risk Number	RM028					Date of update		26 February 2020		
Risk Name	Risk of any failure to monitor and manage health and safety standards of third party providers of services									
Portfolio lead	Cllr. Andrew Proctor					Risk Owner		Fiona McDiarmid		
Risk Description					Date entered on risk register			29 July 2019		
The potential for the Council not proactively monitoring and managing 3rd party providers to ensure the standards of health and safety. There is a risk of prosecution for health and safety failings, reputational damage and a failure to deliver services. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	2	5	10	Mar-21	Green
Tasks to mitigate the risk										
1) HSW team to undertake remote monitoring of high risk areas e.g accomodation providers										
2) Departments to investigate specific concerns raised by the surveys										
3) Departments to review their approach to contract management and implement sustainable improvements in monitoring with the support of Health and Safety Team (HSW)										
Progress update										
1) Monitoring undertaken by HSW Q3 2017/18 Report taken to CLT with findings Q4 2017/18 - actions 2 & 3 agreed at CLT.										
2) Departments have reviewed their approach to contract management and integrated responsibilities into roles in revised structures.										
3) Monitoring is actively in place for a number of services and is due to commence for other services throughout 2020/21. Monitoring of service providers has significantly improved.										

Risk Number	RM029		Date of update		10 March 2020					
Risk Name	NCC may not have the employees (or a sufficient number of employees) with critical skills that will be required for the organisation to operate effectively in the next 2-5 years and longer term									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Fiona McDiarmid					
Risk Description			Date entered on risk register		29 July 2019					
There is a risk that a range of critical new/future skills are not available within NCC in the medium to longer term. The lack of these skills will create problems for, or reduce the effectiveness of service delivery. An inability or failure to consider/identify these until they are needed will not allow sufficient time to develop or recruit these skills. This is exacerbated by: 1.The demographics of the workforce 2.The need for changing skills and behaviours in order to implement new ways of working including specialist professional and technical skills (in particular IT, engineering, change & transformation; analytical; professional best practice etc) associated with the introduction or requirement to undertake new activities and operate or use new technology or systems - the lack of which reduces the effective operation of NCC . 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers. 8. Brexit uncertainty impacting in some sectors Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	5	15	3	5	15	2	5	10	Mar-21	Green
Tasks to mitigate the risk										
<ul style="list-style-type: none">• Identification of what new critical skills are required in services – As each directorate makes their changes to make savings / manage demand• Identification of pathways to enable staff to learn, develop and qualify into shortage areas – As each directorate makes their changes to make savings / manage demand• Challenge ourselves, is there another way this can be delivered?• Explore further integration with other organisations to fill the gaps in our workforce - ongoing• Develop talent pipelines working with schools, colleges and universities• Undertake market rate exercises as appropriate and review employment packages• Explore / develop the use of apprenticeships; this will help grow talent and act as a retention tool• Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements.										
Progress update										

Progress update

We are utilising the apprenticeship levy to focus on critical areas e.g. Social Work, Fire Service Workforce Development Plans in services are in development focusing on areas of critical service delivery. We are also developing an improved approach to workforce planning through accessing regional expertise and support

We have developed key Organisational Development priorities of future and roles of work in NCC, supporting an effective organisation, recruiting for strengths, creating life friendly careers and the deal in service of our people vision. Implementation plans are in development for these areas

We are a Cornerstone Employer, and have a silver award for the Armed Forces Convenance, supporting an inclusive approach to recruitment

We are revising our mandatory training policy to support key skills and knowledge of our workforce Implementation of HR & Finance system will give us capability to improve our workforce planning through real time reporting, improved data and access to talent information

We are developing our branding of NCC to attract people with the future skills we need to continue to be successful and deliver NCCs vision and strategy

We are working with partners to establish joined up recruitment and systems streamlining needs

We have reshaped our core learning and development offer to the organisation through the Norfolk Development Academy and Social Care Academy e.g. digital skills, leadership and management skills

Risk Number	RM030			Date of update		25 February 2020				
Risk Name	Realisation of Children’s Services Transformation change and expected benefits									
Portfolio lead	Cllr. John Fisher				Risk Owner		Sara Tough			
Risk Description				Date entered on risk register			08 August 2019			
There is a risk that Children’s Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	5	20	3	5	15	1	5	5	Mar-23	Amber
Tasks to mitigate the risk										
1) A demand management and prevention strategy and associated business cases have been completed and a 5 year transformation programme has been established covering social care and education 2) Significant investment has been provided to delivery transformation including £12-15 million for demand management and prevention in social care and £120m for capital investment in Specialist Resource Bases and Specialist Schools 3) A single senior transformation lead, operational business leads and a transformation team have been appointed / aligned to direct, oversee and manage the change 4) Scrutiny structures are in place through the Norfolk Futures governance processes to track and monitor the trajectories of the programme benefits, risks and issues 5) Services from corporate departments are aligned to provide support to transformation change e.g. HR, Comms, IT, Finance etc 6) Interdependencies with other enabling transformation programmes e.g. smarter working will be aligned to help maximise realisation of benefits.										
Progress update										

Progress update

- 1) Leads and transformation team in place. Roles involved in transformation will increase and decrease in line with programme demand. Currently increasing our capacity to support projects as part of the SCARF and SEND & AAP transformation programmes.
- 2) SEND transformation workstreams are established, project mandates agreed and the capital programme for the first build is underway. Current profile of £12-15m investment is flat at £2m per year rather than front loaded, though the Council has now agreed additional £5m front-line staffing investment pa from 2020-21.
- 3) SEND consultation stages / work with IMPOWER completed and design stage underway for Specialist Resource Bases (SRBs) and revised Inclusion Model.
- 4) Governance structures and reporting processes in place and being actively used through stocktake meetings and trajectory reports. Transformation Board has refreshed to focus on Benefits Realisation and has cross council representation both Members and Officers.
- 5) High level of engagement from corporate departments. Finance and HR use business partner model to embed expertise directly in department. Resource requirements are being managed in line with demand.
- 6) Business transformation “interlocks” are being used to manage interdependencies between programmes in Children's Service and the Business Transformation Programme. Other change programme are managed as required e.g. the alignment of the roll-out of new mobile devices and apps to enable greater mobile working.

Risk Number		RM031		Date of update		25 February 2020				
Risk Name		NCC Funded Children's Services Overspend								
Portfolio lead		Cllr. John Fisher		Risk Owner		Sara Tough				
Risk Description				Date entered on risk register		01 September 2019				
There is a risk that the NCC Funded Children's Services budget results in a significant overspend that will need to be funded from other parts of Norfolk County Council										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	4	5	20	Dec-20	Amber
Tasks to mitigate the risk										
<p>Improved monitoring systems identified and revised CSLT tier 2, 3 & 4 structure proposed. Transformation programme that is targeting improvement to operating model, ways of working, and placement & sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention & placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs. In turn, this will enable the most expensive areas of NCC funded spend (placement costs and staffing costs) to be well controlled and to remain within budget. Cohorts will be regularly analysed to ensure that all are targeted appropriately.</p> <p>The Functioning Family Therapy service has been launched. Family Group Conferencing is being reintroduced.</p> <p>Recognition of underlying budget pressures within recent NCC budgets and within the MTFs, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.</p>										
Progress update										
<p>Improved monitoring systems in place and becoming embedded: LAC tracker, Permanance Planning Meetings, DCS Quarterly Performance meetings, weekly Getting to Good Meetings and newly established Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by members and CLT.</p> <p>Multiple Transformation projects under-way, including Fostering Recruitment, with further projects in development, including Enhanced Fostering. The new operating model is due to go live from April 2020 and Norfolk has been successful in being awarded DfE funding to introduce the No Wrong Door model in partnership N Yorks. This is a proven model at working with adolescents differently improving outcomes and reducing costs.</p> <p>Children Looked After numbers have now been in steady sustained decline for a 12 month period, which will result in reduced overall placement costs.</p>										

Risk Number	RM032a	Date of update			20 March 2020					
Risk Name	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Tom McCabe					
Risk Description			Date entered on risk register		27 February 2020					
<p>There is a risk of disruption to service delivery if there are widespread cases of COVID-19 in Norfolk affecting the health, safety and wellbeing of Norfolk County Council and contracted partner employees. This could impact on Norfolk County Council financially and reputationally.</p> <p>Cause: Not effectively containing COVID-19.</p> <p>Event: Widespread positive cases of COVID-19 across Norfolk, affecting NCC staff, partners, and service users.</p> <p>Effect: There are potential effects on staff, partner organisations, and service user's health, safety and wellbeing if there is widespread exposure to COVID-19 within Norfolk.</p> <p>Overall risk treatment: Treat</p>										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	5	10	4	5	20	1	5	5	Jun-20	Green
Tasks to mitigate the risk										
<p>1) Coordination of communications to make staff, service users, and contracted third parties aware of the latest guidance from Public Health England to help to contain cases of COVID-19.</p> <p>2) Ensuring staff continue to be provided with information on safe working, particularly for those working in the community.</p> <p>3) Modelling to be carried out to give best estimates on the prevalence of COVID-19 in Norfolk.</p> <p>4) Implementation of Business Continuity Plans.</p> <p>5) Assess the stage that Incident Management arrangements need to be established formally using Gold/Silver structure, and collate feedback from departments on any impact.</p> <p>6) Purchase personal protective equipment (PPE) stock in case of need</p> <p>7) Maintain close contact with third party providers to ensure they have implemented their business continuity plans.</p> <p>8) Assessment of financial impact.</p> <p>9) Further second stage risks in case of failure to contain COVID-19 need to be considered.</p> <p>10) Identifying nuanced implications of school closures and working to ensure that critical services are maintained in light of this.</p>										
Progress update										

Progress update

- 1) Communications have gone out to all staff advising on how to seek further guidance issued by Public Health England. External communications to third parties are being reviewed to ensure that external communications as well as internal communications are consistent.
- 2) Staff continue to receive information on safe working, including the use of personal protective equipment provided.
- 3) Modelling is currently being carried out to provide further understanding of the numbers of expected cases in Norfolk.
- 4) Business Continuity Plans around the Council have been implemented.
- 5) Departmental updates are being fed in to the appropriate forums, in order to gauge impact across the Council.
- 6) Personal protective equipment (PPE) stock has been purchased and whilst supplies are short, this is being distributed on a prioritisation basis. Additional stock is being sourced to meet the likely increased need for PPE amongst those working in the community with patients showing symptoms of COVID-19. This is reflected in the current likelihood score of 4 (probable).
- 7) Third party contracted partners have been contacted to ensure that their Business Continuity Plans have been implemented and that they are supported in this.
- 8) There is financial monitoring of cost on addressing the impact of COVID-19 within departments.
- 9) Further second stage risks in case of failure to contain COVID-19 are now being considered and coordinated through a single risk register to ensure common risks are identified. Longer term risks and risks around recovery need to also be considered.
- 10) The Council is working to understand the nuanced implications of school closures, to ensure that critical services continue to be delivered by the Council and its contracted partners as efficiently as possible.

Risk Number	RM032b					Date of update		17 March 2020		
Risk Name	Effect of COVID-19 on supply chain									
Portfolio lead	Cllr. Andrew Jamieson					Risk Owner		Simon George		
Risk Description					Date entered on risk register			27 February 2020		
There is a risk that projects and services may be disrupted because of factory closures or shipping delays caused by COVID-19.										
Overall risk treatment: Treat										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
3	3	9	3	3	9	3	2	6	Jun-20	Green
Tasks to mitigate the risk										
1) Identify projects and services that are particularly dependent on supplies, particularly from the Far East or where loss of Far East supplies may cause competition for local supplies. 2) Focus on high value and critical projects/supplies to minimise financial impact to the Council. 3) Contract managers to engage with suppliers, undertake impact assessment and develop plans, which may include: (a) maintaining buffer stocks; (b) postponing projects; (c) seeking alternative sources of supply										
Progress update										
1) Projects and services that are particularly dependent on global supplies are being identified. 2) The focus remains on high value and critical projects and supplies to minimise the financial impact on the Council as far as possible. 3) Contract managers are engaging with suppliers, and are undertaking impact assessments and developing plans to ensure resources are directed to where they need to be according to criticality of service delivery.										

Risk Register - Norfolk County Council																						
	Risk Register Name		Adult Social Care Departmental Risk Register																			
	Date updated		February 2020																			
	Next update due		May 2020																			
	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update		
D	Transformation	RM13923	Risk of failing to deliver Promoting Independence, change programme for Adult Social Services in Norfolk	Promoting Independence Change Programme oversees and co-ordinates the linked change and transformation activities required to deliver the strategy. If we fail to deliver the programme this will lead to a failure in developing a sustainable model for adult social care and a failure to deliver a balanced budget	30/04/2011	4	3	12	3	4	12	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Debbie Bartlett	Feb-20		
D	Finance	RM13926	Failure to meet budget savings	If we do not meet our budget savings targets over the next three years it would lead to significant overspends in a number of areas. This would result in significant financial pressures across the Council and mean we do not achieve the expected improvements to our services	30/04/2011	4	5	20	4	5	20	3	5	15	31/03/2022	Red	Cllr. Bill Borrett	James Bullion	Susanne Baldwin	Feb-20		
D	Adult Social Services Department	RM13931	Hospital Discharge If Adult Social Care is unable to arrange assessment and discharge of service users from acute, community and mental health hospitals in compliance with the Care Act timescales, then this will result in poorer outcomes for people delayed in hospital, increased cost to the department in managing higher acuity needs on discharge and adverse relationships with NHS partners.	Failure to ensure compliance within Care Act timescales to support hospital discharge for people in need of social care support, will have the following adverse effect: •People delayed in hospital longer than required will depreciate significantly for each day delayed. This will result in the need to support a higher acuity of care needs at the point of discharge requiring more care than otherwise either in the short term or often longer term. Sourcing larger packages of care/placements then contribute to the delay • People delayed in hospital are increasingly less likely to return to their pre-admission care and accommodation as their needs increase each day delayed in the hospital. This will contribute to an increase in people entering residential type accommodation post discharge, either short or longer term • Managing a higher acuity of needs at the point of discharge will mean a directly attributable increase in purchase of care spend • People delayed in hospital awaiting social care will contribute to poorer performance in the hospital and increase system risk of being able to manage emergency demand and capacity e.g. A&E 4-hour target • Failure to comply within Care Act timescales (Appendix G) will adversely affect Norfolk County Council's reputation at a local and National level with Members, NHS partners and National bodies e.g. DoH&SC and NHSE/I • Increased delayed transfers of care for social care will require reactive responses from operational staff and senior managers creating pressure on other parts of the department by diverting staff resource to support hospital flow and discharge • Increased delayed transfers of care will risk the delivery of innovation and projects benefitting the hospital social care teams as decision making and focus will become very operational and short term or fault incorrectly attributed to those projects e.g. e-Brokerage and Out of Hospital model • Wellbeing of our staff based in and supporting hospital discharge will be adversely affected resulting in increased sickness absence and poor retention.	07/10/2019	3	4	12	4	4	16	2	3	6	31/03/2020	Red	Cllr. Bill Borrett	James Bullion	Nick Pryke	Feb-20		

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Integration	RM13936	NHS long term Plan developments	The N&W STP face significant financial challenge. NCC are part of this context. Officers have to balance supporting the 'bigger picture' whilst ensuring that NCC budgets such as Purchase of Care, are not adversely impacted by initiatives. The social care voice and ethos might be lost.	30/06/2011 - revised 7/10/2019	4	4	16	3	4	12	2	4	8	30/09/2020	Green	Cllr. Bill Borrett	James Bullion	Laura Clear	Feb-20
D	SMT	RM14237	Delivering the requirements of Deprivation of Liberty Safeguards pending the implementation of Liberty Protection Safeguards	If the Local Authority is not meeting its responsibilities around Deprivation of Liberty Safeguards (DoLS) there is a risk that it could lead to a judicial review.	08/05/2015	3	4	12	4	4	16	2	4	8	31/03/2020	Red	Cllr. Bill Borrett	Lorna Bright	Corinne Avery	Feb-20
D	Adult Social Services Department - Commissioning	RM14238	Failure in our responsibilities towards carers.	The failure of Adult Social Services to meet its statutory duties under the Care Act to support carers will result in poorer outcomes for service users, emergency replacement care, costly long-term packages of care and have a negative impact on our reputation.	27/05/2015	4	4	16	3	3	9	1	2	2	31/03/2020	Amber	Cllr. Bill Borrett	Craig Chalmers	Debbie Bartlett	Feb-20

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Adult Social Services Commissioning	RM14247	Failure in the care market.	<p>The Council contracts with independent providers (of care homes, nursing homes, home care, supported living, housing with care and day care) investing just under £300m to around 17,000 vulnerable adults at any one time. Failure in the care market may be defined as the sudden/unplanned loss of any or all of these services by reason of: inadequate quality, lack of financial viability, deficient supply of workforce, provider decision to withdraw from the market or natural disaster, for example. The Council has a duty under the s5 of the Care Act 2014 to meet the needs of people who require assistance from public funds and to secure a diverse and good quality care market for this purpose.</p> <p>If care services fail the consequences may be: compromised safeguarding of vulnerable people, delays in discharge from or additional pressure upon acute services. Reductions in central government funding for Adult Social Care significantly increases the risk of care market failure.</p> <p>Problems in recruiting and retaining nursing and care staff across the market are particularly acute in the west and north of the county but are experienced generally across the county as a whole.</p>	revised 10/10/2019	4	3	12	4	3	12	3	3	9	31/03/2020	Amber	Cllr. Bill Borrett	Gary Heathcote	Lucy Hohnen	Feb-20
D	Adult Social Services Department	RM14261	Staff behaviour and practice changes to deliver the Promoting Independence Strategy	A significant change in staff behaviour and social care practice is required to deliver the Promoting Independence Strategy. Failure to make the culture change needed across the workforce would greatly impact the transformation of the service and its ability to deliver associated budget savings.	25/04/2016	3	5	15	3	4	12	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Paul Wardle	Feb-20
D	Finance	RM14262	The potential risk of shortfall between funding and pressures as integration of health and social care is developed and implemented.	The integrated health and social care agenda has seen pooling of capital and revenue resources through the Better Care Fund and further policy drive to manage the transfer of people with learning disabilities from inpatient settings to community settings. In addition to the potential opportunities for wider resources and skills through collaboration, streamlining services and pathways. There is a risk that system priorities could lead to a negative impact on available resources for delivery of adult social care	16/06/2016	3	5	15	3	5	15	2	4	8	31/03/2020	Amber	Cllr. Bill Borrett	James Bullion	Susanne Baldwin	Feb-20

	Service	Risk number	Risk name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Safeguarding	RM14287	Potential failure to meet the needs and safeguarding of adults in Norfolk.	There is a national risk that Adults Social Service do not provide adequate safeguarding controls.	14/12/2016	2	5	10	2	5	10	2	4	8	31/09/2020	Amber	Cllr. Bill Borrett	Craig Chalmers	Helen Thacker	Feb-20

Risk Register - Norfolk County Council																						
	Risk Register Name		Children's Services Risk Register																			
	Date updated		February 2020																			
	Next update due		May 2020																			
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update		
D	Children's Services	RM14390	Reduction in sufficiency of placement choice due to quality of service providers	Service providers are deemed to be providing inadequate quality care	01/08/2019	5	4	20	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		
D	Children's Services	RM14391	Placement Mix Sufficiency	Current Demand is not meeting available supply, making imbalanced placement mix and driving placement prices up	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		
D	Children's services	RM14392	Overreliance on interim capacity in social worker teams leads to unsustainable performance improvement.	Children and will not be able to develop sustainable and enduring relationships with their workers if we are unable to create a permanent workforce who we retain in Norfolk.	01/09/2019	4	4	16	4	4	16	3	4	12	31/12/2020	Red	Cllr. John Fisher	Phil Watson	Sarah Shirtcliff	30/01/2020		
D	Children's Services	RM14393	Lack of assurance and possible quality of unregulated accomodation	Services to young people living in semi independent accomodation may not meet local requirements thus leading to reputational or financial loss.	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020		

CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Children's Services	RM14394	Insufficient and inappropriate capacity to support emotional and mental health needs of children and young people	Children and young people are unable to access appropriate support to meet their emotional and mental health needs in a timely way leading to escalation of distress, poor experience and potential harm	01/08/2019	4	4	16	4	4	16	3	3	9	01/12/2020	Amber	Cllr. John Fisher	Rebecca Hulme	Tim Eyres	30/01/2020
D	Children's Services	RM14395	Insufficient business infrastructure to support operational delivery model.	Whilst recognising investment in operational services there is a risk to the business infrastructure around these services that means they may not be able to meet the additinal demands to support operational requirements.	01/08/2019	4	4	16	4	4	16	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sara Tough	James Wilson	30/01/2020
D	Children's Services - Education	RM14396	Special Educational Needs & Disability (SEND) & Alternative Provision (AP) Transformation Programme	NCC financial risk linked to not achieving High Needs Block and SEN Transport 5 year recovery plan. Performance risk linked to Education Health & Care Plan (EHCP) assessments not completed within 20 weeks.	01/09/2019	3	3	9	5	3	15	4	3	12	01/08/2020	Red	Cllr. John Fisher	Chris Snudden	Michael Bateman	30/01/2020
D	Children's Services - Education	RM14397	Cost to the budget of home to school transport rises in line with the demographic landscape changes.	The Home to School Transport policy is based on statutory requirements and led by demand. If more pupils are eligible, their geographic location changes, the transport market incurs cost rises or transport is agreed outside policy, then the budget overall is at risk to overspend.	01/07/2019	3	3	9	5	3	15	4	3	12	31/12/2020	Red	Cllr. John Fisher	Chris Snudden	Seb Gasse	30/01/2020
D	Children's Services	RM14398	Inability to progress from Requires Improvement (RI) rating	Cost and reputational impact of further DfE intervention.	01/08/2019	3	4	12	3	4	12	3	4	12	31/12/2020	Amber	Cllr. John Fisher	Sara Tough	Phil Watson	30/01/2020

CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Children's Services	RM14389	Increasing demand on Early Intervention resources	Growing demand to keep children out of statutory intervention and risk of school and social exclusion increases	01/08/2019	5	4	20	4	3	12	2	2	4	31/03/2021	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	31/01/2020
D	Chidren's services	RM14399	Failure to comply with required governance arrangements	There a number of stat. requirements as a LA. E.g. Health and Safety/ Employment/ GDPR/ Comissioning Law/ etc. Failure to comply with these laws would place the LA in considerable risk with internal/ external bodies, and could also result in children and adults coming to harm	01/09/2019	4	3	12	3	3	9	2	3	6	31/03/2021	Green	Cllr. John Fisher	James Wilson	Jenna Lane	30/01/2020
D	Children's Services	RM14400	Lack of appropriate capacity for CYP with complex health needs	Our response to children high level disability needs arising from either autism, learning disability and behaviours that challenge is limited. Our response to the issue of domciliary care to support disabled children and parent carers with the disabled child's personal care needs is severely limited and the market is not able to respond.	01/08/2019	3	3	9	3	3	9	3	3	9	31/09/2020	Amber	Cllr. John Fisher	Sarah Jones	Tim Eyres	30/01/2020
D	Children's Services	RM14401	Dedicated Support Grant Funded Children's Services Overspend	There is a risk that the cumulative deficit on the DSG Funded Children's Services budget increases or is not repaid.	01/09/2019	3	3	9	3	2	6	2	2	4	31/12/2020	Green	Cllr. John Fisher	Chris Snudden	Dawn Filtness	30/01/2020

Risk Register - Norfolk County Council																					
Risk Register Name			Community and Environmental Services Departmental Risks																		
Date updated			February 2020																		
Next update due			May 2020																		
CDGSTP	Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Original Target Date	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
D	Waste Management	RM14405	Dutch Tax on imported waste	Under three contracts that extend to 31 March 2021 some of the residual waste NCC is responsible for each year is exported as a refuse derived fuel (RDF) to treatment facilities in mainland Europe (eg the Netherlands and Germany). On 17 December 2019 the Dutch Government approved introducing a €32 per tonne tax on RDF imports to apply from 01 January 2020 which means that the County Council could be liable for a full pass through of the tax for any RDF treated in the Netherlands.	01/02/2019	3	4	12	31/03/2021	5	5	25	1	4	4	31/03/2021	Red	Cllr. Andy Grant	Joel Hull	Julie Hurn	24/02/2020
D	Community, Information, and Learning	RM14293	The organisation not having the technical capacity and/or skills required to meet the needs of its digital transformation/ technology driven efficiency agenda.	There is a risk of the organisation not having the technical capacity and/or skills required to meet the needs of its digital transformation/ technology driven efficiency agenda.	05/09/2017	5	3	15	31/12/2017	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Tom Fitzpatrick	Ceri Sumner	Michelle Carter	25/02/2020
D	Culture and Heritage	RM14130a	Lack of consistency and delivery of IMT related systems and services for Culture and Heritage Services.	Lack of consistency and delivery of IMT related systems and services could lead to a breakdown to service delivery to the public, loss of credibility, and non-realisation of savings for Culture & Heritage Services.	18/08/2017	3	3	9	31/03/2018	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Margaret Dewsbury	Steve Miller	Steve Miller	27/02/2020
D	Community, Information, and Learning - Community Learning Service	RM14130b	Lack of consistency and delivery of IMT related systems and services for Community, Information and Learning Services.	Lack of consistency and delivery of IMT related systems and services could lead to a breakdown to service delivery to the public, loss of credibility, and non-realisation of savings for Community, Information, and Learning Services.	06/10/2018	3	3	9	31/03/2019	3	3	9	2	3	6	31/03/2021	Amber	Cllr. Margaret Dewsbury	Ceri Sumner	Ceri Sumner	27/02/2020
D	Norfolk Museums Service	RM14381	Failure to successfully deliver the Norwich Castle: Gateway to Medieval England Project within agreed budget, and to agreed timescales.	Failure to successfully deliver the Norwich Castle Gateway to Medieval England project within agreed time and budget would have a number of serious financial and reputational impacts for both Norfolk Museums Service and the JMC partners, especially Norfolk CC and Norwich CC,	29/01/2019	3	3	9	01/04/2021	3	3	9	2	3	6	01/04/2021	Amber	Cllr. Margaret Dewsbury	Steve Miller	Steve Miller	27/02/2020

D	Highways	RM14203	The allocation and level of external funding for flood risk mitigation does not reflect the need or priority of local flood risk within Norfolk	There are approx. 37,000 properties at risk from surface water flooding caused by intense rainfall within Norfolk. This figure will be exacerbated by the predicted effects of climate change and without significant investment in existing drainage infrastructure. Historically DEFRA funding for flood risk management has focused on traditional defence schemes to protect communities from the sea and rivers and not surface water flooding. There is a risk that this funding continues to ignore properties at risk of surface water flooding. The F&W Team have been successful in securing EU funding for community-based flood resilience schemes. This avenue of funding may cease after the UK leaves the EU.	01/05/2019	4	3	12	31/03/2021	4	3	12	3	3	9	31/03/2021	Amber	Cllr. Andy Grant	Grahame Bygrave	Mark Ogden	18/02/2020
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Risk Register Name		Finance and Commercial Services Department Risk Register														Red			
Prepared by		Thomas Osborne														Amber			
Date of review and/or update		February 2020														Green			
Next update due		May 2020														Met			
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14246	Withdrawal of Grant Funding from Central Government and the European Union.	There is a risk that grant funding from central government could be withdrawn if conditions are not met by Norfolk County Council within the timescales set. Given the outcome of the EU Referendum, there is also uncertainty around European funding going forward, which should also be considered. Relacement grants following departure from the E.U. need to be considered as well as "run-off" of existing grants e.g. for the France Channel England programme. Cause: Conditions set out by central government / the European Union are changed / tightened. Event: Conditions set out by central government are not met within the timescale set. Grants are withdrawn. Effect: There is less money provided from central government and the European Union to spend on service provision.	18/11/2015	3	4	12	3	3	9	1	3	3	31/03/2021	Amber	Cllr. Andrew Jamieson	Simon George	Harvey Bullen	10/03/2020

Risk Register Name		Finance and Commercial Services Department Risk Register														Red			
Prepared by		Thomas Osborne														Amber			
Date of review and/or update		February 2020														Green			
Next update due		May 2020														Met			
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14255	Fulfilling Section 151 Responsibilities	There is a risk that Section 151 responsibilities are not fulfilled. These include; 1) Financial systems ie. Oracle are not functioning correctly. 2) The skills and resilience to support Section 151 responsibilities not being in place. Cause: Statutory financial obligations are not met. Event: Failure to deliver statutory responsibilities such as setting a legal budget; producing the statement of accounts; complying with government reporting requirements; providing appropriate financial advice to Councillors. Effect: Financial losses arise and/or the Council has a poor reputational standing. In extreme circumstances, the Government can intervene and direct how the Council's finances are managed.	29/02/2016	2	5	10	1	5	5	1	5	5	31/03/2020	Green	Cllr. Andrew Proctor	Simon George	Harvey Bullen	10/03/2020
Finance and Commercial Services	RM14402	Risk of not building the number of anticipated homes over the next three years	Cause: Any delays and / or restrictions to development of NCC owned land for housing. Event: Fewer houses built on NCC owned sites. Effect: Smaller income stream generated to invest back into NCC Services.		3	2	6	3	2	6	2	2	4	31/03/2022	Green	Cllr. Greg Peck	Simon George	Simon Hughes	10/03/2020

Risk Register Name		Finance and Commercial Services Department Risk Register														Red			
Prepared by		Thomas Osborne														Amber			
Date of review and/or update		February 2020														Green			
Next update due		May 2020														Met			
Area	Risk Number	Risk Name	Risk Description	Date entered on risk register	Original Likelihood	Original Impact	Original Risk Score	Current Likelihood	Current Impact	Current Risk Score	Target Likelihood	Target Impact	Target Risk Score	Target Date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk Owner	Reviewed and/or updated by	Date of review and/or update
Finance and Commercial Services	RM14404	Income collection for the use of buildings and premises	There is a risk that income due is not received or accounted for correctly due to inadequate policies and guidance or these not being followed. Cause: Lack of or inadequate guidance and policies for income collection being in place / followed. Event: Damages to property or harm to staff/general public caused by inappropriate use by third party. Secure business tenancies are unintentionally created. Effect: Higher future insurance premiums, premises unavailable during repair, leading to loss of income. Whilst the monetary value of this risk is less than £100k, it remains a risk until the corporate guidelines are developed and promoted with expectations set of services hiring out premises.		2	1	2	2	1	2	1	1	1	31/03/2020	Green	Cllr. Greg Peck	Simon George	Simon Hughes	10/03/2020
Finance and Commercial Services	RM14408	Unanticipated Market Intervention	There is a risk of unanticipated intervention by Norfolk County Council in a local market. Cause: Insolvency of a trust or other organization operating within a local market supplying a community service to Norfolk citizens. Event: The trust or other organization becomes insolvent and is unable to provide the community service to Norfolk Citizens. Effect: Norfolk County Council invests resources (e.g. staff and monetary resource) to intervene in the market to help regulate and continue the community service.	18/02/2020	2	3	2	2	3	2	1	3	3	30/09/2020	Green	Cllr. Andrew Proctor	Simon George	Harvey Bullen	10/03/2020

Strategy and Governance Department Risk Register

Last Updated: March 2020
Next Update Due: June 2020

C/D/ S/G/ T/P	Area	Ref	Risk name	Risk Description	Date Entered	Original Likelihood	Original Impact	Original Risk score	Current Likelihood	Current Impact	Current Risk score	Target Likelihood	Target Impact	Target Risk score	Target date	Prospects of meeting Target Risk Score by Target Date	Portfolio Lead	Risk owner	Reviewed and/or updated by	Date of review
D	NCC-wide	SG-S02	Failure to embed meaningful and manageable performance system	Failure to report on performance of outcomes for the 6 year business plan - enlarge to make it wider	14/08/2018	5	3	15	3	3	9	2	3	6	Jul-20	Green	Cllr. Andrew Proctor	Fiona McDiarmid	Diana Dixon	10/03/2020
D	Strategy Service	SG-S03	Failure to meet income targets/cover operating costs	S&G income generation fails to meet cover operating costs or meet surplus targets (Registrars & nplaw)	24/06/2019	4	4	16	3	4	12	2	3	6	31/03/2021	Amber	Cllr. Andrew Jamieson	Helen Edwards	Diana Dixon	12/03/2020
D	HR	SG-S06	Workforce and Succession Planning This risk is now being managed corporately on the corporate risk register as risk RM029, given the wider remit than the Strategy and Governance department.	NCC risks not having workforce plans in place to ensure that it has the right number of people with the right skills, in the right place at the right time to deliver short and long term organisational objectives. This is exacerbated by: 1.The demographics of the workforce 2.The need for changing skills and behaviours in order to implement new ways of working 3.NCC's new delivery model, including greater reliance on other employers/sectors to deliver services on our behalf 4.Significant changes in social trends and attitudes, such as the use of new technology and attitudes to the public sector, which may impact upon our 'employer brand' and therefore recruitment and retention 5.Skills shortages in key areas including social work and teaching 6.Improvements to the UK and local economy which may impact upon the Council's ability to recruit and retain staff. 7.Government policy (for example exit payment proposals) and changes to the Council's redundancy compensation policy, which could impact upon retention, particularly of those at more senior levels and/or older workers.	08/05/2019	4	5	20	3	5	15	2	5	10	31/03/2021	Green	Cllr. Andrew Proctor	Sarah Shirtcliff	Human Resources Leadership Team	12/03/2020

Report to Cabinet

Item No. 11

Report title	Finance Monitoring Report 2019-20 P11: February 2020
Date of meeting	6 April 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

This report gives a summary of the forecast financial position for the 2019-20 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2020, together with related financial information.

Executive Summary

Subject to mitigating actions, the forecast revenue outturn for 2019-20 at the end of period 11 (February) was an overspend of **£1.375m** on a net budget of £409.293m.

This was before the serious financial impact resulting from actions take to reduce the impact of the Covid-19 virus had become apparent. The final outturn position will depend on the costs and associated government support relating to additional costs incurred in March.

General Balances are £19.6m and service reserves and provisions are forecast to total **£76.4m**.

Recommendations

1. Recommend to County Council an addition to the capital programme to fund a Records Management Digitisation Facility at Scottow, £0.450m to be spent 2020-21 and 2021-22, as set out in capital appendix 2, paragraph 4.1.
2. Recommend to County Council an addition of £0.436m to the capital programme accommodation rationalisation scheme, to reflect the purchase price of Priory Nursery, Great Yarmouth as set out in capital appendix 2, paragraph 4.2.
3. Note the period 11 forecast general fund revenue overspend of **£1.375m** noting also that Executive Directors will take measures to reduce or eliminate potential over-spends;
4. Note the period 11 forecast shortfall in savings of £5.398m, noting also that

Executive Directors will take measures to mitigate savings shortfalls through alternative savings or underspends;

5. Note the forecast General Balances at 31 March 2020 of £19.623m, before taking into account any over/under spends;
6. Note the expenditure and funding of the revised current and future 2019-22 capital programmes, including new schemes approved as part of the 2020-2023 capital budget.

1. Background and Purpose

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2019-20, to assist members to maintain an overview of the overall financial position of the Council.

2. Proposals

- 2.1. Having set revenue and capital budgets at the start of the financial year, the Council needs to ensure service delivery within allocated and available resources, which in turn underpins the financial stability of the Council. Consequently, progress is 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, if applicable, the Council is anticipating financial pressures not forecast at the time of budget setting, together with a number of other key financial measures.
- 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.
- 3.2 The need for a digitisation facility has increased as the need for digitisation of incoming post has increased in light of the UK wide actions being taken to slow down the progress of the Covid-19 virus.
- 3.3 Having a dedicated building owned by Norfolk County Council in Great Yarmouth will secure the provision of childcare places on the Priory Nursery site. The property will be leased to NCC Nurseries Limited.

4. Evidence and Reasons for Decision

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

Appendix 1 summarises the revenue outturn position, including:

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

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 2019-20 at the end of P11 was an overspend of **£1.375m** (P10 £1.375m) linked to a forecast shortfall in savings of **£5.398m**. Forecast reserves and provisions amount to **£76.4m**, and general balances **£19.6m**.

Within the forecast overspend are significant financial pressures identified in Children's Services and Adult Social Services, partly balanced by underspends in other areas, primarily Finance General.

The Children's Services net overspend is due mainly to high and increasing levels and complexity of need across placement and support budgets, including children looked after, young people leaving care and children at risk of harm, and transport costs. Transport costs of home to school transport, particularly Special Educational Needs, Disabilities and Alternative Provision (SEND & AP) transport, are under significant pressure due to the unit cost of provision. Within Adults, there are pressures on Purchase of Care budgets, mainly related to Older People and Mental Health services. A full narrative is given in Appendix 1

The Council's capital programme is based on schemes approved by County Council on 12 February 2019, as well as previously approved schemes brought forward plus schemes subsequently approved during the year. The programme has been updated to reflect County Council approval of new capital schemes on 17 February 2020.

The proposals in this report will add £0.886m to the capital programme, to be funded by prudential borrowing. Borrowing costs will be off-set from the savings which will result from improving records storage at Scottow, and from the Priory Nursery lease rental income.

7. Resource Implications

- 7.1. The additional capital funding will allow the further development of the Scottow site, and provide funding for the acquisition of the Priory Nursery site. Otherwise, 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 2019-20 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published as "Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)".

The Council's net 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.

Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. Chief Officers have taken measures throughout the year to reduce or eliminate potential over-spends.

10. Select Committee comments

- 10.1. None

11. Recommendation

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

12. Background Papers

- 12.1. Joint Cabinet Member Decision Report – Acquisition of Priory Nursery, Priory Gardens, Great Yarmouth, NR30 1NW

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.

Norfolk County Council Finance Monitoring Report 2019-20

Appendix 1: 2019-20 Revenue Finance Monitoring Report Month 11

Report by the Executive Director of Finance and Commercial Services

1 Introduction

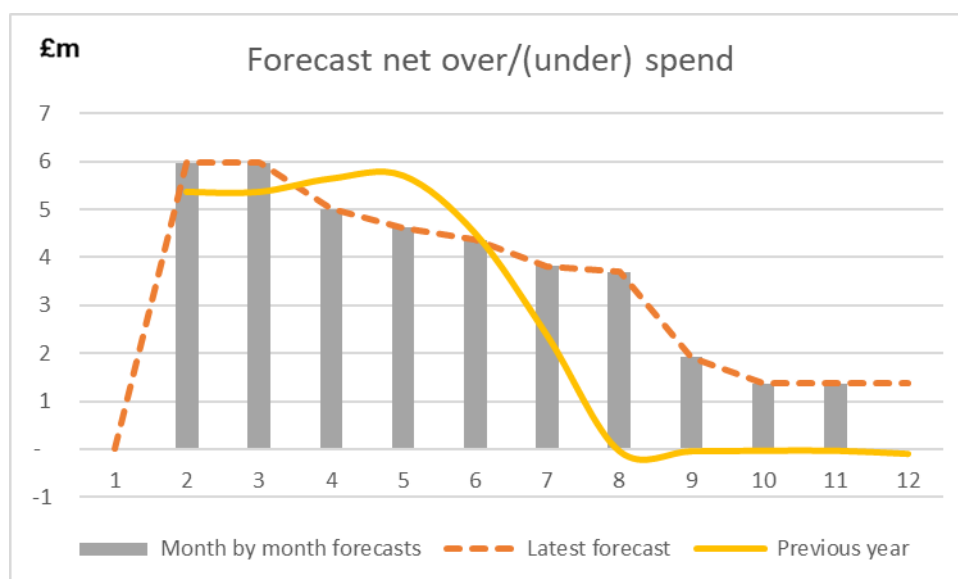
1.1 This report gives details of:

- the P11 monitoring position for the 2019-20 Revenue Budget
- forecast General Balances and Reserves at 31 March 2020 and
- other key information relating to the overall financial position of the Council.

2 Revenue outturn – over/underspends

2.1 **At the end of February 2020** an **overspend of £1.375m** was forecast on a net budget of £409.293m.

Chart 1: forecast /actual revenue outturn 2019-20, month by month trend:



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

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

Table 1: 2019-20 forecast (under)/over spends by service

Service	Revised Budget	Net (under)/over spend	%	RAG
	£m	£m		
Adult Social Services	241.568	2.186	0.9%	A
Children's Services	180.033	13.700	7.6%	R
Community and Environmental Services	157.972	-0.346	-0.2%	G
Strategy and Governance	8.747	-0.057	-0.7%	G
Finance and Commercial Services	30.080	-0.085	-0.3%	G
Finance General	-209.107	-14.023	6.7%	G
Totals	409.293	1.375	0.3%	G

Notes:

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

- 2.4 **Children's Services:** Existing commitments within NCC Funded Children's Services have resulted in significant pressures during 2019-20 particularly within placements and support for children looked after, young people leaving care, as well as support and intervention around families to enable children and young people to stay safe at home, including staff costs where they are the intervention as well as third party support.
- 2.5 The service pressures have been long identified by the department, including front line social care staffing pressures where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need. The impact of these pressures continues to be reviewed and are being addressed through a sustained multi-year programme of transformation.
- 2.6 Additionally, market conditions this financial year have resulted in a significant, unexpected unit cost increase for home to school transport, particularly for children and young people with Special Educational Needs, Disabilities and Alternative Provision (SEND & AP).
- 2.7 Further details relating to the Children's Services position are included in Revenue Annex 1.
- 2.8 **Dedicated Schools Grant:** A review of the financial year's commitments for each of the blocks of the Dedicated Schools Grant (DSG) have highlighted pressures within the High Needs Block. The pressures for the High Needs Block were anticipated and built into the plan shared with the Secretary of State when the application to move funds from the Schools Block to the High Needs Block for 2019-20 was agreed.

- 2.9 The DfE recently issued a consultation upon the grant conditions of the DSG that could have implications upon the planned contributions from NCC General Fund to the DSG. As a result, the budgeted £2m contribution from NCC General Fund in 2019-20 was removed from the DSG forecast. The ongoing impact of these revised grant conditions will be considered as part of the Council's strategic budget planning.
- 2.10 The current outturn forecast indicates an overall overspend on the DSG in the region of £7.9m. This in-year overspend will be combined with the cumulative overspend of £10.887m brought forward from prior years.
- 2.11 Significant work is being undertaken through the Special Educational Needs and Disabilities (SEND) and Alternative Provision (AP) part of the Transformation programme both to ensure that the right specialist provision is in the right place to meet needs, whilst also progressing work to transform how the whole system supports additional needs within mainstream provision.
- 2.12 The Council submitted its DSG recovery plan to the DfE at the end of June and are awaiting a meeting with the DfE to explore this plan further. The Council also submitted a response to the DfE's call for evidence at the end of July.
- 2.13 There are new arrangements for handling overspends with effect from the end of the 2019 to 2020 financial year, as a result of changes to The School and Early Years Finance (England) Regulations 2020 which came into force in February 2020. The practical impact of these statutory provisions will be that a local authority with a DSG deficit from the previous year must carry the whole of the deficit forward to be dealt with in the schools budget for the next or following financial year, deducting it from the money available for that financial year. This will make it entirely clear on a statutory basis that a deficit must be carried forward to be dealt with from future DSG income.
- 2.14 CIPFA, MHCLG and the DfE are working on issuing guidance about the changes, including statutory accounting implications. The DfE will remain in contact with those LAs who have significant DSG deficits in order to offer advice and help on their future handling
- 2.15 **Adult Social Services:** The forecast outturn as at Period 11 (end of February 2020) was an overspend of £2.186m. The main area of overspend is on Older People and Mental Health services within the Purchase of Care budget, which relates to direct provision of care services. This is largely due to the underlying position, which in 2018-19 was mitigated through the use of £4.2m of winter pressures funding and expected shortfall in delivery of demand management savings in this financial year.
- 2.16 Despite a year on year reduction in the number of packages of care and the net spend, the number of packages of care that are currently being delivered to service users exceed those budgeted for to achieve savings. Work is ongoing to manage this and identify actions to reduce the pressure. The senior management team is directly overseeing a recovery plan, focused

primarily on purchase of care costs that could be influenced during the year. The overspend is lessened by additional recharges from the NHS for specific cases to cover health related costs.

- 2.17 The serious financial consequence resulting from actions take to reduce the impact of the Covid-19 virus was not apparent at the time of the P11 forecast. The final outturn position will depend on the costs and associated government support relating to additional costs being incurred in March.
- 2.18 **CES:** Community and Environmental Services are currently forecasting an underspend of £0.346m for 2019-20, with forecast underspends around staff vacancies and forecast additional income within Highways. However, the department is managing a number of issues:
- 2.19 Residual Waste - A risk is emerging in relation to potential additional costs within the council's residual waste budgets which relates to the implementation of import taxes on Refuse Derived Fuel (RDF) in the Netherlands from January 2020. The impact will be subject to contractors' decisions about export RDF material. Overall waste volumes for 2019-20 are currently forecast to be lower than anticipated, therefore any additional cost as a result of the new tax will be absorbed within the overall waste budget.
- 2.20 Fire Service – We anticipated there would be continuing cost pressures within 2019-20 and proposed to manage these through budget control of other areas, where possible, and a planned use of reserves. The longer-term impacts of managing these issues being picked up through the 2020-21 budget planning cycle and the development of the 2020 IRMP (integrated Risk Management Plan).
- 2.21 Following the outcomes of the HMICFRS (Her Majesty's Inspectorate of Constabulary, Fire and Rescue Services) inspection, and the subsequent improvement plan that has been developed, we have had the opportunity to work up in more detail the estimated additional costs of the various activities.
- 2.22 The additional pressure arises from the delivery of the Improvement plan and the need to ensure appropriate capacity/resources in place to deliver this. For 2019-20 this is likely to be an additional £0.201m. Where possible we will manage this within the wider CES departmental budget and we will continue to look at opportunities to offset this with further budget control within the service.
- 2.23 Museums Services – based on the latest information and updated forecasts we are projecting a deficit for 2019-20 of £0.155m. This is subject to several factors which are difficult to estimate, and the Museums Service will be working hard to mitigate the immediate impact on earned income through a new programme of exhibitions and additional events, including those relating to the acquisition of Walton Bridges by JMW Turner. This is partially offset by small underspends elsewhere within the services.
- 2.24 **Corporate services:** The Strategy and Governance directorate is forecasting a modest underspend at this early stage of the year, with Finance and

Commercial Services forecasting a small underspend due to vacancy management.

- 2.25 **Finance General:** The forecast underspend in Finance General is unchanged. The net impact of revised business rates projections, insurance fund assumptions, flexible use £3.0m of capital receipts to support transformation costs, along with revised redundancy costs, a dividend relating to the sale of shares in Norwich Airport, interest receivable and interest payable assumptions have resulted in a forecast underspend of £14.023m. The assumed use of capital receipts is subject to the completion of the sale of land to Repton Property Developments.

3 Agreed budget, changes and variations

- 3.1 The 2019-20 budget was agreed by Council on 11 February 2019 and is summarised by service in the Council's Budget Book 2019-22 (page 21) as follows:

Table 2: 2019-20 original and revised net budget by service

Service	Approved net base budget	Revised budget P10	Revised budget P11
	£m	£m	£m
Adult Social Services	247.606	241.568	241.569
Children's Services	211.667	180.033	180.014
Community and Environmental Services	160.712	157.972	157.899
Strategy and Governance	8.657	8.747	8.747
Finance and Commercial Services	26.395	30.080	30.083
Finance General	-245.744	-209.107	-209.019
Total	409.293	409.293	409.293

Note: this table may contain rounding differences.

- 3.2 During period 11, there were a number of minor budget adjustments, the largest being an accounting adjustment to reflect changes to the landfill provision required for closed landfill sites. This cost neutral adjustments was made for statutory accounting purposes, and none of the movements have affected the general fund or the ability of services to spend.
- 3.3 The Council's overall net budget for 2019-20 has remained unchanged.

4 General balances and reserves

General balances

- 4.1 On 11 February 2019 Council agreed the recommendation from the Executive Director of Finance and Commercial Services for a minimum level of General Balances of £19.536m through 2019-20. The balance at 1 April 2019 was £19.623m. The forecast for 31 March 2020 is unchanged at £19.623m, before any over or underspends

Reserves and provisions 2019-20

- 4.2 The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2019. Actual balances at the end of March 2019 were higher than planned, mainly as a result of grants being carried forward, and reserves use being deferred.
- 4.3 The 2019-20 budget was approved on the basis of a forecast reduction in earmarked revenue reserves and provisions (including schools reserves but excluding LMS and DSG reserves) from £85.6m to £61.3m, a net use of £24.5m.

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

Reserves and provisions by service	Budget book forecast balances 1 April 2019	Actual balances 1 April 2019	Increase in opening balances after budget setting	2019-20 Budget book forecast March 2020	Latest forecast balances 31 March 2020
	£m	£m	£m	£m	£m
Adult Social Services	27.463	32.101	4.638	13.619	16.081
Children's Services (inc schools, excl LMS/DSG)	6.521	8.184	1.663	1.568	1.962
Community and Environmental Services	34.030	37.992	3.962	29.935	39.596
Strategy and Governance	1.809	2.680	0.871	1.422	2.664
Finance & Commercial Services	1.746	3.147	1.401	1.510	3.148
Finance General	14.247	17.429	3.182	13.215	12.978
Reserves and provisions excluding LMS and DSG balances (see below)	85.816	101.533	15.717	61.269	76.429

- 4.4 Forecast overall provisions and reserves (excluding capital, DSG and LMS reserves) at 31 March 2020 are approximately £15m in excess of 2019-20 budget book assumptions. This is due primarily to the increases in reserves, including unspent grants and contributions, brought forward after budget setting.
- 4.5 In addition to the service reserves above, the Council also holds LMS reserves, forecast to be £12.0m at 31 March 2020, and a negative DSG reserve forecast to be £18.4m.

4.6 Provisions included in the table above

The table above includes provisions of £28m comprising £9m insurance provision, £12m landfill provision (this provision is not cash backed), £6m provisions for bad debts, and a small number of payroll related provisions.

5 Budget savings 2019-20 summary

- 5.1 In setting its 2019-20 Budget, the County Council agreed net savings of £31.605m. Details of all budgeted savings can be found in the 2019-20 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 5.2 The latest monitoring reflects total forecast savings **delivery of £26.207m** and a **total shortfall of £5.398m** forecast at year end.
- 5.3 The RAG status and forecast savings delivery is anticipated as shown in the table below:

Table 4: Analysis of 2019-20 savings forecast and RAG status

RAG status and definition	Adult Social Care	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
Savings shortfall	-5.066	-0.332	0.000	0.000	0.000	0.000	-5.398
Red Significant concern saving may not be delivered, or there may be a large variance (50% and above).	-0.583	0.000	0.000	0.000	0.000	0.000	-0.583
Amber Some concern saving may not be delivered or there may be some variance (up to 50%).	-6.000	-0.168	0.000	0.000	0.000	0.000	-6.168
Green Confident saving will be delivered (100% forecast).	-6.245	-6.322	-3.891	-0.931	-0.945	-1.122	-19.456
Total forecast delivery	-12.828	-6.490	-3.891	-0.931	-0.945	-1.122	-26.207
Total budget savings	-17.894	-6.822	-3.891	-0.931	-0.945	-1.122	-31.605

Commentary on savings shortfalls

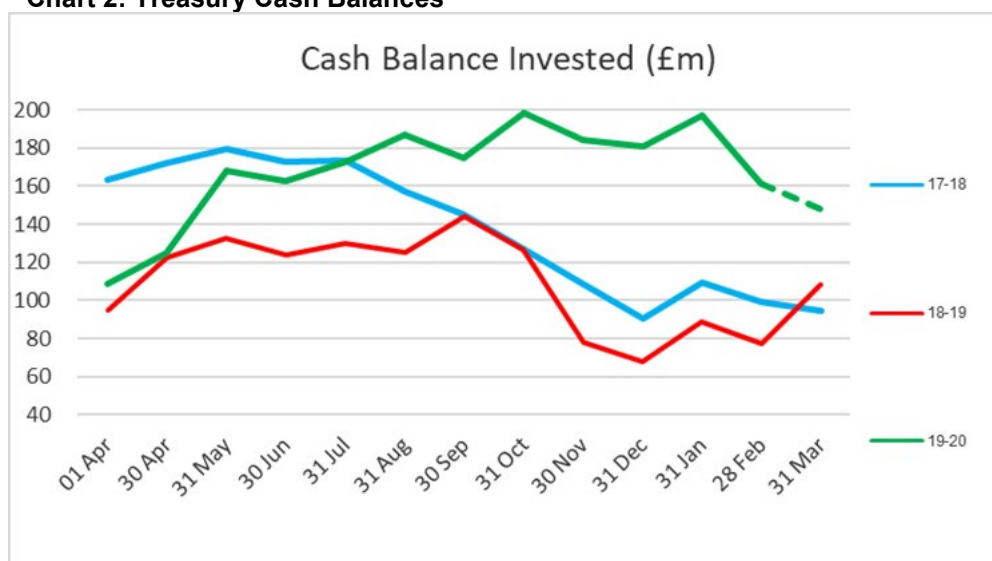
5.4 Six savings have been rated as RED, and two rated as AMBER, where partial delivery of savings is forecast. This equates to an overall forecast savings shortfall of £5.398m (17% of total budgeted savings).

5.5 The overall savings shortfall forecast is unchanged since period 10.

6 Treasury management summary

6.1 The corporate treasury management function ensures the efficient management of all the authority's cash balances. The graph below shows the level of cash balances over the last three years, to March 2020.

Chart 2: Treasury Cash Balances



6.2 The forecast closing balance of approximately £150m is higher than closing balances in March 2018 and 2019 due partly to borrowing undertaken, and the higher than expected capital grants received and likely to be carried forward into 2020-21.

6.3 The balances in the graph above include the total of £87.1m borrowed in the year to date. This is £7.1m more than originally forecast, and includes £17.1m borrowed at a favourable “infrastructure rate” of 1.7% in November. No further borrowing is anticipated in 2019-20.

6.4 In the short term, new borrowing effectively replacing cash balances which have been used on a temporary basis to fund capital expenditure, which avoids the cost of ‘carrying’ unnecessary debt. Since 9 October 2019 an additional 1% has been added to PWLB (Public Works Loans Board) borrowing rates, excluding certain infrastructure loans. The impact of this increase may change following a Treasury consultation on PWLB future lending terms.

6.5 PWLB and commercial borrowing for capital purposes was £705.6m at the end of February 2020. Associated annual interest payable is £28.997m.

Revenue Annex 1

Forecast revenue outturn

Revenue outturn by service

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

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	241.568	2.186	0.9%	243.754
Children's Services	180.033	13.700	7.6%	193.733
Community and Environmental Services	157.972	-0.346	-0.2%	157.626
Strategy and Governance	8.747	-0.057	-0.7%	8.690
Finance and Commercial Services	30.080	-0.085	-0.3%	29.995
Finance General	-209.107	-14.023	6.7%	-223.13
Forecast outturn this period	409.293	1.375	0.3%	410.668
Prior period forecast	409.293	1.375	0.3%	410.668

Reconciliation between current and previously reported underspend

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

	£m
Forecast overspend brought forward	1.375
Movements February 2020	
Adult Social Services	-
Children's Services	-
Community and Environmental Services	-
Strategy and Governance	-
Finance and Commercial Services	-
Finance General	-
Outturn over/(under) spend	1.375

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
Business Development		-0.177	
Commissioned Services	0.871		
Early Help & Prevention		-0.821	
Services to Users (net)	1.585		
Management, Finance & HR	0.728		
Forecast over / (under) spends	3.184	-0.998	
Net total	2.186		
Children's Services	Over spend	Under spend	Changes
	£m	£m	£m
Social Care including placements	11.600		
Education Services including Home to School Transport	5.100		
Early Help, Prevention & Commissioning	0.800		
Performance, Challenge & Quality	0.200		
Re-allocation of budget provision for High Needs Block due to proposed change in DSG grant conditions		-2.000	
Schools capital funded by borrowing		-2.000	
Forecast over / (under) spends	17.700	- 4.000	
Net total	13.700		
<i>Dedicated schools grant</i>			
Post 16 Further Education High Needs Provision	1.000		
Independent special school places	6.000		
Maintained special schools		-0.300	
Alternative provision	0.700		
Short Stay School for Norfolk	1.000		
Personal Budgets	0.400		
Specialist Resource Bases		-0.200	
Inter-authority recoupment		-0.200	
Other	0.600		0.400
Schools block		-1.100	
Increase in net deficit to be carried forward		-7.900	-0.400
Forecast over / (under) spend	9.700	-9.700	-
Net total		-	

Community and Environmental Services	Over spend	Under spend	Changes
	£m	£m	£m
Culture & Heritage	0.136		
Support & Development		-0.065	
Economic Development	0.049		
Highways & Waste		-0.488	
Community Information & Learning	0.005		
Public Health		-0.184	
Fire Service	0.201		
Provision for CES departmental risks			
Forecast over / (under) spend	0.391	-0.737	
Net total		-0.346	

Strategy, Finance and Finance General	Over spend	Under spend	Changes
	£m	£m	£m
Strategy and Governance			
Communications		-0.055	
Democratic Services		-0.002	
Forecast over / (under) spend	-	-0.057	
		-0.057	
Finance and Commercial Services			
Vacancy management		-0.085	
Forecast over / (under) spend		-0.085	
Finance General (see below for narrative)			
Net impact of business rates income projections		-2.700	
Business rates payments		-0.080	
Extended rights to free travel grant		-0.268	
Legislator dividend		-0.500	
Insurance fund		-1.000	
Interest on balances		-0.650	
Interest on LIF loans		-0.800	
Lower than anticipated costs of redundancy / use of organisational review reserves		-1.500	
Additional use of capital receipts to repay debt		-3.525	
Use of capital receipts to support transformation costs (amount over £2m subject to County Council approval)		-3.000	
Forecast over / (under) spend		-14.023	
Net total		-14.023	

Revenue Annex 1 continued

Children's Services Commentary

Existing commitments within NCC Funded Children's Services have resulted in significant pressures during 2019-20 particularly within placements and support for children looked after, young people leaving care, as well as support and intervention around families to enable children and young people to stay safe at home, including staff costs where they are the intervention as well as third party support, and home to school transport for children and young people with high special educational needs.

The service pressures have been long identified by the department. These are being addressed through a sustained multi-year programme of transformation. The primary reasons for the pressures are:

- that the level of pressure rose during the latter part of 2018-19 beyond that which was covered by the additional growth monies allocated, resulting in additional pressures for 2019-20 particularly because of the full year effect of what was seen in quarter 4 of last year;
- that the savings to be achieved through transformation during 2019-20 have begun to impact with the expected impact anticipated already in the outturn forecast. The various initiatives aimed at reducing the number of children in care and changing the placement mix continue to be profiled to impact in phases throughout 2019-20;
- front line social care staffing pressures, where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need to allow for increased levels of intervention earlier to reduce escalation of need and to prevent and reduce placement spend;
- the increased duties in relation to supporting young people leaving care that were not fully funded by new burdens funding and that are having an increasing impact as the eligible cohort age and the complexity of need of those leaving care increase;
- the current commitments currently show more children with higher costs than we anticipated having when the budget was set, with the transformation expected to impact later in the year.

During this financial year, there has been a significant, unexpected unit cost increase due to very challenging market conditions outside of the County Council's control and not anticipated when the budget was set for Home to School transport for children with Special Educational Needs and Disabilities (SEND) and in receipt of Alternative Provision (AP), resulting in a forecast overspend of £4.0m. The rurality of Norfolk means that pupils often have to travel significant distance to attend a school that meets their educational needs and it is not always viable for journeys to be shared. The £120m capital SEND transformation programme will ensure that children are able to attend a school place closer to their home, which in turn will reduce down the spend on SEND transport in future years as this provision comes on board.

In relation to the financial costs for children looked after, there have been significant, positive trends since the beginning of the year that will continue to reduce the

pressure over time and have mitigated further increase in placement pressures. As a result of the positive impact of the Transformation Programme through effective earlier intervention, the number of children in care has reduced from a high of 1227 in January 2019 to 1114 at the end of January (of which 73 were unaccompanied asylum-seeking children). Significant focus is now being employed to ensure that children are able and supported to leave care as soon as it is safe for them to do so. We would expect this to result in an increase in the number of children ceasing care as well as reducing the average length of time that a child is in care for.

As well as enabling a reduction in the number of children looked after, Children's Services are already seeing a good level of success in relation to one of the key changes targeted in our placement mix with the increased in-house fostering provision and reduction in the independent fostering performing better than anticipated, with savings estimated for 2019-20 at £1.5m. A large proportion of cost is driven by residential placement numbers, these have remained stable since the start of the year. Key to bringing down the overall pressure will be the level of success we have in moving away from this provision in the medium term. Our new semi-independent provision is currently forecast to deliver approximately £0.6m savings in 2019-20, and the enhanced fostering service has recently begun

This forecast includes significant assumptions with respect to the anticipated impact of the transformation programme as it continues to evolve and as changes are embedded in business as usual. Review of children looked after placements costs over the most recent months shows a reducing trend in the monthly spend that supports the expectation that the transformation impact would begin to take effect as the year progressed. Ongoing review is required to inform future forecasts, alongside reviewing the accuracy of predictions both in relation to growth and savings. This will allow more specific forecasting and a clearer picture of where the year-end position will be. The department is already taking a number of actions to enable this clarity to be gained and to keep a careful track of progress, alongside colleagues within support services.

Since the previous report to Cabinet, the service has identified small adjustments to forecasts across a range of services. As the financial year-end approaches, the expected final outturn position becomes clearer as risks either crystallise or dissipate.

To partially mitigate previously identified pressures, Children's Services plan to capitalise £2m of equipment spend and revenue contributions to capital expenditure by schools in line with the approach utilised in 2018-19 alongside utilising £2m that had been budgeted as a contribution from the NCC General Fund to support the DSG High Needs pressure that is no longer required following a recent revised DfE guidance in relation to 2019-20 DSG grant conditions. Taking these mitigating actions into account, the projected overspend at period 11 for NCC Funded Children's Services remained at £13.7m.

Work was undertaken to understand the potential impact of the pressures seen in 2019-20 upon future years, in particular 2020-21, as part of the Council's revenue budget planning work. These assumptions, that were based upon the best information available at the time, were built into the Council's revenue budget which was approved by County Council on 17 February 2020.

Finance General forecast over and underspends

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

Net impact of business rates income projections (underspend £2.700m)

This forecast underspend relates to the net impact of revised business rates projections from district councils, received after the Council set its 2019-20 budget.

Business rates payments forecasts (underspend £0.080m)

Impact of revised forecast of business rates payments across the Council's property estate.

Extended rights to free travel grant (underspend £0.268m)

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

Legislator dividend (underspend £0.500m)

This forecast underspend is the result of a dividend anticipated from Legislator 1656 Limited following a sale of the company's shares in Norwich Airport.

Insurance fund (underspend £1.000m)

This forecast underspend is the result of a forecast over-provision in the light of recent insurance fund valuations.

Interest on balances (forecast underspend £0.650m)

The 2019-20 interest payable/receivable budget was prepared on the basis of a number of assumptions including cash flows, interest rates and the extent of actual borrowing. The cost and timing of borrowing has resulted in a forecast underspend.

Interest on LIF loans (underspend £0.800m)

This forecast underspend is an estimate of interest which will be accrued during 2019-20 on Local Infrastructure Fund loans made to developers to accelerate the construction of new homes in Norfolk.

Lower than anticipated costs of redundancy (forecast underspend £1.500m)

Based on the latest projections, officer forecasts for 2019-20 suggest that spend on redundancy costs will be £1.5m lower than was anticipated at the time of budget setting

Additional use of capital receipts to repay debt (underspend £3.525m)

This forecast underspend is the result of the availability of capital receipts available in the year to date over and above the £2m budget and the £2m receipts required to support transformation costs (ref Appendix 2 Capital monitoring paragraph 3.3).

Use of capital receipts to support transformation costs (underspend £3.000m)

On 25 September 2017 Policy and Resources Committee considered a report entitled Demand Management & Prevention Strategy: Children's Services. This resulted in the allocation of a one-off investment of £12-£15m into children's services over the four years 2018-22. Subject to the achievement of property sales in 2019-20, a maximum of £3m capital receipts will be allocated to fund transformation through the "flexible use of capital receipts".

Norfolk County Council Finance Monitoring Report 2019-20

Appendix 2: 2019-20 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

1 Capital Programme 2019-20

- 1.1 On 11 February 2019, the County Council agreed a 2019-20 capital programme of £307.858m with a further £240.734m allocated to future years', giving a total of £548.592m.
- 1.2 Additional re-profiling from 2018-19 resulted in an overall capital programme at 1 April 2019 of £617m. Further in-year adjustments have resulted in the outturn capital programme shown below:

Table 1: Capital Programme budget

	2019-20 budget	Future years
	£m	£m
New schemes approved February 2019	87.207	167.28
Previously approved schemes brought forward	220.651	73.454
Totals in 2019-22+ Budget Book (total £548.592m)	307.858	240.734
Schemes re-profiled after budget setting	58.373	5.766
Other adjustments after budget setting including new grants	4.821	
Revised opening capital programme (total £617.551m)	371.051	246.500
Re-profiling since start of year	-174.374	174.374
Other movements including new grants and approved schemes	57.370	117.407
Total new schemes approved February 2020 County Council		45.911
Total capital programme budgets total £838.239m	254.046	584.193

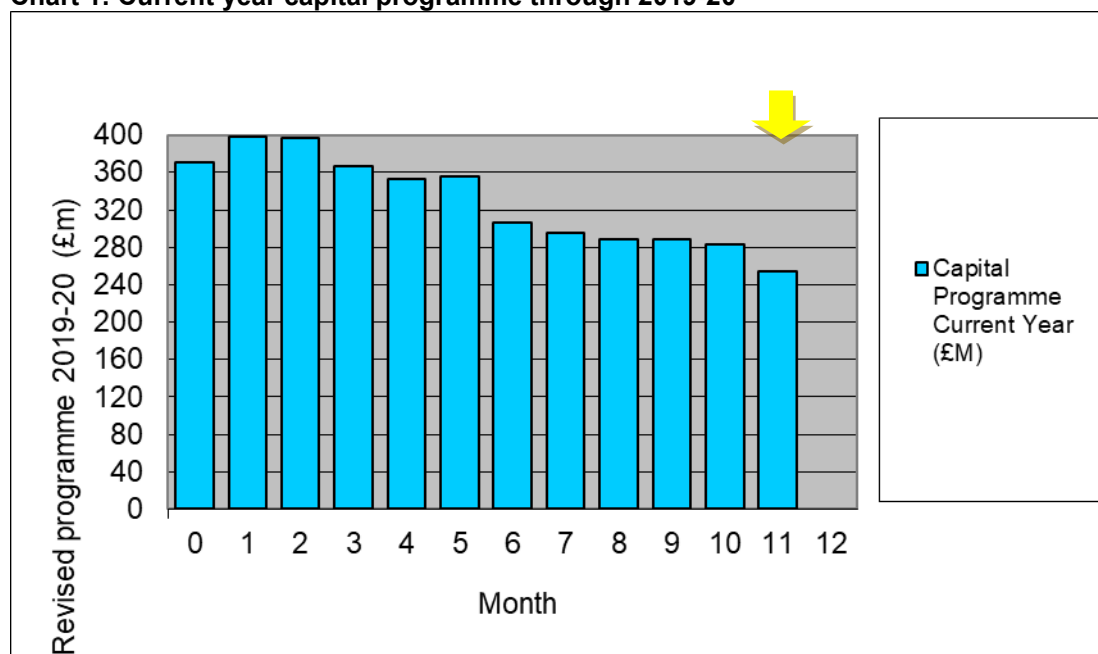
Note: this table and the tables below contain rounding differences

The "future years" column above includes new schemes previously approved as part of the 2019-22 capital strategy and programme, plus new schemes approved at 17 February 2020 County Council.

Changes to the Capital Programme

- 1.3 The following chart shows changes to the 2019-20 capital programme through the year.

Chart 1: Current year capital programme through 2019-20



- 1.4 Month “0” shows the 2019-20 outturn future capital programme with a number of highways schemes added in month 1. The arrow shows the latest current year position. The current year programme will change as additional funding is secured, and as schemes are re-profiled to future years where timings become more certain.
- 1.5 The current year’s capital budget for each service is set out in the table below:

Table 2: Service capital budgets and movements 2019-20

Service	Opening programme	Previously reported Programme	Reprofil ing since previous report	Other Changes since previous report	2019-20 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	154.474	86.510	-13.731	0.003	72.782
Adult Social Care	18.388	12.395	0.039	0.045	12.478
Community & Environmental Services	119.188	135.894	-1.157	-2.724	132.014
Finance & Comm Servs	79.001	48.384	-11.612	0.000	36.772
Total	371.051	283.182	-26.460	-2.676	254.045
				-29.136	

Note:: this table may contain rounding differences

- 1.6 The revised programme for future years (2020-21 to 2021-22 and beyond) is as follows:

Table 3: Capital programme future years 2020+

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	183.485	13.731	5.340	202.556
Adult Social Care	40.934	-0.039	0.000	40.896
Community & Environmental Services	231.668	1.157	0.000	232.854
Finance & Comm Servs	95.805	11.612	0.000	107.887
Strategy and Governance	0.500			
Total	552.392	26.460	5.340	584.193
			31.801	

Note: this table may contain rounding differences

- 1.7 New schemes for the the 2020-21 capital programme as approved at 17 February 2020 County Council are reflected in the table above.
- 1.8 Actual expenditure to P11 is as follows:

Table 4: Actual expenditure to date

Service	Expenditure year to date
	£m
Children's Services	40.825
Adult Social Care	11.300
Community & Environmental Services	61.409
Finance and Commercial Services	12.845
Total to date	126.379
Projected expenditure to 31 March 2020	15.000
Forecast accounting accruals at 31 March 2020	28.000
Rounding adjustment	0.621
Forecast total expenditure	170.000

The rate of capital spend is averaging approximately £14m per month. Total spend in 2019-20 is therefore forecast to be £170m, compared with £158.5m in 2018-19. The current level of spend indicates that a significant amount of re-profiling of schemes into 2020-21 will take place in the month of 2019-20 to reflect the actual timing of schemes.

2 Financing the capital programme

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

Table 5: Financing of the capital programme

Funding stream	2019-20 Programme	Future Years Forecast
	£m	£m
Prudential Borrowing	124.708	352.083
Use of Capital Receipts	-	-
Revenue & Reserves	0.174	-
<i>Grants and Contributions:</i>	-	-
DfE	52.836	43.718
DfT	50.685	122.994
DoH	8.135	0.700
MHCLG	0.074	0.259
DCMS	0.768	5.048
Developer Contributions	20.227	16.216
Other Local Authorities	6.337	-
Local Enterprise Partnership	9.685	-
Community Infrastructure Levy	2.868	-
National Lottery	3.252	9.652
Other	3.433	1.722
Total capital programme	283.182	552.393

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).

3 Capital Receipts

- 3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.
- 3.2 The capital programme, approved in February 2019, gave the best estimate at that time of the value of properties available for disposal in the three years to 2021-22, totalling £23.6m. Revised estimates produced for the 2020-21 capital strategy show that the total of £23.6m remains achievable.

Table 6a: Disposals longer term forecast

Financial Year	Property sales forecast £m
2019-20	8.6
2020-21	10.6
2021-22	1.5
2022-23	1.9
2023-24	1.0
	23.6

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 6b: Capital receipts current financial year £m

Capital receipts 2019-20	£m
Capital receipts reserve brought forward	0.413
Actual property sales to P11 net of associated capital costs	2.121
Anticipated sale of land at Acle to Repton Property Developments	2.201
Loan repayments received	1.679
Airport shares disposals	1.797
Loan repayments from subsidiaries anticipated	0.044
Sales/further loan repayments anticipated	0.270
	8.525
Forecast use of capital receipts	
Budget 2019-20 to repay debt	2.000
Total use of capital receipts to repay debt (max £5.525m PWLB maturity debt repayments)	3.525
Flexible use of capital receipts to support transformation costs (maximum £3m)	3.000
	8.525

In addition to the receipts from the disposal of property shown above, further sales may be completed in the final months of 2019-20 which will be applied as and when payments have been received.

4 New schemes to be added to the Capital Programme

4.1 NCC Records Management Digitisation Facility (Scottow) £0.450m

4.1.1 This bid is for improvements to building and infrastructure to ensure compliance with national guidance for record storage & digitisation £0.450m:

4.1.2 As part of the Transformation Boards initiative for Digitisation and improved management of physical records, capital funding is required to make building improvements and install specialist infrastructure at Scottow. This requirement is based on national guidelines and input from specialists, including the Norfolk Records Office.

4.1.3 The works will ensure NCC compliance with both GDPR & national guidance regarding storage and management of Personal Data, and forms part of the programme of enabling smarter working by reducing on-site storage at other NCC sites thereby freeing up work space for staff. In addition capital improvements at the facility will accelerate the reduction of direct costs in the region of £150k pa incurred by council directorates for the storage of physical records and rental of storage space with other companies across the County. The spend is likely to be £0.300m in 2020-21 with the balance in 2021-22.

4.2 Accommodation rationalisation programme – addition to reflect purchase of Priory Nursery (£0.436m)

4.2.1 As reported to this Cabinet, the Cabinet Members for Commercial Services and Assets and Children's Services have approved the purchase of Priory Nursery, Great Yarmouth.

4.2.2 The purchase will be funded from the approved accommodation rationalisation programme, and the property will be leased back to NCC Nurseries Limited to ensure service continuity, and to help fund the associated costs of borrowing.

4.2.3 When the capital bid for accommodation rationalisation was made in advance of the 2019-20 capital programme being approved, this purchase was not anticipated. As a result, this proposal seeks to replenish the funding for accommodation rationalisation across the Council in 2020-21 and 2021-22.

Capital Annex 1 - changes to capital programme since last Cabinet

Changes to capital programme since previous capital monitoring report			19-20	19-20	20-21+	20-21+	
Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
Adult Social Care							
	Disabled Facilities Grant	External	0.045				
	Social Care Grant	External		0.039		- 0.039	Reprofiled for allocation to Burman House and Curtis Fields
Total Adult Social Care			0.045	0.039	0.000	-0.039	
Childrens Services							
	Cringleford Primary	External	0.003				Contribution received direct from Diocese
	Sprowston Academy	External	-	0.154		0.154	Fees only this year, rest moved to 20/21
	Gayton Primary	External		0.150	-	0.150	Moved back to cover in year expenditure
	School based projects	External	-	4.518		4.518	Reprofiled to cover projects in 20/21+
	Gt Yarmouth SEMH School	External		0.700	-	0.700	Moved back to cover in year expenditure
	SEND	External	-	7.500		7.500	Reprofiled for allocation in 20/21+
	St Michaels Aylsham	External		0.016	-	0.016	Moved back to cover in year expenditure
	Swaffham Sports Hall reroofing	External	-	0.240		0.240	Reprofiled as not needed in this year
	Silfield Primary Academy	External	-	0.590		0.590	Reprofiled according to latest details
	Wymondham Secondary Expansion	External	-	1.502		1.502	Reprofiled as per fees profile
	Trowse Primary	External	-	0.093		0.093	Reprofiled as per cost report
	School based projects	Sif			0.037		Income/Clawbacks direct from schools
	School based projects	External			0.030		Income/Clawbacks direct from schools
	S106 projects	Developer contributions			5.273		S106 income received
Total Children's services			0.003	-13.731	5.340	13.731	

Highways			-2.724				Details requested from Linda and Kevin
Fire	Swipe Cards/North Lynn Improvements	NCC Borrowing		0.008	-	0.008	Budgets moved back to cover in year expenditure
Libraries	Self Service Kiosk	NCC Borrowing		-0.422		0.422	Reprofiled according to expected spend for 19/20
	Library Building improvements	NCC Borrowing		-0.208		0.208	Reprofiled according to expected spend for 19/20
	Wymondham Improvements	NCC Borrowing		-0.041		0.041	Reprofiled according to expected spend for 19/20
	Various S106 Schemes	S106 funding		-0.140		0.140	Reprofiled according to expected spend for 19/20
Museums	Norwich Castle Critical M&E	NCC Borrowing		-0.261		0.261	Reprofiled according to expected spend for 19/20
	Gateway to Medieval England	NCC Borrowing		-0.093		0.093	Reprofiled according to expected spend for 19/20
Total CES			-2.724	-1.157	0.000	1.157	
GNGB	Supported Borrowing Facility	NCC Borrowing		-	11.612	11.612	Reprofiling balance of loan
Total Finance			0.000	-11.612	0.000	11.612	
Total			-2.676	-26.460	5.340	26.460	

Cabinet

Item No: 12

Decision making report title:	Limited Company Consents
Date of meeting:	6 April 2020
Responsible Cabinet Member:	Cllr Greg Peck (Cabinet Member for Commercial Services and Asset Management)
Responsible Director:	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	No
Executive Summary Limited companies owned by the County Council require the consent of the County Council before they can make certain decisions including the appointment of directors. Creation of new limited companies also require the consent of the County Council. Recommendations <ol style="list-style-type: none">1. To approve the change of directors to companies as detailed in appendix A2. To approve the formation of a new subsidiary company of Norse – Amber Valley Norse Ltd as detailed in appendix B	

1. Background and Purpose

- 1.1. Limited companies owned by the County Council require the consent of the County Council before they can make certain decisions including the appointment of directors. Creation of new limited companies also require the consent of the County Council.

2. Proposals

2.1. Appointment of Directors

The Executive Director of Finance & Commercial Services has reviewed the attached list of appointees (In appendix A) and advises that they are suitable

Creation of New Companies – Amber Valley Norse Limited

The Executive Director of Finance & Commercial Services has reviewed business case in appendix B.

Norse Group Board and the Investment Committee of Norse Group have also reviewed and approved the business case for the creation of the new company.

As such, Cabinet is asked to approve the creation of Amber Valley Norse Ltd.

3. Financial Implications

- 3.1. The effective management and oversight of the limited companies owned by the County Council will further enhance the financial return to the Council.

Income generated by Amber Valley Norse Ltd will further enhance the financial return to the Council from the Norse Group.

4. Resource Implications

- 4.1. **Staff:** N/a
4.2. **Property:** N/a
4.3. **IT:** N/a

5. Other Implications

- 5.1. **Legal Implications:** N/a
5.2. **Human Rights implications:** N/a
5.3. **Equality Impact Assessment (EqIA):** None
5.4. **Health and Safety implications:** N/a
5.5. **Sustainability implications:** N/a
5.6. **Any other implications:** N/a

6. Risk Implications/Assessment

- 6.1. There are no significant risks or implications beyond those set out in the financial implications section of the report.

7. Select Committee comments

- 7.1. N/a

8. Recommendations

- 8.1.
 1. To approve the change of directors to companies as detailed in appendix A
 2. To approve the formation of a new subsidiary company of Norse – Amber Valley Norse Ltd as detailed in appendix B

9. Background Papers

- 9.1. None

Officer Contact

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

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Email address: simon.george@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.

Appendix A

Company	Resign	Appoint
NCC Nurseries Ltd		Harvey Bullen
NCC Nurseries Ltd		Sarah Jones
NCC HH Ltd		Harvey Bullen
NCC HH Ltd		Chris Snudden
Independence Matters Ltd		Paul Syfield
Educator Solutions Ltd		Harvey Bullen

Appendix B

Transfer of services from Amber Valley District Council to Norse Group

1.0 Background

- 1.1 The Norse Group have been in negotiations with Amber Valley District Council (“AVDC”) in respects to the transfer of waste, recycling and green waste collection services. Other services such as facilities management, grounds and street cleansing may be added at a future date.
- 1.2 Currently these services are being delivered by Veolia and the contract for service delivery expires on 26 June 20. AVDC have reviewed various options but have expressed a preference for the Norse service delivery model ahead of another procured contract.
- 1.3 On the 8 January 20, AVDC full council approved the transfer of services into a Teckal compliant joint venture with Norse Commercial Services (“NCS”) – Amber Valley Norse (“AVN”). It is expected that the partnership will commence on 27 June 20 for a period of 10 years, with a ten-year extension option.
- 1.4 The proposal was agreed by the Norse Group Board on 19 February 20.

2.0 Service and Operational Novation

- 2.1 The services delivered by Amber Valley Norse will cover domestic waste, dry recyclables and green waste collections from c.52,000 homes. The partnership is for the collection only, with all liabilities resulting from disposal costs being picked up directly by AVDC.
- 2.2 Currently the core collection service comprises:
 - Alternate weekly collections for residual waste and recycling; and
 - Fortnightly charged garden waste collections (40 weeks per year).
- 2.3 The current operational base, which Veolia are using, will remain for a short period. It is at the wish of AVDC to procure and develop a ‘super site’ that comprises of an operational and maintenance depot alongside a transfer station. AVDC will fund the development and associated costs.
- 2.4 There will be no transfer of vehicles from Amber Valley District Council into Amber Valley Norse. The Group are proposing a short term hire for c.10 months. This will allow sufficient time for the order of new vehicles. An agreement on the vehicle types is still being discussed, however it is projected that all vehicles will be leased, and as such will not have a capital implication for the Group.
- 2.5 It is worth noting that Norse Group have requested an assurance from AVDC that if AVDC withdraws from the proposed partnership with Norse (for whatever reason) AVDC will indemnify Norse for any costs associated with the vehicles, or a novation of the said vehicles.

3.0 Financial Projections

- 3.1 The financial projections have been devised by the Group's Business Change and Development division, who have previous knowledge and understanding of modelling the relevant services. The Group's business modelling is largely based on information supplied by AVDC and includes a range of volumetric and behavioural data including property details, various public domain data and any specifications provided in context of current contractor operations. The Group have used current (2019-20) budget costs as a baseline and have estimated future year projections using widely published indices by expenditure/ revenue category.
- 3.2 Each accounting period will be presented via open book methodology, allowing for full financial transparency. The projections have been developed based on the budget information provided by AVDC.
- 3.3 Norse Group will be providing back office support functions for the service. This is standard practice across all contracts, and includes overarching HR, Finance, SHEQ, Procurement and Legal support. The value for providing such service is recovered through the central overhead. Said recovery alongside the Group's profit share will create an estimated cumulative recovery of £1.12m across a 5 year period.
- 3.4 Through the joint venture arrangement, AVDC will share in 50% of profits. This equates to an estimated £218k across a 5 year period. The parties would agree a rebate on the partnership service fee determined through the annual business planning process.
- 3.5 A synopsis of the most recent model is presented as an appendix. It is key to note that the model is developed based on the current set of assumptions. Until such time that more clarity is provided around vehicle procurement, disposal locations alongside 'O' licence, the model presented is a true reflection of the forecasted deliverables.
- 3.6 From a cash flow perspective, the contract will denote 1/12th payment in advance. There is very limited upfront capital costs for the project, thus the Group forecasts limited cash flow impacts.
- 3.7 It is also worth noting that the partnership income is developed from base costs up. Overhead recovery is applied at 6% alongside 2% profit.

4.0 Key Commercial Benefits

- 4.1 The novation of the services from AVDC to AVN will allow the Group to expand its environmental services portfolio. Norse Group currently operate similar services across Norwich, Great Yarmouth, Suffolk, Waveney, Medway, Havant and East Hampshire.
- 4.2 It has previously been noted that all new contracts or joint venture proposals must include a comment on the contract / joint ventures commitment to delivering environmentally sustainable operations. As this contract is purely the collection of waste, it is difficult to deliver any form of environmentally friendly operations. However, for the purpose of minimising cost, the Group makes sure that all routes are developed to derive the most efficient routes. By doing so this will reduce, as far as reasonably practical, the level of CO₂ and NO_x emissions, thus reducing the impact on the environment. Further, due to the nature of the services being delivered, the Group is

supporting AVDC in procuring dry recyclables and composting green waste disposal routes.

- 4.2 The geographical location of the service is of key importance, with the newly formed partnership being based in the midlands. The transfer will afford future opportunities to expand the Group presence in an area of key strategic importance.

Appendix 1 – Project Financial Model

Norse Group Investment Board

Version: 11/02/2020 09:00

Includes Inflation: No

All figures in £K (2018-19)

	0	1	2	3	4	5
	Baseline 2018-19	Yr1 2020-21	Yr2 2021-22	Yr3 2022-23	Yr4 2023-24	Yr5 2024-25
IN* TOTAL Revenue	3,166	3,552	3,600	3,797	3,994	4,160
EX* TOTAL Costs	(3,104)	(3,505)	(3,546)	(3,734)	(3,921)	(4,079)
OPERATING PROFIT	62	47	54	63	73	81
AVBC Profit Share	31	23	27	32	37	40
Norse Group Profit Share	31	23	27	32	37	40
Norse Group Recovery						
EX98 Central Overhead	160	172	183	193	203	212
Profit Share	31	23	27	32	37	40
Total	191	196	209	224	240	252
Cumulative Recovery		196	405	630	869	1,121
Capital Expenditure						
Vehicle Fleet						
Initial Outlay	0	0	0	0	0	0
EX06 Cost of use/lease	0	0	0	0	0	0
Cost of use calculation uses vehicle life, residual value and cost of money to calculate a proxy for lease hire						
Depot						
Initial Outlay	0	0	0	0	0	0
Amortisation	0	0	0	0	0	0
Efficiencies	0	0	0	0	0	0

All years assumed to be 12 months

All future years subject to agreement with AVBC via Annual Business Plan

Appendix 2 – Streamlined P&L

Amber Valley Borough Council SLA Financial Projections

Version: 11/02/2020 09:00

Includes Inflation: No

Includes Property Growth: Yes

		Baseline 2018-19	Yr1 2020-21	Yr2 2021-22	Yr3 2022-23	Yr4 2023-24	Yr5 2024-25
		£K	£K	£K	£K	£K	£K
IN01	Service Fee	3,166	3,396	3,287	3,328	3,370	3,411
IN02	Non Fee Income	0	0	0	0	0	0
IN03	3rd Party Income	0	156	312	468	625	750
	TOTAL Revenue	3,166	3,552	3,600	3,797	3,994	4,160
EX01	Staff Costs	1,380	1,556	1,683	1,813	1,942	2,049
EX02	Fleet Costs	572	587	594	601	609	616
EX03	Purchased Goods/Services	302	482	370	402	434	461
EX04	Estates Costs	10	10	10	11	11	11
EX05	Commercial Costs	41	42	43	43	44	44
EX06	Mobilisation Costs	639	655	663	671	679	687
	TOTAL OPERATIONAL Costs	2,944	3,333	3,363	3,541	3,718	3,868
NC01	Norse Management Fee	160	172	183	193	203	212
	TOTAL COSTS	3,104	3,505	3,546	3,734	3,921	4,079
PL01	OPERATING PROFIT	62	47	54	63	73	81
		OK	OK	OK	OK	OK	OK

Profit Margin

2.0%

All years assumed to be 12 months

Report to Cabinet

Item No. 13

Report title:	Great Yarmouth Operations and Maintenance Campus
Date of meeting:	6 April 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?	Yes

Introduction from Cabinet Member

The energy sector provides Great Yarmouth and Norfolk with arguably the single most important economic opportunity for a generation. Oil and Gas has been a mainstay of the economy for over 50 years and the recent emergence of offshore renewables has presented Great Yarmouth's port, its supply chain and its skills base with the chance of enjoying hugely significant growth and investment.

The Local Industrial Strategy identifies the sector as one of the three most important for Norfolk and Suffolk, and our own strategy is focussed on ensuring we take the necessary steps, working with partners to create the ideal conditions to attract and retain investment, and to optimise the assets we have. One of the principal benefits from offshore renewables investment is the long-term operations and maintenance function. Great Yarmouth already benefits from the presence of several businesses undertaking this work, but research has shown we can do a lot more to provide the facilities they need.

This proposal to establish an Operations and Maintenance Campus in Great Yarmouth is a bold initiative that we have already received very positive feedback on from the industry. Great Yarmouth is fortunate that part of the campus falls in the Enterprise Zone which gives us a unique opportunity to provide the necessary public funding to enable the project. Research has shown it will give Great Yarmouth an asset that will enable the area to rival other parts of the UK and to accelerate the growth we are already seeing in the energy sector (see Appendix A). This project has emerged through strong partnership working and could not have been conceived and developed as far as it has without the support of the New Anglia LEP, Great Yarmouth Borough Council and Peel Ports. If it proceeds, Norfolk County Council will continue to work closely on the project with partners.

Executive Summary

The project seeks to create an Operations and Maintenance (O&M) Campus in Great Yarmouth, capitalising on space in Borough Council ownership at the southern tip of the Great Yarmouth South Denes peninsula, which is under-utilised. It is closest to the Southern North Sea wind farm arrays with access to deep water as well as the river port, which the project will upgrade or enhance through three separate work packages.

The project is a collaboration between Great Yarmouth Borough Council, Norfolk County Council and New Anglia Local Enterprise Partnership (NALEP) who provide ownership and governance for the Space to Grow Enterprise Zone (Enterprise Zone) in the Great Yarmouth Borough.

The idea of the Campus is to attract O&M investment from companies that will be engaged with off shore wind farm development and maintenance over the coming 25 years. There is available land at the end of the South Denes peninsula, but in order to make the facility more accessible and attractive for businesses investing here, repairs and an enhancement package is required. This consist of:

- 170m of river quay refurbishment and upgrading
- New pontoons
- Revised road layout to optimise the land available for development, and associated infrastructure works.

NCC consultants (WSP) have undertaken an initial financial study of the viability of the project. A further feasibility study is now required to assess the likely construction costs and confirm that the allowances made to date are adequate. It is also necessary to assess the operation of the facility, including river modelling to ensure that navigation and sediment transfer are not compromised.

Subject to the findings of the feasibility study, it the initial business plan suggests that a commercial component of investment would come from NCC and GYBC, each investing £1m, and sharing rental income derived from an uplift in future site occupancy and revenue from the quay refurbishment and pontoons.

The remaining amount required to deliver the project (subject to the feasibility study findings) is proposed could be funded by NCC and recovered through Pot B of the Enterprise Zone. This is the element of the business rates retention that is designed to be used to enable investment to accelerate future growth.

WSP have undertaken an initial study of the expected income from this enterprise zone business rates over the next 18 years. This study demonstrates that, with a modest increase in the percentage of business rates income allocated to the Pot B component of the zone income, the current anticipated viability gap can be afforded. Great Yarmouth BC, NALEP and NCC have provided in principle agreement to this increase, which will be further informed by the feasibility study.

Discussions have taken place between Great Yarmouth Borough Council and Norfolk County Council in order to establish a possible delivery vehicle to enable this project to proceed under joint commercial arrangements. If the project proceeds, the parties contemplate entering into a contractual joint venture agreement (Proposed Contract), in preference over the alternative option of establishing a new joint venture company.

All three parties to the project agree that the best next steps are to undertake a detailed feasibility study exercise and preliminary design to establish more details relating to the likely costs for the scheme and to confirm through river modelling that the operations in this location remain viable. This would enable a more detailed figure for an uplift in the Pot B allocation to be agreed between the parties and will confirm the likely funding for the total cost of the project.

Maritime works are costly, and without public sector support this project will not proceed and we will be less likely to attract new investment. There are various proposals at other east coast ports and there is a danger that investment will migrate there unless we create a facility of equal or better status.

Benefits

Great Yarmouth will be provided with a first-class facility on which to attract new O&M and related investment. The net cost to the public sector will be reduced due to the additional rates income received via the new development on the Enterprise Zone. It is estimated that some 500 new jobs could be located here and depending on configuration this could be higher.

This project supports the ambitions of both the Norfolk and Suffolk Economic Strategy, and the Local Industrial Strategy by seeking to capitalise on the offshore renewables sector opportunity and delivering business investment and growth in that sector.

Recommendations

- 1. To agree in principle for Norfolk County Council to deliver the Great Yarmouth Operations and Maintenance Campus as described in the report.**
- 2. To agree to enter into formal joint working arrangements with Great Yarmouth Borough Council over the development of this project.**
- 3. To agree that Norfolk County Council will complete a detailed feasibility study and preliminary design to establish a more accurate cost estimate for the scheme and ensure through modelling the river flows that the location is operationally viable.**
- 4. To note at this stage the intention for Norfolk County Council and Great Yarmouth Borough Council to each invest £1m towards the cost of developing phase 1, subject to the findings of the feasibility study.**
- 5. Depending on the feasibility study, secure agreement with Great Yarmouth Borough Council and New Anglia LEP to cover the funding gap through Pot B of the Enterprise Zone.**
- 6. To bring back a further report to Cabinet for a final decision once the feasibility work is complete.**

1. Background and Purpose

- 1.1 This project seeks to exploit the now well-established offshore renewables sector opportunity off the east coast and the Enterprise Zone that covers sites in Great Yarmouth and Lowestoft. The Enterprise Zone's 2017 strategy, sector focus and rationale is contained in the [Space to Grow brochure](#).
- 1.2 Further justification for pursuing this opportunity is contained in the [Great Yarmouth Economic Growth Strategy 2017-2021](#) and the opportunity aligns to the actions under Aim 4: A Prosperous Physical Environment and Improved Infrastructure, bringing more land to market and reinvesting enterprise zone rates growth.
- 1.3 Additional rationale is the [Norfolk and Suffolk Economic Strategy](#) that makes mention of Great Yarmouth and Lowestoft being the world's largest market for offshore wind along with over 150 serviceable offshore gas assets, employing a combined 8,469 people in 834 local companies. The key opportunity in this sector has been identified as linking offshore generation and energy use, technology and product development across oil, gas and renewables. This was further bolstered by the [Draft Norfolk and Suffolk Local Industrial Strategy](#). This highlights that roughly half of the Sector Deal's

30GW of electricity by 2030 ambition will be delivered off the coast of Norfolk and Suffolk, with 14.5GW in the existing pipeline, valued at £20bn. Local partners are working to support the supply chain, deliver the Sector Skills Plan to realise the forecasted 600 per cent growth in well-paid skilled work (6,150 FTEs) and meet the projected operations and maintenance opportunity worth £1.3bn per annum by 2025 in the East of England. An action specified in the strategy is to enhance the capacity and capability of Norfolk and Suffolk's ports with a series of ambitious projects to attract and capture manufacturing, construction and operations and maintenance investment, to serve the offshore energy market.

- 1.4 Over the past decade, the clean energy market has been growing steadily in the East of England. In that time, the prediction that the UK would have the largest offshore wind market in the world has been borne out and this trend is set to grow, as described in the previous paragraph. The North Sea hosts the largest part of the market opportunity, especially in the Southern North Sea (SNS). As wind farms are built out, the demand for space to host Operations and Maintenance facilities grows. Great Yarmouth already hosts several facilities – notably Dudgeon and Hi Wind, with Vattenfall also committed in principle, along with several supply chain companies. But WSP's research (and feedback from industry we receive) suggests there is more demand that could be satisfied in Great Yarmouth if the right facilities are in place.
- 1.5 Employment in the sector has grown above the national average since 2010, while commercial vacancy rates have stayed relatively low – an indication that business formation might be curtailed by the lack of commercial space.
- 1.6 In December 2018, a Demand and Needs assessment undertaken by Hatch Regeneris considered the demand for O&M facilities at an international, national and local scale and was based on both primary and secondary data. This study showed demand for an O&M facility in an optimum location and that it is supported by a sector that is growing at national and regional scales. Locally there are very low commercial vacancy rates and falling floorspace in the region demonstrates the demand for more facilities. The market trend shows most demand for office space was for developments less than 20,000sqft and industrial units between 2,000 at the lowest end and 20,000sqft at the higher.
- 1.7 Norfolk has a major concentration around offshore energy, founded on oil and gas, but migrating in the last 10 years into renewables. With many skills and capabilities around offshore surveying, exploration, drilling, rig movement, extraction/production and servicing, plus installation of wind turbines and their operation and maintenance. Clean Energy is a priority in both the national and Norfolk and Suffolk Local Industrial Strategies, and Great Yarmouth is the closest deep-water port to the largest offshore wind market in the world, with significant potential to contribute to UK plc.
- 1.8 Great Yarmouth is near to offshore energy projects in the southern North Sea are estimated to be worth over £39billion in the next 20 years. It is already home to over 50% of the UK's installed capacity and further growth is planned over the next 10 years (Source: completion of Contracts for Difference (CfD) Allocation Round 3). The impending onshore cabling for Ørsted and Vattenfall contracts offers further opportunity for supply chain companies.
- 1.9 Building on local investments by Dudgeon, Galloper, Scottish Power Renewables and Vattenfall, Norfolk County Council is seeking to attract new supply chain growth by building a new Operations and Maintenance (O&M) campus close to the deep-water harbour and with access to enhanced and upgraded river port facilities. It will offer the closest and most immediate access to the open sea and the offshore wind farms.

- 1.10 This will further enhance Great Yarmouth's existing O&M capability and offer businesses the shortest journey to the windfarms in the North Sea. The site will include shared quay and external laydown space, with room for bespoke offices and technical facilities for developers and supply chain businesses.
- 1.11 The Space to Grow Enterprise Zone, comprising two sites including much of the South Denes Area, is already generating income through 100% retained business rates. A percentage of this income, currently 35% which is expected to be increased once full costs are known is available to be used to enhance, accelerate or enable development on the two sites. This is called "Pot B income" and a key outcome from its deployment, alongside the economic benefits is the further growth of Enterprise Zone income that can then be used for future projects.

2. Proposals

- 2.1 The proposal is to create an Operations and Maintenance Campus at the southern tip of the South Denes peninsula, close to the outer harbour and river port. There is enough land that can be combined and presented as a single entity and be used for office, technical areas and storage but there are no associated quayside facilities which are essential. The proposal is to:
 - enhance Berths 1A and 1B, making them available for businesses located nearby to berth Crew Transfer Vessels (CTV) and Operational Vessels
 - create additional pontoon facilities projecting from the spending beach for smaller CTV
 - undertake road and other infrastructure improvements in order to optimise the land available
- 2.2 The quayside is in poor condition and whilst the adjacent land can be used, there are existing tenancies on the site and the quays are not usable. The cost of bringing the quays back to a usable state is not commercially viable and so this is a key principle element of the project. The adopted Core Strategy Local Plan (2015) recognises the importance of the port and its industries. A key strategic objective (SO 4) of the Local Plan is strengthening the competitiveness of the local economy by promoting the River Port and Outer Harbour on a Local, National, European and international Scale as an attractive base for business. The emerging draft Local Plan (2020) continues to support proposals for port related developments and in particular development related to the offshore energy industry. The above proposal would be consistent with the strategic objectives of the adopted Local Plan and the policies in the emerging Local Plan. In addition, it is worth noting that, the Third River Crossing proposal, if approved, will significantly improve accessibility to the Port and Harbour areas and support the wider regeneration of the waterfront and town centre.
- 2.3 The project has involved initial consultation with local industry, including offshore wind developers (both those that have local connections and those that have not used the local ports). Great Yarmouth Council and the LEP have been fully engaged with the project throughout its development. The overall project concept has been presented to two separate Gt Yarmouth Borough Council committees where it was fully endorsed. However, it is recognized there will need to be engagement with the local community.
- 2.4 The proposal is for Norfolk County Council to lead on the delivery of the works. The next steps will be to develop a more detailed feasibility report that will consider construction and associated costs, as well as wider operational details, including modelling the river corridor to assess details such as navigational operation and sediment migration.

- 2.5 For much of 2019 we have been pursuing grant opportunities to contribute to the total estimated project costs, but there have been none so far with suitable criteria that we could apply for. WSP has assessed that £2m of the cost is feasible to be provided on a commercial basis, with the remainder to be provided by the county council, repayable from Enterprise Zone income. This highlights the need to ensure adequate feasibility work is completed to ensure the cost exposure and risk for the county council is fully developed and understood before moving the project forwards.
- 2.6 Enterprise Zone income over the next 17 years is significant. The current baseline, assuming no additional development anywhere on the Great Yarmouth EZ sites has the potential to provide the majority of the capital and interest repayments. Any one of several factors will deliver an uplift in the baseline to more than meet the total required to enable full repayment:
- One or two developments elsewhere on the EZ, either on the South Denes or Beacon Park
 - Development on the Campus itself
 - An uplift in the rates multiplier
 - An uplift in the share of Pot B as described above.
- 2.7 WSP Consulting have assembled 3 detailed financial scenarios, based on the current 35% Pot B share:
- Do Nothing – to provide a baseline indication of the available income from the two Space to Grow Enterprise zone sites in Great Yarmouth that will be accrued over its lifetime, assuming no development anywhere on those 2 sites, including into the new campus site.
 - The Project – This scenario shows the likely cost of servicing the gap in the project but also incorporates the estimated income that the first occupant, expected to commit in 2020, will provide.
 - Full Build Out - this scenario shows the uplift in future Enterprise Zone income that the Zone will deliver between now and 2037/38, if there is full build out of the Campus.
- 2.8 The model makes the following main assumptions:
- Infrastructure investment includes costs for roadworks and maritime construction but excludes all other costs associated with the construction of office space and external works. The excluded costs associated with construction of office space and external works would be a separate project, yet to be specified and procured. There are no known building or development constraints.
 - For full build out, the analysis assumes 25 percent occupancy in the first year of operations and 100 percent occupancy by year 5, when estimating business rates revenues.
 - The first development, to land concurrently with the construction of the project itself, is expected to have a rateable value of £392,000 with an associated annual business rates revenue of £180,000.

The full build out assumes no additional infrastructure investment beyond that which the project will deliver.

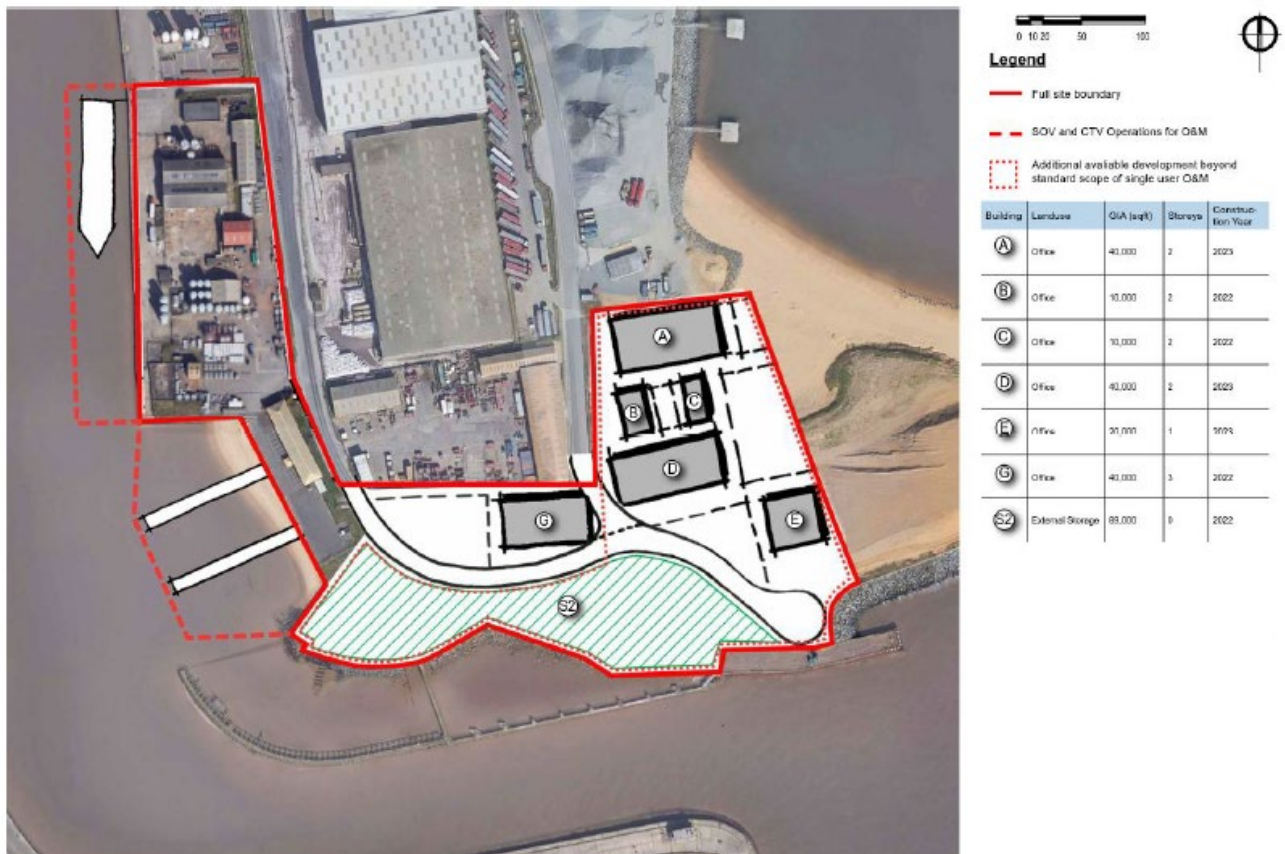
- 2.9 The LEP will be presented with a detailed business case once the feasibility work is completed and a commercial cost has been established, to secure the necessary

increase in the Pot B intervention. This is consistent with other EZ sites across Norfolk and Suffolk.

- 2.10 The key risk is in the event of a fundamental change to the Business Rates system. Both the Space to Innovate and Space to Grow Enterprise Zones are subject to a legally binding 25-year agreement that guarantees local retention of 100% of rates collected or payable. However, if there is a change to the whole system of business rates, it will be important to ensure the status of Enterprise Zones is maintained. This will be a national issue.
- 2.11 The main focus of the proposal in this report is for the County Council to undertake the feasibility for the works, confirming the costing information and then consider the provision of funding which will be repaid with interest from future Enterprise Zone income.
- 2.12 All of the investment will be made to on land currently in the ownership of the Borough Council. It is proposed for the County Council to enter into a joint venture agreement with the Borough Council, as per Heads of Terms, which will involve joint commercial investment and joint receipt of the net returns achieved.
- 2.13 Norfolk County Council and Great Yarmouth Borough Council propose to each invest £1,000,000 cash towards the total costs of phase 1, subject to the findings of the more detailed feasibility work. The investment is expected to deliver a return through the derived income from the commercial uplift from phase 1 build out as set out in the report. NCC agree to share the uplift in rent, over and above the current income Great Yarmouth Borough Council achieve from the site. This will be set out in Heads of Terms on the joint venture agreement between Norfolk County Council and Great Yarmouth Borough Council.
- 2.14 The baseline rental income and forecast rental uplift, anticipated as a result of the phase 1 developments, has been calculated by Great Yarmouth Borough Council, as part of the site valuation. The majority of the rental uplift anticipated will be derived from the site improvements and demand for use of quayside access and improved pontoons. The uplift above the baseline will be shared 50/50 between Norfolk County Council and Great Yarmouth Borough Council.

3. Impact of the Proposal

- 3.1 The proposal is to create an Operations and Maintenance Campus at the southern tip of the South Denes peninsula, close to the outer harbour and river port. This new facility would be enabled through developing brownfield space and reclamation, providing capacity for office, technical areas and storage but there are currently no specific quayside facilities.
- 3.2 The proposal is to enhance Berths 1A and 1B, by upgrading the derelict quay pilings and associated works. The quay is owned by the Borough Council, who lease part of the site to local businesses. They are not able to use the quays, and are not directly affected by this report. However, the Borough Council will be liaising with current tenants to allow for access.
- 3.3 The full build out of the project will create a total of 288,700 sqft of lettable space, of which 162,700 sqft would be office and the remainder would be a mix of internal and external storage space. This could support 500+ permanent professional office jobs and associated manual labour roles as demanded for the storage and lay up facilities. The drawing below is indicative and subject to change.



- 3.4 The key impact of the proposal will be the creation of a viable, highly attractive location for offshore energy businesses, especially in renewables but not exclusively, who will be able to operate in an optimum location, close to flexible port facilities, and with direct access to the sea.

4. Evidence and Reasons for Decision

- 4.1 The options presented in this report are those that are considered commercially acceptable based on the Hatch Regeneris demand and need study that found a strong demand for office space, whilst accommodating marine based, technical activities such as berthing and storage, favouring a non-phased development that includes ability to develop warehousing and offices spaces alongside berthing for service operating vessels and crew transfer vessels.
- 4.2 This has been recently reinforced in discussions with Vattenfall who were consultees a year ago. They have shown considerable interest in the proposals which they were pleased to see accord with their initial feedback to WSP. It is proposed to include the Campus in their imminent Invitation to Tender as a local asset if this report is approved.
- 4.3 The above plan is considered an example of how this site can be optimised - especially given it has not been seen as a commercially viable location. By linking it to refurbished river port facilities, deep water access as well as new pontoons it will place Great Yarmouth at the forefront of being able to attract investment. It is also shown to be financially viable.

5. Alternative Options

- 5.1 There are two alternative options. Firstly, the do-nothing scenario. This would mean promoting the site in its current state, with the expectation that the market will provide all the necessary investment. We have already ascertained that £2m is the limit on commercial funding, which would deliver a viable return. The gap is substantial, and no private sector investor would consider the site viable for investment as the achievable return through rent alone would not provide a commercial return within the operational lifetime of the units themselves.
- 5.2 It is also stressed that Enterprise Zone income, channelled through Pot B is designed to be used for interventions of this nature. The expectations for Enterprise Zones, when first set up was that local authorities or LEPs would borrow against future income and invest in the sites to enable them. We are actually proposing to borrow against baseline income, not projected income from future, but uncommitted development
- 5.3 The other option is to look for alternative sites. However, this is not practical for two reasons. The attractiveness of the proposed site is its close proximity to the sea. Depending on tidal conditions, every 1/4 mile north, along the river adds notable travel time, each way. Also, we are not aware of any vacant sites of similar size further north that could accommodate significant growth, and neither is there any vacant quay space.

6. Financial Implications

6.1 State Aid Implications

The potential for State Aid has been considered in respect of the possible expenditure by Norfolk County Council to be reimbursed from Pot B, proposed to be paid towards the total costs for the delivery of phase 1 of the Great Yarmouth Operations and Maintenance Campus, and our analysis is that the scheme is compliant with currently applicable State Aid regulations.

- 6.2 State Aid has also been considered in respect of Norfolk County Council and Great Yarmouth Borough Council's investment of £1m cash each towards the total costs to deliver phase 1 of the Great Yarmouth Operations and Maintenance Campus, as described in the report and again is viewed as compliant with current State Aid regulations.
- 6.3 Aid for maritime port infrastructure (e.g. berths, quay walls, jetties and floating pontoon ramps in tidal areas, internal basins), dredging and port access infrastructure (e.g. roads, rail tracks, channels and locks) can now be provided against total investment costs of up to €130m under the amending Commission Regulation (1084/2017) amending General Block Exemption Regulation 651/2014.
- 6.4 The parties note that this amending Regulation specifically provides that the amount of aid is limited to 100% of eligible costs for total costs up to €20m.
- 6.5 However, the amount of aid must also not exceed the viability gap of the investment project, namely the gap between total investment costs less operating profit (income, less operating costs) over a reasonable reference period. If, as in this Proposed Contract, the total aid amount sought is less than €5m, then it can be capped at 80% of total eligible costs rather than the viability gap noted above. The aid intensity is not reduced for access roads and dredging.

- 6.6 Norfolk County Council and Great Yarmouth Borough Council have considered and acknowledged that the port infrastructure funded as above must be open to interested users on an equal and non-discriminatory basis and any contracts concessionary or otherwise to construct, upgrade, operate or rent such infrastructure should be awarded only following a transparent and non-discriminatory procurement process.
- 6.7 The Project costs, in terms of a high-level financial viability assessment, have been assessed by WSP Consulting, (a strategic partner of Norfolk County Council and an independent professional services firm). However, it is recommended that the assumptions made in the viability work is further assessed in terms of construction and operation, before a final decision on project delivery is made.
- 6.8 This report also seeks, to agree in principle, to enter into formal joint working arrangements between Norfolk County Council and Great Yarmouth Borough Council over the development of this project, which could include contributing £1m each to the commercial cost, in the expectation of deriving shared income from the uplift in commercial value the project will deliver.
- 6.9 Initial discussions have taken place between the parties in order to establish a suitable delivery vehicle to enable this Project to proceed under joint commercial arrangements, and the parties contemplate entering into a contractual joint venture agreement (Proposed Contract), in preference over the alternative option of establishing a new joint venture company.

7. Resource Implications

- 7.1 **Staff:** There are no direct staff implications. The feasibility work would be led by NCC infrastructure delivery team, supported by WSP, and the associated fees incorporated in the project costs are expected to be recouped from Pot B.
- 7.2 **Property:** It is not proposed for Norfolk County Council to acquire any property assets as a direct result of the investment proposed, however, the report does seek approval to explore the creation of joint commercial arrangements which the Council would need to invest on a commercial basis.
- 7.3 **IT:** There are none

8. Other Implications

- 8.1 **Legal Implications:**
To secure Great Yarmouth Borough Council's obligations under the joint venture agreement, Norfolk county Council will secure a legal charge over the site and a restriction on the registered title of the site.
- 8.2 **Human Rights implications:**
None at this stage.
- 8.3 **Equality Impact Assessment (EqIA) (this must be included)**
If this project is agreed, an equality impact assessment will be undertaken to inform the public consultation phase and then revised based upon relevant feedback in order to inform subsequent key decision points, to examine how the proposal is likely to impact on people with protected characteristics. If agreed, the project has the potential to play its part in making Norfolk an accessible county – a priority identified in Together, for Norfolk, the Council's six year business plan.

8.4 Health and Safety Implications: (where appropriate)

The Head of Health, Safety and Well-being will be consulted to ensure all relevant health and safety matters are considered, including working closely with the port operators and port authority.

8.5 Sustainability Implications (where appropriate)

This project strongly supports the 'clean growth' section of NALP Local Industrial Strategy and 'Together for Norfolk'. The County Council's Environment Policy, defines the Council's support for renewable energy generation which this project supports and further, the reductions in steaming times up and down the river will also help make the project more sustainable.

Clean growth sits at the heart of this Local Industrial Strategy. Norfolk and Suffolk are at the forefront of tackling the challenges and opportunities of climate change. Enabling site development at Great Yarmouth to facilitate renewable energy companies to invest to service these opportunities, further supports the strategic ambitions.

9. Risk Implications/Assessment (this must be included in decision-making Cabinet reports only)

- 9.1 The key risk is in the event of a fundamental change to the Business Rates system. Both the Space to Innovate and Space to Grow Enterprise Zones are subject to a legally binding 25 year agreement that guarantees local retention of 100% of rates collected or payable. However, if there is a change to the whole system of business rates, it will be important to ensure the status of Enterprise Zones is maintained. This will be a national issue.
- 9.2 The £2m investment from Norfolk County Council and Great Yarmouth Borough Council (£1m each) is expected to deliver a return derived through the commercial uplift from the phase 1 build as set out in the report. Whilst the intention is that both councils will share the uplift in rent over and above the current income Great Yarmouth Borough Council achieve from the site, there is a risk that no additional return is achieved or it takes time before a return is received.
- 9.3 Failure to construct and deliver the Great Yarmouth Operations and Maintenance Campus within agreed budget and to the agreed timescales. This is why it is recommended that further feasibility work is completed before a final commitment to proceed with the project is made.
- 9.4 There are various proposals at other east coast ports and there is a danger that investment will migrate/or there could be competition, unless we create a facility of equal or better status.

10. Recommendation

- 1. To agree in principle for Norfolk County Council to deliver the Great Yarmouth Operations and Maintenance Campus as described in the report.
- 2. To agree to enter into formal joint working arrangements with Great Yarmouth Borough Council over the development of this project.

3. To agree that Norfolk County Council will complete a detailed feasibility study and preliminary design to establish a more accurate cost estimate for the scheme and ensure through modelling the river flows that the location is operationally viable.
4. To note at this stage the intention for Norfolk County Council and Great Yarmouth Borough Council to each invest £1m towards the cost of developing phase 1, subject to the findings of the feasibility study.
5. Depending on the feasibility study, secure agreement with Great Yarmouth Borough Council and New Anglia LEP to cover the funding gap through Pot B of the Enterprise Zone.
6. To bring back a further report to Cabinet for a final decision once the feasibility work is complete.

Background Papers

List here those papers referred to in compiling this report and provide links where possible. (Only those that do not contain exempt information).

Space to Grow brochure: <https://newanglia.co.uk/wp-content/uploads/2017/10/Space-to-Grow-EZ-brochure.pdf>

Great Yarmouth Economic Growth Strategy 2017-2021 <https://www.great-yarmouth.gov.uk/CHttpHandler.ashx?id=2614&p=0>

Hatch Regeneris 2018 Demand and Need Study (see Appendix A)

Great Yarmouth Multi User Energy Sector Facility – Summary Report April 2019

Great Yarmouth Multi User Energy Sector Investment Appraisal October 2019

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Norfolk County Council

Great Yarmouth Energy Sector Business Facilities: Demand and Needs Assessment

12 December 2018

www.hatchregeneris.com

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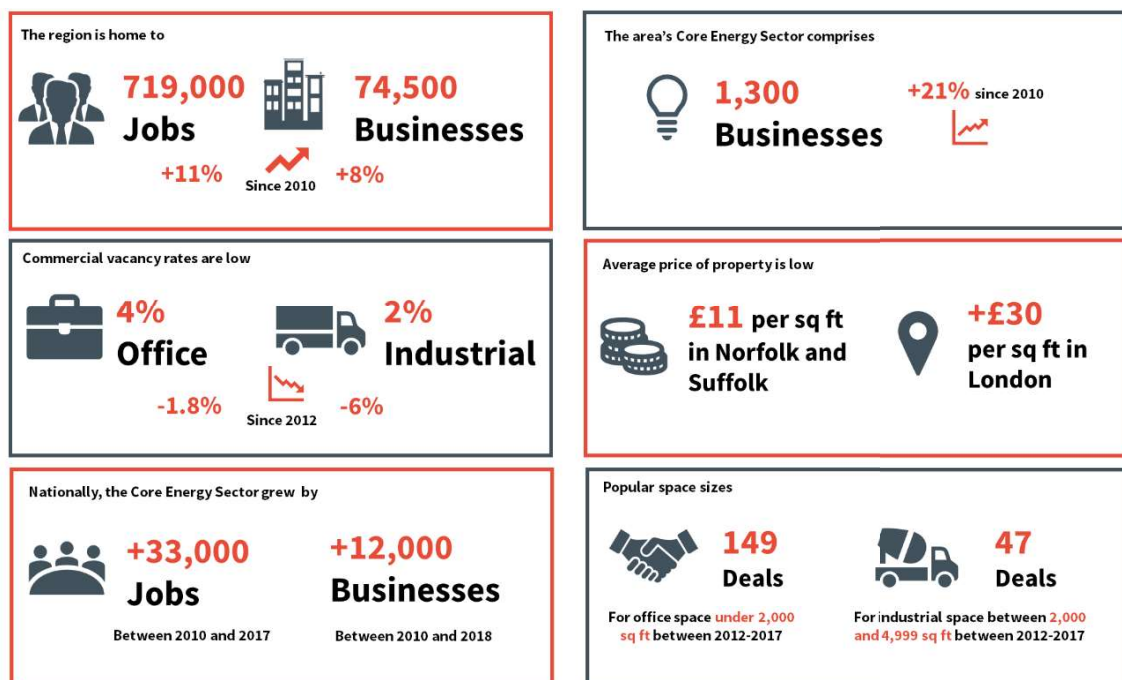
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Executive Summary

- i. Great Yarmouth is one of the UK's main offshore energy centres, utilising its strategic location and port facilities to service the oil and gas industry. There is an opportunity to futureproof this position by capitalising on the recent growth of the offshore renewables sector. To ensure this opportunity is realised, Norfolk County Council, Great Yarmouth Borough Council and the New Anglia LEP are proactively seeking to raise the area's profile by creating facilities which are likely to attract investment.
- ii. These plans are being progressed through a masterplan which is being developed by WSP. This will outline the optimum design and specification for a shared Operations and Maintenance (O&M) facility in Great Yarmouth. Through the masterplanning process, commercial viability will be tested, timelines and regulatory hurdles will be considered and funding sources identified.
- iii. The masterplan is underpinned by this demand study which aligns design proposals with the growth needs of the energy sector. It considers demand at international, national and local scales and is based on analysis of primary and secondary data. This report is accompanied by a complimentary Foreign Direct Investment (FDI) assessment which outlines key international trends and considers the ability of Great Yarmouth to attract inward investment.

Figure 1.1 Statistical Summary of Results



- 1.2 This study shows that there is some demand for shared O&M developments to be brought forward in Great Yarmouth. The Core Energy Sector is experiencing strong growth at national and regional scales and some relevant organisations expressed an interest in new space. This is complemented by low commercial vacancy rates and falling floorspace in the region. If the masterplan is conscious of mixed opinions from operations and supply chain

businesses about design and operations, Great Yarmouth can take advantage of the current and future opportunities presented by the growth of the sector.

International Trends

- iv. International investment into the UK could lead to increased demand for facilities in Great Yarmouth. The UK has performed well in terms of attracting FDI, with high levels of inward investment from the USA, Europe and Asia. The East of England is yet to fully benefit from FDI to the same extent as other regions, performing poorly in relation to FDI projects and new jobs created. Despite this, there were 68 FDI projects involving the renewable energy sector in the UK in 2017-18. Developments which enhance the attractiveness of Great Yarmouth could help to boost the FDI competitiveness of the East of England as a whole.

National Trends

- v. The growth of the Core Energy Sector nationally suggests that there could be demand for new facilities across the country. There has been a significant growth in the number of businesses and number of people in employment within the sector - between 2010 and 2018, there was an increase of 12,000 Core Energy Sector businesses and between 2010 and 2017 an extra 33,000 people in employment.

Regional Trends

- vi. Regional sector analysis reveals that Norfolk and Suffolk have a specialism in the Core Energy Sector, indicating that there could be demand for new sector-specific developments. The region's Core Energy Sector is on a positive growth trajectory, experiencing a 21% increase in the number of businesses between 2010 and 2018. This means that the region now has a higher concentration of Core Energy Sector businesses than the national average. Business growth is supplemented by an increase in the number of people employed in the sector which grew by 10% between 2010 and 2017.

Regional Commercial Market Trends

- vii. The region's healthy commercial market illustrates demand for new office and industrial developments in Norfolk and Suffolk. Key findings include:
 - **Low vacancy rates** – in 2017, office and industrial vacancy rates in Norfolk and Suffolk were lower than the England average
 - **Lower rental prices** – Norfolk and Suffolk have lower rental prices on average than other areas in the South East of England
 - **Fall in floorspace** – there has been a net fall in the amount of available industrial and office floorspace since 2012
- viii. Market trends show that most demand for office space in the region is for developments which are under 20,000 sq ft. Similarly, the most popular industrial development size was between 2,000 and 4,999 sq ft, with demand tailing off for developments with a footprint over 20,000 sq ft.

Regional Growth Potential

- ix. Wider analysis of the region's growth potential demonstrates the area's capacity for absorbing future growth of the Core Energy Sector. Forecasts show that there is projected to be a larger workforce with a changing qualification profile. Education and industry partnerships are shown to be critical for bringing forward the skills required to facilitate the growth of the sector.

Demand for a Multi-User Business Centre

- x. Consultation was undertaken to capture the views of energy sector businesses, their supply chains and industry experts. This indicated demand for the right type of shared developments in Great Yarmouth. The following themes capture the demand for O&M facilities in Great Yarmouth:
- **Timing of proposed development** – multiple large-scale energy sector businesses would consider locating in Great Yarmouth if the right facility became available
 - **Challenges and opportunities** – whilst Great Yarmouth's port rates and connectivity were highlighted as potential restrictions to growth, the skills base and technical considerations make development in Great Yarmouth an attractive proposition
 - **Mixed opinions on shared facilities** – overall consultees responded positively to the idea of shared O&M facilities *if* consideration is made to commercial sensitivity and security
 - **Demand for the right developments** – demand appears to exist for developments which provide an uplift on available office space and offer the ability to house clean and dirty activities at the same facility
 - **Clear steer on aviation and ancillary developments** – whilst aviation facilities can help to attract supply chain companies to the area, other ancillary developments were not deemed essential to the attractiveness of an O&M facility

1. Introduction

- 1.1 Great Yarmouth has been one of the UK's main offshore energy centres for over 50 years. It is now England's largest, with over 400 specialist businesses operating within an extensive offshore supply chain. The key industries operating in the area are displayed below.

Figure 1.1 Key Industries Operating in Great Yarmouth



Source: Hatch Regeneris, 2018

- 1.2 The area operates within a competitive market. There are several other places of national importance, including: Tees Valley (e.g. Hartlepool, Stockton, Darlington, Middlesbrough and Redcar), Humber (e.g. Grimsby, Hull and Immingham), Liverpool City Region (e.g. Liverpool, Sefton, Knowsley and Widnes), South East (Thamesport, Sheerness, Ramsgate, Whitstable, Harwich and Brightlingsea) and Lowestoft.
- 1.3 The last few years have been difficult for the oil and gas industry due to a range of political and economic factors. There are, however, several emerging opportunities for Great Yarmouth particularly related to offshore renewable energy. While the renewables industry has grown at a slower rate than expected over the last decade, the UK market accelerated in recent years as the sector has substantially reduced costs and the government has made more money available for operators.
- 1.4 Great Yarmouth has a number of comparative strengths in offshore renewable energy, including:
- A high concentration of windfarms within 100 miles (e.g. Scroby Sands, Sheringham School, East Anglia Array, Hornsea and Dogger)
 - A range of specialist support businesses (e.g. 3Sun Group, ODE and Seajacks)
 - Presence of globally significant multinationals (e.g. Siemen's wind turbine assembly location and installation facility for the Galloper and East Anglia ONE windfarms)
 - Its classification as one of the government's five Centres for Offshore Renewable Engineering with Lowestoft

- 1.5 This, alongside other emerging opportunities (e.g. around decommissioning), has stimulated investor interest which has come to the attention of Norfolk County Council, Great Yarmouth Borough Council and the New Anglia LEP. In an attempt to capitalise on this, they have developed two proposals to explore as displayed in the box below. The aim is to provide the right type of space required for different types of businesses working within or alongside the energy sector.

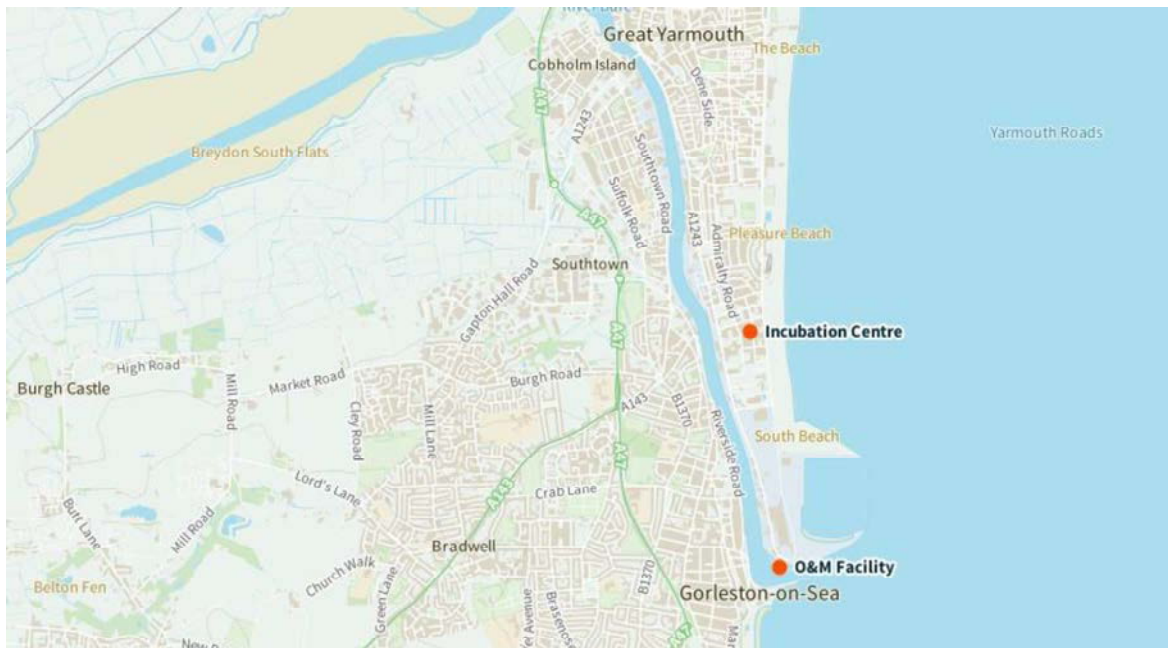
Proposal 1: Operations and Maintenance Facility

- Development of a shared facility to support businesses that operate and maintain offshore energy technologies
- Facility to be used by different businesses at different times and could include supporting features such as offices, workshops, storage space, quay access, car parking etc.
- Suggested location is a site to the east of the River Yare, just off South Denes Road, at the base of the land abutting the estuary (see map)
- The facility should remain in single ownership to ensure it can take advantage of the Great Yarmouth and Lowestoft Enterprise Zone status – this offers: a business rate discount of up to £275,000 over five years, simplified planning and superfast broadband.

Proposal 2: Incubation Centre for Energy Sector

- Development of an incubation centre for start-up businesses focused on the energy sector and its supply chain
- Intention is to build on the regional successes at ORBIS Energy Centre in Lowestoft, Beacon Innovation Centre in Gorleston and Hethel Technology Park outside Norwich
- Potential site owned by Great Yarmouth District Council has been identified for this which is to the east of the River Yare close to Nelson's Monument by Fenner Road (see map)

Figure 1.2 Map of Proposed Development Sites



Contains OS data © Crown copyright and database right 2018

Source: Hatch Regeneris, 2018

Study Scope and Structure

1.6 Norfolk County Council, Great Yarmouth Borough Council and the New Anglia LEP have commissioned WSP and Hatch Regeneris to develop and explore these proposals. The purpose of the overall commission is fourfold:

- To explore the demand for these proposals at international, national, regional and local scales
- To understand the needs and requirements of businesses of different sizes
- To undertake a design, feasibility, financial assessment and masterplan study for the proposals
- To explore the demand and viability to establish a helipad to support the sector

The ultimate intention of the commission is to provide the inputs required to develop a Business Case to justify public sector intervention and investment.

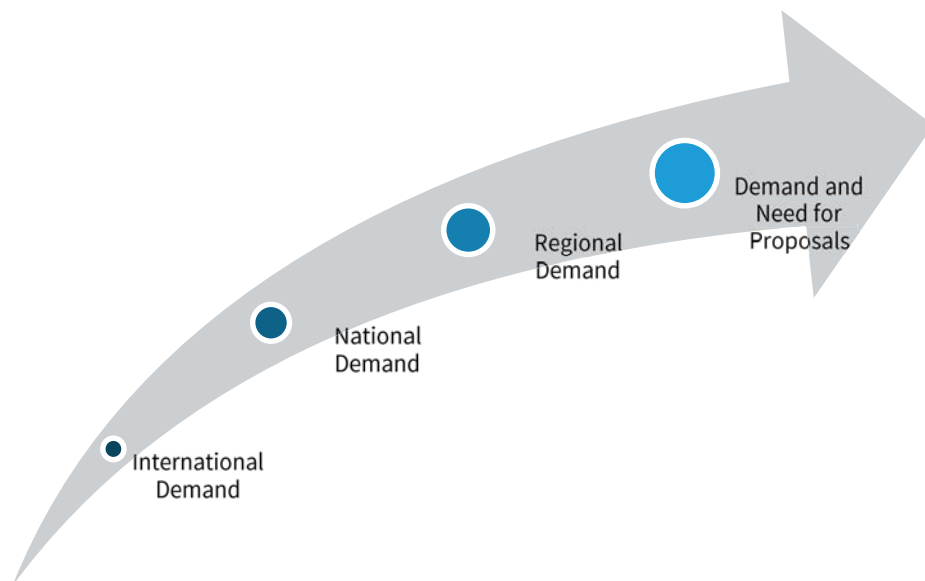
1.7 This report focuses on the first two bullet points set out above. It begins by assessing the strategic context and then considers demand and need at international, national, regional and local scales. It is structured as follows:

- 1) Study Background
- 2) International trends
- 3) National trends
- 4) Regional commercial market trends
- 5) Regional growth potential
- 6) Demand for operations and maintenance facility
- 7) Demand for incubation centre

The first five sections rely on the analysis of data and information from secondary sources and the latter two are based on consultation and survey data collected from relevant businesses.

1.8 A complementary Foreign Direct Investment (FDI) report has also been completed which provides more detail on international/national demand and conditions.

Figure 1.3 Study Approach



Source: Hatch Regeneris, 2018

Sector Definition and Study Geography

- 1.9 The energy sector can be defined using Standard Industrial Classification (SIC) codes. SIC codes are a system used by government and other agencies to classify industry activities and enable the trends and performance of a sector to be analysed.
- 1.10 For this study, we used a SIC code definition of the energy sector from Energy and Utility Skills¹. This was adjusted to focus on the core activities related to the energy sector, which involved omitting activities related to water and waste management. The SIC codes and broad activities used to define the Core Energy Sector for this study are displayed in the table below.

Table 1.1 Activities and SIC Codes Associated with Core Energy Sector

	Description	SIC
Power / Electricity	Production of electricity	3511
	Transmission of electricity	3512
	Distribution of electricity	3513
	Trade of electricity	3514
Gas Transmission and Distribution (Gas T&D)	Manufacture of gas	3521
	Distribution of gaseous fuels through mains	3522
	Trade of gas through mains	3523
Gas Utilisation	Steam air conditioning supply	3530*
	Plumbing, heating and air-conditioning installation	4322*

Source: Hatch Regeneris, 2018; and Energy Utility and Skills, 2014

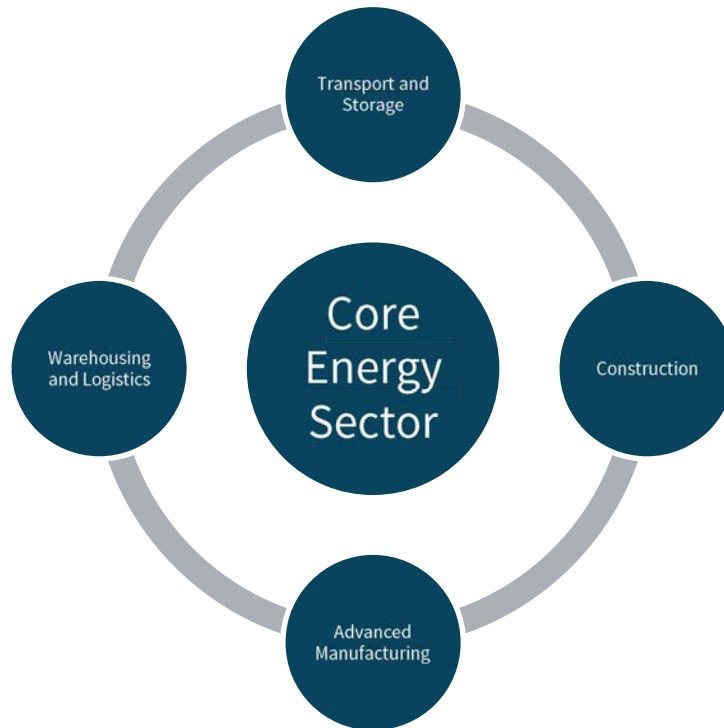
* These SICs are used as a proxy for the Gas Utilisation Industry

- 1.11 National Grid's definition of the Core Energy Sector includes the SICs above but also emphasises the importance of considering a range of supporting activities. As such, we have assessed the performance of other relevant sectors in our analysis, including: Transport and Storage,

¹ Energy Sector Definition: <https://www.euskills.co.uk/sites/default/files/2014%20Skills%20Needs%20Review.pdf>

Warehousing & Logistics, Construction and Advanced Manufacturing. Activities associated with these industries are relevant to the two proposals and contribute to the supply chain of the Core Energy Sector.

Figure 1.4 Core Energy Sector and Supporting Sectors Considered



Source: Hatch Regeneris. 2018

- 1.12 The study geography for the statistical analysis focuses on Norfolk and Suffolk as a combined area due to the east coast's specialism in offshore energy operations and maintenance.
- 1.13 Economic performance of the study area will be compared against the performance of the wider East of England region, as well as the England average. The East of England region comprises the counties of Bedfordshire, Cambridgeshire, Essex, Hertfordshire, Norfolk and Suffolk. This will allow the strength of the Core Energy Sector in the region to be benchmarked against suitable reference cases, enabling the identification of local strengths, weaknesses and specialisms.

2. Study Background

- 2.1 This study has been informed by an analysis of relevant research, policy and strategy at national, regional and local scales. A summary of the most relevant information and its importance to Great Yarmouth is provided below.

National: Industrial Strategy, HM Government

- 2.2 The UK's *Industrial Strategy* was published in 2017. It aims to boost productivity by supporting businesses to create jobs and by increasing the earning power of the population through investment in skills, industry and infrastructure. This is to be achieved via three pillars of activity:
- 1) Strengthening the foundations of productivity
 - 2) Building long-term strategic partnerships with businesses through Sector Deals between government and industry
 - 3) Taking on Grand Challenges
- 2.3 The energy sector and green technology is explicitly referenced within the *Clean Growth Grand Challenge* – the third of the Grand Challenges set out. This is focused on maximising the benefits of the global shift to clean energy and technology. The government has committed to supporting industry with the development, manufacture and use of low carbon technologies, systems and services that cost less than high carbon alternatives.
- 2.4 While a sector deal does not yet exist for renewable energy, the industry is currently working with the government to develop a deal. The renewable industry's vision for the deal includes:
- £48 billion investment in UK infrastructure
 - A five-fold increase in export value to £2.6 billion a year
 - 27,000 skilled jobs across the UK (up from 11,000 today) mainly in coastal areas by 2030
 - £2.4 billion a year reduction in total electricity system costs by 2030
 - Generating one third of the UK's electricity from offshore wind by 2030
- 2.5 The sector's engagement with the government is being led by The Baroness Brown of Cambridge, the UK's Low Carbon Business Ambassador and Vice Chair of the Committee on Climate Change. A prospectus has been compiled and a period of engagement has been entered with the government. Momentum is building and the deal is explicitly referenced as a desirable outcome in the government's *Clean Growth Strategy* (see next page).
- 2.6 If successful, a deal would complement the existing *Nuclear Sector Deal* and the government's *Contract For Difference (CFD)* Policy.

Contract for Difference (CFD)

A (CFD) is a contract between a low carbon electricity generator and the government. The generator is paid the difference between the 'strike price' (a price for electricity reflecting the cost of investing in a particular low carbon technology) and the 'reference price' (a measure of the average market price for electricity). It gives greater certainty and stability of revenues to generators by reducing their exposure to volatile wholesale prices.

The government has already delivered two rounds of CFD funding for operators and plan to deliver a third round in 2019. This presents an opportunity for operators in Great Yarmouth and other parts of the UK. It is expected that an additional round may also be released in 2020 which presents further opportunities.

National: Clean Growth Strategy, HM Government

- 2.7 The UK's *Clean Growth Strategy* was published in October 2017 and speaks directly to the Industrial Strategy. It sets out a series of policies and proposals to accelerate the pace of 'clean growth'. The aim is to deliver the twin objectives of increasing economic growth while decreasing greenhouse gas emissions.
- 2.8 The strategy sets out fifteen broad policies, which are made up of a range of different proposals. Policy areas include:
- Accelerating green growth
 - Improving business and industry efficiency
 - Improving our homes
 - Accelerating the shift to low carbon transport
 - Delivering clean, smart, flexible power
 - Enhancing the benefits and value of our natural resources
 - Leading in the public sector
 - Government leadership in driving clean growth
- 2.9 The most relevant policy area for the energy sector is *delivering clean, smart and flexible power*. More detail on what proposals this includes is set out below.

Delivering Clean, Smart, Flexible Power

Reduce power costs for households and businesses by:

- Implementing the smart systems plan
- Working with Ofgem and National Grid to create a more independent system operator to keep bills low through greater competition, coordination and innovation across the system
- Responding to the forthcoming independent review into the cost of energy led by Professor Dieter Helm CBE
- Publishing a draft bill to require Ofgem to impose a cap on standard variable and default tariffs across the whole market

Phase out the use of unabated coal by 2025

Deliver new nuclear power through Hinkley Point C

Improve the route to the market for renewable technologies such as offshore wind through:

- Up to £557 million for further Pot 2 Contract for Difference auctions
- Working with industry as they develop an ambitious Sector Deal for offshore wind, which could result in 10 gigawatts of new capacity
- Target a total carbon price in the power sector which will give businesses greater clarity on the total price they will pay for each tonne of emissions

Invest around £900 million of public funds, including around:

- £265 million in smart systems to reduce the cost of electricity storage, advance innovative demand response technologies and develop new ways of balancing the grid
- £460 million in nuclear to support work in areas including future nuclear fuels, new nuclear manufacturing techniques and advanced reactor design
- £177 million to further reduced the cost of renewables, including innovation in offshore wind turbine blade technology and foundations

Regional: Norfolk and Suffolk Economic Strategy, New Anglia LEP

- 2.10 The New Anglia Local Enterprise Partnership (New Anglia LEP) is a business-led collaboration between the private, public and education sectors across Norfolk and Suffolk. The LEP published their *Norfolk and Suffolk Economic Strategy* in November 2017, which examines the composition of the local economy, identifies priority clusters, details priority places for investment and sets targets to measure future growth.
- 2.11 The strategy sets out key targets to achieve by 2036:
- Creation of 88,000 new net jobs
 - Delivery of 140,000 new homes
 - £17.5 billion growth in the economy
 - 30,000 new successful businesses
- 2.12 The strategy identifies energy as one of nine key sectors where Norfolk and Suffolk has a competitive advantage. It states:
- “The East of England Energy Zone is unrivalled in the UK for its unique mix of wind power, gas and nuclear energy production. The supply chain has 50 years of experience and expertise, recognised with Enterprise Zone status... The coast around Greater Yarmouth and Lowestoft is at the centre of the world’s largest market for offshore wind. Capital investment in clean energy worth £50bn is planned for the region by 2020, with the development of the world’s largest windfarm in development off the coast, the proposed development of Sizewell C... and opportunities in decommissioning of existing nuclear power facilities and offshore installations”.***
- 2.13 The strategy also sets out several clusters which will be the focus of LEP activity. Clean Energy is identified as one priority, alongside Financial Services and Insurance; ICT, Tech and Digital Creative and Life Sciences and Biotech. A new commercial plan will be put together for each cluster and priorities for investment will be identified. These plans will aim to:
- Encourage new companies and commercial investment
 - Establish global and national links
 - Maximise local supply chain benefits
 - Market the commercial opportunity
 - Develop the ecosystem that enables the cluster to thrive
- 2.14 The strategy also identifies six priority places for intervention, which includes a focus on the Norfolk and Suffolk Energy Coast.

Local: Great Yarmouth Local Plan, Great Yarmouth District Council

- 2.15 The *Great Yarmouth Local Plan* was published and adopted by Great Yarmouth Borough Council in 2013. It provides the basis for future developments in the area and is built upon up-to-date evidence about the economic, social and environmental status of the area. Planning applications are considered against the policies outlined within it.
- 2.16 As set out below, a clear vision has been identified.

Great Yarmouth Local Plan Vision

By 2030, the Borough of Great Yarmouth will be a **more attractive and aspirational place to live, work and play**, with strong links to Lowestoft, the Broads, Norwich, rural Norfolk and the wider New Anglia (Norfolk and Suffolk) Local Enterprise Partnership area.

The distinctive qualities and character of each of the towns and villages within the borough will have been maintained. New development will have been integrated carefully into settlements; respecting local distinctiveness, raising the standards of sustainable design and architectural quality and ensuring the protection, restoration and enhancement of valuable natural and historic resources.

7,140 new homes catering for the needs of residents will be provided in order to give choice of tenure and location. The majority of new housing will have been located in the borough's main towns (Great Yarmouth and Gorleston-on-Sea) and key service centres (Bradwell and Caister-on-Sea), enabling the towns to embrace their roles as the borough's economic and social hubs and providing an enhanced variety of new housing, employment opportunities and essential infrastructure that is of benefit to existing and future residents.

Economic development will have played to the key strengths and resources of the borough with the expansion of the energy sector and port industries. Local and smaller scale businesses will also have had the opportunity to thrive and grow. In addition, the continued attraction of the coast and the Broads, along with a range of high quality year-round tourist attractions and accommodation will have seen the tourism sector continue to flourish. As a result unemployment, including seasonal unemployment, will have been substantially reduced.

- 2.17 *Policy CS6* is focused on the local economy and has a number of targets and objectives relating to the energy sector and the proposals for new facilities in Great Yarmouth. The most relevant include:
- Encouraging the redevelopment and intensification of employment sites
 - Safeguarding local employment areas
 - Supporting port-related development proposals relating to the Outer Harbour and existing river port, in particular cargo handling and other port related activities
 - Encouraging a greater presence of higher value technology and energy-based industries, including offshore renewable energy companies
 - Encouraging the development of small-scale business units
 - Improving workforce skills by working with local education and skills agencies and local business organisations to establish training facilities to enhance workforce skills and by encouraging the provision of new training facilities on employment sites

Implications for Great Yarmouth

- 2.18 These documents and strategies demonstrate that the growth of the renewable energy sector is seen as a priority at national, regional and local scales. There is momentum and appetite to grow the sector and to deliver proposals that support it.
- 2.19 It is also clear that there are several opportunities which are likely to support the development of the renewable energy sector. These include the possible benefits associated with the emerging renewable energy sector deal and further rounds of CFD funding. There are also notable proposals in the *Clean Growth Strategy*, including:
- Phase out the use of unabated coal by 2025
 - £265m investment in smart systems to reduce the cost of electricity storage, advance innovative demand response technology and develop new ways of balancing the grid
 - £177m to further reduce the cost of renewables, including innovation in offshore wind turbine blade technology and foundations
- 2.20 The emergence of a commercial plan for the Clean Energy Sector in Norfolk and Suffolk by the New Anglia LEP represents a good opportunity to plan for and anticipate these opportunities in order to maximise the impacts for Great Yarmouth. If these opportunities are realised it would generate demand for new facilities and developments focused on the sector across the region.

3. International Trends

- 3.1 Inward investment is becoming an increasingly important indicator of an area's future sustainability and economic success. A standalone Foreign Direct Investment (FDI) Foresight report has been produced to complement this study and provides further detail.
- 3.2 Despite future uncertainties such as Brexit, inward investment in the UK has grown significantly in recent years. Since 2007 the number of FDI projects has grown by 32% to over 2,000 projects. The number of new FDI jobs has also increased by 69% to 75,968 in 2017-18. Of this, FDI involving renewable energy projects accounted for 3% (68) of the UK total and 2% (1,620) of new jobs in 2017-18.
- 3.3 The UK is consistently ranked as one of the best places in the world to invest in offshore wind. EY's Renewable Energy Country Attractiveness Index (RECAI) ranks 40 countries on their inward investment and deployment opportunities. The UK ranks at number seven on the 2018 league table, behind China, the USA, Germany, India, Australia and France.

Table 3.1 Sources of Inward Investment

	2016/17 Projects	2016/17 New Jobs	2017/18 Projects	2017/18 New Jobs
Total	2,265	75,226	2,072	75,968
United States	557	24,607	514	26,570
Germany	100	5,802	127	9,357
India	127	3,999	120	5,659
France	131	5,831	94	5,054
Japan	116	3,511	116	2,878
Nordic & Baltic	146	4,417	138	2,537
Australia & New Zealand	127	2,197	95	2,474
Netherlands	53	2,048	56	2,292
Spain	70	1,789	54	2,229
Canada	72	1,788	85	2,114
China & Hong Kong	160	3,326	125	2,063
Italy	99	1,482	95	1,343

Source: UK Department for International Trade, 2018

- 3.4 In terms of source markets, the United States continues to provide the most projects and new jobs. Six of the top 12 sources for UK FDI lie outside of the EU – although Scandinavia, France and Germany are also all major opportunity markets for the UK.
- 3.5 This inward investment into the UK culminated in 94 FDI projects and created 2,235 jobs in the East of England in 2017-18. Equating to 2.9% of new FDI jobs nationally, this measure makes the East of England one of the least competitive regions for attracting inward investment.
- 3.6 Great Yarmouth itself has a number of strengths and weaknesses which will influence its attractiveness for FDI. These strengths need to be celebrated and weaknesses, where possible, need to be overcome.

Table 3.2 Great Yarmouth's Strengths and Weaknesses for Inward Investment

Strengths	Weaknesses
Deep water port access	Remoteness compared to other big city ports with urban attractions, airports and universities
Proximity to North Sea wind farms	Access to wider road and rail network for the rest of the UK
Proximity to North Sea oil and gas assets	Lack of profile
Availability of commercial development sites	Often not considered as a business location
Existing supply chain of offshore related companies	Limited city or regional support activity
Committed public and private partnership working	Perceived skills issues

Source: Breeze FDI, Great Yarmouth FDI Report

Implications for Great Yarmouth

- 3.7 The strong recent FDI performance of the UK reinforces its ability to secure inward investment. While the East of England performs poorly in terms of attracting inward investment, new developments could help to enhance the region's attractiveness to multinational companies. It is positive that the UK is seen as one of the most attractive places in the world to invest in offshore wind.

4. National Trends

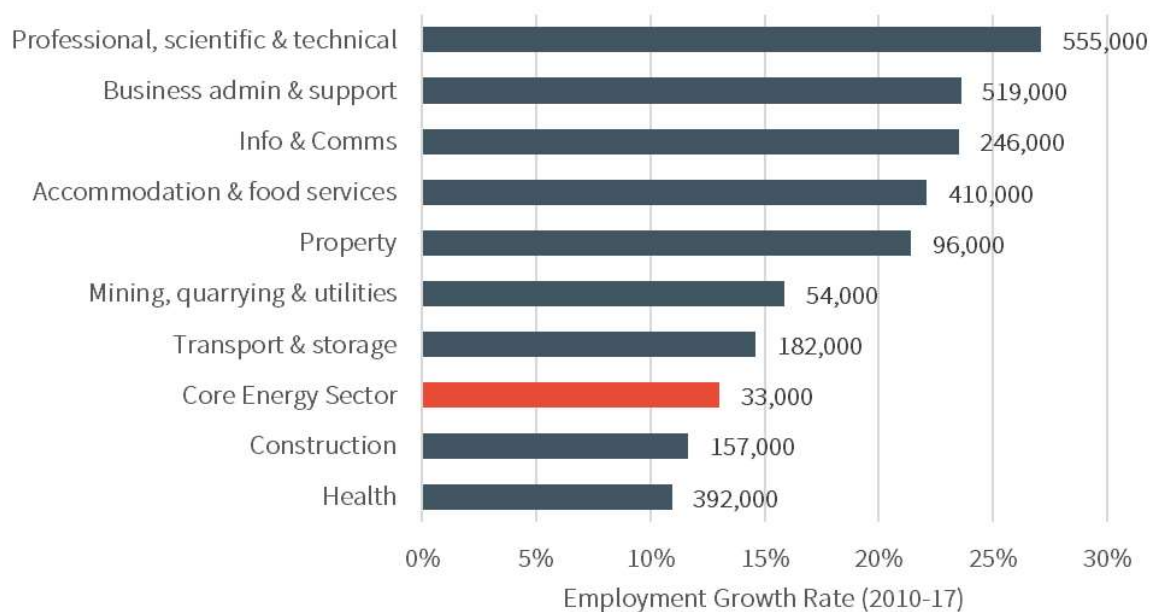
Economic trajectory

- 4.1 Since 2009, the UK economy has experienced eight consecutive years of growth, with gross domestic product (GDP) growing by 1.4% during 2017. Looking ahead, the Office for Budget Responsibility's (OBR) latest outlook anticipates marginal growth in 2018, before slowing down for 2019, and then picking up again modestly for the subsequent three years. Previous forecasts projected that the UK's decision to leave the European Union would slow growth. However, recent economic performance has been better than expected.

Employment

- 4.2 In 2017, there were approximately 30.6 million individuals in employment across Great Britain². Amidst political and economic uncertainty, the UK's labour market has proved to be relatively resilient. The 4% unemployment rate is currently at a record 44-year low and has been on a downward trend since 2011 when unemployment was at 8.5%. Since 2010, an additional 2.7m (or +10%) jobs were created in the economy. The chart overleaf illustrates the top 10 sectors which have contributed most to that growth.

Figure 4.1 Top 10 Fastest Growing Sectors by Employment Between 2010-17



Source: ONS, BRES, 2018

- 4.3 Between 2010-17, the fastest growing three sectors were related to professional services which accounted for 49% of total employment growth in Great Britain (Professional, Scientific and Technical; Business, Administration and Support; Information and Communications). **The Core Energy Sector, as defined in this study, was the eighth fastest growing. Over the period, 33,000 jobs were created within the sector equating to an overall a growth rate of 13%.**

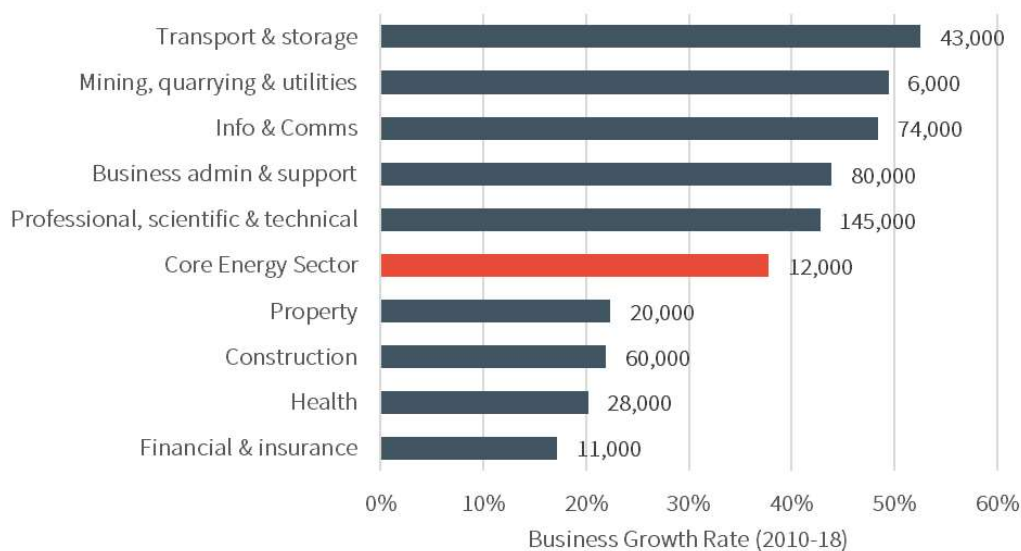
² Analysis can only be completed at the Great Britain level

- 4.4 Sectors that contribute to the Core Energy Sector's supply chain also experienced employment growth. For example, employment also grew significantly in Transport and Storage (+182,000) and Construction (+157,000) between 2010 and 2017.

Business growth

- 4.5 The total number of businesses in Great Britain grew by 22% to 3 million between 2010 and 2018.
- 4.6 Transport and Storage was Britain's fastest growing sector, growing by +53% (an overall rise of 43,000 businesses) and the Construction sector was eighth (an overall rise of 60,000 businesses). **The Core Energy Sector was the sixth fastest growing sector, with an extra 12,000 new businesses established between 2010 and 2017.**

Figure 4.2 Top Ten Fastest Growing Sectors by Business Growth 2010-18



Source: ONS Business Count, 2018

Implications for Great Yarmouth

- 4.7 The Core Energy Sector has grown significantly in terms of employment and businesses at the national scale between 2010 and 2017. This is a positive trend that may drive demand at local scales. Great Yarmouth is well positioned to take advantage of this.
- 4.8 The growth of other relevant industries such as Transport and Storage and Construction should also be viewed as significant as these are important to the success of the Core Energy Sector.

5. Regional Trends

- 5.1 While Great Britain has seen significant growth in the Core Energy Sector, it is important to understand how this translates locally.
- 5.2 There are 74,500 businesses and 719,000 individuals working in Norfolk and Suffolk. The region's economy has grown since 2010, with 11% more businesses and 8% more people employed in the area. Growth rates have been less pronounced than in the East of England as a whole (+20% business growth and +13% employment growth over the period) and national (+24% business growth and 10%+ employment growth) levels.
- 5.3 **The Core Energy Sector in Norfolk and Suffolk employs 6,500 people and is home to 1,300 businesses (2% of area's total). Both the number of individuals in employment (+10.5%) and businesses (+23%) have grown significantly since 2010. The concentration of Core Energy Sector businesses in the area is 1.2 times greater than that of England indicating that it is a specialism.**
- 5.4 Sectors related to the Core Energy Sector have also shown strong growth since 2010:
- **Transport:** the number of individuals in employment and businesses grew by +13% and +19%, respectively.
 - **Warehousing & Logistics:** in 2010, there were 650 businesses in the study area and by 2018 this has grown to 1,200.
 - **Construction:** employment and business growth of +8% and +11%, respectively.
 - **Advanced Manufacturing:** there were 11% more businesses in the advanced manufacturing sector in 2018 than in 2010
- 5.5 Aside from experiencing strong growth, the Core Energy Sector and its supporting activities have a higher concentration of businesses and workers in the study area than in England as a whole. This can be explained by businesses operating in the same industry being more likely to locate close to one another, which in turn fuels further clustering. Compared to the England average, there are:
- 1.2x more businesses in the region operating in the Core Energy, Advanced Manufacturing, and Warehousing sectors than in England; and
 - 1.1x more construction and transport businesses and individuals.

Figure 5.1 Study Area's Economic Composition

Sector		Businesses				Employment			
		UK Business Count				BRES			
		2018		% change between 2010-18		2017		% change between 2010-17*	
		No.	%	LQ	%	No.	%	LQ	%
Industrial	Manufacturing	3,900	5%	1.1	-4%	68,050	9%	1.2	0%
	Advanced Manufacturing	1,300	2%	1.2	11%	23,600	3%	1.0	-3%
	General Manufacturing	1,900	3%	1.1	-10%	23,200	3%	1.0	2%
	Creative and Media Manufacturing	350	0%	0.8	-27%	4,550	1%	1.5	-14%
	Food Manufacturing	350	0%	1.4	18%	16,750	2%	1.8	8%
	Utilities & Waste	450	1%	1.1	23%	7,350	1%	1.0	1%
	Core Energy Sector**	1,300	2%	1.2	21%	6,500	1%	1.0	10%
	Construction	9,050	12%	1.1	11%	38,750	5%	1.1	8%
Support Industries	Transport	2,300	3%	1.1	19%	23,900	3%	1.1	13%
	Warehousing & Logistics	1,200	2%	1.2	80%	9,500	1%	0.7	-11%
Local Services	Retail	9,650	13%	1.1	1%	89,700	12%	1.1	0%
	Wholesale	3,100	4%	1.0	-7%	27,750	4%	0.9	-7%
	Visitor Economy	6,850	9%	1.1	11%	77,200	11%	1.1	23%
Professional Services	Professional and Financial	11,800	16%	0.8	19%	75,200	10%	0.8	9%
	Business Support	5,150	7%	0.9	27%	55,550	8%	0.9	41%
	Other Service	2,750	4%	1.1	5%	12,550	2%	1.0	-9%
Public Admin, Education & Health		6,900	9%	1.1	17%	183,300	25%	1.0	5%
All Employment and Businesses***		74,650	100%	1.0	11%	718,900	100%	1.0	8%

Source: ONS, BRES 2017; and ONS, UK Business Count 2017

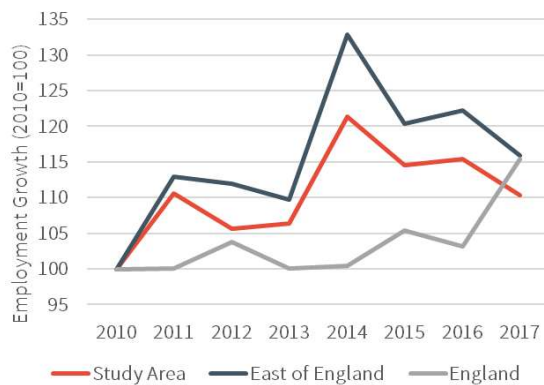
Note: LQ cells > 1.0 have been shaded green. Location Quotient quantifies the concentration of the industry in the region compared with the nation as a whole. The higher the LQ score, the greater the level of specialisation compared to the national average

*A scaling factor has been applied to 2011 data due to BRES methodological changes in the way they count employment numbers. The figures should be strictly treated as an indicator of trends and not for their absolute value

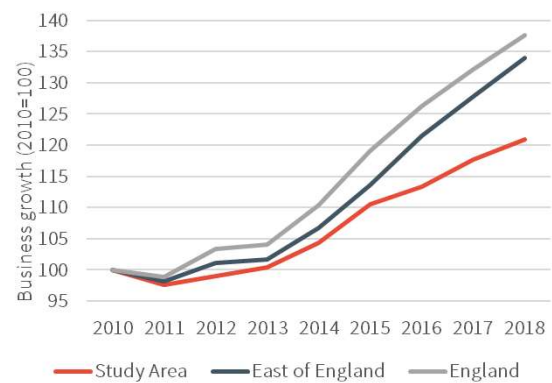
**Due to the inclusion of the "Steam and Air Conditioning Supply" and "Plumbing, heat and air-conditioning installation" as a proxy for the Gas Utilisation industry the Core Energy Sector is defined to be bigger than the Utilities and Waste sector.

***A sum of the column will lead to double counting due to cross cutting of sector definitions in identify specialised sectors

- 5.6 Employment in the Core Energy Sector has increased, peaking in 2014, and growing by 10% between 2010 and 2017. Until 2017, employment growth performance in Norfolk and Suffolk outpaced the England average.
- 5.7 While the number of businesses in the Core Energy Sector have grown steadily since 2010 in Norfolk and Suffolk, this has not matched the higher growth rates of the East of England or England.

Figure 5.2 | Employment Growth in the Core Energy Sector 2010-17 (Indexed 2010=100)

Source: ONS, BRES 2018

Figure 5.3 | Business Growth in the Core Energy Sector 2010-18 (Indexed 2010=100)

Source: ONS, UK Business Count 2018

Implications for Great Yarmouth

- 5.8 National growth of the Core Energy Sector is reflected through strong regional growth in Norfolk and Suffolk. The significant growth in the number of businesses means that Norfolk and Suffolk are now specialised in the sector. Businesses tend to want to locate in clusters, especially where there is a strong supply chain. This means that high business concentrations in the region could drive current and future demand for sector-specific developments in the region.

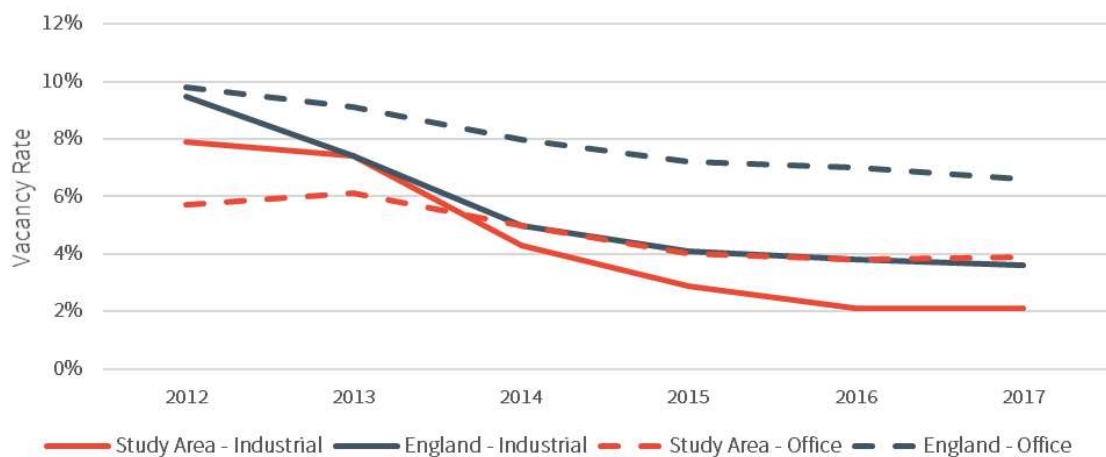
6. Regional Commercial Market Trends

Market Trends

Vacancy Rates

- 6.1 Vacancy rates for commercial space in Norfolk and Suffolk have fallen significantly since 2012. **The vacancy rates for industrial premises in the study area fell to 2% in 2017, a fall of 6% since 2012.** This is lower than the England average which had a vacancy rate of 3.6% in 2017.
- 6.2 Similarly, office vacancy rates have fallen in the study area over the last five years. **Between 2012 and 2017, office vacancy rates fell by 1.8% in Norfolk and Suffolk to 4% in 2017.** Again, this is notably lower than the England office vacancy rate average which stood at 6.6% in 2017.

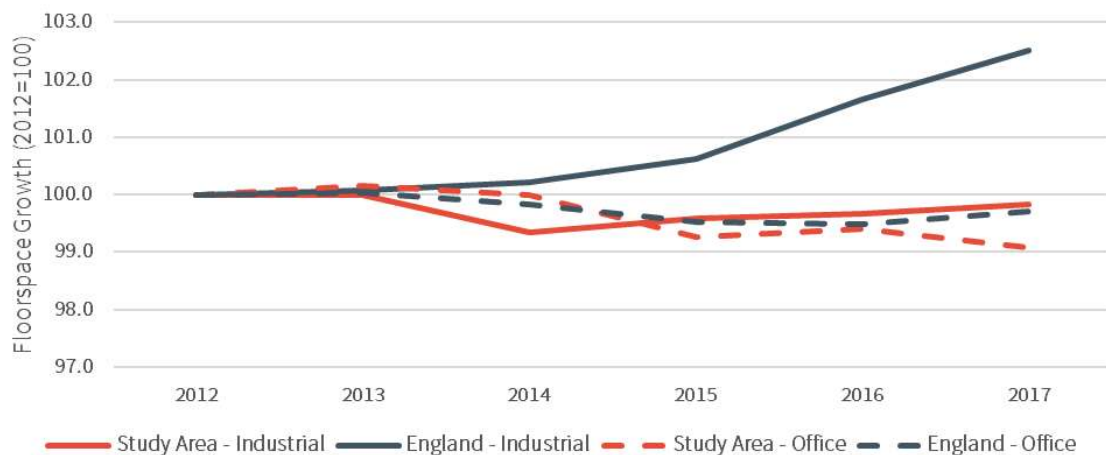
Figure 6.1 Office and Industrial Vacancy Rates (%) 2012-2017



Source: Co-Star, 2018

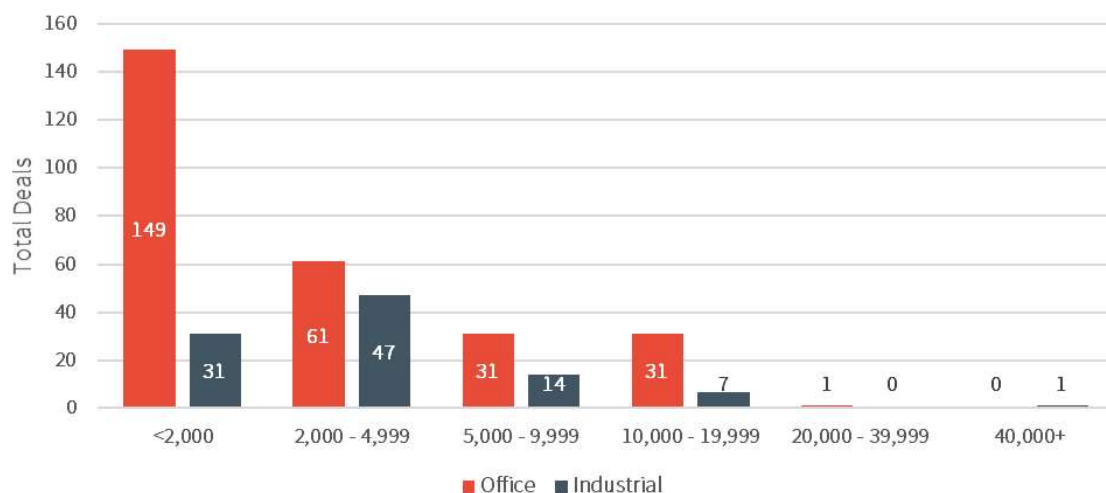
Floorspace

- 6.3 While vacancy rates have fallen substantially since 2012, the amount of available commercial floorspace has stagnated in Norfolk and Suffolk. **Indexed industrial floorspace illustrates that over the period, the study area has seen a net reduction in the amount of available floorspace.** This is the opposite of the national trend which has seen a net gain over the same period.
- 6.4 Additionally, there has also been a **net loss of office space in Norfolk and Suffolk over the last five years.** This is a trend mirrored nationally, with the England average also showing a net loss of office space over the period.

Figure 6.2 Office and Industrial Floorspace Growth (Indexed: 2012=100)

Source: Co-star, 2018

Deals

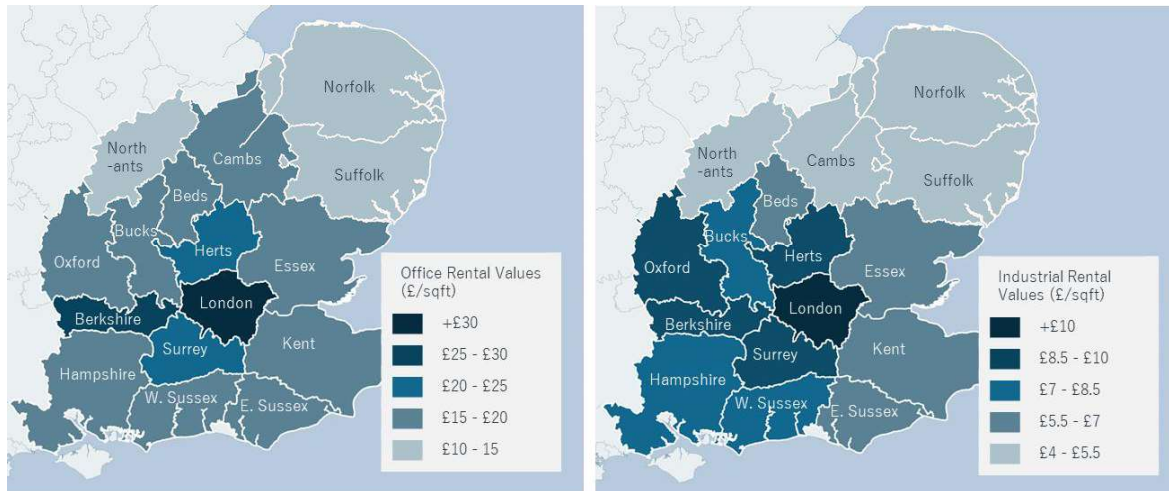
Figure 6.3 Total Office and Industrial Deals by sq ft, 2012-2017

Source: Co-star, 2018

- 6.5 Office space in Norfolk and Suffolk appears to be in demand. **Smaller office spaces (under 5,000 sq. ft.) have been most popular, with 210 deals completed in the region between 2012 and 2017.** There was also some demand for office space up to 19,999 sq ft, however there was limited demand for larger office developments (only 1 deal was completed for office space over 20,000 sq ft between 2012 and 2017).
- 6.6 There also appears to be demand for industrial space. **The most popular industrial space size in Norfolk and Suffolk was 2,000 – 4,999 sq ft with 47 deals completed between 2012 and 2017.** There was also some demand for spaces ranging from <2,000 to 40,000 sqft, however there was limited demand for larger space (1 deal was completed for industrial space over 20,000 sq ft between 2012 and 2017).

Retail Values

Figure 6.4 Average Commercial Rental Values by Region (Office: Left; Industrial: Right)



Source: Co-star, 2017

- 6.7 Mapping of the average commercial rental values show that the study area is currently significantly cheaper than most of the South East. In Norfolk and Suffolk, office rental values are an average of £11 per sqft, which is significantly cheaper than London where the average price is over £30 per sq ft.
- 6.8 Similarly, industrial rental values are cheaper in Norfolk and Suffolk compared with many Counties the wider South East. In the study area, industrial rental values average at £4 per sqft, which is higher than other areas along the east coast such as Essex (£8 per sqft).

Significant Sites

- 6.9 Great Yarmouth has a wide range of industrial and commercial areas including two Enterprise Zones (EZ), Beacon Park and South Denes, which are considered key employment sites for businesses in the Core Energy Sector or its supply chains. The district also benefits from Assisted Area Status and is designated as a Centre for Offshore Renewable Engineering.

Beacon Park – there is a growing presence of high-tech and light industrial operations businesses. The 16.7ha site, home to 22 businesses, offers a range of bespoke design-and-build opportunities for growing companies, in addition to high-quality, ready-built offices and workshops for businesses seeking immediate occupation.

South Denes and Outer Harbour – the 58.8 ha site is Great Yarmouth's largest industrial area and provides important space for port-related industries and services. Its strategic location, next to the North Sea, means it is uniquely placed for companies to take advantage of the vast potential of the offshore wind energy industry. Furthermore, the EZ is close to the Great Yarmouth Energy Park. The proposed O&M facility would fall within this area.

Implications for Great Yarmouth

- 6.10 The low commercial vacancy rate, diminishing floorspace and number of commercial deals suggests that there could be demand for new office and industrial development in Great

Yarmouth. This demand may be influenced by businesses seeking to take advantage of cheaper rents in Norfolk and Suffolk compared to other areas in the wider region.

- 6.11 While there is most demand for small to medium office premises in the region, there is less demand for very large office facilities. Similarly, there is most demand for a range of sizes of industrial space with the exception of very large sites.

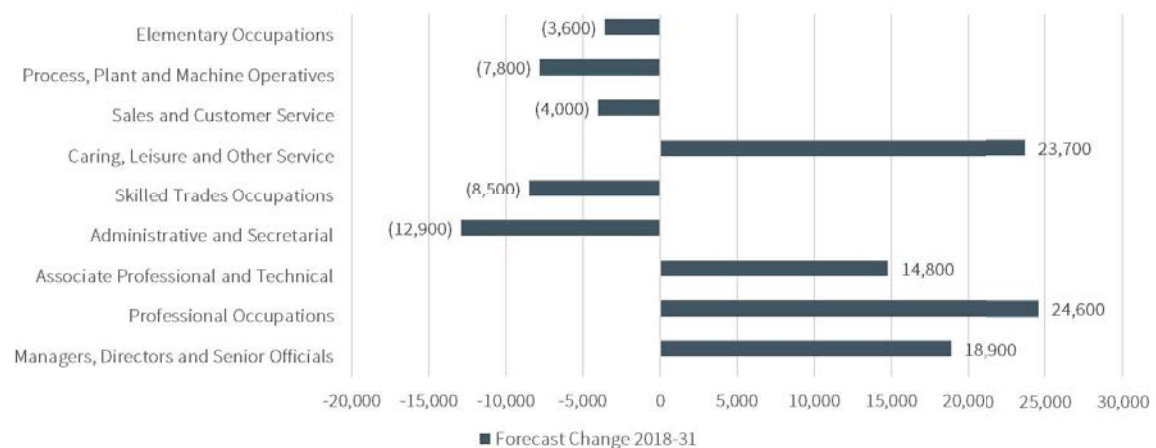
7. Regional Growth Potential

- 7.1 Due to the strong performance of the Core Energy Sector in Norfolk and Suffolk in recent years, it is important to understand wider regional growth potential and whether future growth can be accommodated within the study area.

Employment Growth Projections

- 7.2 The East of England Forecasting Model (EEFM) projects that by 2031, employment will increase by 5.53% in the New Anglia LEP area. This forecasts an overall increase of 45,000 people in employment in 2031.
- 7.3 Using the EEFM, it is also possible to assess the proportion of this growth forecast to be absorbed by Great Yarmouth. This mirrors wider regional employment growth, forecasting 6.13% growth by 2031. This equates to an additional 2,400 people projected to be in employment in the Borough by 2031.
- 7.4 The East of England Forecasting model also projects the changing occupation profiles of the New Anglia LEP area. Several occupational groupings are projected to shrink by 2031. The most significant changes will be in the 'Administrative and Secretarial' and 'Skilled Trades' occupations which are forecast to fall by 12,900 and 8,500 jobs respectively. A projected increase in the number of higher-level 'Associate Professional and Technical' and 'Professional Occupations' could service the future growth of the energy sector.

Figure 7.1 New Anglia LEP Occupational Change Projections (2018-31)



Source: East of England Forecasting Model, 2018

Note: Categories have been condensed from 25 sectors into 9 along the lines of best fit

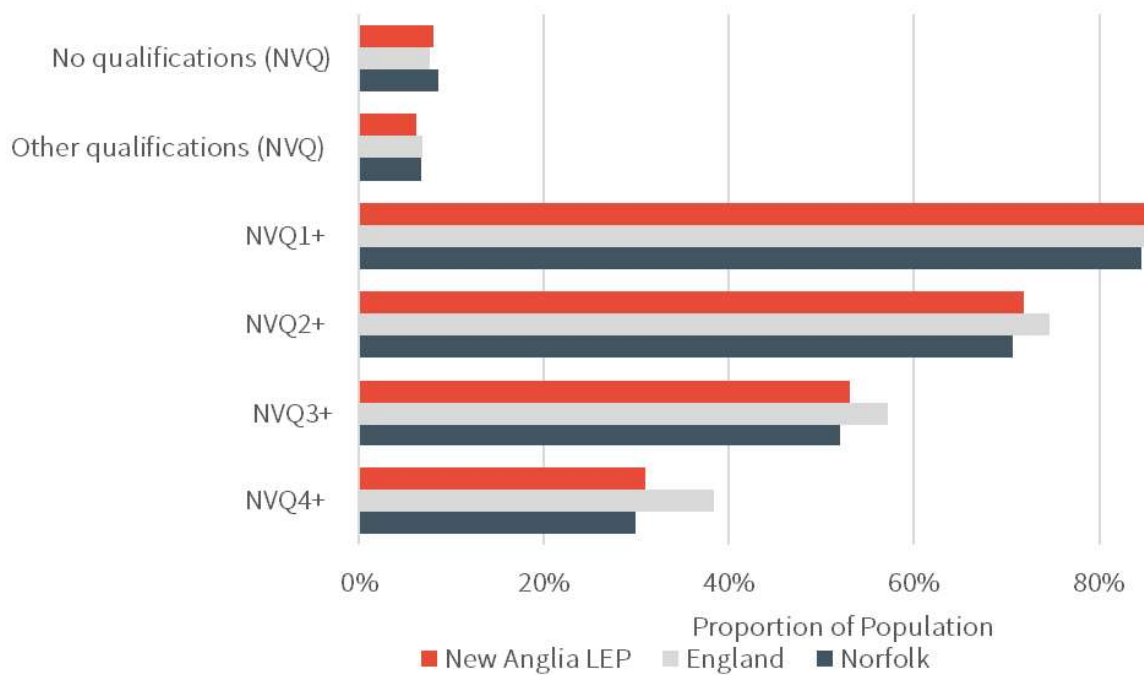
Skills and Universities

Qualification Profiles

- 7.5 Overall, the region's qualification profile reflects the national picture with some slight variances. **The New Anglia LEP area has a lower proportion of residents with NVQ Level 4+ qualifications (30.9%) than the England average (38.3%).** New Anglia LEP (8%) and Norfolk

(8.6%) have a marginally higher proportion portion of people with no qualifications compared with the national average (7.6%).

Figure 7.2 Qualification Levels by Percentage of the Population



Source: Annual Population Survey, 2017

Higher and Further Education

- 7.6 Despite the relatively low NVQ Level 4+ qualifications figures within the region, **Norfolk and Suffolk have several established Further and Higher Education Institutions** which could support the growth of the energy sector locally and nationally.

Table 7.1 HE/FE Institutions and Relevant Courses

HE/FE Institution	Relevant Courses
The University of East Anglia (UEA)	<p>UEA has a range of Undergraduate and Postgraduate courses which can support the growth of the sector. These include:</p> <ul style="list-style-type: none"> • BEng and MSc Energy Engineering with Environmental Management – these courses were established following strong support and demand from industry. Working with practicing engineers, the course covers wind turbines, micro-hydro schemes, nuclear power and biofuels • BEng and MEng Engineering – these are flexible engineering courses which can cover mechanical, electronic, electrical and energy engineering <p>In addition to these taught programmes, UEA has several primary PhD and studentship research themes relating to the sector. This includes a focus on low carbon and renewable energy systems.</p>
The University of Suffolk	<p>The University of Suffolk offer flexible programmes and qualification levels. This includes vocational Higher National Diplomas (HND) and Higher National Certificate (HNC) courses which can provide key pathways to both employment and Higher Education. Qualifications related to the energy sector include:</p> <ul style="list-style-type: none"> • HNC in Engineering (Operations Engineering) – this course offers a foundation in the key elements of operations engineering including engineering mathematics and engineering science <p>BEng in Operations Engineering – degree level qualification open to students with a relevant HND. Sector specific modules include turbomachinery and power generation</p>
East Coast College	<p>East Coast College has campuses in Lowestoft and Great Yarmouth. Courses include:</p> <ul style="list-style-type: none"> • Energy Skills Foundation Programme (NVQ Level 2) – this pre-apprenticeship course aims to introduce students to the main engineering disciplines required within the energy industry to enable informed career choices. • Level 3 apprenticeships in a range of sector-related industries such as 'Marine Engineering' and 'Engineering Maintenance' • Range of offshore wind Basic Safety Training modules including 'Offshore Wind Emergency Response' and 'Marine Transfer Training'. <p>In 2017, the college received £10m New Anglia LEP funding to develop a new Energy Skills Centre which will focus on technical training at NVQ level 3, 4, 5 and 6.</p>

Source: Hatch Regeneris, 2018

- 7.7 The region's education provision is **supplemented by engaged industry groups which coordinate and articulate the wider skills needs of local energy businesses**. These groups are actively working with HE/FE providers to support curriculum development and delivering the sector's long-term talent requirements.

The University of East Anglia's links with industry

UEA has developed strong links with the local energy sector. This industry-HE collaboration has begun to engender a locally-sourced talent pipeline for business and enhanced employability opportunities for graduates. The University is working closely with 3sun; a company based in Great Yarmouth which provides support to the offshore energy industry with training and inspection services. This has generated work placements and permanent graduate entry level positions.

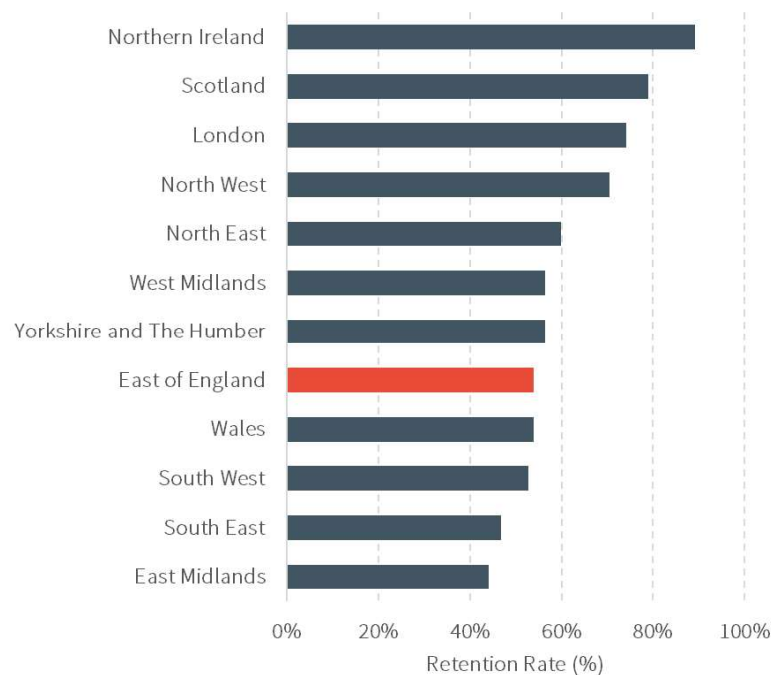
Local energy businesses have also been proactive in developing the local talent pipeline in partnership with UEA. Scottish Power are currently operating out of Lowestoft in preparation for the installation of Europe's largest wind farm, East Anglia ONE. As part of wider investment in the region, Scottish Power have sponsored scholarships for UEA's MSC Engineering students.

Much of this **collaboration is facilitated through the East of England Energy Group's (EEEGR) Skills for Energy Board.** EEEGR seek to ensure alignment between HE curriculums and the needs of industry. Through a nuanced understanding of the industry's skills requirements, EEEGR are working to address the shortage of high-calibre graduates working in energy engineering.

There is the potential to consolidate these positive developments with a new Institute of Productivity and an engineering centre at UEA in the future. UEA's Engineering students are currently based in the Mathematics faculty meaning the region's closest dedicated Engineering Department is located at the University of Cambridge.

Graduate Retention

Figure 7.3 Graduate Retention Rate



Source: HESA, 2017

- 7.8 Despite strong links between industry and education providers, the number of students staying within the East of England post-graduation is relatively low. **46% of graduates from East of England Universities find employment outside the region.** This is significantly lower than areas such as London, where around three quarters (76%) of students stay to work post-graduation.
- 7.9 Analysis of graduate destinations shows that the **East of England is losing over a quarter (26%) of its graduates to London.** Whilst over half (54%) of graduates stay within the East of England to work, there is clear potential to retain a greater number of graduates within the region which can be realised through the growth of the Core Energy Sector.

Figure 7.4 Regional Graduate Retention

Region of Employment	Region of HE Provider											
	East Midlands	East of England	London	North East	North West	Northern Ireland	Scotland	South East	South West	Wales	West Midlands	Yorkshire and The Humber
East Midlands	44%	3%	1%	2%	2%	1%	1%	2%	2%	2%	6%	8%
East of England	8%	54%	6%	3%	2%	1%	1%	7%	4%	2%	4%	4%
London	16%	26%	74%	11%	7%	3%	7%	26%	19%	9%	12%	9%
North East	1%	1%	0%	60%	1%	1%	1%	1%	0%	0%	1%	3%
North West	4%	2%	1%	6%	71%	2%	2%	3%	2%	5%	5%	10%
Northern Ireland	0%	0%	0%	0%	1%	89%	1%	0%	0%	0%	0%	0%
Scotland	1%	0%	0%	1%	1%	1%	79%	0%	1%	0%	0%	1%
South East	8%	9%	12%	4%	3%	1%	2%	47%	14%	8%	7%	4%
South West	3%	2%	2%	2%	2%	1%	2%	8%	53%	12%	5%	2%
Wales	1%	0%	0%	0%	2%	0%	0%	1%	2%	54%	1%	0%
West Midlands	9%	2%	1%	2%	5%	1%	1%	3%	4%	6%	56%	3%
Yorkshire and The Humber	6%	1%	1%	9%	5%	1%	1%	2%	1%	2%	2%	56%

Source: HESA, 2017

Sector Skills Needs

- 7.10 Employment profiles and education levels can be contextualised by aligning the regional profile with the skills requirements articulated by industry. The Energy and Utilities Skills Partnership published a Skills Needs Review for the sector in 2014. Whilst wider than the Core Energy Sector in its remit, the review revealed some key skills issues:
- Skills shortage vacancies reported to be most common in Skilled Trades, Professionals and Associate Professionals occupation grouping
 - Technical and Practical Skills were highlighted as skills that most need improving
 - Poor engagement between universities and employers
- 7.11 Consequently, the projected occupation profile changes within Norfolk and Suffolk combined with stronger industry and education relationships could mean that the region can facilitate and absorb future new growth within the sector. There is also a clear opportunity to overcome some of the identified skills issues.

Implications for Great Yarmouth

- 7.12 Norfolk and Suffolk's employment numbers are projected to grow significantly. This is supplemented by a projected shift towards higher level professions which is likely to make the area attractive to business and could create demand for Energy Sector developments.
- 7.13 Established industry-provider collaborations can ensure that Great Yarmouth has the skills required to service proposed developments. Through enhanced employment opportunities catalysed through the growth of the Energy Sector, there is clear scope to retain greater numbers of graduates within the region.

8. Demand for Operations and Maintenance Facility

8.1 To assess sector demand for the proposed O&M facility, consultations were undertaken with a range of Tier 1 companies, supply chain companies and industry experts. Through this, a rich qualitative picture has been constructed which demonstrates demand for the right developments to be brought forward in Great Yarmouth. This represents an evolving picture based on the consultations held to date. Detailed conversations were held with the following organisations:

- **Innogy** - established Tier 1 company, Innogy Renewables UK operates more than 1.1GW of renewable energy capacity through a significant offshore operation. Great Yarmouth was the assembly and installation port for Innogy's Gallop Offshore Wind Farm
- **Scottish Power Renewables** - Tier 1 company with the rights to construct up to four offshore wind projects off the coast of East Anglia. Scottish Power has recently begun construction on the Operations and Maintenance facility to service the East Anglia ONE windfarm in Lowestoft
- **Vattenfall** - Swedish-owned Tier 1 which has been active in the UK for ten years. Undergone significant business diversification in recent years and have recently agreed a deal with Peel Ports to locate their Norfolk Operations and Maintenance base in Great Yarmouth
- **E.ON** - In the UK, E.ON's renewables focus is on onshore and offshore wind. Locally, they are currently based at Scroby Sands in Norfolk which was the UK's first consented offshore windfarm and generates enough energy to power over 40,000 homes
- **Peel Ports** - operating multiple ports across the UK, Peel Ports Great Yarmouth is England's premier offshore support port with capabilities to handle a range of offshore support vessels. Peel are also the long-term lease holder of several of the areas identified for development in Great Yarmouth
- **Proserv** - company providing a range of support services to clients in the oil and gas and renewables sector. Proserv are currently operating out of the Orbis Centre in Lowestoft.
- **3Sun** - engineering company supporting the oil, gas and renewables sector in Great Yarmouth. 3Sun also have a range of individual companies focused on testing, installation of turbines
- **The East of England Energy Group** - industry representative group for over 300 members across the region covering energy producers to supply chain companies
- **4C Offshore** - specialist offshore energy and market research consultancy

Figure 8.1 Consultation Key Themes



Timing of proposed development



Challenges and opportunities



Mixed opinions on shared facilities



Demand for the right development



Clear steer on ancillary developments

Source: Hatch Regeneris, 2018

Timing of proposed development

- 8.2 A central theme running through the consultations was the opportunity presented by the sector's growth trajectory. The following large-scale projects were identified as exemplars of growth during the consultation process:
- **Sofia Offshore Wind Farm** – In 2015, Innogy received consent for a new windfarm off the coast of the North East of England. This project has an installed capacity of up to 1200 megawatts, making it Innogy's largest project to date
 - **East Anglia TWO, THREE and FOUR** – As part of the East Anglia Array, three additional consented wind farms will be located 30 miles off the coast of East Anglia. Scottish Power Renewables will be actively looking for locations to service these developments
 - **The Crown Estate's Offshore Wind Extensions** – several sites off the east coast (including the Galloper offshore wind farm) satisfied the Crown Estate's assessment criteria to increase capacity. This is likely to drive significant additional investment in the sector within the region
- 8.3 Whilst consultees could not commit to Great Yarmouth as a location for future developments at this stage, **all relevant consultees said that they would consider Great Yarmouth should the right development become available at the right time.** This demonstrates a potential nascent demand for Operations and Maintenance (O&M) facilities in the near future.

- 8.4 There are several factors influencing consultees' choice of location. **The main consideration for Tier 1 operators is the location of the windfarm and the ease of undertaking O&M.** Vattenfall also referenced the quality of the local labour market to be a critical factor in their decision-making.
- 8.5 Despite the opportunity this could unlock for Great Yarmouth, significant competition was identified at various sites along the east coast, most notably at Lowestoft, Grimsby, Hull and Hartlepool. Lowestoft was highlighted by consultees as being an exemplar location due to its advanced Offshore Wind capacity. However, it was also noted that **Lowestoft is potentially now at capacity and businesses are looking elsewhere for expansion.**

Challenges and opportunities

- 8.6 All consultees were positive about the strength and potential of the offshore energy sector in Great Yarmouth, however it was also stated that more could be done to raise its national profile. **Two consultees pinpointed Vattenfall's decision to locate in Great Yarmouth to be a major boost for the town's O&M profile which could attract other companies in the future.**
- 8.7 Consultations revealed that from a technical perspective, there was confidence that Yarmouth is a competitive location to service offshore energy operations. **Vattenfall cited Great Yarmouth's steaming time and ease of berthing servicing vehicles as important reasons for their decision to locate in the area.** Other consultees referenced Great Yarmouth's proximity to where the nation's energy demand is concentrated (London and the wider South East). This was cited as important because less energy is lost in transmission.
- 8.8 **On the proposed development site, consultees noted the potential opportunity associated with proximity from time to field.** One consultee believed that this could save a significant amount of technician time which can drive efficiencies and represent an attractive option for operators. Additionally, Peel Ports said that the location of the proposed development means that the space would not interfere with other existing port operations.
- 8.9 Despite this, there were some concerns about Great Yarmouth's connectivity. **Logistics (road and rail) routes were highlighted as being particularly poor,** however it was conceded that this is a region-wide (rather than Yarmouth specific) issue. Consultees did note that efforts are being made to address transport connectivity locally. One consultee made specific reference to the benefits to be delivered by the Third River Crossing over the River Yare which is due to open in 2023.
- 8.10 Whilst most consultees were restricted in their response due to commercial confidentiality considerations, one interviewee **expressed concerns over Great Yarmouth's port rates.** It was asserted that this could hinder the competitiveness of Great Yarmouth compared with other ports along the east coast.

Mixed opinions on shared facilities

- 8.11 Consultations exposed the changing attitudes and lack of sector consensus in relation to sharing facilities with other operators. Whilst one consultee said that they would not favour a shared, purpose-built facility, four others said that the changing demands of the sector mean that they would now **consider sharing facilities if it delivered cost savings and other associated efficiencies.**
- 8.12 Two respondents that were open to sharing facilities also noted the need for masterplanning to be considerate of individual security requirements. Vattenfall cited proximity to competitors

and conflicts of interest as key reasons why they opted against a shared facility. Therefore, consultees reinforced the importance of the development incorporating individual workshop **space to store and secure equipment and office space design which ensures commercial sensitivity is protected.**

- 8.13 If this design can be delivered, interviewees noted several benefits to be achieved from sharing facilities and making more sustainable use of sites. Primarily, **efficiency savings around facilities management.** One consultee noted that their business currently spends a significant amount of time on contracting and contract management of facility management services and would welcome this being coordinated centrally.

Demand for the right development

- 8.14 Aside from the strategic projects which could service demand for this facility in the medium to long term, two other consultees stated that they are likely to be actively looking for new premises in the short to medium term. The drivers for these businesses considering other options were lease expiration and space constraints at their current facilities. Whilst consultees were currently exploring alternative options, both said that **they would consider a new facility in Great Yarmouth if it were priced competitively and could meet their expansion demands.** If the sample size was extended to a wider pool of consultees, this could reveal additional expansion or relocation aspirations which could further inform the demand for new developments
- 8.15 Consultees had differing views about what should be incorporated within the proposed development. One consultee believed that this development should **partly seek to address Great Yarmouth's lack of quality office space, whereas a design which is too storage focussed is unlikely to generate a significant uplift in employment numbers.** This perspective is aligned with the commercial market data which highlighted the high levels of demand for office space in Norfolk and Suffolk.
- 8.16 Several consultees noted that facilities which linked warehousing and office space with water and increased SOV berthing capacity would be attractive. **It was noted that the proposed development site presented a unique opportunity locally to house clean and dirty activities on one site.** For one other consultee, it was crucial that the masterplan considers how the site can be flexible and sustainable to adapt with the changing needs of the industry.
- 8.17 Despite overall positivity for the proposed development plans, there were also mixed views about how construction of the site should be prioritised. **All consultees favoured a non-phased development which included warehousing and office space alongside SOV/CTV berthing being brought forward at the same time** (if given the option). Consultees noted the importance of service vehicle berthing for attracting operators into the office and warehousing facilities. However, one consultee also stated that phasing concerns could be mitigated if managed effectively. Therefore, phasing would need to be close together and potentially overlap to ensure that momentum and interest in the development is maintained.

Clear steer on aviation and ancillary developments

- 8.18 Consultations demonstrated that whilst on-site aviation facilities could enhance its competitiveness against other ports, it is only likely to benefit a handful of operators. Consultees referenced the benefit of reduced servicing times and not having to transport staff long distances. This was stated as an issue with the old heliport in Great Yarmouth which was deemed to be too far away from where it was required meaning that time savings were diluted. Despite

this, **one consultee noted that aviation facilities could have positive economic impacts as it could help to attract helicopter supply chain companies to the area.** Conversely, when Vattenfall looked at the potential for aviation facilities, it opted to use pre-existing regional facilities (namely Norwich Airport). Additionally, two other consultees commented on the size of the site, suggesting that it already looks fairly constrained to house adequate aviation facilities.

- 8.19 Whilst Great Yarmouth was viewed to be lacking in conferencing facilities generally, **consultees questioned the wider demand to justify the construction of purpose-built conferencing facilities.** Consultees noted that capacity restrictions at the Orbis Centre means that Norwich is the only viable location in the region to host conferences. However, this was caveated by one consultee stating that even facilities at the Orbis Centre are poorly utilised currently.
- 8.20 Although most consultees stated that ancillary developments such as hotel facilities near the site could enhance competitiveness of the development, it is not essential for its success. Primarily, the reason stated for this was the fact that Great Yarmouth **is already relatively well served for hotels, reducing demand for similar new developments.**

Figure 8.2 Summary of Consultation Messages



Source: Hatch Regeneris, 2018

9. Demand for Incubation Space

- 9.1 There is also potential to assess demand for incubation space proposals in addition to proposals for O&M facilities. This could include surveying energy sector businesses and their supply chains in existing incubators within the region to assess potential demand.
- 9.2 Consultations suggested that **there could be demand for energy sector-related incubation space in Great Yarmouth for less mature operators.** Scottish Power Renewables noted multiple benefits of being based at the Orbis Centre at Lowestoft. While they have now outgrown the need for incubation, Scottish Power said that being located close to other developments facilitated business growth through access to important sector stakeholders and increased opportunities for project collaboration. Other consultees stated that an Orbis-style facility in

Great Yarmouth would represent an attractive proposition if it could recreate a good working environment which provides support to small companies.

- 9.3 While such space is evidently beneficial to smaller operators and supply-chain companies, consultations demonstrated that additional incubator space is **unlikely to enhance the attractiveness of O&M facility proposals**. Additionally, other consultees highlighted recent office developments in Great Yarmouth as evidence that public sector intervention may not be required to bring forward new office space. Haven Bridge House was cited as evidence that an incubator facility might not be required in Great Yarmouth as it is already housing energy companies such as Aker Solutions.
- 9.4 A business survey could supplement the feedback received in consultations. This would provide a snapshot of demand for incubator facilities and would begin to quantify nascent demand. Norfolk County Council will decide whether they wish to progress plans for incubator facilities in due course.



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