

Cabinet

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

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

Membership:

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

WEBCASTING

This meeting will be filmed and streamed live via YouTube on the NCC Democrat Services channel. The whole of the meeting will be filmed, except where there are confidential or exempt items and the footage will be available to view via the Norfolk County Council CMIS website. A copy of it will also be retained in accordance with the Council's data retention policy. Members of the public may also film or record this meeting. If you do not wish to have your image captured, you should sit in the public gallery area. If you have any queries regarding webcasting of meetings, please contact the committee Team on 01603 228913 or email committees@norfolk.gov.uk

A g e n d a

1 To receive any apologies.

2 Minutes

Page 5

To confirm the minutes from the Cabinet Meeting held on Monday 5 August 2019.

3 Members to Declare any Interests

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

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

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

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

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

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

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

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

5 Public Question Time

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by 5pm on **Wednesday 28 August 2019**. For guidance on submitting a public question, view the Constitution at <https://www.norfolk.gov.uk/what-we->

[do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee](#)

6 Local Member Issues/Questions

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team (committees@norfolk.gov.uk) by **5pm on Wednesday 28 August 2019**.

- 7 Proposed updates to Planning Obligations Standards 2019.** Page **24**
Report by the Executive Director of Community & Environmental Services.

- 8 Norfolk Strategic Planning Framework update** Page **61**
Report by the Executive Director of Community & Environmental Services.

- 9 Business Rates Pool funding for West Winch Housing Access Road design work (and other strategic transport priorities).** Page **65**
Report by the Executive Director of Community & Environmental Services

- 10 Future Mobility Zone Fund.** Page **70**
Report by the Executive Director of Community & Environmental Services

- 11 France-Channel-England Government Guarantee of funding.** Page **77**
Report by the Executive Director of Community & Environmental Services

- 12 Leases for Early Childhood and Family Service Bases, and leasing out of repurposed Children's Centres.** Page **82**
Report by the Executive Director of Finance & Commercial Services

- 13 Finance Monitoring Report 2019-20 P4: July 2019** Page **101**
Report by the Executive Director of Finance & Commercial Services

- 14 Corporately Significant vital signs report August 2019** Page **129**
Report by the Executive Director of Strategy & Governance

- 15 Risk Management** Page **173**
Report by the Executive Director of Finance & Commercial Services

16 Delegated Decisions Reports

[Decisions by the Cabinet Member for Communities & Partnerships.](#)

- Period Poverty Page **211**
- Norfolk Fire & Rescue Service – Improvement Plan in response to 2019 inspection by HMICFRS. Page **224**

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

Date Agenda Published: 22 August 2019



If you need this document in large print, audio, Braille, alternative format or in a different language please contact 0344 800 8020 or (textphone) 18001 0344 800 8020 and we will do our best to help.

Cabinet

Minutes of the Meeting held on Monday 5 August 2019 at 10am in the Council Chamber, County Hall, Norwich

Present:

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

Local Members Present:

Cllr Alexandra Kemp
Cllr Brenda Jones

Other Members Present:

Cllr Steve Morphew
Cllr David Bills

Executive Directors Present:

Tom McCabe	Executive Director of Community & Environmental Services and Head of Paid Service.
Helen Edwards	Chief Legal Officer & Monitoring Officer
Simon George	Executive Director of Finance & Commercial Services
Gary Heathcote	Director of Commissioning (for Executive Director of Adult Social Care.)
Fiona McDiarmid	Executive Director of Strategy & Governance
Sara Tough	Executive Director of Children's Services

1 Apologies for Absence

Apologies for absence were received from Cllr Graham Plant (Vice-Chairman and Cabinet Member for Growing the Economy) and Cllr Andrew Jamieson (Cabinet Member for Finance).

2 Minutes

The minutes from the Cabinet meeting held on Monday 15 July 2019 were agreed as a correct record and signed by the Chairman.

3 Declaration of Interests

There were no declarations of interest made.

4 Items of Urgent Business

There were no items of urgent business.

5 Public Question Time

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

5.2 The Chairman invited Mr Christopher Keene to ask a supplementary question. Mr Keene asked if Cabinet was aware that Peter Wadhams, Professor of Ocean Physics at Cambridge University had said that the Inter-Governmental Panel on Climate Change had ignored feedback about the release of methane in the arctic, which had some hundreds, or thousands, of billion tonnes compared with just five billion tonnes present in the entire atmosphere now, with a 20-30% chance of a massive methane release in the next five years, so we need an even faster reduction in emissions than they demand.

In reply, the Cabinet Member for Highways, Infrastructure & Transport said that the introduction of more electric vehicles together with reductions in emission levels of all other vehicles would lead to improvements being made.

6 Local Member Questions/Issues

6.1 The list of Local Member questions and their responses are attached at Appendix B to these minutes.

6.2 As a supplementary question Cllr Alexandra Kemp said she did not accept the answer given and that there was a failure of scrutiny and accountability in the Council. She added that the proposal to send out a local plan for minerals and waste with incineration and fracking included was wrong, when 65,000 people in west Norfolk had voted against incineration and also that fracking should be taken out.

The Chairman said that this was a statement rather than a question.

6.3 As a supplementary question, Cllr Brenda Jones asked when the Council had last explored the relative costs for direct provision compared to intervening in the private market and also if the Cabinet Member had spoken to Norse about its capacity for a massive expansion as an alternative.

The Chairman deferred the question to the Cabinet Member for Adult Social Care who replied that Norse was not managed by the County Council, it was an arms-length organisation run by its own management. He added that when residential services and care homes had been run by the County Council they had been more expensive and achieved less satisfactory outcomes. He added that NorseCare had been able to remove more than £1m of costs from the delivery of services and had also increased the quality of services. The

Cabinet Member added that he was content that the Norse model was successful whilst also achieving good value for money.

The Chairman welcomed Norfolk's Police & Crime Commissioner, Lorne Green, to the meeting and invited him to join Cabinet for the discussion of agenda item 7 (Norfolk Fire & Rescue Authority Statement of Assurance 2018-19).

7 Norfolk Fire and Rescue Authority Statement of Assurance 2018-19.

- 7.1 Cabinet received the report by the Executive Director of Community & Environmental Services setting out how the statement of assurance provided an accessible way in which communities, Government, local authorities and other partners may make a valid assessment of their local fire and rescue authority's performance.
- 7.2 In introducing the report, the Chief Fire Officer, Stuart Ruff, advised that Norfolk County Council was required to produce the Statement of Assurance annually within the guidance of the National Framework. The intent was to ensure that the service was accountable to the communities it served, with the document being clear for people to understand, the main focus being on the way the operation was run, as well as financial and governance arrangements.
- 7.3 The Cabinet Member for Communities & Partnerships stated that the report was required to show that the service was delivering on its Integrated Risk Management Plan for the year, as well as meeting the requirements of the National Framework for Fire & Rescue Authorities 2018. She added that during 2018-19 the fire service had been governed by the Communities Committee and the Statement provided assurance that financial governance and operational management requirements were being met for the reporting year of 2018-19.
- 7.5 Lorne Green, Norfolk Police & Crime Commissioner (PCC) said he was pleased the report acknowledged the collaboration agreement between the Norfolk Constabulary and the Norfolk Fire & Rescue Service. He added that it held the potential to ensure communities represented were kept safe and showed a cost-effective use of tax payers' resources which he was happy with. The PCC was also pleased to report that a joint public meeting had recently been held in Fakenham which had allowed members of the community to ask questions and that he hoped there would be more opportunities for similar meetings in other locations in the future.
- 7.6 The Cabinet Member for Communities and Partnerships moved the recommendations as set out in the report.

7.7 Decision

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

1. **Note** the assurances that financial, governance and operational management of Norfolk Fire and Rescue Service meet statutory requirements.
2. **Approve** the Norfolk Fire and Rescue Authority Statement of Assurance 2018/19 (Appendix A of the report)

7.8 **Alternative Options**

Refer to Cabinet report.

7.9 **Reasons for Decision**

It is a legal requirement to publish an annual Statement of Assurance. The format and content was for the Fire Authority to agree.

8 **Transformation of Mental Health Services for Children and Young People.**

8.1 Cabinet received the report by the Executive Director of Children's Services updating Cabinet on progress with the transformation of Children and Young People's Mental Health Services (CYPMHS) and seeking decisions on a small number of issues that would enable the programme to move to the next phase.

8.2 In introducing the report the Executive Director of Children's Services advised that the report set out the important first step towards integration between Children's Services and National Health Services Partners. She added that the proposal had been supported as a way forward through the Sustainable Transformation Partnership with providers; Clinical Commissioning Group (CCG) governing bodies; and the Joint Strategic Commissioning Group.

8.3 The Cabinet Member for Children's Services proposed the following amendment to one of the recommendations in the report:

- Delegate to the Executive Director of Children's Services authority to enter into a revised Section 75 agreement with the Clinical Commissioning Groups (CCGs) that will enable and support the Alliance model, in consultation with the ~~Leader~~ Cabinet Member for Children's Services and the Executive Director of Finance and Commercial Services.

8.4 The Cabinet Member for Children's Services highlighted the following points in the report:

- the future service model moved away from the current system by linking Norfolk County Council services with those provided by the NHS.
- Cabinet was being asked to change the Section 75 Agreement to provide a better service to meet the needs of the national recommendations.
- Clinical evidence had shown that the appropriate age range was between 0-25.
- The single Board for CYPMH, bringing together senior commissioners and providers across Norfolk and Waveney would be chaired by the Executive Director of Children's Services.
- Expanding the current Section 75 Agreement to include all relevant expenditure, would result in a larger agreement totalling approximately £34m.

8.5 **Decision**

Cabinet **RESOLVED** to:

- **Agree** to the development of an Alliance approach to commissioning and provision;
- **Agree** to the establishment of revised system governance arrangements.
- **Delegate** to the Executive Director of Children's Services authority to enter into a revised Section 75 agreement with the Clinical Commissioning Groups (CCGs) that will enable and support the Alliance model, in consultation with the Cabinet Member for Children's Services and the Executive Director of Finance and Commercial Services.
- **Note** the progress with the transformation of mental health services for children and young people;
- **Note** the emerging service model ("THRIVE");
- **Note** the importance of effective engagement and communications to the programme and the potential requirement for consultation on the service model;
- **Note** the proposed next steps for the programme.

8.6 **Alternative Options**

Refer to Cabinet report.

8.7 **Reasons for Decision**

The reasons for the decision are set out in section 2 of the Cabinet report.

9 **Norfolk Youth Justice Plan Refresh 2019-21**

- 9.1 Cabinet received the report by the Executive Director of Children's Services setting out how the existing Norfolk Youth Justice Plan had been refreshed to outline the actions, risks and opportunities identified to ensure that the desired outcomes for young people and the victims of their crime would be achieved by Norfolk Youth Offending Team and the Norfolk Youth Justice Board Partnership in 2019-21. The Plan also set out the key priorities for the 2019-21 period which would be delivered in partnership with the required statutory agencies on the Norfolk Youth Justice Board (Health, Police and Probation) and others such as the County Community Safety Partnership, Office of the Police & Crime Commissioner and the Norfolk and Suffolk Criminal Justice Board.
- 9.2 The Executive Director of Children's Services introduced the report, setting out that Council considered and approved the Plan annually which was a statutory requirement under Section 40 of the Crime and Disorder Act. The Executive Director added that the work undertaken this year included more robust action to provide a plan which also took into account the new national priorities.
- 9.3 The Cabinet Member for Children's Services highlighted the following points when presenting the report:
- Cabinet was being asked to recommend the Norfolk Youth Justice Plan refresh 2019-2021 to Council for approval.
 - The new plan had been produced in line with national guidance.

- The new plan included a new system titled “child first, offender second” with a lot of work being carried out, headed up by the Executive Director of Children’s Services, to prevent children entering the criminal system.
- A ‘Setting the Strategic Direction’ workshop had been held in March 2019 which had identified how to engage with children and young people and new ways of working based on preventing young people from entering the criminal system.
- The number of first-time entrants into the criminal system was at an all-time low, although unfortunately the percentage of reoffending rates was slightly higher due to a smaller cohort in the criminal justice system.

The Cabinet Member moved the recommendations in the report.

9.4 The Cabinet Member for Innovation Transformation and Performance applauded the plan, particularly the prevention aspects; the highlighting of the damage caused to the victims of crime and the restorative impact. He added that he was proud that Norfolk was a safe community and that the Plan would help to ensure this remained the case.

9.5 The Chairman also welcomed the use of the word ‘prevention’ as well as the restorative approach and highlighted the “plan on a page” as well as the confirmed financial position for 2019-20.

9.6 **Decision**

Cabinet **RESOLVED** to

- **recommend** the Norfolk Youth Justice Plan refresh 2019-2021 to Council for approval.

9.7 **Alternative Options**

Refer to Cabinet Report.

9.8 **Reason for Decision**

As the lead public sector partner within the statutory multi-agency partnership Norfolk County Council is required by section 40 of the Crime and Disorder Act, 1998 to formulate and implement an annual Youth Justice Plan after consultation with the Norfolk Youth Justice Board partnership.

In March 2019 the Norfolk Youth Justice Board held a ‘Setting the Strategic Direction’ workshop. The Chair of the Board and the YOT Management Team delivered a series of presentations on future challenges for 2019-20 and our progress and achievements against the 2018-19 annual plan. The Board subsequently agreed the 2019-20 plan priorities at the March 2019 Board meeting and those priorities are contained in this refreshed plan which will be considered at the Norfolk Youth Justice Board meeting on 25 June 2019.

10 Autism Strategy

- 10.1 Cabinet received the report by the Executive Director of Adult Social Services providing an update on the All-Age Autism Partnership Board (NAPB) and the workstreams in place to support the implementation of a co-produced local All-Age Autism Strategy 'My Autism, Our Lives, Our Norfolk'.
- 10.2 In introducing the report the Director of Commissioning, Adult Social Care, advised that Cabinet was being asked to agree the co-produced Strategy and promote and champion the Strategy through their work within the County Council.
- 10.3 The Cabinet Member for Adult Social Care, Public Health & Prevention welcomed the Strategy which had already been unanimously supported by NHS Partners from the Clinical Commissioning Groups at the Health and Wellbeing Board. The work covered a whole system approach and had been co-produced by the Autism community and a number of professional bodies, providing a strategic vision, giving people with autism equal opportunities in life within the County. The Cabinet Member commended the Strategy to Cabinet.
- 10.4 In moving the recommendations, the Cabinet Member said he hoped all Councillors and staff would complete the autism e-learning training.

10.5 Decision

Cabinet **RESOLVED** to:

- **Agree** the Strategy, 'My Autism, Our Lives, Our Norfolk'.
- **Promote** and champion the strategy within the County Council.
- **Agree** that Cabinet Members complete the Autism e-learning training to lead by example.

10.6 Alternative Options

Refer to Cabinet Report.

10.7 Reason for Decision

The work of the NAPB supports the implementation of the Autism Act (2009) National Autism Statutory Guidance (2016) and Strategy 'Think Autism'. It defines the activity underway to support the statutory bodies' responsibilities in undertaking their duties under the Autism Act 2009, Statutory Guidance 'Think Autism' 2014, Care Act 2014 and the Equality Act 2010.

11 Adult Social Care Annual Quality Report 2018-19

- 11.1 Cabinet received the report by the Executive Director of Adult Social Services providing a detailed evaluation of quality in the market both in terms of Care Quality Commission (CQC) ratings and the Council's quality assurance team risk ratings and our proposals for continuous improvement going forward.
- 11.2 The Director of Commissioning, Adult Social Care introduced the report, setting out the proposals to provide continuous improvement in the future.

11.3 The Cabinet Member for Adult Social Care, Public Health and Prevention advised Cabinet of the welcome announcements made in the news on 5 August 2019 for £153m of new funding for the NHS in Norfolk and Suffolk.

- £70m for new diagnostic centres across the county which would be administered by the Norfolk & Norwich University Hospital. The previous shortage of capital funding for new equipment had led to longer waiting times.
- £40m for the Norfolk & Suffolk Foundation Trust for mental health services in Norfolk which was a substantial investment and would be used to provide new beds.
- £25m for South Norfolk CCG, as the lead authority to develop and improve primary care across the county, which was a key part of Norfolk County Council's prevention strategy.

The Cabinet Member added that work was just starting on the five-year plan for Norfolk & Waveney and this additional funding was very timely and would be spent where it was needed most.

11.4 The Cabinet Member for Adult Social Care, Public Health & Prevention introduced the annual report, highlighting the duty of Norfolk County Council to shape the market. He added that Norfolk County Council, at its budget meeting in February 2019, had invested an additional £11m to support the stability of the care market and help care providers cover the costs of the living wage, meaning workers were appropriately paid for the work they carried out. He added that he fully supported the work and moved the recommendations in the report.

11.5 The Chairman thanked the Cabinet Member for highlighting the additional funding announced by the Government and welcomed the investment made. He added that a clear trend was now being seen in new build homes exclusively aimed at the self-funding market and highlighted the lead role of the County Council.

11.6 **Decision**

Cabinet considered the findings presented in the Annual Quality Report and **RESOLVED** to:

- **Approve** the proposals for improving quality in 2019-20 in Section 5 of the report.

11.7 **Alternative Options**

Refer to Cabinet report.

11.8 **Reason for Decision**

The Care Act places significant duties on Local Authorities to promote and shape their market for adult care and support, so that it meets the needs of all

people in their area who need care and support, whether arranged or funded by the state, by the individual themselves, or delivered direct by the Council.

The ambition is for Local Authorities to influence and drive the pace of change for their whole market leading to a sustainable and diverse range of care and support providers, continuously improving quality and choice and delivering better, innovative and cost- effective outcomes that promote the wellbeing of people who need care and support. This is in line with the Council's Promoting Independence strategy.

Poor quality services are not effective in supporting people to achieve their wellbeing outcomes and deliver poor value for money. It is essential, therefore, that we ensure we know that all the services we pay for are high quality and effective. This requires regular ongoing proactive monitoring of provider performance across the board and effective interventions to restore high quality services if things are beginning to go wrong. The quality framework supports this.

12 Norfolk Minerals and Waste Local Plan Review – Preferred Options Consultation.

- 12.1 Cabinet received the report by the Executive Director of Community & Environmental Services providing information about the proposed 'Preferred Options' consultation stage and including the proposed planning policies for minerals and waste management development and the proposed mineral extraction sites. The next stage in the process would be to consult with stakeholders, including parish councils and the public, on the preferred options consultation.
- 12.2 The Executive Director of Community & Environmental Services, in introducing the report, advised that the Plan had recently been considered by the Infrastructure & Development Committee as set out in Section 10 of the report. He added that the County Council was part-way through a heavily prescribed process which should lead to formal adoption of a robust, compliant local Plan in September 2021.
- 12.3 The Cabinet Member for Environment & Waste stated the Norfolk Minerals and Waste Plan review covered the years 2026-2036 and followed on from the initial consultation carried out in the summer of 2018. The report presented to Cabinet included the preferred options consultation and it was essential that a robust and compliant local plan was in place. The Cabinet Member moved the recommendations in the report.
- 12.4 The Cabinet Member for Highways, Infrastructure & Transport said the Environment, Development & Transport Committee had previously considered the Plan with a focus across the whole county and that he was satisfied the right way forward was to move to consultation.
- 12.5 The Chairman advised Cabinet that the consultation was likely to start at the end of August, running through September into October 2019.
- 12.6 **Decision**

Cabinet **RESOLVED** to

- 1
 - a) **Agree** that the revised Minerals and Waste Development Scheme shall have effect from 1 September 2019;
 - b) **Agree** to the publication of the Preferred Options Consultation Document (and associated background documents).
 - c) **Agree** to carry out the Preferred Options consultation using the methods detailed in the report (ie for a six-week formal consultation period).
- 2 **Delegate** responsibility to the Cabinet Member for Environment and Waste (in consultation with the Executive Director of Community & Environmental Services) to make minor corrections and non-material changes to the consultation document that are identified prior to publication, if required.

12.7 **Alternative Options**

Refer to Cabinet Report.

12.8 **Reason for Decision**

Refer to paragraphs 4.1 to 4.5 of the report.

13 **Finance Monitoring Report (P3 – June 2019).**

- 13.1 Cabinet received the report by the Executive Director of Finance & Commercial Services providing a summary of the forecast financial position for the 2019-20 Revenue and Capital Budgets, General Balances and the Council's Reserves at 31 March 2020, together with related financial information.
- 13.2 The Executive Director of Finance & Commercial Services introduced the report which set out the current financial position as at period 3 and made 2 recommendations for additions to the Capital Programme.
- 13.3 With regard to the first bullet point in the recommendations, the Cabinet Member for Innovation, Transformation and Performance welcomed the additional £7.766m towards the Local Full Fibre Network (LFFN) which followed a lot of hard work by officers, particularly the Head of IMT, in a competitive bidding process to DCMS against other interested authorities. One reason Norfolk County Council had been successful was following on from the success of the Better Broadband for Norfolk programme to deliver digital infrastructure where the working relationship with Open Reach had been noticed. He added that the money would be used to provide ultra-fast data to county council buildings. He also added that the process for improving mobile phone coverage by allowing mobile phone operators to make use of county council buildings if they wished, would benefit the county council, schools and other council services.
- 13.4 The Chairman highlighted the following aspects of the P3 Finance Monitoring report:
 - The projected overspend had not changed from period 2. Cabinet Members were aware of the overspend which was about demand

management both in Children's Services and Adult Social Care – the Adult Social Care element being due to the strain on the purchase of care budget. This was being offset against the current general underspend.

- The Chairman had written to the new Prime Minister, Boris Johnson, although no reply had been received to date, asking for more certainty around funding and asking for more information on the announced proposals.
- The size of the capital programme, which for 2019-20 was approximately £367m and included projects such as the Great Yarmouth 3rd river crossing, strategic projects such as Better Broadband and capital loans and subsidiaries.

13.5 The Cabinet Member for Adult Social Care, Public Health & Prevention echoed the points made by the Cabinet Member for Innovation, Transformation & Performance about digital broadband which was key to Norfolk and the way services were delivered. He added that access to superfast broadband was important and that he was pleased to see the Council investing large sums of money, consistently over the last 10 years, to improve the broadband offer in the county. The Cabinet Member also echoed the Chairman's points about the capital programme in general, particularly the Great Yarmouth 3rd River Crossing being a key part of that plan. He added that connectivity in Norfolk was important to the overall economic benefits for Norfolk as well as the health of the economy and he was pleased it was being supported to benefit the people of Norfolk.

13.6 The Cabinet Member for Highways, Infrastructure & Transport said that one of Norfolk County Council's priorities was putting infrastructure in place, and he was therefore pleased to see the investment taking place. He added that the Great Yarmouth 3rd River Crossing project was progressing well and building was likely to commence in 2021-22.

13.7 The Chairman fully endorsed the points made about connectivity and investing for the future.

13.8 **Decision**

Cabinet **RESOLVED** to:

1. **Recommend** to County Council an addition of £7.766m to the CES capital programme in accordance with a proposed Norfolk Local Full Fibre Network (LFFN) capital grant agreement with DCMS, approved at 15 July 2019 Cabinet, as set out in appendix 2, paragraph 2.1 of the report.
2. **Recommend** to County Council an addition of £2m to the Children's Services Capital programme to replace revenue contributions. This will be used to support the 2019-20 Children's Services revenue budget as set out in Appendix 2, paragraph 2.2 of the report.
3. **note** the period 3 forecast general fund revenue overspend of £6.108m noting also that Executive Directors will take measures throughout the year to reduce or eliminate potential over-spends;

4. **note** the period 3 forecast shortfall in savings of £4.706m noting also that Executive Directors will take measures throughout the year to mitigate savings shortfalls through alternative savings or underspends;
5. **note** the forecast General Balances at 31 March 2020 of £19.623m, before taking into account any over/under spends;
6. **note** the expenditure and funding of the revised current and future 2019-22 capital programmes.

13.9 **Alternative Options**

Refer to Cabinet Report.

13.10 **Reasons for Decision**

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

Appendix 1 summarises the revenue outturn position, including:

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

Appendix 2 summarises the capital outturn position, and includes:

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

14 **Delegated Decisions Reports**

14.1 Cabinet **noted** the following Delegated Decisions:

Cabinet Member for Commercial Services & Asset Management:

- Bryggen Road, King's Lynn.
- Site 1
- Site 2

Cabinet Member for Highways, Infrastructure and Transport:

- Improvements to Thickthorn Junction
- Hardings Way, King's Lynn.

14.2 The Cabinet Member for Highways, Infrastructure & Transport highlighted that the Thickthorn junction was a key area of infrastructure being carried out by Highways England. Highways England were being held to account by the County Council to ensure they delivered on their promises, not only for the Thickthorn junction, but also other A47 improvements.

14.3 The Cabinet Member for Adult Social Care, Public Health & Prevention said it was heartening to see the progress being made on the Thickthorn junction, adding that the next stage would be the North Tuddenham to Easton A47 dualling, which his constituents wished to see delivered as soon as possible.

The meeting ended at 10.45am.

Chairman



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

**Agenda Public Question Time
item 5**

Question received from Dr Iain Robinson:

I am the owner of woodland likely to be destroyed by Route C. A mature oak in my woodland can support over two hundred species of insect, which in turn support bird and mammal life. Veteran trees also provide roosting sites for bats and nesting sites for birds. Can the Councillors explain to me how they will manage to create a net biodiversity gain when habitat that has taken over two hundred years to mature will be destroyed?

Response from the Chairman:

Biodiversity net gain is development that leaves biodiversity in a better state than before. It is the end result of a process applied to development so that overall, there is a positive outcome for biodiversity. We will use the nationally recognised Defra Biodiversity Metric as a tool to assess the changes in biodiversity value through development. The habitats created to compensate for the loss of habitats to be impacted by the preferred route will include new woodland and wetland with measures designed to benefit the barbastelle bat and other protected species.

Supplementary Question from Dr Iain Robinson

A woodland is made of more than just trees. The woodland soil ecology and understory (wildflowers, grasses, shrubs etc) might take centuries to mature and develop fungus and species diversity. How do the councillors intend to mitigate for such an irreplaceable loss?

Response from the Chairman:

The Defra biodiversity metric takes account of current and future habitat value (distinctiveness and condition) and applies risk factors to any compensation to deal with time to maturity (target condition).

Question from Christopher Keene

The United Nations' Intergovernmental Panel on Climate Change report of October 2018 states that we need a 45% reduction in carbon emissions by 2030 compared to 2010 to keep warming below 1.5C above pre-industrial levels, which will demand a radical change to our way of life. How can this occur when the Norwich Western link will increase emissions, as research has proven that new roads generate more traffic, with traffic increasing by an average of 47% above the regional equivalent in areas receiving major new roads according to a March 2017 study by Transport for Quality of Life?

Response from the Chairman:

The modelling data suggests that NWL will result in a reduction in vehicle miles travelled in the opening year (of just over 4%) with a corresponding reduction in CO2 emissions. Increased traffic levels nationally and locally means that by 2040 there is a modelled increase of 1.2% in greenhouse gases attributable to NWL, but this figure does not reflect the governments stated ambition that all new cars and vans to be effectively zero emission by 2040 and does not reflect any potential improvements in vehicles efficiency, or to emissions standards. On this basis it is considered a worst-case scenario. Part of the package of mitigation measures for NWL includes improved facilities for cycling and walking, which is one of the recommendations of the Government's Response to the Committee on Climate Change document.

Question from Jenn Parkhouse, Chair, Wensum Valley Alliance.

Last October the IPCC reported that carbon emissions would need to be reduced to net zero by 2050 to have a reasonable chance of limiting global warming to 1.5 degrees. If the NWL goes ahead and opens in 2025 this would increase carbon emissions by 20%+ (ref OSR Table 5.29 specific to Route C. Why is this committee discussing the merits of Route C instead of questioning the very viability of any new road? This would be in keeping with Council's own declared intention when adopting motion in April this year to consider all future key decisions with regard to their environmental impact, and in alignment with IPCC guidance.

Response by the Chairman:

NWL is not modelled to increase carbon emissions by 20%. Table 5.29 illustrates that in the opening year of 2025, NWL is modelled to reduce both vehicle kilometres travelled and carbon gases by just over 4%.

The environmental impacts of the scheme will be formally assessed through an Environmental Impact Assessment (EIA). The EIA will be used to fully assess the impacts of the scheme on the environment and to identify any mitigation measures that are required to make the scheme environmentally acceptable.

Question from Mr Stephen Daw.

Welcome Pit, Burgh Castle

Why is MIN203 not a Preferred Site?

Following the meeting of the Infrastructure and Development Committee on 17 July, Officers were instructed to review the conclusion that MIN203 is not Allocated. The report to Cabinet doesn't say if a review has been carried out or what the findings were. However, it is clear that you are being asked to approve the Preferred Options Document without any alterations. The Highways Authority has previously written to say they have no objection to extending Welcome Pit and this is the only mineral site close enough to supply Great Yarmouth. Please correct this contradiction and recommend this as a Preferred Site.

Response by the Chairman:

The comments of the Select committee are listed in paragraph 10.1 of the cabinet report.

One of the comments relates to the decision not to allocate MIN203 (Burgh Castle) which was prompted by a public question to the select committee. The reason that the site is not proposed for allocation, is that we have considered all the sites put forward for minerals extraction and only selected the best that are needed to meet Norfolk's needs. In the context of mineral extraction this means sites with the lowest impact upon amenity and least environmentally damaging. MIN203 (Burgh Castle) has highway limitations being served by a narrow road bounded on both sides by residential properties. Hence it is not supported for allocation on highways grounds. Since the Select committee we have revisited the matter and can confirm that the highways position regarding allocation remains unchanged.

The reference to the removal of the highway's objection relates to pre-application discussions held between the developer and the Highways Authority in which the Highways authority have accepted that through the suspension of several operations on

site that the minerals could be extracted without making the current highways situation worse. However, this does not address the highways limitations of the site and there is a critical difference between not being bad enough to object to a planning application and being good enough to support allocation in a plan. Hence the recommendation remains not to allocate MIN203

Question from Mr Jon Herbert

The report presented today quite rightly focusses on quality of care delivery and continually refers to the 'measurement' so that we can deliver *the outcomes that people want for their lives*. A few years ago NCC asked the BIG QUESTION and a key outcome was that NCC would continue to deliver care for critical and substantial needs. Other needs would be unfunded. If this is still the case how do you reconcile the needs which are not critical or substantial that ARE outcomes that people want for their lives? eg the extended home care call that is purely social because the individual is isolated and lonely.

Supplementary question:

If NCC really want quality based on person centred and outcome based care why do they continue to commission services based on task and time?

Response by the Chairman:

In line with the Care Act, the Council supports people to meet their unmet eligible care needs. The Care Act introduced a national threshold for eligibility for adult social care which the Council follows. This replaces the concept of substantial and critical needs. The Council also meets its duties under the Care Act by ensuring that the outcomes that matter to an individual are key components of their social care assessment

Ensuring care is person centred care is important to meeting an individual's needs. This is why social work in Norfolk is strength based and focused on outcomes, so that every person's care and support plan sets out both the needs and the outcomes to be achieved from their care package. Everyone receives a personal budget to enable this. Some people choose to receive this as a direct payment and arrange care themselves and others ask the council to commission services on their behalf.

Our contracts vary, with some specified arrangements to meet complex needs and others, such as home care based on the number of hours delivered. However, regardless of payment mechanism, all providers are commissioned to deliver against the individual's agreed outcomes, which are set out in their care and support plan.

Appendix B

Agenda Local Member Issues/Questions item 6

Question from Cllr Danny Douglas

What does the announcement of the government's 2050 net zero target do the business case of the Western Link Road?

Response from the Chairman:

The process of submitting a business case to the Department for Transport to secure funding for new road schemes remains unaltered by the Governments net zero emissions announcement.

Supplementary Question from Cllr Danny Douglas

Does the increase in the budget for the Major Schemes Department to prepare the Western Link Road in 2019 - 20 threaten the local bus budget which assists with sustainable transport connectivity in Norfolk?

Response from the Chairman

The additional funding within the 2019/20 financial year for the NWL project is bringing forward capital budget spend that is committed to the project in future years. It will not therefore have an impact on other budget provisions."

Question from Cllr Alexandra Kemp

Incineration and Fracking

Following £34 million lost from Council's budget, with the cancellation of the infamous South Lynn incinerator contract for Planning Failure in 2014, Council agreed a No-Incineration-in-Norfolk Policy, ("Appendix M").

West Norfolk is alarmed by the criteria-based Draft Waste Plan, which fails to state our No-Incineration Policy, instead permissively lists forms of incineration (page 56), endangers West Winch Growth Area by permitting prospecting for fracking (page 90), erroneously ignoring prospecting always causes earthquakes.

Can Cabinet amend the Plan to state "in West Norfolk, where 65,000 people voted against incineration in the Borough Poll, applications for incinerators will not be permitted"; and exclude fracking and prospecting for fracking?

Response from the Chairman.

The County's policy regarding No incineration, relates to our role as the waste disposal authority and remains unaffected by the policies proposed within the draft plan. To exercise effective planning control on future minerals and waste development proposals we need to maintain an up to date plan. The Minerals & Waste Local Plan Review proposed will ensure that this remains the case. However, adoption can only take place after the plan has been approved by an independent inspector appointed by the Secretary of State. In order to pass examination, the plan policies must be consistent with National Policies. Currently National policies support both Hydraulic fracturing and thermal

treatment of waste. Our policies therefore set out criteria against which such proposals must be assessed to ensure that the health and amenity of Norfolk's residents are robustly protected. Conversely policies that contradict national policies are likely to result in delays to adopting a replacement plan due to the inspector either rejecting the plan outright or asking for modifications to bring the plan in line with national policy. The longer the delay the more it diminishes the Authorities ability to refuse development proposals and so exposes Norfolk residents to poor development options.

Question from Cllr Brian Watkins

It has taken over a year for the new autism strategy to finally be agreed. The whole process has been beset by difficulties, including accusations that the Council had often failed to fully understand the needs and aspirations of people living with the condition.

Is the Cabinet member now confident that the strategy has the full confidence of the autism community in Norfolk and what guarantee can he give that the poor performance of services for autistic people highlighted in the strategy will see significant improvements in the next 12 months?

Response by the Chairman.

As you are aware in early 2018, Norfolk appointed a national expert in autism to pull together a Norfolk Autism Partnership board to address the statutory requirements of the Autism Act. In addition, in June 2018 an autism commissioner was appointed to drive forward the work of the board.

The Norfolk Autism Partnership Board has been running for just over a year. This Partnership is coordinated by a Partnership Board meets quarterly and is made up of autistic people of all ages family carers, representatives from public sector and third sector organisations. There are 25 members, of whom 9 are autistic people and family/carers. With an expression of interest to join the partnership people are welcome to observe the board. Everyone involved with the partnership board is committed to working in coproduction to respond to the challenges highlight in the strategy to improve the life opportunities of all autistic people living in Norfolk.

The Partnership Board is supported by a wider Norfolk Autism Partnership Group which is open to everyone. There are 87 members of this group and people are welcome to join at any time. This new partnership has been built up since the first meeting in 2018 and effort will continue to strengthen and widen the Partnership, in particular participation in the Norfolk Autism Partnership Group.

There are currently five sub groups of the Norfolk Partnership Board, these are:

- Engagement working group to increase participation, promote co-production and improve communication about the work of the Board.
- Diagnosis working group with work already underway to support current providers to develop and improve the services that they are contracted to deliver, and this will result in changes during the coming months. At the same time NHS and NCC colleagues will be co-producing the design of the future approach and pathway. The Norfolk Autism Partnership Board and it's sub groups will have a key role in coordinating this co-production. For example the Norfolk Autism Partnership Group will use its August meeting to focus on what people want from pre- and post- diagnostic support. This session will be open to everyone.

- Education working group with an implementation plan in place for the NAPB to contribute to the implementation of the SEND Strategy through coproduction.
- Data working group with improvements made to the way the council records autism and the creation of an autism dashboard that will help inform improvements to services and commissioning intentions. In December 2018 all members of the board were involved in the completion and submission of the National Autism Self-Assessment.
- Workforce Development working group has coproduced a basic autism awareness e-learning programme that is currently being rolled out to children's and adults social care and wider council staff. The intention is to make basic autism e-learning available to anyone in Norfolk. In addition, this group also coproduced specialist face to face autism training to embed the learning from the e-learning programme and provide a focus in practice. Both training course will be quality tested with the face to face training course accredited.

I hope that this new structure and approach make a huge contribution to the wellbeing of autistic people across the county.

Question from Cllr Brenda Jones

At Scrutiny Cllr Jamieson said it would be a good idea for the Council to borrow money to invest in the provision of care homes.

Given the concerns about the viability of the care market would it be a good idea to take up this suggestion? If NorseCare were supported to take over failing care homes and to run new care homes then the Council could be assured that there would be sufficient provision of good quality care available

Funding NorseCare to provide this makes sense financially, in terms of standards of care, and would provide security and certainty in the care market.

Response by the Chairman.

The Quality Improvement Strategy sets out a range of proposals that will support both quality and capacity in the Norfolk care market. Together with the annual market position statement these set out the Council's intentions for shaping the market to meet people's need.

I hope that NorseCare, like other providers, will consider any business opportunities to step in where there is shortage of provision or gaps in the market.

Investment is a key part of shaping the market and NCC has created a £29m capital fund to deliver a ten year programme – Living Well Homes for Norfolk – to build more extra care housing with care across Norfolk.

Provision of enough good quality care requires engagement with all parts of the care market and the Council is committed to looking at market shaping opportunities with ALL providers.

Report to Cabinet

Item No. 7

Report title:	Proposed updates to Planning Obligations Standards 2019
Date of meeting:	2 September 2019
Responsible Cabinet Member:	Councillor Martin 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

Following the adoption of the County Council Planning Obligations Standards in March 2019, it was agreed by the Environment, Development and Transport (EDT) Committee to bring a report to a Select Committee to consider any further potential updates / amendments needed and for these to be taken to Cabinet for final approval as required. This report sets out a series of proposed amendments to the Standards (see Appendix 1) reflecting the Government's amended Community Infrastructure Levy (CIL) Regulations, which came into force on 1 September 2019 and addresses member issues raised at the EDT Committee in March 2019; and the Infrastructure and Development Select Committee in July 2019. These amendments include:

1. removing reference to the pooling restrictions, which will allow the County Council to seek more than 5 obligations for a single infrastructure project or type of infrastructure; and
2. Introducing a monitoring charge on developers to cover the Local Authority's cost of overseeing any S106 work post consent.

In addition, the report suggests further joined-up working with the District Councils to consider the wider implications of the Government's reforms on Developer Contributions in respect of: using planning obligations where CIL is in place to fund the same piece of infrastructure; and the preparation of Infrastructure Funding Statements.

These amendments will allow the County Council to immediately respond to the Government's reforms. Any further amendments to the Standards can be incorporated into the annual Standards Review, which will commence early in 2020 and will be taken to Cabinet in March / April of that year.

Recommendations

- (1) That the updated Standards set out in the Appendix 1 are adopted from 2 September 2019 and that officers write to the respective District Councils to inform them of the new Standards;
- (2) Agree that officers work with the District Councils to consider the wider implications of the Government's reforms in respect of infrastructure delivery to support growth in the County; and
- (3) Incorporate any further amendments into the 2020 Standards Review.

1. Background and Purpose

- 1.1. **Committee Background** - The County Council's current Planning Obligations Standards (April 2019) were formally adopted by the Environment, Development

and Transport (EDT) Committee on 8 March 2019. The Committee also agreed, *inter alia*, that “*an appropriate body such as a Select Committee or Task and Finish Group bring a report of any suggested amendments to Cabinet*”. A copy of the report and minutes can be found at this [link](#). The proposals set out in this Report have been reported to the Infrastructure and Development Select Committee on 17 July 2019 (see sections 2 and 10 below).

- 1.2. **Update to Legislation** – The March EDT Committee Report referred to the Government’s proposals at that time for reforming developer contributions (see paragraph 1.3. of the 8 March 2019 Committee report). In April 2019 the Department for Education published advice on Securing Developer Contributions for Education, which reflected the above proposed reforms.
- 1.3. Legislative amendments (Community Infrastructure Levy (CIL Amendments) Regulations) were laid before Parliament on 4 June 2019 and came into force on 1 September 2019. A copy of the Regulations can be found at this [link](#). The key amendments to the legislation in respect of the County Council’s planning obligations role / function are set out in Section 2 below and include:
 - The abandoning / lifting of the pooling restrictions on S106 agreements – i.e. allowing more than five such agreements to contribute towards a single piece or type of infrastructure; and
 - Allowing monitoring fees to be secured by Local Authorities for S106 work.
- 1.4. **Contributions Secured Update** - Since the Planning Obligations Standards were introduced in 2000 the County Council has entered into some 450 (June 2019) Section 106 agreements covering education, library and fire hydrant provision and these are worth £152 million. Additionally, in this period developer contributions have been secured through either S106 or S278 agreements towards highway and transport schemes worth £84 million (June 2019). A further £6 million has been secured since 2015 towards travel planning. Therefore, in total since 2000 the County Council has secured developer funding towards its infrastructure and services worth over £242 million (June 2019). The County Council produces an annual Planning Obligations Monitoring Statement setting out the above figures and where money has been spent in more detail (see [link](#)). This Monitoring Statement is consistent with the Government’s proposals for Local Authorities to prepare an Annual Infrastructure Funding Statement (IFS) and at the time of writing this report is being updated for 2019.
- 1.5. **Internal Audit** - In April 2019 an Internal Audit was undertaken on Developer Contributions and concluded / confirmed the following:
 - The Planning Team ensure they remain up-to date on changes in relevant legislation with policies and procedures updated promptly;
 - There is a protocol between the County Council and all Local Planning Authorities to ensure that the Council is notified of relevant planning applications;
 - The Planning Team notify the relevant service departments promptly of planning applications;
 - A central record of S106 agreements is kept and monitored with any trigger points communicated to the relevant service department in a timely fashion i.e. to ensure that the County Council invoices developers at the appropriate time;
 - Service departments monitor the use of funds and ensure compliance with the S106 agreement; and
 - Monitoring of developer contributions is reported to senior officers and members and made available on the County Council’s web-site.

- 1.6. There were two minor (low priority) recommendations covering (a) credit control procedures – to ensure prompt payment by developers of their S106 monies; and (b) the need to develop a process to provide assurance that any income due to the County Council is being accurately reported. Both these matters are being addressed by officers.
- 1.7. **Planning Appeals** – The County Council has been successful at all planning appeals it has attended in seeking developer funding, with the Planning Inspectorate recognising that the contributions sought by the Authority are legally compliant with the relevant planning regulations.
- 1.8. **District Council role** – It is important to note that:
- the final decision as to whether to seek developer funding (planning obligations) is ultimately a matter for the relevant Local Planning Authority (i.e. the respective District Council); and
 - the County Council is simply a consultee in the process.

Furthermore, the decision as to whether to develop and charge CIL (Community Infrastructure Levy) is entirely a matter for respective District Councils, who will need to prepare a CIL Charging Schedule (i.e. as Charging Authority) and undertake appropriate consultation with infrastructure providers including the County Council if they wish to adopt CIL. Where CIL is in place it is the District Council who will collect CIL and determine where and how it is spent with the limitation that a certain percentage must be passed to the relevant Parish Council (if the area is Parished). Within the Greater Norwich area Members will be aware that there is a partnership arrangement in place between all the District Councils and the County Council relating to CIL spending i.e. enabling CIL funds to be spent on key infrastructure to support housing and employment growth.

2. Proposals

- 2.1. As indicated above the Infrastructure and Development Select Committee considered the County Council's Planning Obligations Standards on 17 July 2019. The following suggested amendments were discussed at the Select Committee and are recommended to be agreed by Cabinet:

Government Reforms	Recommended Updates to Standards
(a) Lifting the pooling restrictions on Section 106 i.e. allowing more than five such agreements to contribute towards a single piece or type of infrastructure. In particular the Government accepts the argument that lifting the pooling restriction in all areas would remove barriers to development and could in some circumstances give local planning authorities the ability to secure more funding through s106 to deliver the infrastructure needed to support development;	Update the County Council's Planning Obligations Standards to acknowledge the proposed lifting of the pooling restrictions thereby allowing the County Council to pool S106 contributions. In the interests of openness and transparency, as well as ensuring legal compliance, the CC will continue to identify infrastructure projects, which S106 monies will fund in order to mitigate the impact of development. See Standards in Appendix 1: National Guidance (section 2); and projects identified in Sections 4 (Education) and Section 5 (Library).
(b) Clarifying how S106 planning obligations can be used for	Update Standards to include a monitoring charge in line with the

monitoring and specifically permitting Local Authorities to charge for monitoring obligations. The Government considers that it is a matter for agreement between the District and County Council as how the monitoring fee will be shared.	Government's proposals. See paragraph 3.6 of Standards attached. Ultimately such fees will need to be agreed with both the applicant and the District Council through the S106 process.
(c) Allowing Local Planning Authorities to use both S106 agreements and the Community Infrastructure Ley (CIL) to fund the same infrastructure;	Where CIL is being charged it is suggested that the County Council enter into discussion with CIL Charging Authorities to consider opportunities for using S106 agreements to supplement CIL in order to deliver key County Council infrastructure e.g. roads and schools. Any such use of S106 agreements will need to consider viability issues and be legally compliant.
(d) Introducing Infrastructure Funding Statements (IFS), whereby Local Authorities set out their infrastructure priorities and delivery as well as identifying (monitoring) how monies received have been spent. NB the Government has indicated it will produce further guidance on this matter to assist Local Authorities produce their IFSs	The County Council will need to work with the District Councils to ensure a joined-up approach to infrastructure delivery through developer funding. This can build on existing arrangements relating to the preparation of Local Authority Infrastructure Delivery Plans. The County Council already monitors effectively how it spends its Obligations receipts – although further consideration will be given to this matter once further Government Guidance is published.

- 2.2. The DfE made specific reference in its recent guidance for Local Authorities to seek developer contributions for special education needs and disabilities (SEN) provision. The County Council already makes specific reference to SEN provision in the its Standards but will consider whether separate costs need to be introduced for this sector as part of the 2020 Standards Review.
- 2.3. **Impact on smaller builders / developments** - Issues had been raised at EDT Committee regarding the costs of planning obligations for smaller scale builders / developments. However, it needs to be recognised that the Planning Obligations Standards only apply (as agreed with the District Councils) to development of 20 dwellings or more, unless the proposal is contiguous with another proposal / recent development. (NB this figure is 25 Units in Norwich and Great Yarmouth). There is an agreed Planning Obligations Protocol with all the District Councils in relation to this threshold. The threshold ensures that smaller scale development and self-build are not burdened with these obligations.

It is recommended that these thresholds remain in order to avoid impact on smaller scale builders and self-build.

- 2.4. **Health and Social Care** - In terms of Health Care Provision, the updated April 2019 version of the Standards (Section 6 - Appendix 1) now makes specific reference to health care and the County Council's role as a public health body. Reference is also made to the Countywide Planning and Health Protocol. The Protocol commits Local Planning Authorities (LPAs), as determining authorities, to engage with all the relevant health care and social care partners; commissioning bodies; as well as the County Council on relevant planning applications.

Notwithstanding the above comments, amendments have been made in Section 6 of the Standards in respect of accessible housing, clarifying the County Council's position regarding extra care housing (see Appendix 1).

The County Council will continue through its Planning and Public Health roles to work with both the health care providers and the Norfolk Strategic Planning Member Forum to assist in the delivery of health care locally.

3. Impact of the Proposal

- 3.1. The above suggested amendments to the County Council's Planning Obligations Standards will allow the Authority to adapt positively to the Government's reforms to developer funding. It will give greater scope and opportunity for seeking pooled contributions towards key infrastructure including the provision of schools and transport schemes.

4. Evidence and Reasons for Decision

- 4.1. The proposed amendments will ensure that S106 contributions continue to be sought effectively in order to address the impacts on County Council services arising from new development. Members will be aware that there is a limited developer "pot" and that contributions sought by the County Council must relate to those areas where the Authority has a statutory role e.g. education, transport and libraries.

5. Alternative Options

- 5.1. The alternative option to agreeing the proposed updates to the County Council's Standards is not to take these amendments forward and instead rely on the existing Standards (March 2019). This alternative option is not recommended as the existing Standards agreed by EDT Committee in March 2019 do not reflect the new Community Infrastructure Levy Regulations (Amendment)(England)(No.2) Regulations 2019, which came into force on 1 September 2019.

6. Financial Implications

- 6.1. The proposed amendments will ensure that S106 contributions continue to be sought effectively in order to address the impacts on County Council services arising from new development. Members will be aware that there is a limited developer "pot" and that contributions sought by the County Council must relate to those areas where the Authority has a statutory role e.g. education, transport and libraries.

7. Resource Implications

- 7.1. **Staff:**
There are no immediate staff implications
- 7.2. **Property:**

None

- 7.3. **IT:**
None

8. Other Implications

8.1. Legal Implications:

Contributions sought in S106 agreements must be compliant with the legal tests set in Reg 122 of the CIL Regulations (2010 as amended). The County Council's Planning Obligations Standards are considered to be compliant with these tests and specific reference to them is made in the Standards.

8.2. Human Rights implications

None at this stage

8.3. Equality Impact Assessment (EqIA)

The Council's Planning functions are subject to equality impact assessments. No EqIA issues have been identified.

8.4. Health and Safety implications (where appropriate)

None

8.5. Sustainability implications (where appropriate)

Failure to secure adequate developer funding towards necessary infrastructure to support growth could lead to unsustainable development taking place and run the risk of placing an additional financial burden on the Authority to finance any shortfalls in County Council infrastructure such as at schools and on the transport network.

8.6. Any other implications

None

9. Risk Implications/Assessment

- 9.1. The proposed amendments to the County Council's Planning Obligations Standards are required to bring them into line with the changes in CIL Regulations, which came into force on 1 September 2019. Relying on the County Council's existing Standards (April 2019), runs the risk of developer funding not being sought for key infrastructure delivered by the County Council with regard to schools and transport.

10. Select Committee comments

- 10.1. The Infrastructure and Development Select Committee considered the attached updated Planning Obligations Standards on 17 July 2019 and agreed the following actions:
- (1) To recommend the amended Planning Obligations Standards (as set out in Appendix 1) to Cabinet on 2 September 2019 for approval;
 - (2) Agree that officers work with the District Councils to consider the wider implications of the Government's reforms in respect of infrastructure delivery to support growth in the County;
 - (3) Note that any further amendments will be incorporated into the next annual review of the Standards for 2020.
- 10.2. The Select Committee particularly welcomed the current thresholds where

obligations are sought (see above), which avoid small scale developments and self-build. The Committee also welcomed clarification surrounding extra-care housing included within the updated Standards.

- 10.3. Issues were also raised regarding the need for health care provision associated with new development. The Committee was made aware that the Norfolk Strategic Planning Member Forum made up of Local Authorities across the County are looking into this matter as part of the Norfolk Strategic Planning Framework (NSPF) review. Within the currently agreed Countywide NSPF there is a Health Protocol (Agreement 20), which commits Local Planning Authorities (LPAs) to engage with all the relevant health care and social care partners; commissioning bodies; as well as the County Council on relevant planning applications and the preparation of Local Plans.
- 10.4. Ultimately it is a matter for the determining authorities (the District Councils as LPAs) to decide on the obligations to be sought and agreed within any S106 legal agreement. Clearly there is a limited “developer pot” available and the wider the contributions net is spread, the more of a squeeze this could have on other infrastructure, including for schools and transport infrastructure.

11. Recommendation

- 11.1. (1) That the updated Standards set out in the Appendix 1 are adopted from 2 September 2019 and that officers write to the respective District Councils to inform them of the new Standards;
- (2) Agree that officers work with the District Councils to consider the wider implications of the Government’s reforms in respect of infrastructure delivery to support growth in the County;
- (3) Incorporate any further amendments into the 2020 Standards Review.

12. Background Papers

- 12.1. Community Infrastructure Levy Regulations (2010):
(<https://www.legislation.gov.uk/ukdsi/2010/9780111492390/contents>)
- 12.2. Town and Country Planning Act (1990):
(<https://www.legislation.gov.uk/ukdsi/2010/9780111492390/contents>);
- 12.3. Developer Contributions Reform – Technical Consultation (MHCLG) (2018)
<https://www.gov.uk/government/consultations/developer-contributions-reform-technical-consultation>
- 12.4. Department for Education - Securing developer contributions for education
<https://www.gov.uk/government/publications/delivering-schools-to-support-housing-growth>
- 12.5. Highways Act 1980:
(<http://www.legislation.gov.uk/ukpga/1980/66>)
- 12.6. Planning Obligations Monitoring statement (July 2018)
(<https://www.norfolk.gov.uk/rubbish-recycling-and-planning/planning-applications/planning-obligations>)

12.7. National Planning Policy Framework (2019):

(<https://www.gov.uk/government/publications/national-planning-policy-framework--2>)

Officer Contact

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

Officer name: Stephen Faulkner

Tel No.: 222752

Email address: stephen.faulkner@norfolk.gov.uk



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



Norfolk County Council

Appendix 1

INFRASTRUCTURE, SERVICE AND AMENITY REQUIREMENTS FOR NEW DEVELOPMENT

Draft

Planning Obligations Standards

September 2019

General enquiries should be made to Stephen Faulkner (Principal Planner) on 01603 222752 (email stephen.faulkner@norfolk.gov.uk) or Laura Waters (Planner) on 01603 638038 (email laura.waters@norfolk.gov.uk) or Naomi Chamberlain (Trainee Planner) on 01603 638422 (naomi.chamberlain@norfolk.gov.uk)

Infrastructure, Service and Amenity Requirements for New Development

Norfolk County Council Standards – September 2019

1.0 Introduction

1.1. The purpose of this document is to set out clearly the planning obligations requirements the County Council may seek in association with new development. These standards apply to the following County Council services:

- Children's Services
- Library
- Fire Service
- Community Services – Adult Care
- Green Infrastructure and Public Rights of Way
- Other Potential Infrastructure e.g. Household Waste Recycling Facilities

1.2. The highway and transport infrastructure and services directly required from new development will continue to be negotiated on a site by site basis (see section 9).

1.3. Other infrastructure and service requirements will be sought by District Councils for affordable housing, play space, open space etc. A list of District Council contacts is set out in Section 11. In addition other service providers, such as the Police and the various Health Bodies may also seek developer contributions towards improvements to their services.

2.0 National Guidance

2.1 All infrastructure requirements must now be compliant with the legal tests set out in the Community Infrastructure Regulations (2010) (as amended) (Reg 122) and be:

- Necessary to make the development acceptable in planning terms;
- Directly related to the development; and
- Fairly and reasonably related in scale and kind to the development.

2.2. Amended Regulations were laid before Parliament on 4 June 2019 (Community Infrastructure Levy (Amendment)(England)(No.2) Regulations 2019) and came into force on 1 September 2019. The amended Regulations follow the Government's Technical Consultation in December 2018 on Reforming Developer Contributions, which covered:

- Lifting the pooling restrictions on Section 106 i.e. allowing more than five such S106 agreements to contribute towards a single piece or type of infrastructure. In particular the Government accepts the argument that lifting the pooling restriction in all areas would remove barriers to development and could in some circumstances give local planning authorities the ability to secure more funding through s106 to deliver the infrastructure needed to support development;
- to clarify how S106 planning obligations can be used for monitoring specifically permitting Local Authorities to charge for monitoring obligations;
- Allowing Local Planning Authorities to use both S106 agreements and the Community Infrastructure Ley (CIL) to fund the same infrastructure; and
- Introducing Infrastructure Funding Statements, whereby Local Authorities set out their infrastructure priorities and delivery as well as showing how monies received have been spent.

These reforms have been included within the Community Infrastructure Levy (CIL)(Amendments) 2019. The County Council's Planning Obligations Standards below reflect the lifting of the pooling restrictions and the clarification regarding monitoring charges. The County Council is also working closely with all District Councils on other aspects of the CIL reforms.

2.3. The County Council will continue to provide a detailed justification/explanation of any contributions it seeks. The Standard Charges detailed below illustrate the range of facilities, which may be expected from developers as a consequence of the development. Developers will be expected to enter into a S.106 legal agreement with the local planning authority regarding the contributions sought or will be obliged through a planning condition to deliver the on-site infrastructure requirements.

2.4 The Planning Obligations Standards are revised annually taking into account:

- Changes in national guidance/standards;
- Inflation – where cost have changed;
- Any other material considerations.

2.5 These Standard Charges have taken into account the Community Infrastructure Levy Regulations (2010) and the subsequent amendments.

2.6. The following national guidance has been taken into account:

- National Planning Policy Framework ;
- The Planning Act (2008) – this provides ministers with the power to make the CIL Regulations.

Community Infrastructure Levy

2.7. The County Council will work in partnership with District Councils to develop CIL Charging Schedules and rates. Where a District Council has chosen not to implement CIL or is working towards implementation the County Council will continue to use the planning obligations standards. Where CIL is implemented there is sometimes a need for the County Council to use S106 agreements:

- (a) To secure infrastructure which is not identified as being funded through CIL; and/or
- (b) To deal with the transfer of land (e.g. where there is a need for a new school).

In addition the amended CIL Regulations (2019) now allow authorities to use funds from both the Levy and planning obligations to pay for the same piece of infrastructure.

Therefore in those Local Planning Authority areas (LPAs) , where CIL has been introduced (i.e. Norwich City Council, South Norfolk District Council; Broadland District Council; and King's Lynn and West Norfolk Borough Council), the Standards below would not normally be applied except where:

1. there is agreement with the LPA to use both the Levy and planning obligations for the same piece of infrastructure;
2. the site is in a zero CIL rated location and is reliant on S106 to deliver necessary infrastructure; or
3. the contribution relates to land transfer.

The County Council will expect to be consulted at the application stage on proposals likely to have an impact on County Council infrastructure and services by those District Councils who have adopted CIL Charging Schedules.

NB the County Council is working closely with those LPAs who have adopted CIL, as well as those intending to develop CIL, to ensure that necessary County Council infrastructure is secured and delivered through CIL.

3.0 County Advice

Dealing with Major Urban Regeneration Sites

3.1. The County Council recognises that there will be occasions when not all the infrastructure and services requirements made necessary by the development will be able to be provided by the developer. This is likely to be the case on major urban regeneration sites where there may be exceptional costs associated with site clearance and possibly decontamination.

In such circumstances it may be appropriate for the local authority and other public-sector agencies to assist and facilitate in the development coming forward.

This may involve a reduction in the level of contributions normally sought. This would in practice mean the County Council or other service providers needing to fund in part the infrastructure and services needed.

However, in such circumstances the County Council would need clear evidence that:

- The economics of the site do not allow for all contributions to be met. The County Council would want to see the viability assessment (VA) produced and would need to be satisfied with the VA before waiving any contribution sought; and
- The development is in the wider public interest i.e. will provide a wide range of community benefits such as the removal of derelict land and will provide local services (e.g. schools and healthcare provision) accessible to the community as a whole. In these circumstances the matter would be taken to the relevant County Council decision maker in order to secure agreement to reduce the County Council's infrastructure and service requirements. The County Council recognises that it is the District Council who will determine the application and ultimately decide the content of the S106 agreement.

Use of Bonds

3.2 The County Council may seek from developers where appropriate the use of “bonds” to act as a guarantee where large contributions have been negotiated through the S106 process towards for example, schools, travel planning and transport schemes.

Phasing of payments

3.3. Agreed planning obligations contributions will typically be paid to the County Council in a series of phased payments to be agreed with the applicant and determining authority.

Potential Claw-back of Payments

3.4 Where contributions have been made, the County Council will normally be expected to use the sum of money received for the purposes agreed within 5 years of final occupation. However, for some large-scale developments the period may be extended. If the County Council has not spent the money in this time, then some or all of the contributions will be returned to the developer as agreed in the S106 agreement.

Legal Charges

3.5. The developer will be required to pay the County Council's legal fees for drafting and negotiating the S106 agreement and a solicitor's undertaking must be supplied to the County Council's legal advisor before any legal work is carried out.

The County Council will review all the charges set out in these Standards when they are next updated.

Monitoring Charge

3.6 The County Council will seek a charge towards the administration of the S106 agreements (i.e. covering monitoring of S106 agreements and planning conditions – undertaking sites visits; invoicing; preparation of an Infrastructure Funding Statement; and chasing up any payments outstanding).

The charge will generally be levied at a rate of £500 per obligation on all schemes involving the phasing of payments. On more complex sites the charge will be levied at a rate of 1 % of the County Council's total obligations up to a maximum of £10,000 per agreement.

On major strategic housing sites (typically over 1,000 dwellings), the monitoring fee will be negotiated on a site by site basis reflecting any potential complexities associated with the S106 and the additional work involved in monitoring the agreement over a lengthy time period.

The monitoring charge will normally be payable on commencement of the development.

Where all contributions are payable on commencement the monitoring charge may be reduced.

4.0 Education Provision

4.1. The County Council has a statutory responsibility to ensure sufficient school places in the County for children between the ages 5 and 16 years. It works with other partners to ensure a sufficient supply of 16 – 19 year places many of which are integrated in 11 – 19 year schools. In addition the County Council has a statutory duty to ensure a sufficient supply of pre-school places (e.g. Day Care and/or Early Education provision) for children aged three and four. There is also a duty to ensure free places for eligible two-year olds. Contributions for pre-school provision may be required either for existing pre-schools or purpose built new facilities on a separate site, possibly shared with a school. Existing play groups and nurseries (including private facilities) will be taken into account. Primary phase schools are now able in law to extend their age range to encompass two and three year olds.

4.2. The Education Act 2006 gives the County Council the duty to secure sufficient places in its area. Subsequent legislation has created a platform for the development of a more diverse and more locally accountable school system, supported by a wider range of providers than in the past, particularly through multi-academy trusts.

4.3. The County Council maintains (funds) community schools, voluntary controlled schools; and community special schools. Statutory regulation ensures that governing bodies have delegated authority to run schools. The County Council and the Department for Education have the duty to intervene where a school is at risk of failing. The County Council acts as admissions authority for community and voluntary controlled mainstream schools and co-ordinates “applications and offers” for all mainstream schools, including free schools and academies. The Local Authority co-ordination ensures a fair process for parents and their children, offers an accessible school place to all applicants and seeks to meet parental preference as far as possible.

4.4. The County Council acts as a champion for all Norfolk residents, in respect of all children and young people and their parents/carers. In a diverse educational context, it will broker partnerships to support governors, school leaders and providers in securing the best for the community they serve. Its partnership, school improvement and school intervention activity is exercised in pursuit of the highest quality school provision in all schools in Norfolk.

4.5. The County Council receives capital grant from government to support the supply of places in all schools. It also seeks contributions from housing developments towards the cost of new school places in line with the CIL Regulations referred to above. Where it secures such contributions it may add to them an element of Basic Need funding to enhance the facilities but will not reduce the level of obligations set out in this document.

4.6. The County Council is also, under the Education Act 2006, as amended by the Academies Act 2010, a commissioner rather than a provider of new schools. It has the power to set out the characteristics of a school needed for a new community in order

that providers may identify their capacity to provide that school. All new schools commissioned in this way will be established as Free schools (in law academies). The County Council has to provide the site and funds for such a school, although these will usually be expected to come from the developer(s). The County Council will procure the school building through its OJEU (Official Journal of the European Union) compliant contractor framework and will provide the new building for the successful free school sponsor (multi-academy trust) to occupy.

4.7. New Free schools can also be approved by the Secretary of State. These can add to the supply of places but also can increase the diversity of provision in an area. Where they meet a shortfall of places, they would be supported by the County Council.

4.8. In order to assess the number of new children likely to arise from a new development the County Council has undertaken an analysis of recent development in the County (2018) and cross checked this with Health Authority and School Census data, which has resulted in the use of the following pupil generation figures (based on expected children per 100 dwellings):-

Table 1

Age range	No. years cohorts	Type of school	Multiplier (no. of Children)
2 - 4	2	Early Education	9.7
4 – 7	3	Infant	12.9
7-11	4	Junior	15.2
4 - 11	7	Primary	28.1
11 - 16	5	High	14.5
16 - 18	2	Sixth Form	1.5
Total			53.8

4.9. For the avoidance of doubt the above multipliers have been generated as an average child yield across the whole of Norfolk and will be used to calculate developer contributions for all residential developments. Norfolk County Council reserves the right to use more “local multipliers” if the evidence is available to show that the multipliers are more likely to provide an accurate prediction of pupil numbers in the school system as a whole.

The following allowances are:

- No children are assumed on development comprising 1-bed accommodation or sheltered housing where there is an age-related occupancy condition e.g. restricted to the over 50s. In these circumstances no education contributions will be sought;
- For flats, apartments and maisonettes the above multipliers are discounted by a factor of 50% reflecting the fact that fewer children are likely to arise from these types of dwellings.

Catchment Schools

4.10. The County Council will plan on the basis that pupils generated from any new development would attend the catchment school as set out in its statutory admissions documentation. However, if the catchment school is at full capacity, the County Council may, at its full and sole discretion, consider the next nearest school with places providing:

1. The school lies within the statutory maximum distance a child would be expected to travel (i.e. 2 miles for the age range 5 – 8 and 3 miles for the age-range 8 plus.);
2. The school, if primary phase, is within the same high school designated area as set out in the statutory admissions documentation;
3. There will be no adverse impact on the pupils affected in terms of splitting peer groups (i.e. classmates) or siblings;
4. Existing and planned investment in local schools is not compromised;
5. The route to the school is adequate and safe. Where there is inadequate access the County Council may seek developer contributions towards safe routes to school;
6. The developer addresses the impact of those children having to commute further to school e.g. through the provision of cycle storage and/or to deliver safe routes to school.

Types of Infrastructure Projects

4.11. New housing development will typically put additional pressure on existing schools, which may require the developer providing funding towards one of the following school projects listed below. It should be noted that the list of projects below is not exhaustive.

These projects will need to demonstrate that they satisfy and are in compliance with Regulation 122 (legal tests) and Regulation 123 (3) (restrictions on the use of

obligations) of the Community Infrastructure Levy Regulations 2010 (as amended). Developer funding will be sought for the following types of infrastructure project:

- 1) New self-contained class block
- 2) Extension to provide additional classroom(s)
- 3) Internal remodelling to provide additional class places
- 4) Additional toilet provision
- 5) Additional group room provision
- 6) Additional curriculum support space
- 7) Additional staff accommodation
- 8) New/extended hall space
- 9) New/extended sports hall
- 10) Multi use games area (MUGA)
- 11) Improvement/extension to outdoor learning space/classroom
- 12) Playground extension
- 13) Provision or extension of changing rooms and/or cloakroom
- 14) New/extended dining capacity
- 15) Kitchen facilities
- 16) Extension or adaptation of science laboratory
- 17) Extension or adaptation of technology rooms
- 18) Additional car parking; and/or cycle storage facilities
- 19) Extension or refurbishment of early years provision
- 20) Specialist accommodation (Special Educational Needs and Disabilities - SEND) for children with additional needs by extension or adaptation

The County Council will not typically identify the precise project at the named school/s until it has sufficient pooled contributions to put together a deliverable / viable project. It is expected that the legal agreement (S106) will indicate that contributions will be spent at a specific school/s in order to increase pupil capacity.

Costs of Infrastructure Projects

4.12 The charges for both extension and new build works (e.g. new classrooms) are derived from a “basic need multiplier” produced by the Department for Education (DfE). The DfE multipliers are based on building cost information received from LAs across the country as a whole. The figures take into account regional variations in prices.

4.13. The DfE provide a range of “basic need multipliers” which take into account the different school age ranges. These multipliers have been translated into a charge per dwelling (see table 2 below) and assume that there is no long-term unfilled capacity at the recipient school (i.e. a worst case scenario). Future pupil forecasts will also be taken into account.

Table 2

Sector	Basic Need Multiplier Cost Per Pupil (2019) (£)	Standard Charge per dwelling (providing there is no unfilled capacity at the local school) (2019) (£)
Early Education (2-4)	14,022	1,360
Infant (4-7)	14,022	1,809
Junior (7-11)	14,022	2,131
Primary Sector (4-11)	14,022	3,940
High School Sector (11-16)	15,664	2,271
Sixth Form (16- 18)	15,664	235
Total		7,806

Therefore the total cost per dwelling for education (extension work only) is £ 7,806 assuming there is no capacity at the recipient schools.

New School Requirements

4.14. The building of a new school or pre-school facility will be sought where there is a significant housing proposal (see new school costs below).

When building a new school the County Council will consider the wider community use of both the school buildings and playing fields, but the use of these facilities will be for the Governing Body to determine.

Developer contributions towards a new school will be sought when:

- the existing catchment area school cannot be expanded any further (e.g. insufficient usable land area); and/or

- the proposed residential development is of such a scale that a new school can be justified. For the purposes of a new primary school the typical threshold needed to sustain a new 1FE (and pro rata) school is around 800 new dwellings. For a High school the level is considerably higher 5,000 – 6,000 new dwellings;

If the scale of proposed development falls below the critical threshold to deliver a 100% developer funded school the Local Authority will seek a pro-rata contribution towards the new build costs where appropriate. However, the County Council would, in such circumstances, need to carefully examine the proposed development in the context of the Local Plan in order to ensure that the wider objectives of delivering a sustainable community are met.

4.15. In the case of a new Primary School, the County Council preference is for 420 place school (2 forms of entry). It would thus expect the free transfer of a suitable site but will make provision for return of some of this land if the school does not need to accommodate 420 places. Site sizes are approximately 2.0 hectares for a 420 place school and 1 hectare for a 210 place school or otherwise in accordance with DfE Building Bulletin 103: Area Guidelines for Mainstream Schools, plus the full cost of construction, including early education provision.

4.16 The same principle above will apply to a new High School and the land requirement will be in accordance with DfE Building Bulletin 103: Area Guidelines for Mainstream Schools.

The costs of a new school will need to be negotiated on a site by site basis and will reflect type of school (primary or secondary); size of school (e.g. whether 1 Form Entry or larger); and the site constraints (e.g. need to have a level/flat site; free from vegetation/trees; good drainage; and secure etc.).

School Capacity

4.17 It should be noted that existing unfilled capacity in the school system will not automatically be credited to developers, except where there is a significant existing unfilled capacity at the recipient school. The County Council in assessing unfilled capacity in the catchment area will also take into account:

- Schools that have been expanded but are filling from their lower year groups;
- Other permitted development in the area; as well as
- Those sites allocated in the Local Plan or any emerging Local Plan but not subject to a planning application

Capacity at local schools is taken from the County Council's records at the time of the formal application and is based on the most recent pupil count at the school.

4.18 It should be noted that relocatable classrooms (e.g. temporary mobile) will not be counted towards the net capacity of the school. Therefore those schools where there are re-locatable classrooms present will normally be considered as being at, or over capacity, and as such developer contributions will be sought.

Education/Children's Services Contributions arising from Affordable Housing

4.19. The approach set out below applies to both housing schemes where affordable housing forms a component part of a larger market housing development and to those schemes which are 100% affordable housing

4.20. The County Council's approach is that it will seek, for the most part, education contributions on the whole housing site including any component of the proposal which may be developed for affordable housing. The reasons for seeking such contributions are:

- Affordable housing may involve a variety of tenure types, for example rented, shared equity or cheaper market housing, and these tenures are as likely, if not more so, to be occupied by families containing children as market housing; and
- Those families moving into a new affordable development will almost certainly have vacated a home elsewhere, which could in turn be occupied by another family containing children. This means the new development could lead in net terms to more families in the area and more children attending local schools.

4.21. However, the County Council does accept that there may be some instances where new affordable housing will not lead to additional children in the area, for example:

1. Where the families being housed are from a shared household (i.e. sharing with a family member). Therefore once they move to the new affordable home the original home reverts back to a single household; or
2. The family being housed live in a nearby bed and breakfast, hostel or other such accommodation provided by the Local Housing Authority thereby not freeing-up any housing stock; or
3. Where there is an occupancy condition precluding children (i.e. accommodation for the elderly).

4.22. Even in these circumstances (1 and 2) there may still be some justification for the County Council to seek education contributions if the family containing children move between school catchment areas (i.e. leading to children transferring schools and placing greater pressure on the recipient school). Therefore it will only be in very exceptional cases that no education contribution, or reduced contributions, are sought in connection with affordable housing proposals. In such cases it will be up to the applicant together with the Local Housing Authority to clearly demonstrate to the County Council

that the affordable housing proposed will not lead to a net increase in the number of children in the respective school catchment area.

Affordable Housing – Claw Back provision

4.23. The County Council recognises that there is an issue surrounding the payment of education contributions for the affordable housing element of a new development. The practical solution would be for a legal agreement to allow for an element of claw-back by the applicant where it can be demonstrated that the provisos set out above are satisfied. The detailed wording of such a claw-back clause will be a matter for respective solicitors to agree, although the principle should be acceptable, as this is consistent with the current Government guidance. The County Council will continue to monitor the implementation of this approach and review the situation when the standards are updated.

5.0 Library Provision

5.1 The County Council under the Public Libraries and Museums Act (1964) has a statutory responsibility to provide a comprehensive and efficient library service. New housing development will put a strain on existing library provision, which may require developer funding towards one of the following library projects listed below. It should be noted that the list of projects is not exhaustive.

These projects will need to demonstrate that they satisfy and are in compliance with Reg 122 (legal tests) and Reg 123 (3) (restrictions on the use of obligations) of the Community Infrastructure Levy Regulations 2010 (as amended):

- **A new library building**, fixtures and stock. The provision of a new library is only likely to be sought on major new housing sites/allocations of 3,000 dwellings or more. However, each case will depend on an assessment of the particular requirements in that area and the likely impact of the new development on current provision. The cost of a new library will need to be negotiated on a site by site basis;
- **A library extension** - The cost associated with these works is based on information published by the Museums, Libraries and Archives (MLA) in their "Public Libraries, Archives and New Development – A Standard Charging Approach (May 2010)". The MLA recommends 30 sq.m. per 1,000 population. The average cost per sq.m. for library provision is £2,020 (RICS East of England Library tender value first quarter 2013). Based on an average household size of 2.4 occupants this gives a figure of £144 per dwelling. In addition there would be a requirement for the extension to be fitted out at £100 per dwelling. This brings the total requirement to **£244 per dwelling**;
- **Major Capital Project** to an existing library facility – this might include provision of new toilets etc. The cost associated with this work is **£244 per dwelling**;
- **Upgrading of existing library facilities**— This may include one or more of the following projects:
 - (a) Refurbish library – including improved decoration and new flooring;
 - (b) Reconfigure internal space (new layout) to increase lending capacity;
 - (c) Refurbish toilet facilities;
 - (d) Improved visitor access to library facility i.e. allowing easier access for those with young children or with mobility issues;
 - (e) External works – such as improved parking; cycle racks etc.

The costs associated with this work is **£100 per dwelling**;

- **IT Equipment; Furniture and Stock**
 - (a) Provision of books at named library or mobile service;

- (b) Provision of “talking books”; DVDs and other leisure materials;
- (c) Provision of “self-service” facilities and other potential IT equipment to increase the opening times and capacity of the library;
- (d) Provision of furniture e.g. book shelves; tables; chairs to increase visitor numbers;
- (e) Provision of computers and computing equipment - including tables;
- (f) Provision of learning equipment / play equipment for younger children;

The costs associated with the above items is **£75 per dwelling**.

The County Council will not typically identify the precise project at the named library until it has sufficient pooled contributions to put together a deliverable / viable project. It is expected that the legal agreement (S106) will indicate that contributions will be spent at a specific library / libraries in order to increase lending capacity.

Type of Library Provision	Standard Charge per dwelling (£)
A new library and stock	To be negotiated
Library Extension and fitting out	244
Major Capital Project to existing library	244
Upgrading of existing library facilities and/or fitting out extension	75 - 100
Equipment and/or Stock	75

The above costs relate to any dwelling (e.g. houses, bungalows, flats and/or apartments). However, contributions will not be sought in relation to residential care homes and student accommodation.

6.0 Adult Social Care and Public Health

Affordable Housing

6.1. The Council wishes to support people who have or may develop care and support needs to be supported in their own home for as long as possible. This means that housing needs to be “future proofed” in terms of being suitable or readily adaptable to that end as a general principle. In addition affordable housing is a key issue for people of all ages and disabilities who use Norfolk County Council services, and this must be accessible and integrated, taking account of access to public transport in terms of location within a site.

A proportion of affordable and market housing should be built to:

- Accessible and Adaptable Standards as set out in the Building Regulations Standards (M4(2)); and
- Wheelchair User Dwelling Standards as set out in the above Standards (M4 (3)).

This would assist in meeting changing needs.

Accessible Housing

6.2. An increasing proportion (25%) of the population is over 65 or disabled. This places pressure on supported accommodation such as sheltered housing, extra care housing and care homes, residential care and supported living and means there is increased demand for more older peoples housing options in the future.

The County Council is committed to reducing residential care home and nursing home dependency for the elderly where they can be supported to remain more independent in their own homes or a housing based supported accommodation setting. It aims to provide care in:

- (a) Peoples own homes;
- (b) Rented accommodation in ordinary housing
- (c) Extra care housing (i.e. with residents living in own accommodation as tenants with staff available on site for emergency unplanned care); and
- (d) Sheltered accommodation with warden provision in those where absolutely necessary.

The Council also recognise that there will be a need for enhancing care homes and nursing homes, in line with population growth. The overall site size and minimum units are likely to be similar to extra care provision.

With regard to working age adults with special needs, the County Council is moving away from over reliance on residential care homes and instead is moving towards “**supported living**” i.e. housing with care (with residents living in their own accommodation as tenants) and single unit accommodation with floating support.

Therefore on larger housing proposals, and on smaller sites where the cumulative effect on services is similar to a larger site, the County Council may ask for a contribution to develop care services, for example:

- To upgrade, expand or convert care homes to supported living accommodation;
- To provide new build extra care housing for the elderly to support housing moves for older people into appropriate housing as care needs increase and their homes become unsuitable;
- To provide new or supported living to meet the needs of new residents to be near their extended family;
- To provide single unit accommodation in general housing with floating support.

This will not be a fixed charge but will be negotiated on a site by site basis, and in the case of care homes or extra care may be based on a land contribution. Any contributions sought will need to fully meet the policy tests set out in the CIL Regulations.

6.3. In addition the County Council would support the District Council as Housing Authority in seeking contributions towards:

- (a) Extra Care Housing Provision for elderly;
- (b) Sheltered Accommodation for the elderly; and
- (c) Supported Living (housing with care) for working age adults with special needs.

Public Health

6.4 The County Council in its Public Health role will consider whether proposed new development requires any contributions towards the general improvement of health. In general it is unlikely that public health will require any contribution, although it may seek to influence the design and make-up of the development in order to encourage healthier living through for example encouraging walking; cycling and the use of public transport.

6.5 It should be noted that under the agreed Norfolk Strategic Planning Framework sit a series of agreements including a County-wide Health Protocol (Agreement 20), which commits Local Planning Authorities (LPAs), as determining authorities, to engage with all the relevant health care and social care partners; commissioning bodies; as well as the County Council on relevant planning applications.

It will ultimately be up to the respective LPA to decide upon seeking any developer funding to specific health care projects such as contributions towards new doctor's surgery / medical facility.

6.6 Such contributions towards capital schemes will not resolve workforce shortages within the NHS or other services. It may however enable surgeries and other services to expand their physical capacity, thereby making recruitment and retention easier in the longer run

7.0 Fire Services

7.1. Developers will be expected to provide fire hydrants to the relevant water main. At least one hydrant will be needed for every 50 dwellings. The minimum cost of a hydrant to fit an 80 – 150 mm main is **£824.00** Therefore the Standard Charge per house towards a fire hydrant is **£16.48**.

7.2. Fire hydrants may also be sought in respect of commercial development at a cost of **£824.00 per hydrant**. The number of hydrants required will need to be assessed on a site by site basis taking into account the mix and type of commercial uses proposed.

7.3. Given that the provision of a fire hydrant will in most cases be on site, the County Council would expect that they are delivered through a planning condition. The fire hydrants ought to be installed at the same time as the rest of the water infrastructure, ahead of any dwellings being occupied, in order to avoid any excessive costs to the developer. The location of the hydrant must be agreed with the Norfolk Fire Service prior to installation. The developer will be expected to initiate the installation of the hydrant through contact with the Water Company and will incur all costs associated with the hydrant and its installation. The following conditions will be sought:

Condition 1 Residential Development:-

No development shall commence on site until a full or phased scheme has been submitted to, and agreed by the Council in consultation with Norfolk Fire Service, for the provision of at least one fire hydrant (served by mains water supply) for every 50 dwellings forming part of the development and no dwelling shall be occupied until the hydrant(s) serving the property or group of properties has been provided to the satisfaction of the Council in consultation with Norfolk Fire Service.

Condition 2 Commercial Development:-

No development shall commence on site until a scheme has been submitted for the provision of 0.75 fire hydrants per hectare (served by a 150 - 180mm main water supply depending on the mix and type of commercial uses) for the benefit of the commercial development in a location agreed with the Council in consultation with Norfolk Fire Service and should meet the requirements of Building Regulations Approved Document B Volume 2 Sections 15 &16 (Fire Hydrants/Water Supplies and Vehicle Access).

The commercial development buildings shall not be occupied until the hydrants have been provided to the satisfaction of the Council in consultation with the Norfolk Fire Service.

Informative

7.4. With reference to Conditions 1 and 2, the developer will be expected to meet the costs of supplying and installing the fire hydrants.

Reason for Condition

7.5. Condition is needed to ensure adequate water infrastructure provision is made on site for the local fire service to tackle any property fire.

7.6. Developers may also be asked to contribute towards additional off-site facilities made necessary by the proposed development. For any off-site requirements the County Council would expect these to be dealt with through a S106 agreement.

7.7 The delivery of on-site fire hydrants should therefore be dealt through the use of planning condition rather than within a S106 agreement.

8.0 Green Infrastructure

8.1. The County Council, in partnership with Local Planning Authorities, expects developers to contribute towards the provision of green infrastructure in line with requirements in the NPPF and local plan policies. Contributions towards green infrastructure should not be confined to monetary obligations but should be considered within the overall design of development and its context.

The principle of green infrastructure is to provide landscape connectivity for people and wildlife as well as, where appropriate, assisting in the protection of designated sites. The County Council therefore expects that green infrastructure provision is considered and secured through on-site open space provision with appropriate connections to the wider off-site GI network. This can be achieved, for example, through strategic Highway planting, enhancements to the Public Rights of Way network and effective use of sustainable urban drainage systems as multifunctional assets.

The County Council's green infrastructure responsibilities include:

8.2. Public Rights of Way - Norfolk County Council has a duty to sign and maintain 3,750 km Public Rights of Way (PROW). New development may directly affect routes through for example:

- Requiring those that exist to be moved or adopted; or
- Creating the need for new ones; or
- Requiring existing ones to be improved.

Where detached ways are proposed it is in the public benefit that they be dedicated as public rights of way. Increased use will be made of off-site routes requiring enhanced maintenance incurring cost to this authority.

8.3 Norfolk Trails – Where development is near to one of the Norfolk Trails, a contribution may be sought to help bring social and economic benefits to the local community with regards to connectivity with the trail infrastructure.

Therefore where proposed development is likely to have an impact on PROW, the County Council will seek to negotiate a contribution which is consistent with the tests set out in the CIL Regulations (2010).

8.4 Habitat Regulation Assessment and ecological networks - In terms of the Conservation of Species and Habitat Regulations 2010 (as amended), new and enhanced Green Infrastructure can be used as mitigation for impacts from recreational disturbance on internationally-designated wildlife sites as a result of new development. Therefore the County Council, in partnership with Local Planning Authorities, expects

developers to contribute towards the provision of a coherent and connected green infrastructure Network.

In addition, Local Authorities have a general duty to protect biodiversity. The County Council, in partnership with the respective District Council, may seek contributions towards improving areas of green space and/or the creation of new habitats in order to maintain, enhance, restore or add to biodiversity interests, where they relate to new housing development as required by the NPPF. Such contributions towards biodiversity interests will assist local authorities discharge their responsibilities under the Section 40 of the Natural Environment and Rural Communities Act (2006). Contributions will only be sought where they can be justified in terms of the tests set out in Regulation 122 of the CIL Regulations (2010), for example where residents from an individual proposed development site are reasonably likely to adversely impact a County Wildlife Site through increased footfall and where mitigation measures are necessary to address this.

9.0 Highways & Transport and Other Potential Contributions

Highway and Transport

9.1 The County Council, through its role as Highways & Transport consultee supports development where it can be clearly demonstrated that it meets the requirements of the NPPF in being safe and sustainable. With this in mind, developers may be required to provide transport related mitigation to address transport impacts of development. The mitigation measures secured by obligation can take the form of travel planning (See below), public transport provision including infrastructure, measures to improve road safety/capacity, or facilities to enable non-motorised users of the highway.

This can be delivered through financial contributions or physical works within the highway and will be dealt with by both the Planning (S106) and Highways (S278 of the 1980 Highways act) legislation. Highways and Transport mitigation measures will usually be secured by planning condition and are assessed on a site specific basis.

Early engagement with the Highways Development Management service is actively encouraged prior to submission of any planning application.

Travel Planning

9.2 Where it has been identified that a travel plan is required, Norfolk County Council's Travel Plan Guidance sets out the requirements including the travel plan surety bonds/contributions and monitoring fees. The Travel Plan Guidance can be found on the County Council's Web-site: <https://www.norfolk.gov.uk/rubbish-recycling-and-planning/planning-applications/highway-guidance-for-development/travel-plans>

The following two options are available to all developers.

- A travel plan can be delivered by the developer or their 3rd party contractor with the surety bond payable to the County Council.

or

- The County Council can deliver the travel plan for an agreed fee through the S106. This travel plan would be delivered by the AtoBetter project.

Both options will require to pay the monitoring fee to the County Council in respect of monitoring and evaluation of their travel plans.

Household Waste Recycling Facilities

9.3 Norfolk County Council, as a Waste Disposal Authority, has a statutory duty under the Environmental Protection Act (1990) to provide facilities at which residents may deposit their household waste. Each facility must be situated either within the area of the authority or so as to be reasonably accessible to persons resident in this area.

Planned housing growth in Norfolk will place further pressures on existing facilities and will require a combination of new or improved facilities in order to meet future demand. Contributions may be sought to deal with the cumulative impact of a series of both small and large developments.

9.4 NB at this stage the precise figure has not been calculated and would not be implemented until consultation has occurred with the District Councils.

Historic Environment

9.5. Developers will usually be required to meet the costs of protecting or examining and recording the historic environment generally including archaeological remains, historic buildings and other landscape feature through planning conditions or legal agreement.

Climate Change

9.6 Government is encouraging the use of the planning system to reduce the impacts linked with increasing the levels of carbon emission that exacerbate climate change. In due course this may involve contributions to abate these impacts; however, at this stage the precise figure has not been calculated and would not be implemented until consultation has occurred with the District Councils as part of any CIL preparation.

Monitoring of Contributions

9.7. The County Council will closely monitor the contributions collected and ensure that any monies collected and spent are in accordance with the respective S106 agreement. Government proposals indicate that local authorities will be able to charge a monitoring fee in respect of planning obligations. The County Council will review this matter once the new Regulations are finally published.

10.0 Summary of Developer Requirements

10.1. The table below summarises the maximum costs per dwelling for education, library and fire hydrant provision:

Infrastructure/Service Area	Cost per Dwelling (£)
Education*	7,806
Libraries	75 (Minimum)
Adult Care Services	To be negotiated
Fire Hydrant	824 (per 50 dwellings)
Household Waste Recycling Facilities	To be negotiated
Highways and Transport	To be negotiated
Green Infrastructure	To be negotiated
Other Items (relating to Historic Environment and Climate Change)	To be negotiated
Total	7,881 This figure excludes fire hydrants which will be dealt with through condition

* The education figure assumes extension and new build associated with an existing school and does not reflect the construction costs of a new school.

11.0 Contacts

11.1. For general enquiries regarding the County Council's planning obligations standards please call or email Stephen Faulkner (Principal Planner) on 01603 222752 (email stephen.faulkner.gov.uk) or Laura Waters (Senior Planner) on 01603 638038 (email laura.waters@norfolk.gov.uk); or Naomi Chamberlain (Trainee Planner) on 01603 638422 (email naomi.chamberlain@norfolk.gov.uk)

11.2 If you have any queries regarding specific sites please contact the relevant Local Planning Authority below:

District		Number
North Norfolk		01263 516325
King's Lynn and West Norfolk		01553 616417
Breckland		01362 656357
City		01603 212603
Broadland and South Norfolk		01508 533789
Great Yarmouth		01493 846421
Broads Authority		01603 610734

Appendix

Planning Obligations - Best Practice Note

1. **Issues on Major Housing Sites – Outline Scheme**
 - 1.1. A significant issue facing the County Council relates to an increase in housing arising from increased densities. While S106 agreements will allow for an increase in housing by ensuring that each additional dwelling over and above a given level contributes on a pro-rata basis (i.e. an uplift clause), they do not typically allow for additional land needed for a school (except on key strategic sites). With a modest increase in housing of between 10% - 15% it is considered possible that a pro-rata increase in contributions would cover any additional build costs associated with the recipient school. However, the level of increase which could come forward (40% plus) on some sites (i.e. reflecting Government aspirations for higher housing densities) may require a larger school site i.e. requiring additional land to that agreed in the S106.
 - 1.2. Other issues include Demographic Multipliers - S106 agreements are negotiated on the basis of demographic multipliers produced by the County Council, which are from time to time updated. Therefore it is possible on those S106s agreed prior to the current pupil multiplier that more children will arise from the development than previously thought.
 - 1.3. Increase in Build Costs – Estimates of build costs may rise over and above those allowed for through index -linking. The S106 relies on the RICS Building Cost index.
2. **General S106 Issues and Way Forward on Outline Schemes**
 - 2.1. The following “best practice” actions are considered appropriate:
 - **Capping the Level of Development** - All S106 relating to outline schemes should have an upper limit/cap placed on them through condition. This cap will need to be agreed between the District the County and the developer and be soundly based on the effective delivery of infrastructure and service (e.g. for education and highway provision);
 - **Uplift charge** – where an uplift charge (overage) is considered appropriate as an alternative to a “cap”, the uplift will be limited to an additional 10% dwellings. Any additional dwellings arising through more intensive development will require a new S106. The uplift will only relate to reserve matters applications.
 - **Demographic Multipliers**– these multipliers will be reviewed on a regular basis and where necessary updated in the County Council's Planning

Obligations Standards. The County Council will ensure that the most up to date multipliers are used;

- **Additional Land for a School** – in responding to District Council Local Plan consultations on site specific proposals the County Council will seek where appropriate additional school land to that required (i.e. contingency site) in order to serve the development in the event that housing numbers increase substantially. The site could potentially be reverted back to the developer if higher densities do not emerge. However, consideration would need to be made to the potential impact of any further housing on local infrastructure and services. In some instances it may be prudent to earmark any “contingency” site for other uses such as open space rather than simply handing the site back to the developer;
- **Build Costs for Schools** - where a new school is needed the valuation will need to be robust and time limited to say three years after the agreement is signed. Thereafter the S106 should allow the costs to be re-negotiated

Report to Cabinet

Item No. 8

Report title:	Norfolk Strategic Planning Framework update
Date of meeting:	2 September 2019
Responsible Cabinet Member:	Councillor Martin 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

Norfolk County Council has a “duty to co-operate” with local planning authorities on strategic planning matters. The Norfolk Strategic Planning Framework helps demonstrate that, in the development of Local Plans, the authorities have discharged the “duty to cooperate”. It also fulfils the role of a “statement of common ground”.

The Norfolk Strategic Planning Framework is not a policy document and does not include planning policies or proposals, rather it is intended to document areas of agreement between the authorities on strategic planning issues. Originally endorsed in 2018, it has been reviewed to keep it up to date and to comply with the requirement to demonstrate that co-operation is ongoing.

The Norfolk Strategic Planning Member Forum oversees the production of the Framework and at their meeting on 8 July recommended that the authorities endorse an updated version.

Recommendation:

- **Endorse the up-dated Norfolk Strategic Planning Framework as part of our ongoing “duty to co-operate”.**

1. Background and Purpose

- 1.1. The Localism Act 2011 set out the statutory requirement for a “duty to cooperate” by which authorities are required to cooperate on an ongoing basis with each other, and other bodies, when preparing Local Plans. More recently, in July 2018, the revised National Planning Policy Framework introduced the requirement for planning authorities to produce, maintain, and update one or more “statement(s) of common ground”, throughout the plan-making process.

The County Council has a duty to cooperate both as a service provider and as a minerals and waste planning authority. In relation to the latter, although we co-operate with local planning authorities in Norfolk, our most significant areas of co-operation are with other minerals and waste planning authorities.

In 2015 a formal county wide Strategic Planning Member Forum was established to ensure that the duty to co-operate is effectively discharged. The Forum is not a decision-making body and makes recommendations to the constituent authorities.

All planning authorities in Norfolk participate in the Forum which is supported via an officer team drawn from the councils. Cllr Clancy currently represents the County Council. In 2017 the partner authorities agreed to prepare a “framework” to include agreements on strategic cross boundary planning matters to help demonstrate compliance with the duty.

The current version of the Norfolk Strategic Planning Framework (NSPF) was endorsed by the County Council, through EDT Committee, in March 2018. To fulfil its roles, it is necessary to keep the Framework up-to-date. The Member Forum considered an updated version of the Framework in January 2019 with some minor up-dates and changes to cover its new role as a statement of common ground but resolved not to recommend publishing until the Government’s standard methodology on assessing housing need was confirmed and could be incorporated. This has now been done with further limited updating, mainly to meet the new requirements for a statement of common ground. It will be subject to a more extensive review through the rest of this year.

Very few changes have been required from the previous version but the key changes since January include:

- Highlighting this document becomes a Statement of Common Ground for Norfolk
- Changes to the agreements to include a new minerals and waste agreement and a new agreement to commit to update this document every two years. The section and agreement on Minerals and Waste was drawn up by County Council officers and reflects our requirements as the responsible authority.
- New information on joint working including joint working beyond the county boundaries.
- Changes to highlight the conclusion of the government technical consultation on the standard methodology for calculating local housing need and the most up to date figures for local housing need for each district
- Updating the telecoms section to represent the latest position regarding 5G and broadband

For the future, much of the work has commenced for the third version of the NSPF. This will further enhance the Framework and deliver a number of new studies to inform local plans including:

- Creating new guidance and joint policies to support the roll out of 5G and broadband
- Improving the details and commitments around Climate Change
- Updates to the transport section to reflect the review of the Local Transport Plan and the latest Norfolk Infrastructure Delivery Plan
- Review of Housing Delivery
- A county wide study for Green Infrastructure (GI) and a Recreational impact Avoidance and Mitigation Strategy (RAMS)
- A county wide study looking at planning requirements for Older Persons accommodation

2. Proposals

- 2.1. This report is written without the benefit of agreed minutes of the Member Forum meeting of 8 July 2019. However, it can be confirmed that the Member Forum recommended that the revised version of the Framework should be endorsed by each constituent authority. The revised Framework can be found on the Forum page at <https://www.norfolk.gov.uk/-/media/norfolk/downloads/what-we-do-and-how-we-work/policy-performance-and->

3. Impact of the Proposal

- 3.1. The proposal demonstrates our ongoing Member-level commitment to the duty to cooperate, helping to ensure sound Local Plans that will deliver appropriate development and support economic growth.

4. Evidence and Reasons for Decision

- 4.1. The Framework has already been used successfully to support the development of Local Plans. It must be kept up to date to continue to fulfil this role.

5. Alternative Options

- 5.1. The County Council could withdraw its support for the Framework and come to separate agreements with each planning authority. This would be an inefficient process and would undermine the ability to demonstrate the County Council's commitment to support properly planned growth.

6. Financial Implications

- 6.1. No direct financial implications

7. Resource Implications

- 7.1. **Staff:**
None. The NSPF is managed within existing resources
- 7.2. **Property:**
N/A
- 7.3. **IT:**
N/A

8. Other Implications

- 8.1. **Legal Implications:**
The County Council has a legal duty to co-operate with local plan making authorities. This will include other Minerals and Waste Planning authorities but that is not the subject of this report.
- 8.2. **Equality Impact Assessment (EqIA)**
An EqIA is not required for a statement of common ground. Local Plans produced in accordance with the NSPF will be supported by EqIA
- 8.3. **Health and Safety implications**
N/A
- 8.4. **Sustainability implications**
The NSPF includes a range of agreements covering social, economic and environmental issues. The Local Plan policies that interpret these agreements are legally required to be subject to sustainability appraisal.
- 8.5. **Any other implications**
None

9. Risk Implications/Assessment

- 9.1. N/A

10. Select Committee comments

- 10.1. N/A

11. Recommendation

- 11.1. Endorse the up-dated Norfolk Strategic Planning Framework as part of our ongoing “duty to co-operate”.

12. Background Papers

- 12.1. <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/partnerships/norfolk-strategic-planning-member-forum>

Officer Contact

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

Officer name: Phil Morris

Tel No.: 01603 222730

Email address: phil.morris@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.

Report to Cabinet

Item No. 9

Report title:	Business Rates Pool funding for West Winch Housing Access Road design work (and other strategic transport priorities)
Date of meeting:	2 September 2019
Responsible Cabinet Member:	Councillor Martin Wilby (Highways, Infrastructure and Transport) and Councillor Graham Plant - Deputy Leader (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 Members

The West Winch Housing Access Road (WWHAR) is strategically important for Norfolk to enable 4000 new homes and provide an alternative route for West Winch (A10) traffic. The additional highway capacity will absorb the impact of the housing growth and reduce delays for the strategic through traffic on the A10. Improving the Major Road Network (MRN) and enabling housing growth are key factors for securing funding from the Department for Transport (DfT) MRN fund. Transport East (TE) has supported our bid to the MRN fund for the scheme.

There is an opportunity to bid for Business Rates Pool (BRP) funding to develop the West Winch Housing Access Road (WWHAR) and other key transport infrastructure schemes. Bids need to be submitted by 13 September 2019 and need at least 50% match-funding for the bids to be successful. The local contribution needs to be confirmed in writing by the chief financial officer in a letter that accompanies the bid.

Cabinet is asked to approve Norfolk County Council's element of the local match-funding for the West Winch Housing Access Road and the Pullover Roundabout for scheme development so they can be added to the Capital Programme. If the MRN business case for the WWHAR is successful, and the DfT agree to fund the scheme, all development costs associated with that scheme will be covered by the DfT. This would result in some £1.6m being returned to the BRP and the match-funding to NCC and the Borough Council of King's Lynn and West Norfolk (KLWN) as contributors.

This will support the Norfolk Futures: Council Strategy for 2018-2021 objective of Installing infrastructure first and assist in delivering key transport infrastructure to support the planned strategic growth as set out in adopted Local Plans.

Recommendation:

Approve the match-funding for the BRP bids for the West Winch Housing Access Road (£1.1m) and the Pullover Roundabout (£100k) for scheme development. If the BRP bid is successful, then these schemes will be added to the capital programme for 2020/21 and 2021/22

1. Background and Purpose

- 1.1. The West Winch Housing Access Road (WWHAR) is of strategic importance to enable the development of 4000 new homes and providing a bypass route to A10 through the village of West Winch. The additional highway capacity will absorb the impact of the housing growth and reduce delays for the strategic through traffic on the A10. Improving the Major Road Network (MRN) and enabling housing growth are key factors for schemes seeking funding from the Department for Transport (DfT) MRN fund and Transport East (TE) has supported our bid to the MRN fund for the scheme.
- 1.2. The Business Rates Pool (BRP) is a fund into which Norfolk County Council (NCC) can bid for funding to develop and progress key infrastructure projects. The next bidding round opened in August 2019 with a deadline for submissions on 13 September 2019.
- 1.3. Bids to the BRP fund require minimum match funding of 50% for the bids to be successful and this contribution needs to be confirmed in writing by the chief financial officer in a letter that accompanies the bid.
- 1.4. The purpose of this report is to secure Cabinet support for match funding for bids we expect to make in this current BRP round and in particular for the West Winch Housing Access Road (WWHAR). This important piece of infrastructure is recognised in the new plan for the county Together, For Norfolk.
- 1.5. If Cabinet agree to support the schemes set out in this report they can be added to and managed within the Capital Programme.

2. Proposals

- 2.1. The WWHAR has already benefitted from £400k BRP funding for initial scheme development with match funding shared between NCC and KLWN.
- 2.2. Further funding is required to complete the work leading up to submitting the Planning Application for the WWHAR in the next financial year 2020/21, and to commence detailed design and procurement for the road. Additional costs have arisen this year in relation to;
 - submitting a Department for Transport (DfT) Major Road Network (MRN) funding bid,
 - a study to satisfy Highways England (HE) that the proposals offer the best solution on the A47 and
 - an advance study for a gas main diversion

In total a further £2.4m is required up to the start of construction anticipated to be in early 2022 and we intend to bid for £1.2m from the BRP this autumn. NCC intend to provide **£1.1m** match funding for this with the Borough Council providing £0.1m. Within this, we acknowledge that KLWN are also providing £0.5m match funding for parallel West Winch housing project which has also been awarded £0.5m BRP funding. This parallel project is to determine Collaboration Agreements with landowners and groups of landowners to ensure the growth area is developed to an agreed masterplan. Both WWHAR and the Collaboration Agreement work are essential for realising the planned growth and it is logical that the Local Planning Authority, KLWN, lead on the planning and the Highway Authority, NCC lead on the delivery of the road.
- 2.3. The MRN funding bid has involved the submission of a draft Strategic Outline

Business Case (SOBC) by Transport East (TE).

- 2.4. Another pinch point on the MRN is the A17/A47 Pullover Roundabout. This has also been identified by Transport East as a priority and a pre-SOBC bid made for the scheme. No work has been carried out to date in developing a solution to the identified problem and so funding is required to commence scheme development work. The estimated total cost of this initial work is £200k. A bid will be made for £100k from the BRP in autumn and this will require **£100k** match funding from NCC
- 2.5. Cabinet is asked to approve £1.1m for the West Winch Housing Access Road and £100k for the Pullover Roundabout for scheme development so they can be added to the Capital Programme.

3. Impact of the Proposal

- 3.1. The delivery of the WWHAR will kick start the planned housing growth in the Kings Lynn area. Only some 300-350 dwellings can come forward without the new road. The growth area is for 4000 homes so delivering the road will therefore unlock 3650 more dwellings. Implementing the WWHAR at the earliest opportunity will also demonstrate to local residents that NCC is serious about putting the infrastructure in place first, to support planned growth across the county.
- 3.2. The WWHAR will also provide additional highway capacity and enable strategic through traffic on the A10 to bypass the village of West Winch where it encounters delays and hinders egress from the side roads.
- 3.3. Funding will enable the work to be completed and a planning application for the road to be submitted in early 2020/21. Having a planning permission in place will increase the likelihood of successful funding bids.
- 3.4. The proposal to allocate funding to the A17/A47 Pullover Roundabout will enable scheme development to commence in 2020.

4. Evidence and Reasons for Decision

- 4.1. The WWHAR is essential infrastructure to enable the delivery of 4000 new homes and will provide additional highway capacity to enable strategic through traffic on the A10 to bypass the village of West Winch. If this work is not funded now, it will delay the programme for delivering the road and would compromise the SOBC risking it not being approved for DfT MRN funding to build the scheme.

5. Alternative Options

- 5.1. There are no other viable options to progress the development of these key infrastructure projects, because without funding scheme development work we will never be in a position to make funding bids.

6. Financial Implications

- 6.1. Assuming a successful BRP bid, in order to meet the spend profile for the WWHAR where additional funding is required this year, the BRP funding will be profiled over 3 years. The £1.1m NCC match funding will be required in 2020/21 and 2021/22 and spread equally between the two years.
- 6.2. For the Pullover Roundabout the estimated total cost of this initial work is £200k. A bid will be made for £100k from the BRP in autumn and this will require £100k match funding from NCC.
- 6.3. If the funding is approved, the schemes will be added to the Highways capital programme.
- 6.4. If the MRN business case for the WWHAR is successful, and the DfT agree to fund the scheme, all development costs associated with that scheme will be covered by the DfT. This will mean that some £1.6m can be returned to the BRP, and the NCC and KLWN match funding contributions returned for use on developing other infrastructure priorities.

7. Resource Implications

- 7.1. **Staff:**
None.
- 7.2. **Property:**
None.
- 7.3. **IT:**
None.

8. Other Implications

- 8.1. **Equality Impact Assessment (EqIA)**
EqIA will be completed for the individual schemes arising from the development work set out in this report for which funding is sought.

9. Risk Implications/Assessment

- 9.1. The key risk is that after expending funding on scheme development, no capital funding source is subsequently identified to build the schemes. However, this risk has to be weighed against not carrying out scheme development work. If this work is not carried out, it is unlikely that NCC will ever be in a position to bid for scheme funding. This could result in very few transport infrastructure schemes being delivered.
- 9.2. There is a risk to the authority of progressing the scheme ahead of certainty of funding to deliver the scheme as if we are unsuccessful any expenditure will not be valid capital expenditure and would need to be recognised as a revenue cost.
- 9.3. The risks for individual schemes will be managed by reviewing the potential capital funding sources for construction. This information will be used to determine how much scheme development it is prudent to carry out bearing in mind the likelihood of securing funding for construction.

10. Select Committee comments

10.1. N/A

11. Recommendation

11.1. To approve the match-funding for the BRP bids for the West Winch Housing Access Road (£1.1m) and the Pullover Roundabout (£100k) for scheme development. If the BRP bid is successful, then these schemes will be added to the capital programme for 2020/21 and 2021/22

12. Background Papers

12.1. None.

Officer Contact

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

Officer name: Ian Parkes

Tel No.: 01603 223288

Email address: ian.parkes@norfolk.gov.uk



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

Report to Cabinet

Item No. 10

Report title:	Future Mobility Zone Fund
Date of meeting:	02 September 2019
Responsible Cabinet Member:	Councillor Martin 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 <p>In May, the County Council submitted an Expression of Interest for Future Mobility Zone funding. Government recently announced that out of the 14 applicants we are one of 7 areas that have successfully reached the second stage of the funding application process.</p> <p>Up to 3 areas will be chosen by the Secretary of State as Future Mobility Zones, so this is a real opportunity for Greater Norwich to be at the forefront of innovation in transport solutions. Our proposal will encourage a cultural change that will support and enable citizens to deliver significant reductions in the levels of single car occupancy.</p> Recommendations: <ol style="list-style-type: none">1. The proposed programme of activity to be delivered as part of the Future Mobility Zone Project2. The outline of the business case as set out in the report3. Delegate sign off of detailed submission to the Cabinet Member for Highways, Infrastructure and Transport	

1. Background and Purpose

1.1. Background

The Government announced, as part of the 2018 Budget, £90 million of capital funding, as a top up to the Transforming Cities Fund (TCF), to create up to three Future Mobility Zones (FMZs). These will focus specifically on trialling new approaches to mobility and innovations in transport delivery that can be replicated in other areas.

- 1.2. £20 million of the £90m has already been allocated to the West Midlands so the remaining £70m capital funding will be allocated by a competitive process in up to three additional areas that are able to demonstrate the strongest case for investment in transport innovation. Only areas shortlisted for the TCF are eligible to apply.
- 1.3. In consultation with the Cabinet Member for Highways, Infrastructure and Transport, an Expression of Interest was submitted by the required deadline of 24 May 2019.
- 1.4. The Department for Transport (DfT) received 14 bids from eligible areas and following the assessment process, the Norwich Shared Future Mobility Zone (SFMZ) bid was one of 7 areas that were shortlisted to progress to the next and final phase of the funding application.

2. Proposal

- 2.1. The aim of the Norwich SFMZ partnership is to demonstrate how data from a wide range of sources can be brought together in such a way that delivers a step change in both our knowledge of travel need and our ability to present users with information on shared mobility options that brings about significant reductions in levels of single car occupancy. Shared mobility, in this context, refers to transport modes that include public transport, Park and Ride, car club vehicles, car sharing, taxis, bike share and electric scooters.
- 2.2. Surveys have shown that an average of 85% of private vehicles travelling across the Greater Norwich area today are single occupancy, rising to 95% during peak commuter periods. There is significant benefit if we are able to reverse this trend and maximise the efficiency of the transport network.
- 2.3. Norwich's SFMZ will address congestion, reduce carbon emissions and enhance access to employment and learning by using 'big data' to enable a sustained shift towards shared mobility from the current situation of high levels of single car occupancy. By using intelligence that we have not had access to previously, we will work collaboratively with partners to identify how people travel, where there are gaps in transport provision and how they can be addressed and provide customers with more information than we have previously been able to before about shared mobility options.
- 2.4. The 3 objectives of the project are:

Objective 1: To build a Shared Future Mobility Zone from our strengths

Norwich is the UK's first designated 'Sharing City', it is home to successful shared mobility companies Liftshare and Norfolk Car Club and through the TCF programme a new bike share scheme is currently being implemented during 2019/20. Norwich is pioneering in its use of technology using Urban Traffic Management Control as well as an award-winning data warehouse solution system called 'GRID'. Norwich has many of the core elements required for a SFMZ and through collaborate working can build from these existing strengths.

Objective 2: Customer-centric approach to meet travellers needs via smart, shared and intelligent services

Through SFMZ funding, Norwich will become a trailblazer in analysing travel behaviours and patterns that will enable us to work with partners to develop transport networks and information systems that puts customers' needs at the heart of future mobility. This will deliver a more efficient utilisation of existing transport assets, to ensure a fit for purpose, accessible network is delivered.

Objective 3: Use behaviour change techniques and emerging technology to achieve a cultural shift towards shared and clean mobility

This objective is shared between the Norwich TCF programme and the SFMZ to demonstrate how the SFMZ complements and strengthens Norwich's TCF programme. Achieving this objective will enable the creation of a future for Norwich based on shared, accessible and clean mobility.

- 2.5. The aim of the shared mobility future is strongly supported by the culture and ethos within Norwich. Norwich is the first UK city to formally become part of the global Sharing Cities Alliance. It joins the likes of Amsterdam, Malmo and New York as a

city committed to encouraging its' residents to maximise the opportunities afforded by the sharing economy and digital platforms.

2.6. The Norwich SFMZ contributes to the goals of the Industrial Strategy, DfT objectives and is underpinned by local policies. For example, the emerging Transport for Norwich (TfN) strategy identifies guiding principles including; accessible transport for all, reducing congestion and making journeys reliable.

2.7. Future Mobility Zone planned workstreams:

Workstream A – Governance and Continuous Development	
A1 - SFMZ Partnership	<p>Establish a partnership between relevant stakeholders, which could include:</p> <ul style="list-style-type: none"> • Norfolk County Council • Norwich City Council • South Norfolk District Council • Broadland District Council • Liftshare.com • Norwich Car Club • First Bus • Greater Anglia • Mott MacDonald • Public Health / Active Norfolk • Connected Places Catapult • University of East Anglia / City College / Norwich University of the Arts • NHS <p>These organisations will work together to deliver growth and contribute to the SFMZ through cooperation and innovation.</p>
A2 – SFMZ Behaviour change Innovation Hub	<p>The SFMZ Partnership will create a Behaviour Change Innovation Hub that aims to challenge the social acceptability of single occupancy vehicle use towards a new norm of favouring shared, clean mobility, imitating how recycling has become an established social norm. An effective behaviour change programme will maximise the investment being made in new transport infrastructure and service provision and will be delivered to support both the SFMZ and TCF applications</p>
A3 – Data, Information Display and Distribution	<p>Technology has opened the possibility of 'big data' informing transport decisions. A central aspect to the SFMZ will therefore be the collation of big data (public transport, highway network performance, transport systems, socio-demographic and mobile phone data) that informs decision making through the best knowledge so that bold solutions are made that increase the provision and use of shared mobility and maximise the reduction in single occupancy car usage.</p>

Workstream B – Implementing the Solutions	
B1 – Shared Mobility	The focus of the SFMZ is to demonstrate how investment in shared transport modes and trialing new mobility services can reduce single occupancy vehicle use, increase the use of sustainable travel modes (with focus on shared mobility) and deliver significant social, environmental and financial value.
B2 Electrification of Modes	Electric propulsion can achieve a step change improvement in air quality within the city centre and across Greater Norwich. Electrification of modes includes buses, Park and Ride, cycles, scooters and private and commercial vehicles. Options will be considered for how the County Council can generate power from solar technology and make best use of this.
B3 – Towards a Public Sector Led Mobility Platform	A new ‘app’ (mobility platform) will be the key tool to bring together all mobility data and communicate it to users in a straightforward and easy to use way that has not been possible before in Norwich. This will be the ‘go to’ tool for any journeys that are made in Norwich. For its success, the information provided will need to be accurate and in real time to ensure that trust and confidence is built with the consumer. The app will be able to demonstrate that there are cost, health and journey time consideration of different travel options and should be applicable to both planned and spontaneous journeys.

3. Impact of the Proposal

- 3.1. Initial feedback from DfT was that our submission was strong and the stage 2 submission will largely build on the Expression of Interest. We will follow the standard DfT five business case model, which will require the following information:

Type of case	Required evidence
Strategic case	<p>Final proposals need to demonstrate the strategic case for funding, clearly demonstrating how far the proposals meet the objectives of the fund to:</p> <ul style="list-style-type: none"> • trial new transport services, modes and models, creating a functioning marketplace for mobility that combines new and traditional modes of transport • improve integration of services • increase the availability of data • provide access to digital planning and payment options
Economic case	An appraisal of the economic impacts of the schemes, such as user benefits, but also including the wider impacts

	e.g. increasing access to employment through greater connectivity
Financial case	Bids should give an indication of all the potential costs involved in the SFMZ, including a breakdown of costs for each of the projects, and a profile of costs for each year of the fund.
Management case	The bid should include key project milestones across the 4 years of the fund. All bids will need to include an initial evaluation plan. This plan should set out how the learning from each scheme can be maximized.
Commercial case	A description of the level of market engagement and procurement strategy for the programme.

3.2. The indicative timetable as published by DfT is as follows:

July to 29 September 2019	DfT engages with shortlisted areas to develop proposals
30 September 2019	Final proposals submitted, followed by a presentation by each area to a DfT panel
September / October 2019	Winners announced

3.3. Should funding be secured, what you would see 'on the ground' would be:

- access via a mobile app or mobile device/desktop to comprehensive travel information for all transport modes in Greater Norwich, which will enable users to compare different journey options based on factors such as cost, health and time, and book / pay for their travel in a straightforward and easy to use way. Users should be able to plan and book both planned and spontaneous journeys
- provision of a substantial increase in the provision of electric forms of transport, including buses, cycles and car club vehicles, as well as the potential trialling of new forms of transport, such as electric scooters
- behaviour change campaigns focussed on achieving a step change in the use of sustainable and shared forms of transport

3.4. If successful, delivery of a Future Mobility Zone in Greater Norwich would be over the period up to March 2023.

3.5. [Investment in mechanisms to help increase car occupancy through FMZ funding will need to be supported by a behaviour change strategy. Creating a shift in the way in which people travel, by providing high quality services that enable people to change is what we're seeking through the bid itself. To support that we will put in place a strategy based on understanding existing barriers to shared mobility options, which tailors campaign messages accordingly.](#)

4. Evidence and Reasons for Decision

4.1. Securing additional funding is a real opportunity to strengthen the position of Norwich as a Sharing City and a leading demonstration city in new and emerging technologies, as well as delivering a step change improvement in the air quality within the city centre and across Greater Norwich.

5. Alternative Options

- 5.1. The SFMZ proposal has been developed through discussions with stakeholders and feedback from DfT. The option presented is felt to best meet the objectives of all parties, as well as the specific criteria of the FMZ funding.

6. Financial Implications

- 6.1. Within the Financial case, we are required to set out an estimate of the funding needed to create the FMZ and details of any local contributions, including contributions in kind.
- 6.2. We have had positive conversations with potential partners and have identified relevant match funding opportunities. At the time of finalising this report, these discussions are ongoing. Letters of support confirming match funding contributions are required as part of our application and will be included in our final application at the end of September.
- 6.3. At the time of issuing this report, scheme costs and local funding contributions have not yet been finalised, with further work on this being undertaken in the run up to our application being submitted at the end of September. For reference, financial information that was submitted in our initial Expression of Interest is outlined below. Whilst these funding values are subject to change as the specific details of our application are finalised, we do not expect a significant change from this.

Total scheme cost (£m): 24.58

Total DfT (FMZ) funding contribution (£m): 16.18

Total local and/or private contribution (£m): 8.40

7. Resource Implications

7.1. Staff:

The project will be delivered through existing staff resource and stakeholders and through engagement with appropriately appointed partners.

7.2. Property:

None.

7.3. IT:

Implications for IT will be fully considered and the Head of IMT is engaged in the project.

8. Other Implications

8.1. Legal Implications:

- 8.1.1. None.

8.2. Human Rights implications

- 8.2.1. None.

8.3. Equality Impact Assessment (EqIA)

- 8.3.1. It is recognised that there could be equality implications as a result of the delivery of this project. An EqIA is being prepared for the Transforming Cities Application, which will also cover the impact of delivering a SFMZ in Greater Norwich.

8.4. Health and Safety implications

- 8.4.1. None.

8.5. Sustainability implications

- 8.5.1. This project has beneficial impacts on reducing pollution and carbon emissions through reductions in single car occupancy, more efficient use of the wider transport

network and the move towards clean transport. The promotion of active travel will also improve the health and wellbeing of the travelling public.

8.6. Any other implications

N/A

9. Risk Implications/Assessment

9.1. A risk assessment has been completed for this project.

10. Select Committee comments

10.1. N/A

11. Recommendation

- 11.1.
1. The proposed programme of activity to be delivered as part of the Future Mobility Zone Project
 2. The outline of the business case as set out in the report
 3. Delegate sign off of detailed submission to the Cabinet Member for Highways, Infrastructure and Transport

12. Background Papers

12.1. None

Officer Contact

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

Officer name:	Grahame Bygrave	Tel No. :	01603 224290
	Jeremy Wiggin		01603 223117

Email address : Grahame.bygrave@norfolk.gov.uk
jeremy.wiggin@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.

Report to Cabinet

Item No. 11

Report title:	France-Channel-England Government Guarantee of funding
Date of meeting:	02 September 2019
Responsible Cabinet Member:	Graham Plant (Deputy Leader and Cabinet member for Growing the Economy)
Responsible Director:	Tom McCabe - Executive Director, Community and Environmental Services
Is this a key decision?	No

Introduction from Cabinet Member

Norfolk County Council (NCC) manages the delivery the 2014-2020 France (Channel) England (FCE) programme on behalf of the European Union (EU). It is funded through the Technical Assistance budget and covers all expenditure relating to the Managing Authority (MA), the Joint Secretariat, the Certifying Authority and the Audit Authority.

Our contract is directly with the European Commission (EC) to carry out regulatory functions for which the EC covers 85% of costs, with additional financial support from both the UK and French governments each contributing 7.5%, meaning 100% of expenditure is funded.

With the increasing likelihood of a no deal scenario, NCC requested and has now received a written guarantee from the Ministry of Housing, Communities and Local Government (MHCLG) confirming that the UK Government will cover all the costs of NCC in ensuring delivering of the programme in the event of no deal to ensure the smooth transition into whatever new arrangement apply as a result.

In order to deliver a smooth transition for either a deal or no deal, the UK Government would like NCC to continue to manage the FCE programme until such time as a clear way forward has been agreed. The written guarantee ensures that this is at no cost to the NCC.

Recommendations:

1. Agree that NCC continue management and delivery of the FCE programme in the event of a no deal Brexit until the future of the programme is resolved.
2. Agree that the treasury guarantee is sufficient to provide assurance that the programme will be managed at no cost to the Norfolk County Council budget.

1. Background and Purpose

- 1.1. Norfolk County Council (NCC) ensures the delivery the 2014-2020 France (Channel) England (FCE) programme on behalf of the EU paid through the Technical Assistance budget encompassing the Managing Authority (MA), the Joint Secretariat, the Certifying Authority and the Audit Authority.

NCCs Technical Assistance budget is fully funded with 85% reimbursed by the

European Commission (EC), 7.5% from the UK Government and 7.5% from the French Government. Over the term of the programme, NCC has an overall budget of 12.5m€ (£11.6m), with the final claim due by 31st December 2023.

The overall programme value is over 300m€ (£275m), with the ERDF element totalling 209m€ (£193m), covering three priority axis:

Innovation, Social Innovation

Low Carbon Technologies

Natural & Cultural Heritage, Coastal and Transitional Water Ecosystems

Website: <https://www.channelmanche.com/>

With the increasing likelihood of a no deal scenario, NCC requested and has now received a written guarantee from the Ministry of Housing, Communities and Local Government (MHCLG) confirming that the UK Government will cover NCC for all expenditure incurred as the MA which would otherwise have been paid by the European Union. Please see Appendix 1.

The written guarantee also states that MHCLG will be in further contact to discuss the arrangements.

2. Proposals

- 2.1. With HM Government's written guarantee in place our proposal is for NCC to continue with the management of the programme on behalf of the EC.

This decision follows the advice that has been given by the UK Government for project partners in approved projects:

<https://www.gov.uk/government/publications/european-territorial-cooperation-funding-if-theres-no-brexit-deal/european-territorial-cooperation-funding-if-theres-no-brexit-deal>

NCC will continue to maintain dialogue with key stakeholders with regard any impact the UK withdrawal from the EU may bring. This includes the EC, our European desk officer, the French and UK National Delegations and appropriate representatives from the UK Government.

Should information be forthcoming that would put the NCC Technical Assistance budget in doubt, either for continued delivery or any financial risk, we will provide an update to the Cabinet and respond accordingly.

3. Impact of the Proposal

- 3.1. The written guarantee underwrites all the NCC costs for the management of the FCE programme within the Technical Assistance budget and therefore there is no impact on NCC.

4. Evidence and Reasons for Decision

- 4.1. A letter received from MHCLG dated 5 August 2019 confirming that the UK Government will cover the costs that NCC will incur fulfilling its MA role within the France (Channel) England programme that would otherwise have been paid by the EU.

5. Alternative Options

No Options available

6. Financial Implications

- 6.1. The proposal is cost neutral as the NCC technical assistance budget within the FCE programme is fully funded by external parties: 85% reimbursed by the European Commission (EC), 7.5% from the UK Government and 7.5% from the French Government.

The 85% expected from the European Commission has now been underwritten by the UK Government through the written guarantee.

7. Resource Implications

7.1. Staff:

Continue employment of 24 FTE NCC employed staff and the current 6 vacancies across the four functions that make up the technical assistance budget, comprising of the regulatory functions of Managing Authority, Joint Secretariat, Certifying Authority and Audit Authority.

7.2. Property:

No property implications.

7.3. IT:

No IT implications.

8. Other Implications

8.1. Legal Implications:

Legal advice has been sought from nplaw who accepts the letter as a Government guarantee from MHCLG.

8.2. Human Rights implications

No Human Rights implications.

8.3. Equality Impact Assessment (EqIA)

No EqIA implications.

8.4. Health and Safety implications

No Health & Safety implications.

8.5. Sustainability implications

No Sustainability implications.

8.6. Any other implications

None.

9. Risk Implications/Assessment

- 9.1. NCC has a comprehensive risk register in place for the programme. This risk register is regularly reviewed by the MA and the Programme Manager as well as being reported to relevant stakeholders.

The risk register covers key strategic areas including Finance, Performance, Audit, Safety and Staffing. The risk register will be updated with the written guarantee and the outcome of the cabinet decision.

10. Select Committee comments

10.1. N/A

11. Recommendation

- 11.1. 1. Agree that NCC continue management and delivery of the FCE programme in the event of a no deal Brexit until the future of the programme is resolved.
2. Agree that the treasury guarantee is sufficient to provide assurance that the programme will be managed at no cost to the Norfolk County Council budget.

12. Background Papers

N/A

Officer Contact

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

Officer name: Vince Muspratt

Tel No.: 01603 223450

Email address: vince.muspratt@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.



Ministry of Housing,
Communities &
Local Government

Dear Vince,

I am writing to confirm the arrangements for Norfolk County Council as the Managing Authority for the France (Channel) England programme in relation to the HMG Guarantee.

The Government will cover contracts signed with third parties outside of central government. This will apply to Norfolk County Council where the Guarantee will cover the costs Norfolk County Council incurs as the Managing Authority for the France (Channel) England programme which would otherwise have been paid by the EU.

The Ministry for Housing, Communities and Local Government will be in contact to discuss the arrangements for this as no-deal plans continue to be developed, to consider the overall framework for the nature and quantum of costs likely to be incurred.

Yours sincerely,

Julia Sweeney

Director, European Programmes and Local Growth

Ministry of Housing, Communities, and
Local Government
SW, Fry Building
2 Marsham Street
London SW1P 4DF

Tel 0303 444 3157
Julia.Sweeney@communities.gov.uk

Report to Cabinet

Item No 12.

Report title:	Leases for Early Childhood and Family Service Bases, and leasing out of repurposed Children's Centres
Date of meeting:	2 September 2019
Responsible Cabinet Member	Councillor Greg Peck Cabinet Member for Commercial Services and Asset Management.
Responsible Director:	Simon George Executive Director for Finance and Commercial Services.
Is this a key decision?	No
<p>Executive Summary/Introduction from Cabinet Member</p> <p>In January 2019, Children's Services Committee agreed to create a new Early Childhood and Family Service, redesigning children's centre services across the county.</p> <p>The new service will bring support out into the community, to the children and families who need it the most. There will be more one-to-one and group activities for those families that need extra help, improved online services and support for communities to develop activities for families locally.</p> <p>Action for Children is the commissioned provider for the new Early Childhood and Family Service (ECFS) and will also run 15 bases (two in each district, with three in Norwich).</p> <p>The council owns 12 of these sites and lease in a further 2 sites and will be leasing all 14 sites to Action for Children to provide the service. Great Yarmouth Community Trust will be leasing the other building to Action for Children.</p> <p>A further eight buildings, which will no longer be used as children's centres will be let to providers of services for the under-fives.</p> <p>The currently adopted constitution requires leases with a term of 10 years or more to be approved by Cabinet.</p> <p>Recommendations</p> <ol style="list-style-type: none"> 1. Cabinet is asked to agree to enter in to leases with Action for Children for each of 14 sites as listed in table 1 of this report on the terms as detailed in the table in appendix 1. 2. Cabinet is asked to agree to entering in to leases for the sites and with the organisations as listed in table 2 of this report on the terms as 	

detailed in the table in appendix 2.

3. Cabinet is asked to agree to accept the surrender and regranting of a lease
Or
The granting of a supplemental lease for the sites and with the organisations as listed in table 3 of this report.
4. Cabinet is asked to delegate to the Head of Property the authority to make minor changes to affected leases to ensure each lease is completed in a timely manner.

1.0 Background and Purpose

- 1.1 This report relates to 12 sites owned plus 2 sites leased in by Norfolk County Council (NCC) that, following the service redesign, will be leased to Action for Children to provide the Early Childhood and Family Service for the Council. The Priory Centre site, Gt Yarmouth will be leased directly to Action for Children by Gt Yarmouth Community Trust. This and the 14 NCC controlled sites will form the 15 early childhood and family support bases proposed in the Children's Services Committee report presented in January 2019.
- 1.2 A further eight sites will be leased to a range of other providers to provide services to the under fives's.
- 1.3 Children's Services have worked with the Head of Property with the aid of NPS to ensure that each property will be properly managed in support of service delivery.

2.0 Proposals

- 2.1 NPS on behalf of the County Council has negotiated with Action for Children terms to lease 14 Children Centre sites as listed below in **table 1**:

Table 1: Properties to be leased to Action for Children	
Site	Address
Acle Marshes	Acle Library Bridewell Lane, Acle, NR13 3RA
CFM - Catton Grove	Norwich CFM Children's Centre (Catton Grove), Hunter Road, Norwich NR3 3PZ
City and Eaton	Norwich Vauxhall Community Hub, Vauxhall Centre, Vauxhall Street, Norwich NR2 2SA
Diss	Diss Childrens Centre, Diss Infant and Nursery School, Fitzwalter Road, Diss IP22 4PU
Downham Market	Downham Market Children's Centre, Paradise Road/Snape Lane, Downham Market PE38 9JE
Drayton and Taverham	Drayton and Taverham Childrens Centre, Drayton Children's Centre School Road, Drayton NR8 6EP
Earlham EYC	Earlham Children's Centre, 168a Motum Road, Norwich NR5 8EG
Fakenham	Fakenham Gateway Childrens Centre, Fakenham Infant and Nursery School, Norwich Road, Fakenham NR21 8HN

Long Stratton	Long Stratton Children's Centre, adj. Manor Field Infant & Nursery School, Manor Road, Long Stratton NR15 2XR
*Nar	St Michael's Children's Centre, Saddlebow Road, King's Lynn PE30 5BN
North Walsham	North Walsham Children's Centre, North Walsham Infant and Nursery School, Manor Road, North Walsham NR28 9HG
Seagulls	Seagulls Children's Centre, Shrublands, Magdalen Way, Gorleston, Great Yarmouth NR31 7BP
Swaffham	Swaffham Children's Centre, White Cross Road, Swaffham, PE37 7RF
Thetford Kingsway - Woodland	Thetford Surestart Children's Centre Complex, Woodlands, Kingsway, Thetford IP24 3DY

All leases will be for a term of 11 years commencing on the 1 October 2019. In **Appendix 1** is a table recording the other key terms for each lease.

- 2.2 NPS have also on behalf of the County Council negotiated with several providers terms to lease another five Children Centre sites as listed below in **table 2**:

Table 2: Properties to be leased to other providers		
Site	Address	Proposed lease holder
Holt	Treehouse Café & Day Nursery, Charles Road Holt NR25 6DA	Treehouse Cafe
Mundesley	Pebbles Pre-School & Day Care, Mundesley First and Junior Schools, Trunch Road Mundesley NR11 8LE	Pebbles Pre-School & Day Care
Wells	Polka Day Care, Polka Road, Wells-next-the-Sea NR23 1JG	Polka Day Care
Spixworth	Stepping Stones Day Nursery, Spixworth Infant School, Ivy Road, Spixworth NR10 3PX	Stepping Stones
Thetford Kingsway - Treetops	Thetford Surestart Children's Centre Complex, Treetops, Kingsway, Thetford IP24 3DY	Norfolk Community Health and Care NHS Trust

Each lease has slightly differing terms, which are recorded in the table in **Appendix 2**.

- 2.3 There are three children's centre sites that are to be taken over by an Academy but are currently outside of the area leased by that academy. These three sites are listed in table three:

Table 3: Properties to be included in an Academy lease	
Site	Academy
East City and Framingham Earl	Ormiston Families (Right For Success Trust)
Stalham and Sutton	Stalham Primary School (Right For Success Trust)
Watton	Corvus Educational Trust

NPLaw are currently advising on the best legal option for these sites but the initial view is that a surrender of the existing academy leased followed by a re-grant with a substituted lease plan would probably be preferable. The

alternative approach is to prepare a supplemental lease that will run on co-terminus terms as the main lease. In both alternatives the rent will be nil and on the same terms of the main lease. It is also believed DfE approval will be needed.

- 2.4 Members have previously been informed of the transfer of the sites in their divisions.

3.0 Impact of the Proposal

- 3.1 The completion of the leases to Action for Children and the other providers will enable the commencement of services from the 1 October 2019.

4.0 Evidence and Reasons for Decision

- 4.1 All leases out of property for a term of 10 years or more is a Cabinet decision. The leased sites are in the appropriate locations for the delivery of the service.

5.0 Alternative Options

- 5.1 The reletting of existing Council owned facilities was the most practicable option in the time allowed.

6.0 Financial Implications

- 6.1 The County Council will receive a rental income.

7.0 Resource Implications

- 7.1 **Staff:** None in respect of leasing these sites out.
- 7.2 **Property:** These proposals ensure the proper management of the properties.
- 7.3 **IT:** None.

8.0 Other Implications

- 8.1 **Legal Implications:** For disposals and acquisitions in the usual way the legal implications are around the parties agreeing to the terms of the agreement for each lease and entering in to a contract.

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

An EqIA was undertaken as part of the original proposals detailed in the report to Children's Services Committee 22 January 2019. This report is asking for a decision to enter in to leases for bases in locations previously agreed and therefore a separate EqIA was not undertaken.

8.3 Any Other implications

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

9.0 Risk Implications/Assessment

- 9.1 The risks of property occupation are managed through the terms of the lease and are well understood.

10.0 Recommendation

- 10.1 Cabinet is asked to agree to enter in to leases with Action for Children for each of 14 sites as listed in table 1 of this report on the terms as detailed in the table in appendix 1.
- 10.2 Cabinet is asked to agree to entering in to leases for the sites and with the organisations as listed in table 2 of this report on the terms as detailed in the table in appendix 2
- 10.3 Cabinet is asked to agree to accept the surrender and regranting of a lease
Or
The granting of a supplemental lease for the sites and with the organisations as listed in table 3 of this report.
- 10.4 Cabinet is asked to delegate to the Head of Property the authority to make minor changes to affected leases to ensure each lease is completed in a timely manner.

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).

- Children's Services Committee, 22 January 2019, Early Childhood and Family Service - [Link to report](#)

Officer Contact

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

Officer Name: Simon Hughes, Head of Property
Tel No: 01603 222043 **Email address:** simon.hughes@norfolk.gov.uk



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

\\Norfolk.gov.uk\nccdfs1\CorporateProperty\Team Admin\Meetings and Groups\Committees\CABINET\2019-20\19.09.02\Final Reports\19.09.02 Cabinet report Leases for ECFS bases etc (rfiwb) FINAL 1.0.doc

Appendix 1: 14 NCC sites to be leased to Action for Children – key terms

Childrens Centre	UPRN	Tenure	Site Owner	Building Format	GIA sqm	Rent	Break Clauses	Rent Reviews	Assignment / subletting	Heads of terms variations
Acle Marshes	5001/015	Freehold	NCC	Based in library building	99	£2,970	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a NCC site.	Tenant will keep the interior of the premises in reasonable repair. Landlord responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services which will be subject to Cost Recovery by the Landlord; utilities are recharged if not separately billed &/or sub metered
CFM - Catton Grove	4110/027	Freehold	NCC	Standalone building on school site	221	£8,283	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	-
City and Eaton	4113/018B	Freehold	NCC	Dedicated space in multi-occupied building	161	£6,045	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a NCC site.	Tenant will keep the interior of the premises in reasonable repair. Landlord responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services which will be subject to Cost Recovery by the Landlord

Diss	7033/016B	Freehold	NCC	Standalone building on school site	81	£2,430	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a school site.	Tenant will keep the interior of the premises in reasonable repair. Landlord (Academy Trust) responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services and utilities which will be subject to Cost Recovery by the adjacent Academy Trust via a SLA
Downham Market	2022/022	Freehold	NCC	Standalone, multi-occupied building	601	£18,030	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord	-
Drayton and Taverham	5021/011B	Freehold	NCC	Standalone on school site	193	£7,238	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	Contribution for grounds maintenance in relation to the shared access route payable to the adjacent Academy Trust
Earlham EYC	4101/032B	Freehold	NCC	Standalone site based in community	365	£13,688	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	-

Fakenham	1029/036	Freehold	NCC	Standalone / shared building on a school site	132	£3,952	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a school site.	Tenant will keep the interior of the premises in reasonable repair. Landlord responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services which will be subject to Cost Recovery by the Landlord; utilities are recharged if not separately billed &/or sub metered
Long Stratton	7067/011E	Freehold	NCC	Standalone multi-occupied on school site	113	£3,392	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a school site.	Utilities are recharged by the adjacent academy if not separately billed &/or sub metered
Nar	2045/156	Leasehold via an underlease back	Norwich Diocesan Board of Finance	Integrated multi-occupied building on school site	115	£3,864	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Prohibited as the premises as integral to a school site.	Need to resolve legal issues re changing rooms - potential interim solution to continue existing Tenancy at Will between Diocese and AfC followed by grant of lease directly from Diocese to AfC pending resolution of these issues.
North Walsham	1074/058	Freehold	NCC	Standalone on school site	195	£5,850	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	-

Seagulls	6009/081F	Freehold	NCC	Standalone multi-occupied building	793	£26,772	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	-
Swaffham	3097/021 3079/029	Leasehold via an underlease back	Norwich Diocesan Board of Finance	Attached to school building	117	£3,510	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	Tenant will keep the interior of the premises in reasonable repair. Landlord responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services which will be subject to Cost Recovery by the Landlord; utilities are recharged if not separately billed &/or sub metered
Thetford Kingsway - Woodland	3099/024D	Freehold	NCC	Standalone building in community	183	£6,176	Mutual break in the 5th and 8th years at the end of academic term with minimum 6 (six) weeks' notice.	5 years RPI	Assignment: Whole only with prior written consent of Landlord Subletting: Part only with prior written consent	Proposed surrender of the existing ground lease dated 23 Aug 2004 required to allow grant of a new lease from NCC to AfC for Woodland site. Contribution for grounds maintenance in relation to the shared access to the car park payable to the tenant of Treetops

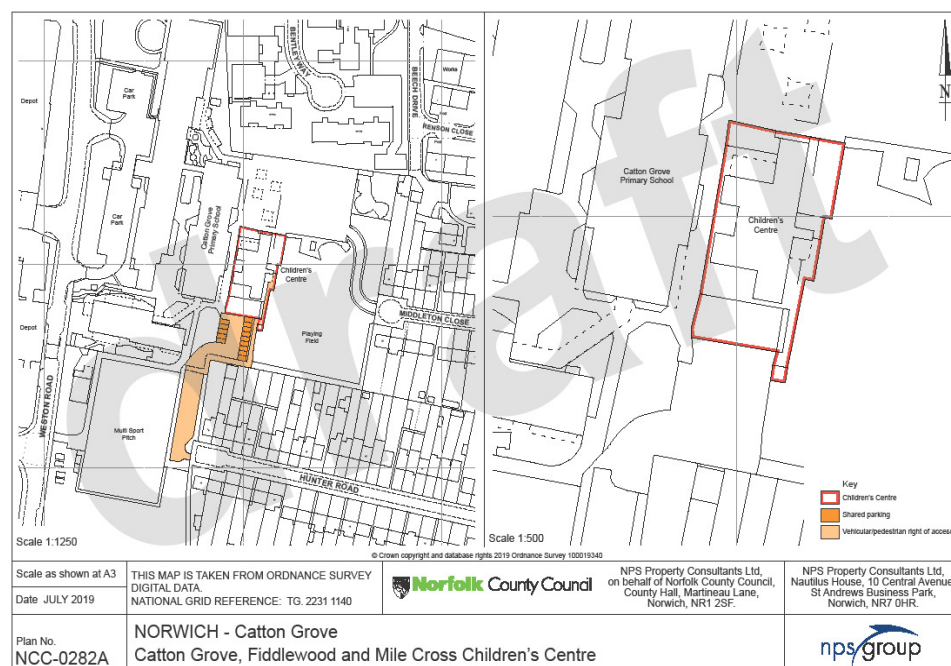
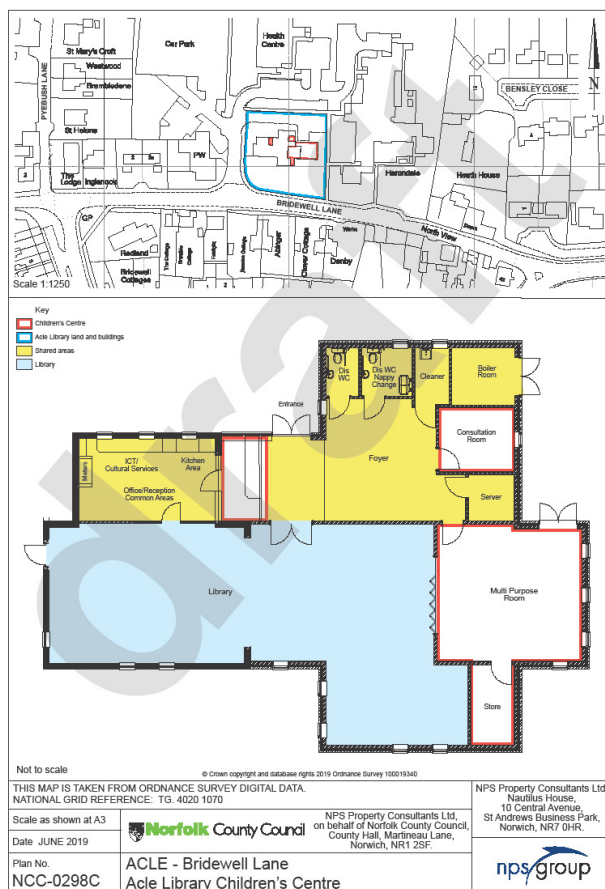
Appendix 2: 5 NCC sites to be leased to various organisations – key terms

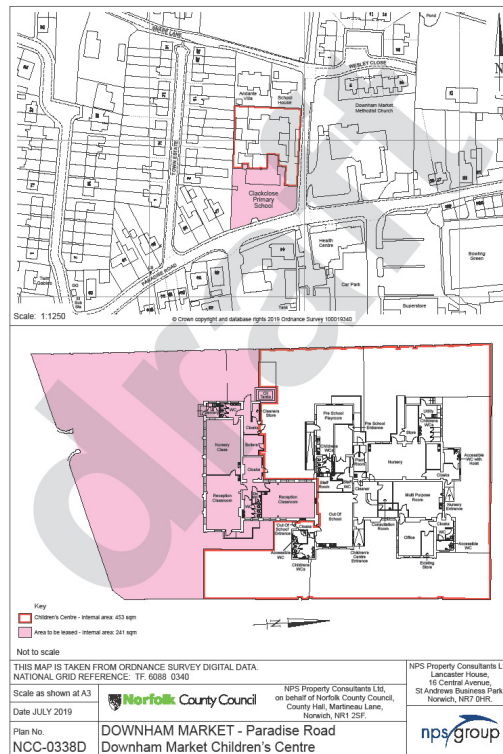
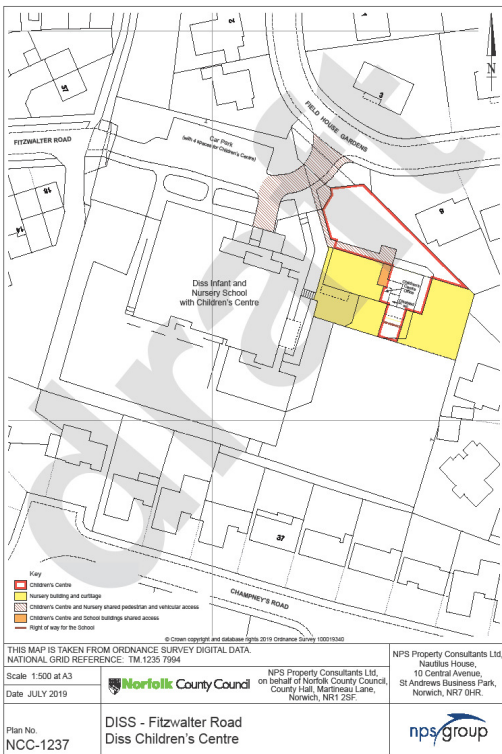
Childrens Centre	UPRN	Tenure	Building Owner	Building Format	Identified future lease holder	GIA sqm	Rent	Start date	Term	Break Clauses	Rent Reviews	Assignment / subletting	Heads of terms variations
Holt	1049/035	Freehold	NCC	Standalone building	Treehouse Cafe	195	£5,850 (Overall)	01 Oct 2019	10 years	5 yr mutual break - 6 months notice.	5 years RPI	Assignment: Whole only Subletting: Part only	Works being undertaken by the tenant are subject to a Licence for Alterations which is to be completed prior to the commencement of works. Subletting of part is permitted to a nursery provider. In the event that the incumbent nursery operator ceases to operate the rental charge in respect of the nursery area payable by the Tenant will be suspended until such time as a new nursery takes occupation.
Mundesley	1071/015C	Freehold	NCC	Standalone adjacent to school site	Pebbles Pre-School & Day Care	154	£4,632	01 Sep 2019	10 years	5 yr mutual break - 6 months notice.	5 years RPI	Assignment: Whole only Subletting: none permitted	-
Wells	1113/018C	Freehold	NCC	Standalone building on school site	Polka Day Care	224	£6,729	01 Sep 2019	10 years	5 yr mutual break - 6 months notice.	5 years RPI	Assignment: Whole only Subletting: none permitted	-

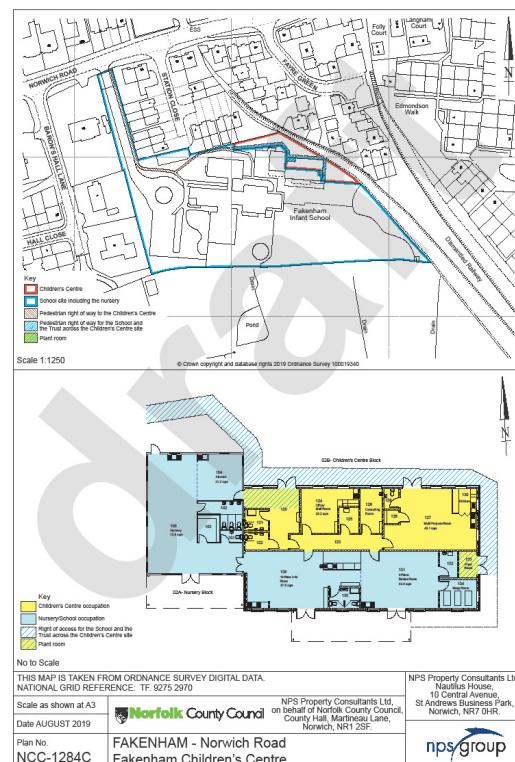
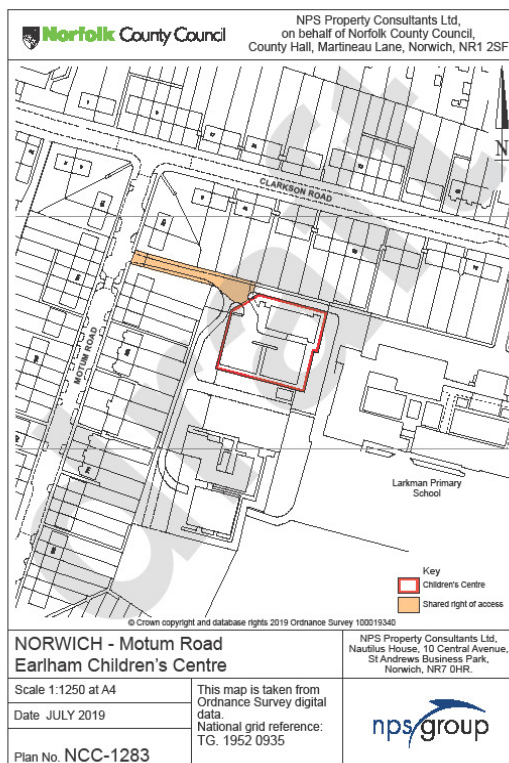
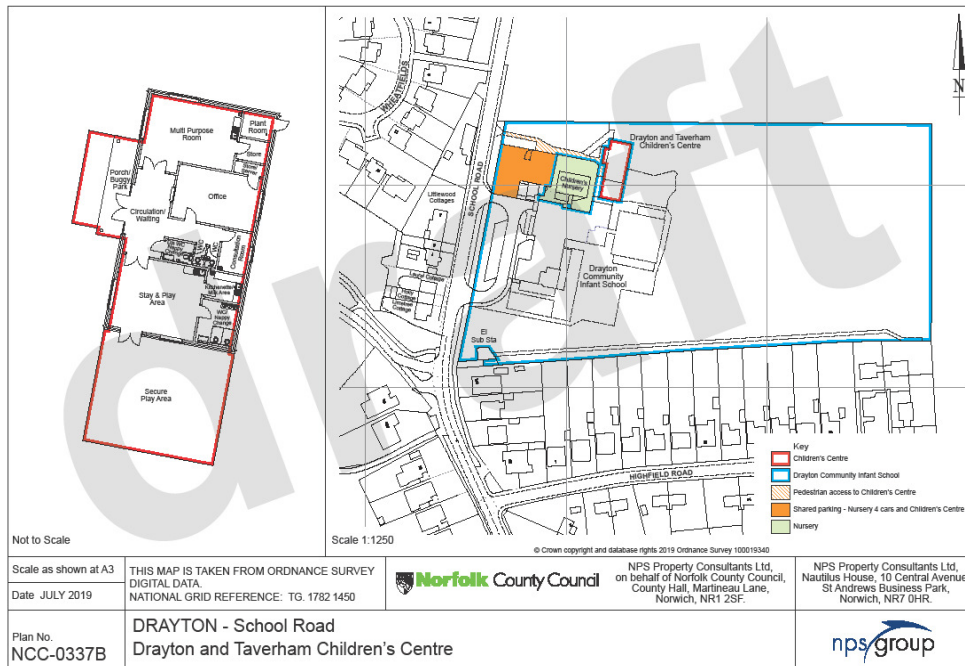
Spixworth	5052/011	Freehold	NCC	Part of school building	Stepping Stones	49	£1,654	01 Sep 2019	10 years	5 yr mutual break - 6 months notice.	5 years RPI	Assignment: Whole only Subletting: none permitted	Tenant will keep the interior of the premises in reasonable repair. Landlord responsible for maintenance and repair of the structure, exterior and any common parts of the building and recover a proportional contribution towards these costs from the Tenant. The Premises has shared services which will be subject to Cost Recovery by the Landlord; utilities are recharged if not separately billed &/or sub metered
-----------	----------	----------	-----	-------------------------	-----------------	----	--------	-------------	----------	--------------------------------------	-------------	------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

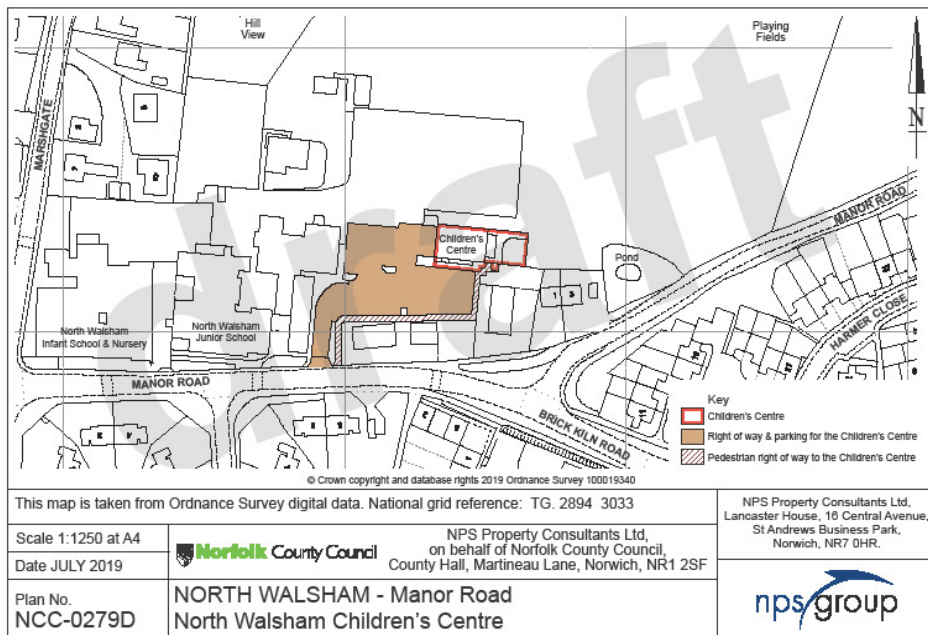
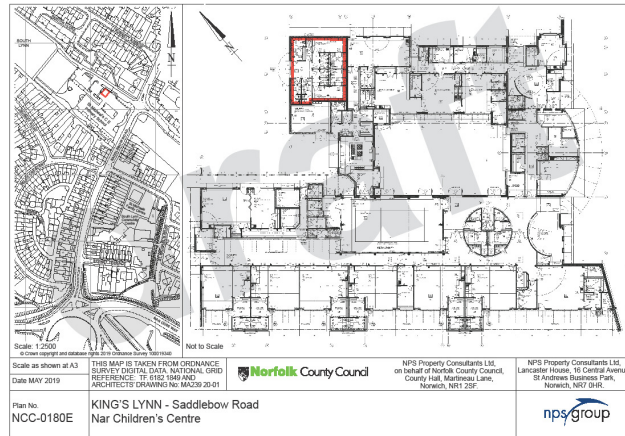
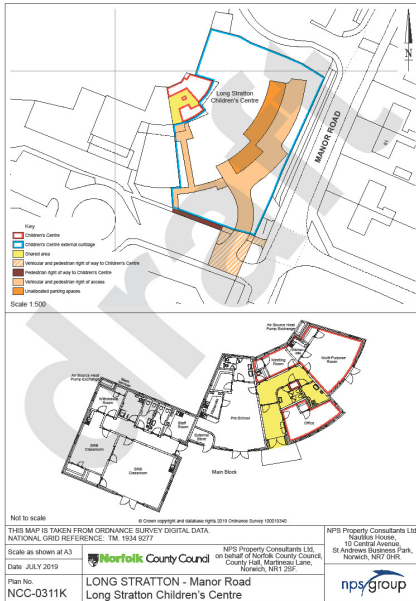
Thetford Kingsway - Treetops	3099/024D	Freehold	NCC	Standalone building in community	NCH&C		£3,651	23 Aug 2004	25 years	Tenant - Floating break clause with notice of 3 months, Landlord - Floating break clause with notice of 3 months, If landlord becomes accountable body for the Surestart Thetford Local Partnership	As per existing lease - Annual linked to retail price index	as per existing lease - Assignment: Whole or part with prior written consent of Landlord Subletting: Whole only with prior written consent	Proposed surrender of the existing ground lease dated 23 Aug 2004 required to allow grant of a revised ground lease to NCHC for Treetops site only.
------------------------------	-----------	----------	-----	----------------------------------	-------	--	--------	-------------	----------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------

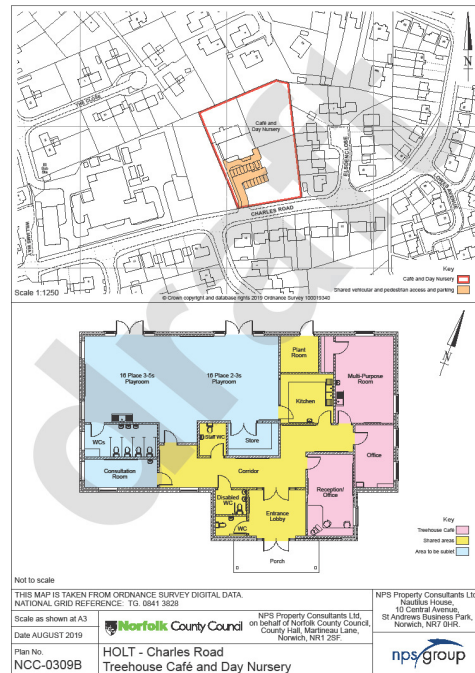
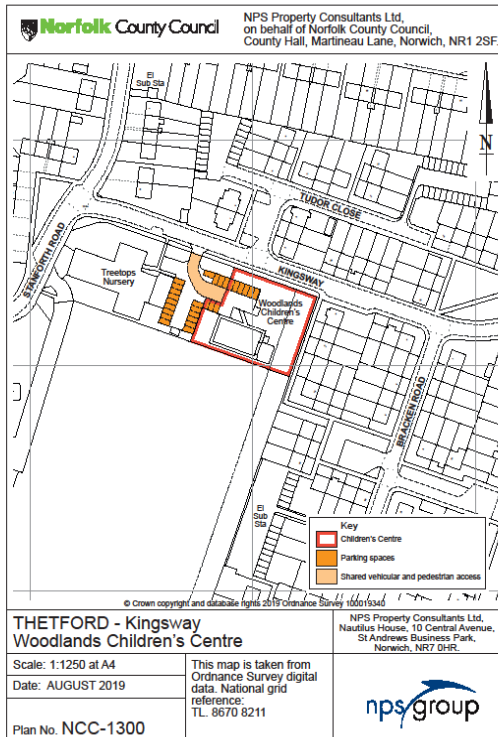
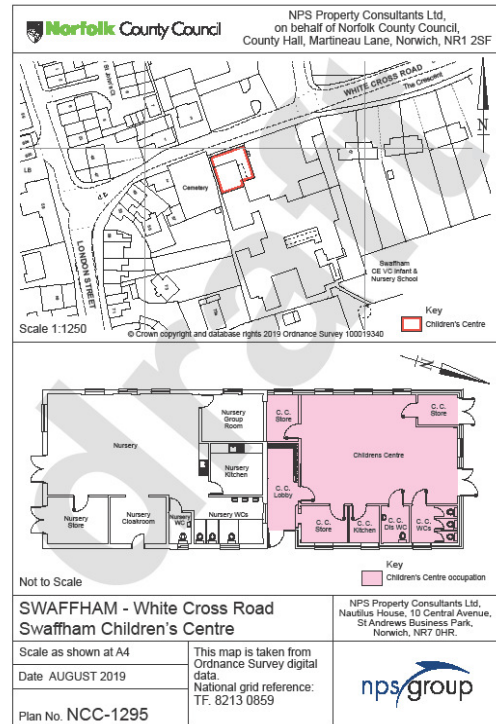
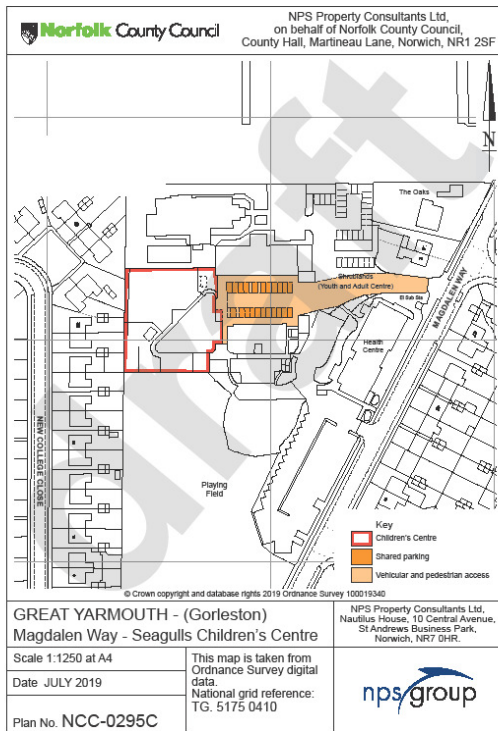
Appendix 3: Site Plans

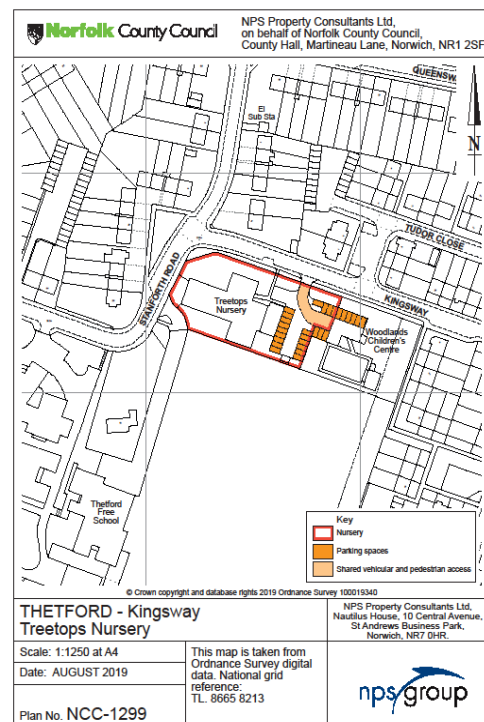
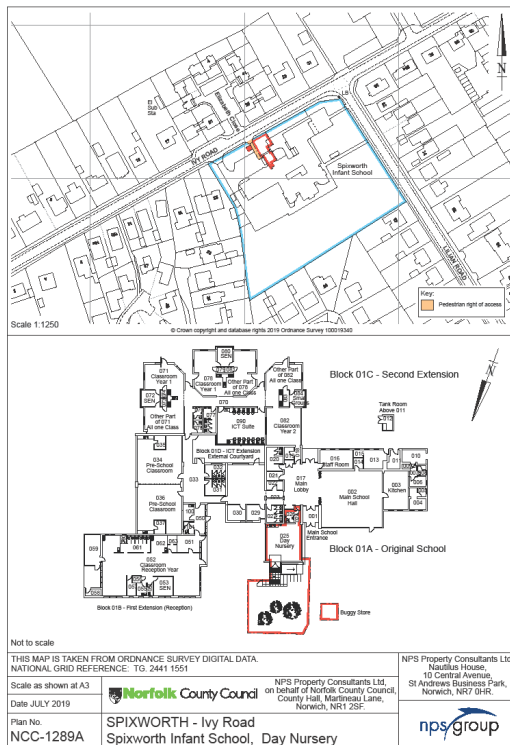
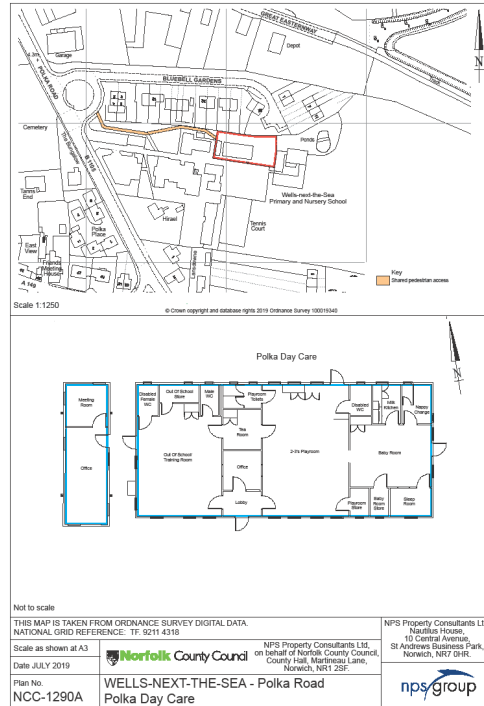
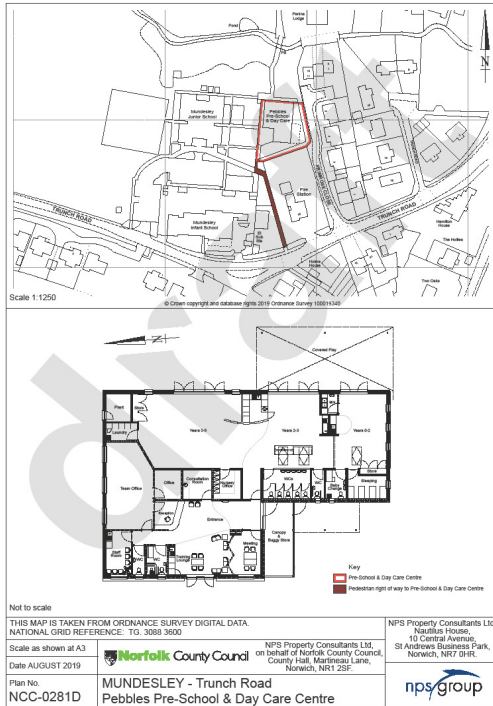


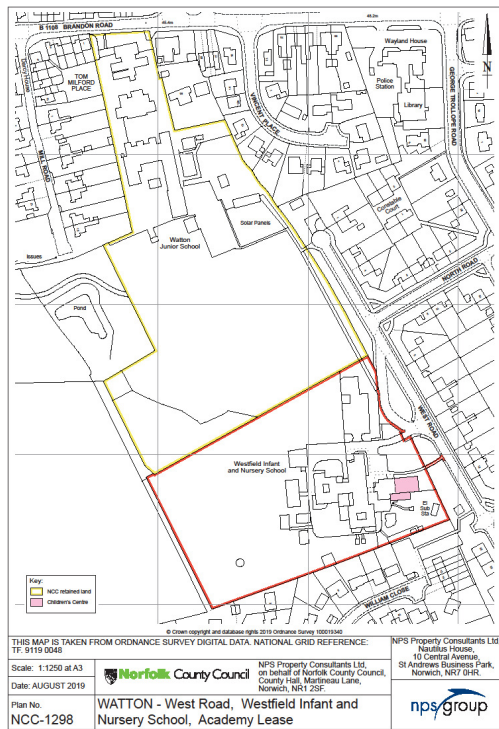
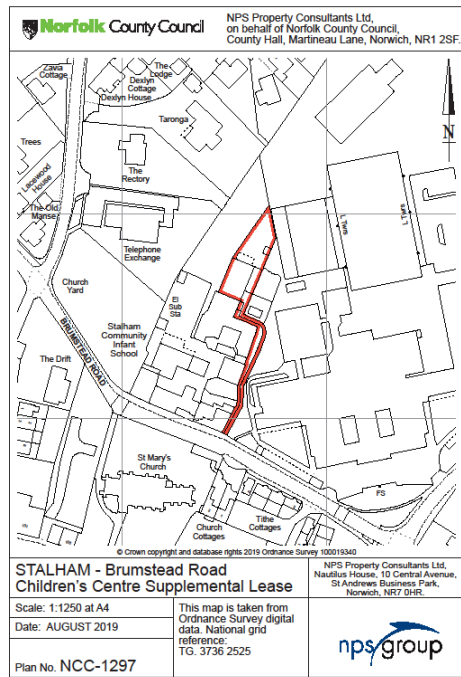
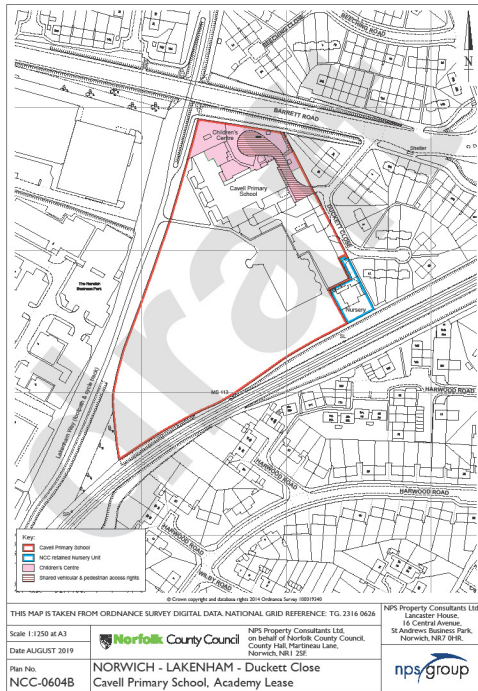












Report to Cabinet

Item No. 13

Report title	Finance Monitoring Report 2019-20 P4: July 2019
Date of meeting	2 September 2019
Responsible Cabinet Member	Councillor Andrew Jamieson (Cabinet Member for Finance)
Responsible Director	Simon George (Executive Director of Finance and Commercial Services)
Is this a key decision?	Yes
<p>Executive Summary</p> <p>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.</p> <p>Subject to mitigating actions, the forecast revenue outturn for 2019-20 is an overspend of £5.008m on a net budget of £409.293m. General Balances are £19.6m and reserves and provisions are forecast to total £74.3m.</p> <p>Recommendations:</p> <ol style="list-style-type: none"> 1. Recommend to County Council the flexible use of £2m capital receipts to fund the Children's Services Demand Management & Prevention Strategy in 2019-20, as set out in appendix 2 paragraph 3.4; 2. Note the period 4 forecast general fund revenue overspend of £5.008m noting also that Executive Directors will take measures throughout the year to reduce or eliminate potential over-spends; 3. Note the period 4 forecast shortfall in savings of £4.706m, noting also that Executive Directors will take measures throughout the year to mitigate savings shortfalls through alternative savings or underspends; 4. Note the forecast General Balances at 31 March 2020 of £19.623m, before taking into account any over/under spends; 5. Note the expenditure and funding of the revised current and future 2019-22 capital programmes. 	

1. Background and Purpose

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2019-20, to assist members to maintain an overview of the overall financial position of the Council.

2. Proposals

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

3. Impact of the Proposal

- 3.1. The impact of this report is primarily to demonstrate where, if applicable, the Council is anticipating financial pressures not forecast at the time of budget setting, together with a number of other key financial measures.

4. Evidence and Reasons for Decision

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

Appendix 1 summarises the revenue outturn position, including:

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

Appendix 2 summarises the capital outturn position, and includes:

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

5. Alternative Options

- 5.1. In order to deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report.

6. Financial Implications

- 6.1. As stated above, the forecast revenue outturn for 2019-20 is an overspend of **£5.008m (P3 £6.108m)** linked to a forecast shortfall in savings of **£4.706m**. Forecast reserves and provisions amount to **£74.3m**, and general balances **£19.6m**.

Within the forecast overspend are significant financial pressures identified in Children's Services and Adult Social Services, balanced by underspends in other areas, primarily Finance General.

The Children's Services net overspend is due mainly to high and increasing levels and complexity of need across numerous areas of service including children looked after, young people leaving care and children at risk of harm.

Within Adults, there are pressures on Purchase of Care budgets. A full narrative is given in Appendix 1.

The Council's capital programme contains new schemes approved by County Council on 12 February 2019, as well as previously approved schemes brought forward.

7. Resource Implications

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

8. Other Implications

8.1. Legal Implications:

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

8.2. Equality Impact Assessment

In setting the 2019-20 budget, the Council consulted widely. Impact assessments are carried out in advance of setting the budget, the latest being published as "Budget proposals 2019-2020 Overall Summary: [Equality & rural impact assessment report](#)".

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

9. Risk Implications/Assessment

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

Chief Officers have responsibility for managing their budgets within the amounts approved by County Council. Chief Officers will take measures throughout the year to reduce or eliminate potential over-spends.

10. Select Committee comments

- 10.1. None / not applicable.

11. Recommendation

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

12. Background Papers

- 12.1. None

Officer Contact

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

Officer name: Harvey Bullen

Tel No. : 01603 223330

Email address: harvey.bullen@norfolk.gov.uk



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

Norfolk County Council Finance Monitoring Report 2019-20

Appendix 1: 2019-20 Revenue Finance Monitoring Report Month 4

Report by the Executive Director of Finance and Commercial Services

1 Introduction

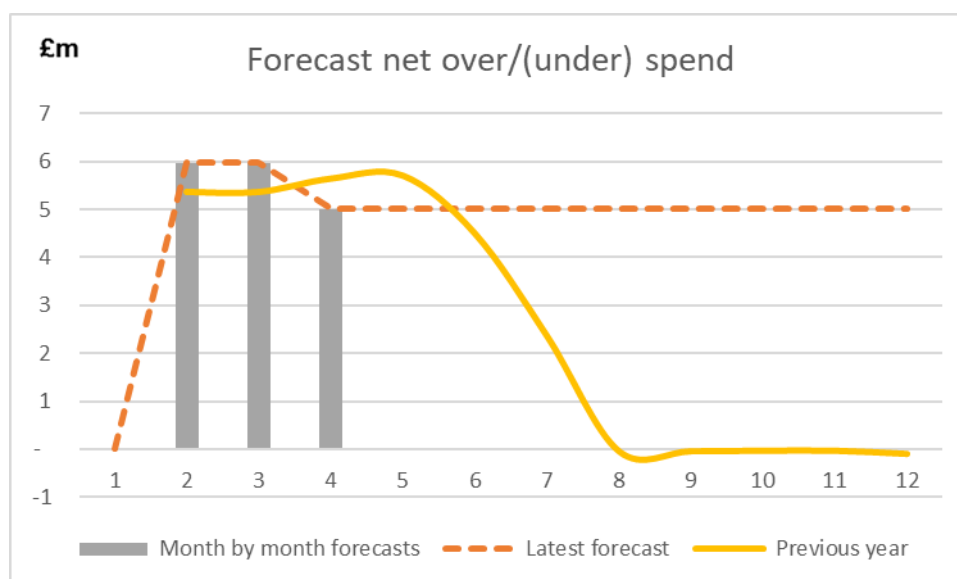
1.1 This report gives details of:

- the latest monitoring position for the 2019-20 Revenue Budget
- forecast General Balances and Reserves at 31 March 2020 and
- other key information relating to the overall financial position of the Council.

2 Revenue outturn – over/underspends

2.1 **At the end of July 2019** an **overspend of £5.008m** is forecast on a net budget of £409.293m.

Chart 1: forecast /actual revenue outturn 2019-20, month by month trend:



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

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

Table 1: 2019-20 forecast (under)/over spends by service

Service	Revised Budget	Net (under)/over spend	%	RAG
	£m	£m		
Adult Social Services	247.253	4.865	2.0%	A
Children's Services	211.337	7.000	3.3%	R
Community and Environmental Services	159.109	0	0.0%	G
Strategy and Governance	8.756	-0.057	-0.7%	G
Finance and Commercial Services	28.596	0	0.0%	G
Finance General	-245.758	-6.800	2.8%	G
Totals	409.293	5.008	1.2%	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:** Early review of existing commitments within NCC Funded Children's Services indicate the potential for 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 To partially mitigate the identified pressures, Children's Services will look at the option to capitalise £2m of equipment spend and revenue contributions to capital expenditure by schools in line with the approach utilised in 2018-19. As a result, the projected overspend at period 4 for NCC Funded Children's Services is £7m.
- 2.6 The service pressures have been long identified by the department, including front line social care staffing pressures where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need. The impact of these pressures continues to be reviewed and are being addressed through a sustained multi-year programme of transformation.
- 2.7 During period 4, further review of the known pressures has been undertaken to ensure that a full year position is understood, resulting in a £2m increase to the forecast. This reflects the ongoing work within social care to ensure that only those children that need to be looked after are in care, and that those that can be supported to safely stay within families do so; this will often result in additional staff intervention time required in the short term. These pressures are being recognised in the latest budget planning work for 2020-21.

- 2.8 Further details relating to the Children's Services position are included in Revenue Annex 1.
- 2.9 **Dedicated Schools Grant:** An early review of the financial year's commitments for each of the blocks of the Dedicated Schools Grant (DSG) have highlighted pressures primarily 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.
- 2.10 The early indications are that there will be an overall overspend on the DSG in the region of £5.3m, which 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 submitted a response to their current call for evidence at the end of July.
- 2.13 **Adult Social Services:** The forecast outturn as at Period 4 (end of July 2019) is an overspend of £4.865m. The largest contributors to this are the Purchase of Care budget. 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.
- The number of packages of care that are currently being delivered to service users exceed those budgeted for. Work is ongoing to manage this and identify actions to reduce the pressure. The senior management team is directly overseeing a recovery plan, focused primarily on purchase of care costs that could be influenced during the year. The overspend is lessened by additional recharges from the NHS for specific cases that are not NCC's responsibility.
- 2.14 **CES:** Community and Environmental Services are currently forecasting a overall net balanced budget for 2019/20. Based on early data there are some forecast underspends around staff vacancies and forecast over recovery of income within Highways. However, the department is managing a number of issues.
- 2.15 Museums Services – We have seen a positive start to the year in relation to visitor numbers, however we are shortly about to start the construction phase of the Castle Keep development, which is likely to significantly impact revenues. The acquisition of the new Turner may help mitigate this impact and therefore it is difficult to forecast at this stage in the year. We have a modest income reserve that could be used to offset this pressure in year.

- 2.16 We are anticipating additional costs within the Customer Services Centre in relation to the administration of the Blue badge scheme following changes in legislation. We are expecting additional Government funding to support this, although the details and timing of this are currently not clear.
- 2.17 Fire Service – We anticipated there would be continuing cost pressures within 2019/20 and proposed to manage these through budget control of other areas, where possible, and a planned use of reserves. The longer-term impacts of managing these issues being picked up through the 2020/21 budget planning cycle and the development of the 2020 IRMP (Integrated Risk Management Plan).
- 2.18 We are now through the first quarter of the financial year and following on from the outcomes of the HMICFRS (Her Majesty's Inspectorate of Constabulary, Fire and Rescue Services) inspection and the subsequent improvement plan that has been developed we have had the opportunity to work up in more detail the estimated additional costs of the various activities.
- 2.19 The additional pressure arises from the delivery of the Improvement plan and the need to ensure appropriate capacity/resources in place to deliver this. For 2019/20 this is likely to be an additional £0.201m. Where possible we will manage this within the wider CES departmental budget and we will continue to look at opportunities to offset this with further budget control within the service.
- 2.20 There will be an ongoing commitment in future years of £0.326m for 2020/21 and £0.247m for 2021/22 and 2022/23 to continue the improvement journey. This will be picked up as part of the future years budget planning and reflected in the updated MTFS.
- 2.21 **Corporate services:** The Strategy and Governance directorate is forecasting a modest underspend at this early stage of the year, with Finance and Commercial Services forecasting a balanced budget.
- 2.22 **Finance General:** The net impact of revised business rates projections and insurance fund assumptions have previously resulted in a forecast underspend of £3.7m in Finance General. A proposal to flexibly use £2m of capital receipts to support transformation costs, along with revised interest receivable and payable assumptions have increased the forecast underspend to £6.8m.

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 P3 (previous report)	Revised budget P4
	£m	£m	£m
Adult Social Services	247.606	247.232	247.253
Children's Services	211.667	211.627	211.337
Community and Environmental Services	160.712	159.574	159.109
Strategy and Governance	8.657	8.422	8.756
Finance and Commercial Services	26.395	28.196	28.596
Finance General	-245.744	-245.758	-245.758
Total	409.293	409.293	409.293

Note: this table may contain rounding differences.

- 3.2 During periods 4 there were minor reallocation of budgets between departments to reflect management responsibilities for property depreciation charges, and the movement of school crossing patrol budgets to the Norfolk Fire and Rescue Service.
- 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	15.874
Children's Services (inc schools, excl LMS/DSG)	6.521	8.184	1.663	1.568	4.135
Community and Environmental Services	34.030	37.992	3.962	29.935	35.659
Strategy and Governance	1.809	2.680	0.871	1.422	2.149
Finance & Commercial Services	1.746	3.147	1.401	1.510	2.576
Finance General	14.247	17.429	3.182	13.215	13.915
Reserves and provisions	85.816	101.533	15.717	61.269	74.308

- 4.4 Forecast overall provisions and reserves at 31 March 2020 are approximately £13m in excess of 2019-20 budget book assumptions. This is due primarily to the increases in reserves, including unspent grants and contributions, brought forward after budget setting.
- 4.5 **Provisions included in the table above**

The table above includes provisions of £28m comprising £9m insurance provision, £12m landfill provision (this provision is not cash backed), £6m provisions for bad debts, and a small number of payroll related provisions.

5 Budget savings 2019-20 summary

- 5.1 In setting its 2019-20 Budget, the County Council agreed net savings of £31.605m. Details of all budgeted savings can be found in the 2019-20 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 5.2 The latest monitoring reflects total forecast savings delivery of £26.899m and a **total shortfall of £4.706m** forecast at year end
- 5.3 As at period 4 monitoring, the RAG status and forecast savings delivery is anticipated as shown in the table below:

Table: Analysis of 2019-20 savings forecast and RAG status

RAG status and definition	Adult Social Care	Children's Services	Community and Environmental Services	Strategy and Governance Department	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m
Red Significant concern saving may not be delivered, or there may be a large variance (50% and above).	-0.567	0.000	0.000	0.000	0.000	0.000	-0.567
Amber Some concern saving may not be delivered or there may be some variance (up to 50%).	-6.000	-0.178	0.000	0.000	0.000	0.000	-6.178
Green Confident saving will be delivered (100% forecast).	-6.743	-6.522	-3.891	-0.931	-0.945	-1.122	-20.154
Total forecast savings	-13.310	-6.700	-3.891	-0.931	-0.945	-1.122	-26.899
Savings shortfall	-4.584	-0.122	0.000	0.000	0.000	0.000	-4.706
Total (budget savings)	-17.894	-6.822	-3.891	-0.931	-0.945	-1.122	-31.605

Commentary on savings shortfalls

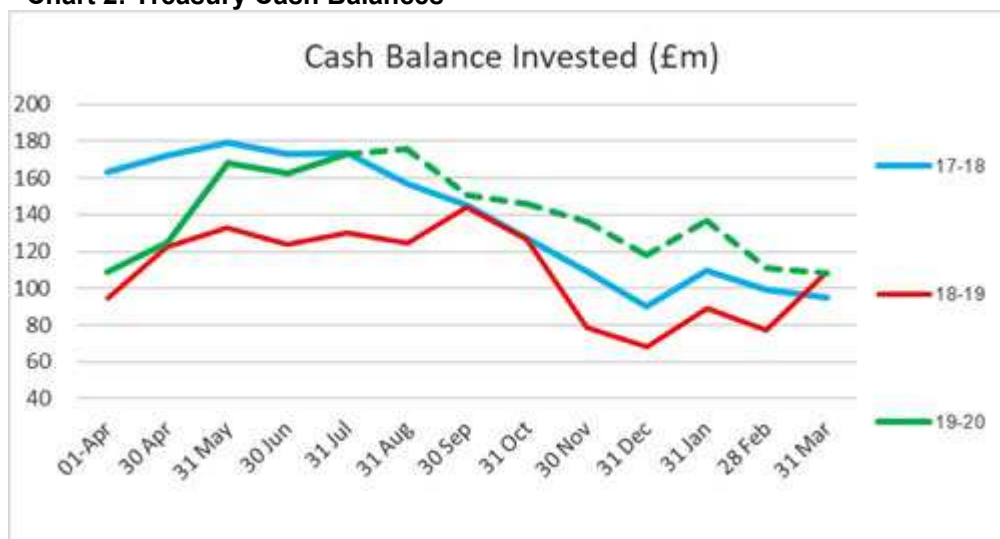
- 5.4 Four savings have been rated as RED, and two rated as AMBER, where partial delivery of savings is forecast. This equates to an overall forecast savings shortfall of £4.706m (15% of total budgeted savings).

The overall position remains unchanged since period 3. A full commentary is provided in the 15 July 2019 Cabinet Finance Monitoring report.

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 £10m was borrowed in July 2019 with an additional £20m borrowed subsequently as follows:

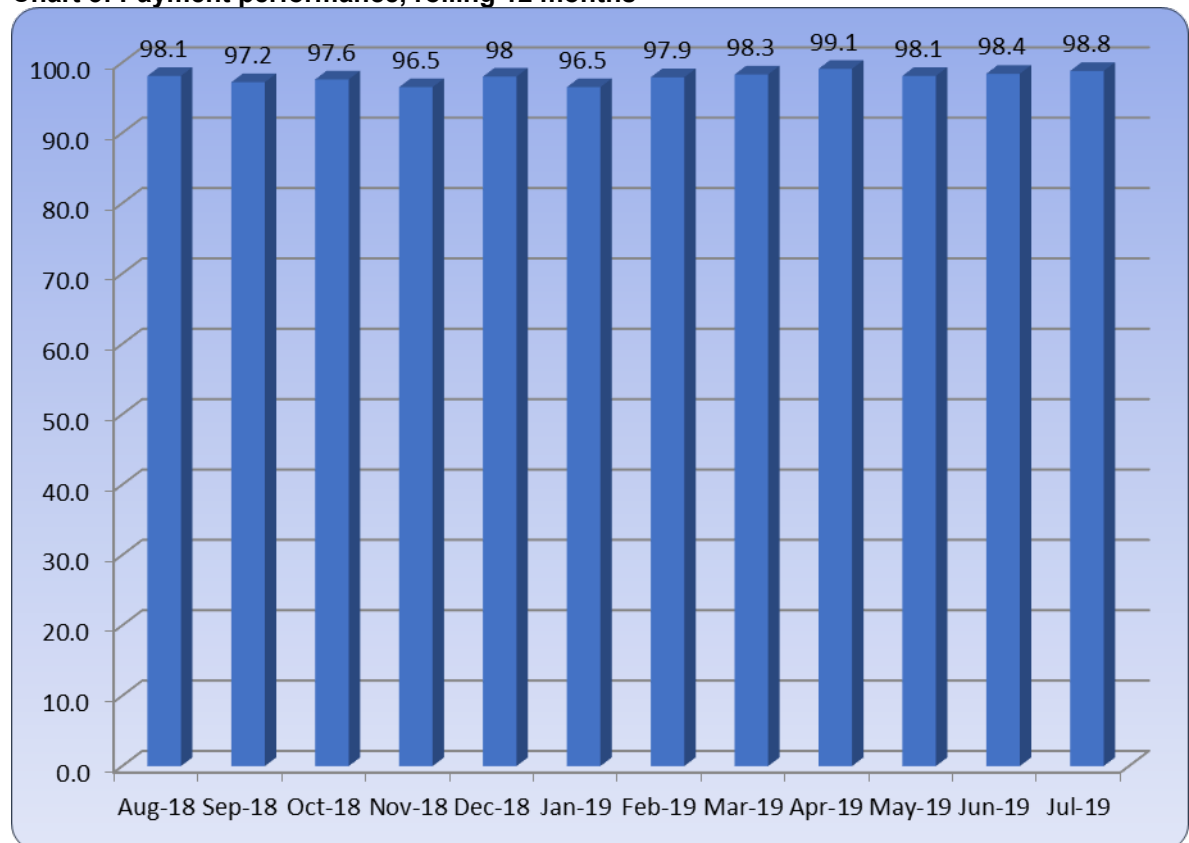
Date	Amount	Rate	Maturity date
3 July 2019	£10m	2.02%	1 September 2062
5 August 2019	£10m	1.95%	11 October 2061
7 August 2019	£10m	1.85%	11 October 2061

- 6.3 The graph reflects the total of £60m borrowed to date and a further £20m borrowing planned as part of the Council's approved treasury management strategy.
- 6.4 The closing balance at approximately £100m is consistent with closing balances in March 2018 and 2019.
- 6.5 PWLB and commercial borrowing for capital purposes was £663m at 31 July 2019 (£683m with subsequent loans). Associated annual interest payable is £28.6m.
- 6.6 New borrowing is applied to the funding of previous capital expenditure, effectively replacing cash balances which have been used on a temporary basis to avoid the cost of 'carrying' debt in the short term.

7 Payment performance

- 7.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 420,000 invoices are paid annually. Over 98% were paid on time in July. The percentage has not dropped below 96% in the last 12 months.

Chart 3: Payment performance, rolling 12 months



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

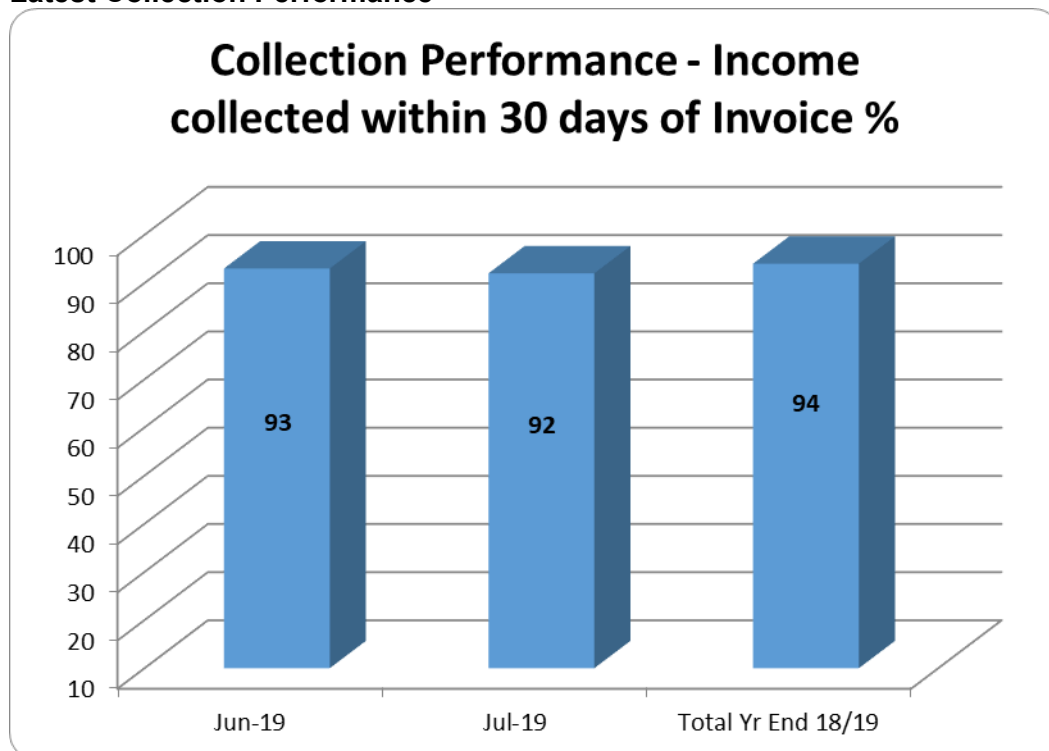
8 Debt recovery

- 8.1 **Introduction:** Each year the County Council raises over 150,000 invoices for statutory and non-statutory services totalling over £1bn. In 2018-19 94% of all invoiced income was collected within 30 days of issuing an invoice, and 98% was collected within 180 days.

Debt collection performance measures

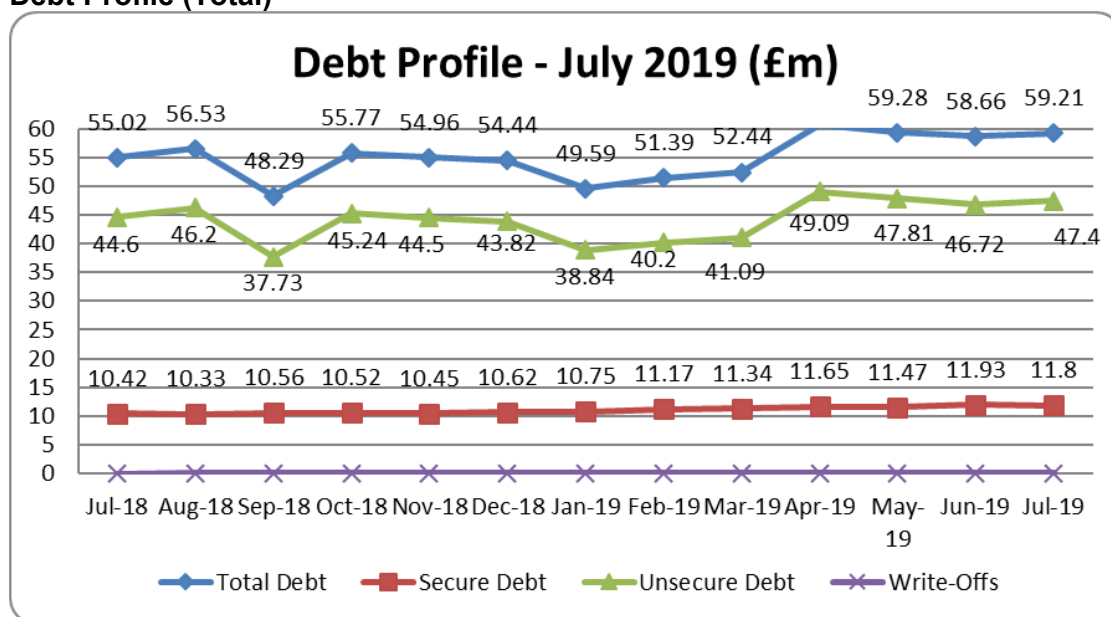
- 8.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 92% in July 2019.

Latest Collection Performance



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

Debt Profile (Total)



Of the £47.4m unsecure debt at the end of July, £13.8m is under 30 days. The largest area of unsecure debt relates to charges for social care, £32.9m, of which £13.6m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.

- 8.4 Secured debts amount to £11.8m at the end of July 2019. Within this total £3.7m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.
- 8.5 **Debt write-offs:** In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write off of all debts up to £10,000.
- 8.6 Service departments are responsible for funding their debt write offs. Before writing off any debt all appropriate credit control procedures are followed.
- 8.7 For the period 1 April 2019 to the end of July 2019, 205 debts less than £10,000 were approved to be written off following approval from the Executive Director of Finance and Commercial Services. These debts totalled £226,979.27.
- 8.8 Two debts over £10,000 totalling £36,925.35 were approved for write off in May 2019 and written off in the 2018-19 accounts.

Revenue Annex 1

Forecast revenue outturn

Revenue outturn by service

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

Service	Revised Budget	Net total over / (under) spend	Over / (under) spend as %	Forecast net spend
	£m	£m		£m
Adult Social Services	247.253	4.865	2.0%	252.118
Children's Services	211.337	7.000	3.3%	218.337
Community and Environmental Services	159.109	0	0.0%	159.109
Strategy and Governance	8.756	-0.057	-0.7%	8.699
Finance and Commercial Services	28.596	0	0.0%	28.596
Finance General	-245.758	-6.800	2.8%	-252.558
Forecast outturn this period	409.293	5.008	1.2%	414.601
Prior period forecast	409.293	6.108	1.5%	415.401

Reconciliation between current and previously reported underspend

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

	£m
Forecast overspend brought forward	6.108
Movements July 2019	
Adult Social Services	-
Children's Services	2.000
Community and Environmental Services	-
Strategy and Governance	-
Finance and Commercial Services	-
Finance General	-3.100
Outturn over/(under) spend	5.008

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		-0.144	-0.069
Commissioned Services		-0.214	0.037
Early Help & Prevention	0.790		-0.272
Services to Users (net)	6.150		-0.002
Management, Finance & HR		-1.717	0.306
Forecast over / (under) spends	6.940	-2.075	-
Net total	4.865		
Children's Services	Over spend	Under spend	Changes
	£m	£m	£m
Social Work	8.600		1.600
Early Help, Prevention & Commissioning	0.400		0.400
Schools capital funded by borrowing		-2.000	-2.000
	9.000	-2.000	2.000
	7.000		
<i>Dedicated schools grant</i>			
Post 16 Further Education High Needs Provision	1.000		0.100
Independent special school places	4.900		1.200
Maintained special schools		-0.500	-0.500
Alternative provision	0.900		0.300
Short Stay School for Norfolk	1.000		-0.100
Personal Budgets	0.200		
Specialist Resource Bases		-0.200	
Inter Authority Recoupment	0.100		
Schools block	-	-0.100	-0.200
NCC contribution		-2.000	
Increase in net deficit to be carried forward		-5.300	-0.800
Forecast over / (under) spend	8.100	-8.100	-
Net total		-	

Community and Environmental Services	Over spend	Under spend	Changes
	£m	£m	£m
Culture & Heritage		-0.008	0.018
Support & Development		-0.065	-0.011
Economic Development		-0.086	-0.096
Highways & Waste		-0.242	0.119
Community Information & Learning		0.052	0.104
Public Health		-0.058	-0.021
Provision for CES departmental risks	0.407		-0.113
Forecast over / (under) spend	0.407	-0.407	-
Net total		-	

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			
Forecast over / (under) spend		0	
Finance General (see below for narrative)			
Net impact of revised business rates projections		-2.700	
Insurance fund		-1.000	
Interest on balances		-0.300	-0.300
Interest on LIF loans		-0.800	-0.800
Use of capital receipts to support transformation costs		-2.000	-2.000
Forecast over / (under) spend		-6.800	-3.100
Net total		-6.800	

Revenue Annex 1 continued

Children's Services Commentary

Early review of existing commitments within NCC Funded Children's Services indicate the potential for 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.

To partially mitigate the identified pressures, Children's Services will look at the option to capitalise £2m of equipment spend and revenue contributions to capital expenditure by schools in line with the approach utilised in 2018-19. Taking this into account, the projected overspend at period 4 for NCC Funded Children's Services has increased to £7m.

During period 4, further review of the known pressures has been undertaken to ensure that a full year position is understood, resulting in a £2m increase to the forecast. This reflects:

- the ongoing work within social care to ensure that only those children that need to be looked after are in care, and that those that can be supported to safely stay within families do so, though this will often result in additional staff intervention time required, thus raising staffing costs. This short-term investment in the child and family, both through Family Focus Teams as well as through front-line Social Work teams, should result in medium to longer term reductions in both the volume of children in care and the cost of placements.
- Significant cost increases, £0.8m, for support packages for a small number of children with complex disabilities, both those supported to live at home as well as those looked after

The service pressures have been long identified by the department. These are being addressed through a sustained multi-year programme of transformation.

The primary reasons for the pressures being indicated at this stage in the financial year are:

- that the level of pressure rose during the latter part of 2018/19 beyond that which was covered by the additional growth monies allocated, resulting in additional pressures for 19-20 particularly because of the full year effect of what was seen in quarter 4 of last year;
- that the savings to be achieved through transformation during 2019/20 have not yet impacted. In particular, the various initiatives aimed at reducing the number of children in care and changing the placement mix are profiled to impact in phases throughout 2019/20;
- front line social care staffing pressures, where there is a need to have sufficient resource to manage demand and focus on the presenting complexity of need to allow for increased levels of intervention earlier to reduce escalation of need and to prevent and reduce placement spend;

- the current commitments currently show more children with higher costs than we anticipated having when the budget was set, with the transformation expected to impact later in the year.

In relation to the financial costs for children in care, there are some positive trends which, if sustained, should reduce the pressure level over time. The number of children in care has reduced from a high of 1227 in January to 1180 at the end of July and in particular the department is seeing fewer children coming into care as a result of effective earlier intervention. Significant focus is now being employed to ensure that children are able and supported to leave care as soon as it is safe for them to do so. We would expect this to result in an increase in the number of children ceasing care as well as reducing the average length of time that a child is in care for. Additionally, Children's Services are already seeing a good level of success in relation to one of the key changes targeted in our placement mix with a significant move away from high-cost independent fostering agencies and towards NCC's own high quality and cost effective in-house fostering team. A large proportion of cost is driven by residential placement numbers, these are stable since the start of the year. Key to bringing down the overall pressure will be the level of success we have in moving away from this provision and towards our new semi-independent and enhanced fostering options.

Key points to note are:

- Forecast placement and support spend at P4 is in line with 2018/19 outturn and is stable during 2019/20. The pressure being reflected occurred between P8 and P12 of 2018/19 when we saw an increase of nearly £1m.
- Positive financial impact on the placements budgets is being achieved through increasing in-house fostering placements and reducing independent fostering with performance better than profiled. Pressure reflects year on year increase in agency residential, net £2m and plans to reduce reliance on residential placements are in place and expected to impact later in the year.
- Further analysis of the agency residential commitments is required but expected to be due to the full year effect of changes in placements in 2018-19 following an increase in placements during the last quarter after the budget was set (potentially over £1m effect based upon average costs per placement).
- Growth due to demographic changes was anticipated for 2019-20 alongside the agreed budgetary savings. Close scrutiny will be needed to understand the actual impacts of both these areas against the planned impact as the year progresses and the impact of the transformation programme is seen.

Over and above the existing transformation programme, Children's Services Leadership Team have agreed an action plan of activity that is expected to bring a reduction in the identified pressures. Alongside this, work is ongoing to review and scrutinise the early data alongside colleagues from support services to ensure that projections take account of expectations and plans for the full year on a child by child basis.

This forecast and analysis of it is based upon the financial data of the first third of the financial year, and whilst it is allowing early assumptions to be tested, there is still significant assumptions included in the forecast as the transformation programme

continues to evolve and changes are embedded in business as usual. These continue to need to be reviewed in advance of the future forecasts, alongside the accuracy of predictions both in relation to growth and savings. This will allow more specific forecasting and a clearer picture of where the year-end position will be. The department is already taking a number of actions to enable this clarity to be gained and to keep a careful track of progress, alongside colleagues within support services.

Work is underway to understand the potential impact of these pressures seen in 2019-20 upon future years, in particular 2020-21, to allow budget planning work of the Council to reflect them.

Finance General forecast over and underspends

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

Net impact of revised business rates projections (underspend £2.700m)

This forecast underspend relates to the net impact of revised business rates projections from district councils, received after the Council set its budget in February 2019.

Insurance fund (underspend £1.000m)

This forecast underspend is the result of a forecast over-provision in the light of recent insurance fund valuations.

Interest on balances (forecast underspend £0.300m)

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.

Use of capital receipts to support transformation costs (underspend £2.000m)

On 25 September 2017 Policy and Resources Committee considered a report entitled Demand Management & Prevention Strategy: Children's Services. This resulted in the allocation of a one-off investment of £12-£15m into children's services over the four years 2018-22. It is proposed that subject to the achievement of property sales in 2019-20, £2m of capital receipts will be allocated to fund transformation through the "flexible use of capital receipts" in accordance with the policy approved by County Council on 12 February 2018.

Norfolk County Council Finance Monitoring Report 2019-20

Appendix 2: 2019-20 Capital Finance Monitoring Report

Report by the Executive Director of Finance and Commercial Services

1 Capital Programme 2019-20

- 1.1 On 11 February 2019, the County Council agreed a 2019-20 capital programme of £307.858m with a further £240.734m allocated to future years', giving a total of £548.592m.
- 1.2 Additional re-profiling from 2018-19 resulted in an overall capital programme at 1 April 2019 of £617m. Further in-year adjustments have resulted in the outturn capital programme shown below:

Table 1: Capital Programme budget

	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	-58.881	58.881
Other movements	40.587	4.864
Capital programme budgets (total £663.003m)	352.757	310.245

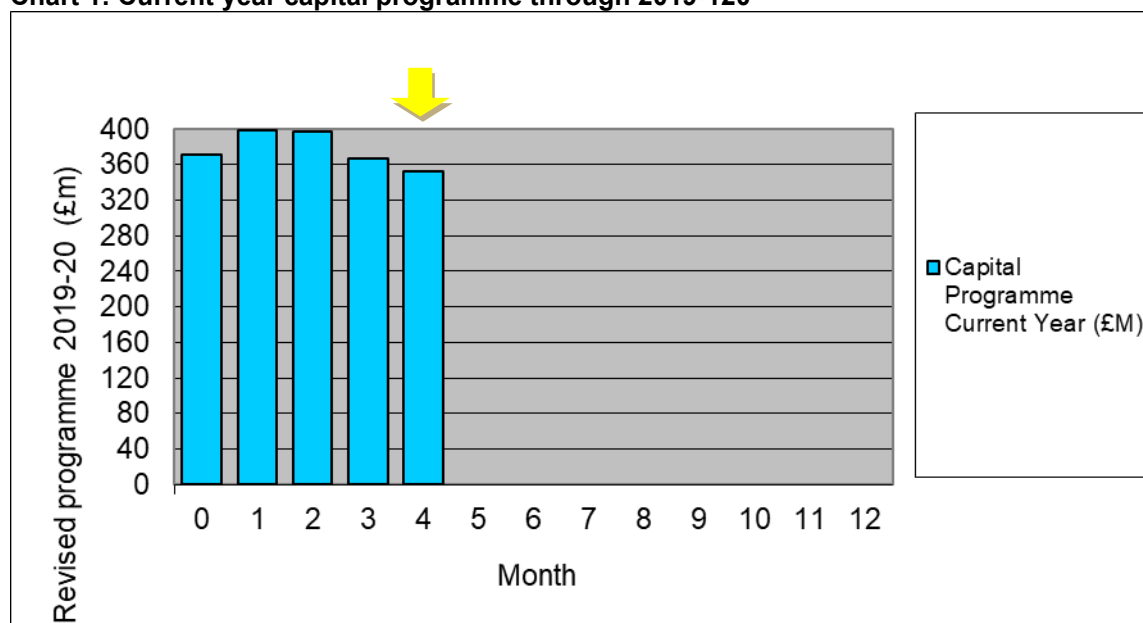
Note: this table and the tables below contain rounding differences

The "future years" column above includes new schemes approved as part of the 2019-22 capital strategy and programme.

Changes to the Capital Programme

- 1.3 The following chart shows changes to the 2019-20 capital programme through the year.

Chart 1: Current year capital programme through 2019-20



- 1.4 Month “0” shows the 2019-20 outturn future capital programme with a number of highways schemes added in month 1. The arrow shows the latest current year position. The current year programme will change as additional funding is secured, and as schemes are re-profiled to future years where timings become more certain.

- 1.5 The current year’s capital budget for each service is set out in the table below:

Table 2: Service capital budgets and movements 2019-20

Service	Opening programme	Previously reported Programme	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	119.588	-2.421	1.493	118.660
Adult Social Care	18.388	15.388	-3.331	8.026	20.083
Community & Environmental Services	119.188	150.066	-5.087	-1.946	143.033
Finance & Comm Servs	79.001	82.028	-13.000	1.953	70.981
Total	371.051	367.071	-23.839	9.525	352.757
				-18.294	

Note 1: this table may contain rounding differences

- 1.6 The revised programme for future years (2020-21 to 2021-22 and beyond) including £240.734m new and reprofiled schemes approved County Council 11 February 2019, is as follows:

Table 3: Capital programme 2020-22

Service	Previously reported future programme	Reprofilng since previous report	Other Changes previous report	2020+ Future Capital Budget
	£m	£m	£m	£m
Children's Services	125.064	2.421	0.000	127.484
Adult Social Care	29.879	3.331	0.000	33.210
Community & Environmental Services	107.933	5.087	-5.814	107.207
Finance & Comm Servs	23.531	13.000	5.814	42.344
Total	286.406	23.839	0.000	310.245
			23.839	

Note: this table may contain rounding differences

2 Financing the capital programme

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

Table 4: Financing of the capital programme

Funding stream	2019-20 Programme	Future Years Forecast
	£m	£m
Prudential Borrowing	166.634	244.883
Use of Capital Receipts		
Revenue & Reserves		
<i>Grants and Contributions:</i>		
DfE	73.010	17.284
DfT	47.836	33.515
DoH	8.309	0.527
MHCLG	0.333	
DCMS	1.953	5.814
Developer Contributions	30.950	0.010
Other Local Authorities	6.561	
Local Enterprise Partnership	9.747	
Community Infrastructure Levy	3.069	
National Lottery	1.685	8.212
Other	2.672	
Total capital programme	352.757	310.245

Note: this table may contain rounding differences

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

3 Capital Receipts

3.1 The Council's property portfolio is constantly reviewed to ensure assets are only held where necessary so that capital receipts or rental income can be generated. This in turn reduces revenue costs of the operational property portfolio.

3.2 The capital programme, approved in February 2019, gives the best estimate at that time of the value of properties available for disposal.

Table 6a: Capital programme property disposal original estimates £m

Property sales	2019-20	2020-21	2021-22
	£m	£m	£m
Required to support revenue budget	2.000	7.000	12.000
... cumulative	2.000	9.000	21.000
Best outcome:			
High likelihood	2.354	0.085	
Medium likelihood	2.960	4.595	0.130
Low likelihood (more likely to move to future years)	3.415	1.000	
Major development sites	9.100		
Total	17.829	5.680	0.130
Analyse by farms/non-farms property			
Farms	11.457	5.680	0.125
Non-farms	6.372		0.005
	17.829	5.680	0.130
Cumulative	17.829	23.509	23.639

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

Table 6b: Disposals expected within year £m

Actual and anticipated property sales 2019-20	Potential receipt £m
Receipts secured (inc sales subject to contract)	1,809
High	1,704
	3,513
Other possible sales 2019-20	
Major development sites	7,900
Medium chance of sale	1,260
Low chance of sale	534
Maximum receipts potential	13,207

In addition to the receipts from the disposal of property shown above, capital receipts will result from the repayment of loan capital.

3.4 Flexible use of capital receipts

Proposed strategy for the flexible use of capital receipts

On 12 February 2018 the County Council approved a capital programme including the Flexible Use of Capital Receipts Strategy for 2018-19 to 2022-23. At the time of approval, the Strategy did not contain details of the specific project that could best make use of the capital receipts flexibility (as required by the relevant guidance), partly due to uncertainty as to the level of capital receipts which would be available.

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 £12-£15m into children's services over the four years 2018-22

The investment will fund a programme of transformational change, including investment in specialist, well supported alternatives to residential care, better 16+ provision, workforce training and development and better targeted interventions.

The aim is to create a financially sustainable social care model. Critical to this is ensuring a reduction in looked after children's numbers, with the considerable savings that this will generate. A successful business model developed by East Sussex County Council, "Transformation and Thrive", made a significant difference to their financial forecast through cost avoidance and savings, as well as the outcomes for vulnerable families concluding that for each £1m of one-off investment during the programme, they had a return of £1.5m pa.

Due to the level of capital receipts expected in 2019-20, in particular relating to the sale of the Airport shares and additional anticipated property sales, it is proposed that £2m of capital receipts is allocated to the Children's Services Demand Management & Prevention Strategy in 2019-20.

Capital Annex 1 – Changes to capital programme since last Cabinet finance monitoring report

Changes to capital programme since previous capital monitoring report			19-20	19-20	20-21+	20-21+	
Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
Adult Social Care	Disabled Facilities Grant	DoH	8.026				Income from Department of Health
	Living Well Homes for Norfolk	Ncc Borrowing		-2.000		2.000	Moved as per current forecast of spend for 19/20
	Social Care information Systems/Equipment	External Grant		-0.805		0.805	Moved as per current forecast of spend for 19/20
	Social Care information Systems/Equipment	Ncc Borrowing		0.527		0.527	Moved as per current forecast of spend for 19/20
Total Adult Social Care			8.026	-3.331	0.000	3.331	
Children's Services							
	Costessey Area	S106	0.305				Developer contribution received
	Wymondham Area	S106	1.290				Developer contribution received
	School based budgets	External	- 0.102				Refunds/contributions from Schools
	Hethersett New Primary	Dfe		- 2.421		2.421	Reprofiled according to cost report
Total Children's services			1.493	-2.421	0.000	2.421	
CES							
Better Broadband	Local Full Fibre Network Project	DCMS	-1.953		- 5.814		Reallocated to Finance and Comm. Servs (see below)
Libraries	North Walsham	S106	0.007				New income from Developer contribution
	Watton	S106	0.004				New income from Developer contribution
	Various	S106		-0.010		0.010	Reprofiling as per expected spend
	Vairous	S106	-0.004				Budgets removed as projects complete
Fire	Retained Alerter Equipment	Ncc Borrowing		-1.521		1.521	Tender to be placed, to deliver next fin. Year
	Fire Vehicle Replacement	Ncc Borrowing		-0.140		0.140	Reprofiled as depends on Control Vision for delivery as
Museums	HLF Castle Keep	External		-3.416		3.416	Reprofiled across 2021-2022
Highways							
Total CES			-1.946	-5.087	-5.814	5.087	
Finance and Commercial Services							
Finance - ICT	Local Full Fibre Network Project	DCMS	1.953		5.814		Reallocated from CES (see above)
	Capital Loans Facility	NCC Borrowing		-13.000		13.000	Re-profiled in line with estimate of likely requirements
Total Finance			1.953	-13.000	5.814	13.000	
Total			9.525	-23.839	0.000	23.839	

Report to Cabinet

Item No 14.

Report title:	Corporately Significant vital signs report August 2019
Date of meeting:	2 September 2019
Responsible Cabinet Member	Cllr FitzPatrick, Cabinet Member for Innovation Transformation and Performance
Responsible Director:	Fiona McDiarmid, Executive Director strategy & Governance
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 poor performance and identify further opportunities for improvement using the resource and knowledge of the council as a whole. Recommendation Review and comment on the performance data and recommended action.	

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.

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.

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.

The Dashboard in Appendix 1 contains the current performance, historical performance and trends of the monthly, quarterly and annual corporately significant vital signs. The data reported covers the period to May/June and represents the latest validated data available for each of the vital signs.

Report cards, detailing the performance of each vital sign and actions being taken to address performance issues are contained in appendix 2.

2. **Current performance**

We currently have 18 vital signs which measure key elements of the performance of our Services and the remaining 9 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.

Services performance

There has been significant investment in the revenue budgets for both Adults and Children's social care with a focus on:

- supporting and maintaining a strong care market through funding for pressures such as the national living wage;
- providing sustained funding for Children's Services to respond to high numbers of looked after children with complex needs; and
- contributing to alleviating pressures on the Schools' High Needs Block, including funding for crucial transformation activity.

The following section outlines the vital signs that are being monitored to maintain a view of the current and forecast pressures for these services and also to review progress of the activities that are being delivered to establish a more sustainable model.

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 significant downward trends.

203: Permanent admissions to residential and nursing care per 100k population (18-64)

There has been a significant positive downward trend over the last year, and in May 19.59 per 100,000 18 to 64 year-olds were in residential care compared to 26.64 in June last year, which is a 26% reduction, however the number of people between 18 and 64 per 100,000 in residential care is not yet meeting the target of 15.6 and is red.

In June this downward trend paused and the rate was static, 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+)

The number of permanent admissions of 65+ is green and is exceeding its target. However, whilst the rate of new admissions is positive, we are seeing more temporary placements or short-term beds in use. We are analysing the drivers behind this, and the implications for our strategy and the budget. The promoting independence programme is delivering a number of activities which will further improve this performance and there is a focus on reablement through the Better Care Fund programme.

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.

The reablement target is being exceeded and in June 75.72% of people did not require ongoing formal service after completing reablement. The current performance has been within the range of 70% and 75% over the last year and it is likely that to increase this our teams will have to attempt to re-able people with more complex needs.

It is estimated that for each £1 invested in home based reablement (Norfolk First Support) Adults Services saves four times the investment and it is planned to continue the expansion of NFS and a 15% increase in capacity has already been achieved through joint funding with Clinical Commissioning Groups (CCG's). To complement home based reablement accommodation based reablement has created 40 beds over the last year across the county and work is underway to increase this, this will also help with reducing unnecessarily long stays in acute hospitals.

210: Delayed transfers of care attributable to Adult Social Care.

High levels of delayed transfers of care remains a performance issue for both health and social care partners in Norfolk and the rate has been slowly increasing over the last year with a rate of 6.43 per 100,000 population in May 2019. Previous months have shown that just over half of the delays are attributable to 'awaiting residential care packages', which can be as a result of a number of elements including availability of care at the local authority price, service user and family choice and the very complex nature of needs for some people.

The department is now confident in the quality of reporting, and figures are validated in a robust way. Critical to improvements will be joint working with hospital teams to embed a 'home first' approach which starts at the front-door of the hospital and works on early discharge planning. Complementing this is a need to have the optimum mix of services for people outside of hospital. We are currently looking in depth at the use of short-term beds to ensure these are appropriately used and not a gateway to permanent residential care.

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 data shows that at 69.5k per 10k we are only marginally above the target of 69.4 per 10k. This is a continuing downward trend and the trajectory of meeting our year end projection continues appears to be attainable.

This is evidencing the predicted impact of the transformation agenda and the initial benefits of targeted early intervention, improved demand management at the front door, intensive edge of care (e.g. Strengthening Families, Family Group Conferencing) and reunification services, thus enabling families to have the capacity to look after their children more safely and sustainably at home.

403: Percentage of children starting to be looked after who have previously been looked after

Children can return to care for a number of reasons. The circumstances are not always predictable nor an indication that previous intervention was not the right intervention at the time.

The current rate of 9.3% is within the target of 10%, and although this is a very slight increase pertaining to a small number of children, it is still a measure we will monitor closely to ensure the case discussion fora in place are having the desired impact of ensuring we only have the children in or returning to our care who cannot be safely cared for in their families. This includes sustainable support to build resilience and avoid crisis.

402: Children Starting a Child Protection Plan for a 2nd/subsequent time within 2 years of a previous plan ceasing.

The target is 10%, and our current position is 10.2% with a trajectory to reduce further to 10.1%.

Nationally and regionally we perform well. However, any increase is closely monitored to ensure we are consistent in our decision making and that the previous Child Protection Plans were robustly tested in relation to a family's ability to sustain safe change before multi agency decisions were made for a plan to no longer be in situ.

This measure indicates the effectiveness of our planning.

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).

This is currently amber. Participation in full time education or employment with accredited training is slightly lower than the national average, mostly due to more young people in Norfolk entering employment without accredited training than nationally.

We are very proactive in keeping in contact with young people, so the number whose destination is unknown remains very low. We promote apprenticeship and work to reduce the number who leave education before age 18 and supporting young people to re-engage where necessary.

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.

The percentage of 19-21 year-old care leavers engaged in meaningful employment, education or training will be evidenced by their ability to live independent and sustainable lives within the communities in which they live.

In June 2019 our performance for this measure was 53%. However nationally published data for 2019 has yet to be published. In 2017/18 our statistical neighbour average was 54% whilst the national average was 51%.

Whilst it is pleasing that we are performing better than the national average and closing the gap with our statistical neighbours we remain ambitious for all of our young people and will continue to advocate for opportunities to enhance their life chances.

411: Increase in the percentage of education establishments judged good or outstanding by Ofsted

Achieving a Good or Outstanding rating means that Ofsted have judged that the quality of teaching, learning and assessment is at least good, that the school is well led, and that safeguarding is effective. It is therefore essential that all children attend a good or outstanding school. The percentage for 2017/18 met our target of 86% and has continued to increase in Norfolk.

416: Percentage of Education, Health & Care Plans (EHCP) completed within timescale

An Education, Health and Care Plan describes the education needs of children taking account of factors affecting health and care.

Producing an EHCP within the nationally expected timescale continues to be a challenge. There has been a considerable rise in demand. The total number of plans issued has increased from 726 last year to 790

The Department for Education has a target of 90% for all Local Authorities, the national average was 55% and this has been set as an interim target for Norfolk.

This performance indicator will remain red until new processes and resource brings capacity up to the level of demand.

Significant transformation is underway and will impact on performance from September.

- The authority has invested significantly in additional Education Health and care Plan co-ordinator capacity and this expanded team is now largely in place
- We have invested in and sourced additional Educational Psychology capacity which is crucial to the completion of plans within timescale
- A re-design of the business processes has been delivered
- A new Synergy Gateway module is in place and will deliver improved efficiencies within system

Based on this completed transformation we now have confidence that 90% of new requests will be completed within timescales and we will clear the backlog of cases within a year.

We have developed a revised improvement trajectory which shows performance improving to between 40-50% by early 2020, which will be maintained as the backlog of cases is cleared. We expect to achieve 90% of all requests being completed within timescale by December 2020 at the latest.

The new trajectory relating to this area of performance, based on all the work that has happened and a realistic reassessment of when the turnaround will occur was presented to the Norfolk Future stocktake on 2nd August 2019.

415: Number of Children subject to a Permanent Exclusion

Exclusions result in disruptions of learning for children and young people which research shows has a negative impact on education outcomes and life-chances. The overall number of permanent exclusions has continued to reduce although remains significantly above national averages.

To help to reduce exclusions fair access panels are in place across the county at secondary level which enable managed moves and re-integration to keep more children in mainstream education, the inclusion helpline will be developed to provide early intervention

A separate but related CES measure which is included in the corporately significant signs is Apprenticeships:

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 red, recent figures show an overall increase of 1.94% for Norfolk starts, whilst this is lower than the national increase of 7% this may indicate that we are moving into a more positive phase as the national reforms become embedded.

Actions to improve this include working with the LEP and Suffolk County Council we are co-developing a levy sharing initiative. In addition to this the Education and Skills Funding Agency (ESFA) has officially begun inviting non-levy employers and providers to test its digital apprenticeships system which it is hoped will increase the availability of apprenticeships for small to medium enterprises (SME's).

Community and Environmental Services

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.

Rolling year performance has improved by a small margin each year from 2016 to 2018 but has stayed at a relatively consistent rate, and amber against the target, over the last year. The number dropped by 2.7 percentage points in June turning the rating to red. The key challenges are recruitment and retention and a media campaign is currently being run to recruit on call fire-fighters.

334: Kgs of residual household waste per household per week

The management of our waste volumes is important to help mitigate the effect of increasing household numbers and to help to achieve the County Council's waste policies (expressed as strategy of "Moving Towards Zero Waste").

The numbers for 2018/19 are not yet available, performance for 2017/18 was green and there was a downward trend over the last 3 years. The Norfolk Waste Partnership is exploring funding models to improve collective performance and securing efficiencies for Districts through joint procurements, with Norwich looking at alternative collection models.

325: Customer Satisfaction (with council services)

Performance against this measure has been consistently green over the last year with rates of between 90% and 95%. However the rate dropped in June to 87%.

This indicator measures customer satisfaction across a wide range of council services. All services met or were only 2% outside of the target (excepting School Transport who were 11% outside the target). Actions are being taken in respect of the areas of Highways, Registrars and School Transport with a focus on resolving issues with emails, chasing for answers and slow time to answer phone calls. Blue Badge also received a low rating however this was all from customers refused a badge.

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 93% 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.

375: % of mobile coverage

Mobile phone coverage enables people to live independent lives and for the economy to thrive. In 2017/18 a full survey of the county was conducted and it was found that there was 83.4% coverage. Work is being undertaken by mobile providers to develop their networks across Norfolk and a follow up survey will take place in 2020/21.

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 cover the 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 as of May is for an end of year budget shortfall of £5.96m.

Within service budget forecasts there are significant forecast overspends in Children's Services due to cost pressures associated with looked after children and children with a high level of need, and in the Adult Social Care purchase of care budget. These forecast overspends have been balanced by forecast underspends in Finance General and measures will be taken by Chief Officers throughout the year to reduce or eliminate over-spends.

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.

The current ratio is 5.8% against a target of 6%, this is in line with the ratio delivered in 2018/19. This number is being managed by taking action to deliver savings plans and achieve an overall outturn position in line with the approved budget, where overspends are identified.

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.

The current forecast savings is that £27.021m will be delivered (85% of planned savings). The main area of non-delivery relates to delays in the achievement of Promoting

Independence savings. Details of the shortfall in savings is reported to Cabinet and details of mitigating actions are set out in a separate financial report.

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. The current year forecast is green with a forecast of 89.3% against a target of 74%.

502: Capital Programme Tracker

Members set a capital budget each year in the expectation that capital projects will be delivered, and budgets controlled. The current forecast is that approx. 50% of the available capital will be spent, previous years have seen a capital spend of just over 57% of the available budget and the programme will change as the timing of projects becomes more certain. The rating for this indicator is red however if the current forecast is realised this will not result in a negative budget impact, it will simply mean that we have not used all of the capital that has been set aside for investment.

505: Capital receipts

Where the Council owns property which it does not need, disposals can release capital receipts and reduce running costs. The 2019/20 forecast capital receipts total is £3.9m against a target of £5.31m and is red. The forecast includes receipts which are high and medium likelihood of receipt but excludes low likelihood and major development sites. Actions to increase this are being taken by the Property team which continues to identify surplus properties and market them appropriately.

Workforce

A number of measures are monitored to understand the total available capacity of the organisation to deliver our services. All but one of these vital signs are currently red which indicates that there is potential for us to increase the available capacity both in terms of available hours and productive hours to deliver our services if we improve our performance in these areas.

633: 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. Current sickness levels are above target with an upward trend and this indicator is red. The number of reported sick days has increased and short term sickness increased significantly in the last quarter of 18-19. Long term sickness accounts for the majority of the overall increase and the number of employees off sick for more than 4 weeks has increased to 439 vs 272 in 2017/18.

By reducing the amount of time lost due to sickness we are able to increase our capacity to deliver services. The current time lost equates to 218 FTE in lost productivity. Actions being taken include targeted promotion of tools to support managers and staff and increasing the awareness of sickness absence with a manager dashboard due to be launched later this year.

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 2 years. The current rate is 56% against a target retention rate is 80% and is therefore red.

Total staff turnover in 2018/19 was 11.3% with 835 employees leaving NCC employment. Of those, 364 (44%) had less than 2 years-service on leaving. Initial analysis has identified a small number of services where the 2 year retention rate is consistently below 50%, this will be investigated in more detail and an action plan developed to address any underlying causes

639: Vacancy Rate (Accuracy of establishment data)

This is a measure identifying 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. Failure to recruit to vacant posts can also incur additional costs through temporary cover and increased impact on existing employee well-being.

The vacancy rate in June was 12.6% which is amber against a target of 12%. It should be noted that the vacancy rate is based on the overall establishment numbers and there are challenges in reconciling this. A number of activities are underway to reconcile the data across systems and once this is achieved we will have a more accurate vacancy rate. Accurate data will also enable recruitment planning to fill vacancies in a timely way.

638 HR: Performance Development (previously appraisals) - % Written Goals agreed

External research has identified that goals linked to future plans and conversations between managers and employees, building on employee strengths, are critical for effective people performance.

This is the second year of the new strengths-based approach to performance development. In 2018, 57% of staff had written goals agreed and an October 2018 pulse survey identified 91% of respondents had had their Performance Development discussion, which may indicate that the conversations are happening but they may not be being recorded.

The target for this year is 95% by Sept 2019 and the June data shows 43% completion against a June target of 60% so at this stage the rating is red. Actions are being taken to increase the completion rate, including regular reminders that performance development discussions are due in Norfolk Manager and the launch of a new portal to enable Executive Directors and Heads of Service to see completion rates for their organisations.

Road Safety

The council previously agreed to replace the road safety monthly vital sign (VS 301) with an annual performance dashboard. An updated dashboard for 2018 is included at Appendix 3.

The dashboard is based on a background intelligence and data report which provides the evidence base from which to understand the issues, factors and risks which are involved in collisions. It includes data from Highways, the Fire Service, and the Constabulary and is intended to support partnership reporting and strategy delivery. The report highlights that in 2018 the number of fatalities decreased but the number of serious casualties increased. In 2018, 28 individuals were killed in collisions on Norfolk's roads. This represents a 22% reduction from the annual average of 36 recorded between 2014 and 2016. In addition, 428 people were seriously injured up 20% against the 2014/2016 average of 357.

Collisions were fairly evenly split between rural and urban areas, and men controlled three quarters of all vehicles involved in KSI collisions. Collisions peak between 16.00 and 18.00, accounting for 25% of collisions over five years. It can be inferred from the data that Norfolk drivers need to be more alert during their regular journeys at peak times especially driving home after work. Norfolk Police issued 8,879 traffic offense reports in 2018, the majority for speeding, and around 3 in 5 drivers caught by safety cameras accepted a court diversion course on safer driving. To make roads safer, 10 local safety schemes were implemented on Norfolk's roads.

Councillors interested in the full report can contact diane.steiner@norfolk.gov.uk.

The draft Road Safety annual report has already been presented to the Road Safety Strategic Board meeting.

The following appendices contain the updated road safety dashboard (2018), the current vital signs dashboard and the individual report cards for each vital sign.

3. Impact of the Proposal

3.1 N/A

4. Financial Implications

4.1 N/A

5. Resource Implications

5.1 N/A

6. Other Implications

6.1 N/A

7 Equality Impact Assessment (EqIA) (this must be included)

7.1 N/A Information Report

Background Papers


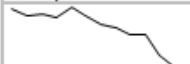










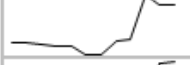



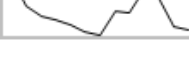
Information within Appendices 1 to 3

Officer Contact

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

Officer Name	Fiona McDiarmid, Executive Director, Strategy & Governance
Tel No	01603 973444
Email address	Fiona.mcdiarmid@norfolk.gov.uk

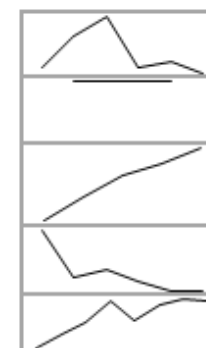
Appendix 1: Corporately Significant Vital Signs Dashboard – monthly indicators

Ref	Monthly	Bigger or Smaller is better	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19	Jun 19	Target	Trend	Past Performance
202	{ASC} % of people who require no ongoing formal service after completing reablement	Bigger	70.52%	70.36%	71.16%	68.22%	71.82%	75.73%	74.66%	71.06%	72.98%	73.40%	74.44%	73.79%	75.25%	69%	↗	
203	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	Smaller	26.64	25.85	26.05	25.66	27.03	25.83	24.87	24.48	23.50	23.50	21.15	19.59	19.59	15.60	↘	
204	{ASC} Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	Smaller	680.70	682.57	676.47	666.14	664.74	647.84	631.41	627.88	621.55	594.79	578.36	552.07	521.09	594.3	↘	
210	{ASC} Number of days delay in transfers of care per 100,000 population (attributable to social care)	Smaller	4.63	4.10	4.41	4.55	4.90	5.17	5.40	5.67	5.66	5.68	5.09	6.43		3.4	↗	
317	{NFRS} On call (retained) fire station availability	Bigger	83.3%	85.7%	82.4%	82.3%	83.8%	86.0%	85.7%	87.3%	86.1%	87.3%	87.3%	86.3%	83.6%	90%	↘	
325	Customer satisfaction (with council services)	Bigger	91.9%	92.9%	92.6%	93.6%	92.8%	93.5%	90.2%	90.2%	93.9%	95.4%	93.3%	93.0%	87.0%	90%	↘	
402	{ChS} Percentage of Children Starting a Child Protection Plan who have previously been subject to a Child Protection Plan (last 2	Smaller	7.5%	6.8%	8.2%	8.4%	8.4%	8.5%	8.4%	8.7%	9.4%	9.4%	9.9%	10.6%	10.2%	<10%	↗	
414	{ChS} Percentage of all young people in EET	Bigger	93.9%	92.5%	87.8%	86.0%	89.4%	92.3%	91.5%	91.1%	91.0%	90.3%	89.9%	89.3%	89.3%	92%	↘	
417	{ChS} Percentage of Relevant and Former Relevant Care Leavers in EET	Bigger	-	55.8%	54.1%	48.1%	49.4%	50.5%	56.5%	55.9%	49.7%	50.3%	50.1%	52.9%	58.0%	70.0%	↗	
500	{Finance} Budget monitoring – forecast vs budget at a County level	On plan	£5.36m	£5.63m	£5.7m	£4.5m	£2.37m	-£0.04m	-£0.04m	-£0.02m	-£0.02m	-£0.02m	-£0m	£5.7m		£0.0m	↗	
501	{Finance} Savings targets delivered - by Service	Bigger	£24.75m	£24.74m	£24.3m	£24.3m	£24.3m	£24.54m	£24.54m	£25.56m	£25.56m	£25.5m	£31.61m	£26.9m		£31.6m	-	
502	{Finance} Capital programme tracker	Bigger	59.1%	59.2%	59.2%	59.2%	59.2%	59.2%	59.2%	59.2%	59.2%	57.2%	55.0%	55.0%		100.0%	↘	
503	{Finance} Ratio of corporate net expenditure compared to frontline net expenditure	Smaller	5.5%	5.5%	5.5%	5.4%	5.4%	5.4%	5.4%	5.5%	5.5%	5.9%	5.8%	5.8%		6.0%	→	
504	{Finance} Savings - support services compared to front line	Bigger	68.6%	67.7%	67.1%	67.1%	67.1%	67.5%	67.5%	68.8%	68.8%	68.7%	88.5%	89.3%		74.0%	↗	
615	{HR} Sickness absence - percentage lost time	Smaller	3.46%	3.44%	3.44%	3.50%	3.51%	3.86%	3.70%	3.77%	3.79%	3.81%	3.90%	3.95%		3.50%	↗	
637	{HR} New Employee Retention	Bigger	59.38%	70.00%	61.22%	73.53%	68.57%	61.97%	63.44%	60.00%	63.79%	68.09%	59.26%	56.00%		80.0%	↘	
639	{HR} Vacancy rate	Smaller	19.33%	15.52%	14.31%	13.87%	13.22%	12.33%	11.97%	14.92%	14.78%	17.60%	16.50%	13.00%	12.6%	12.00%	↘	

Appendix 1: Corporately Significant Vital Signs Dashboard – Quarterly and Annual indicators

Ref	Quarterly	Bigger or Smaller is better	Sep 18	Dec 18	Mar 19	Jun 19	Target	Tread	Past Performance	
331	{BBfN} % of Norfolk homes with superfast Broadband coverage	Bigger	91.0%	92.0%	93.0%		90%	↗		
349	{PE} Number of apprenticeship starts	Bigger	5960	2030	3210		6,738	↘		
403	{ChS} Percentage of Children Starting to be looked-after who have previously been looked-after	Smaller	4.60%	5.10%	5.10%	9.30%	<10%	↗		
410	{ChS} Rate of Looked-After Children per 10,000 of the overall 0-17 population	Smaller	70.3	71	70.2	69.5	69.4	↘		
416	{ChS} Percentage of Education, Health & Care Plans completed within timescale	Bigger	13.4%	10.2%	3.1%	4.5%	55%	↘		
Termly			Summer 18	Autumn 18	Spring 19					
415	{ChS} Number of Children subject to a Permanent Exclusion	Smaller	89	94	86					

	Annual	Bigger or Smaller is better	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	Target	
334	{PE} Kilograms of residual household waste per household per week	Smaller	10	10.24	10.4	10	10.05	9.96			9.40	↘
375	{BBFN} % of Mobile Coverage	Bigger						83.40%	83.40%		90.0%	→
411	{ChS} Increase the percentage of education establishments judged good or outstanding by Ofsted	Bigger		68%	74%	79%	82%	86%			>86%	↗
505	{Finance} Capital receipts	Bigger			£8.33m	£1.87m	£3.11m	£1.31m	£2.52m	£3.9m	£5.31m	↗
633	{HR} Agency and contract staffing spend as a percentage of pay bill	Smaller	2.48%	2.96%	3.40%	4.17%	3.43%	4.00%	4.25%	4.2%	4.0%	↘
638	{HR} 95 of employees have written goals	Bigger							57.00%	43.00%	95% Annual (60%	→

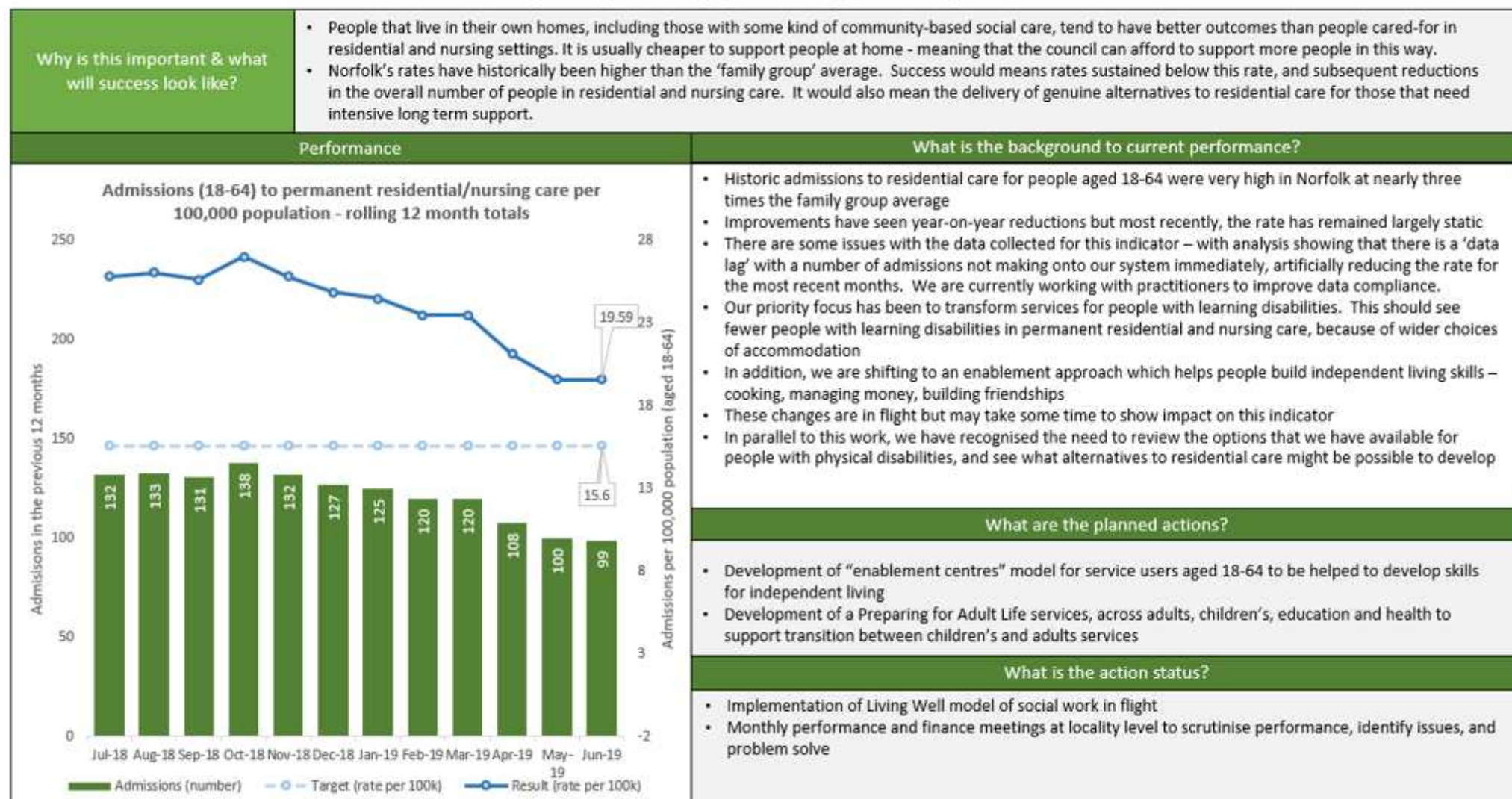


Appendix 2: Individual report cards

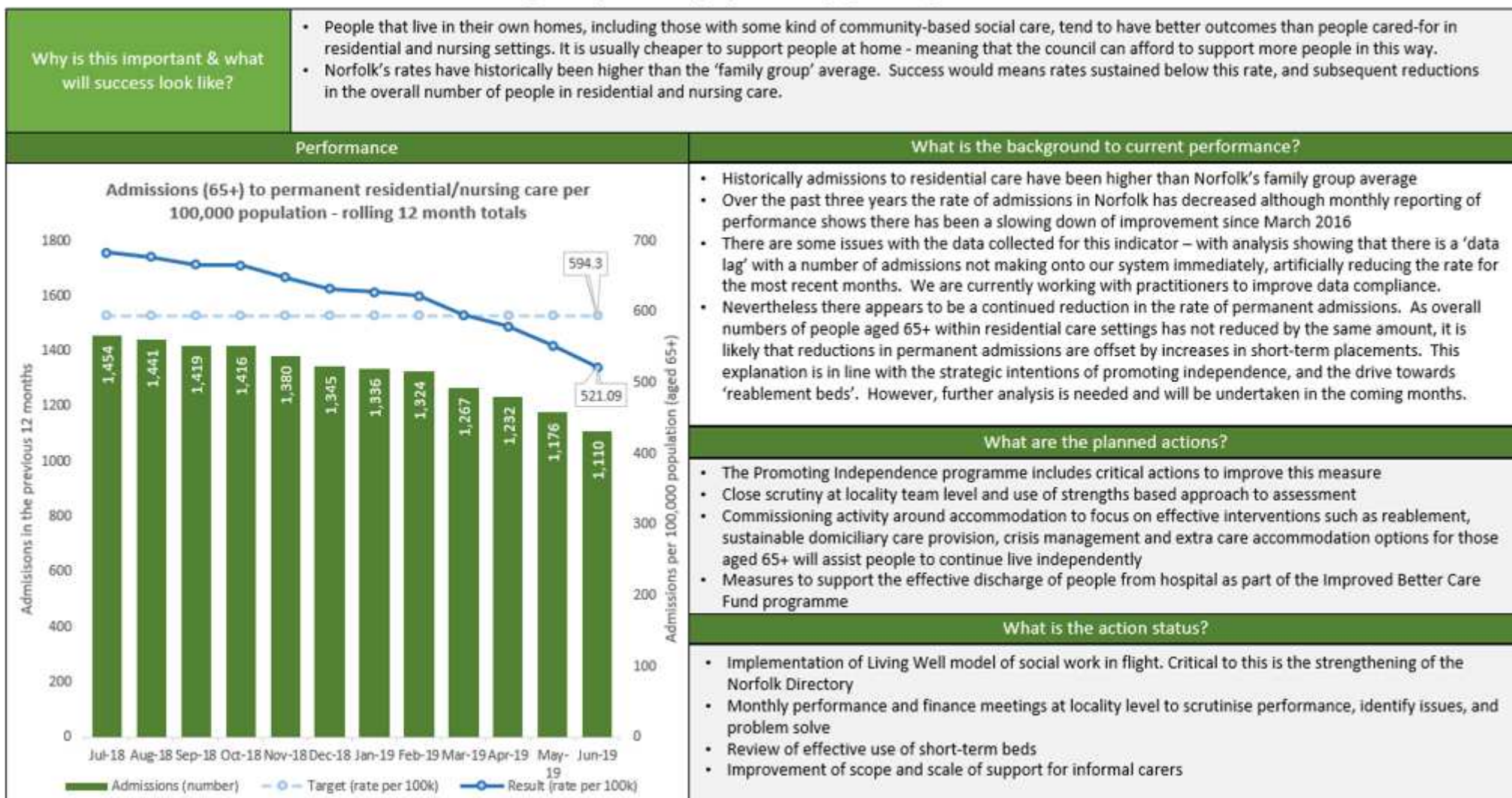
202 The effectiveness of Reablement Services - % of people who do not require long term care after completing reablement

Why is this important & what will success look like?	<ul style="list-style-type: none">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. Norfolk has provided a reablement service for a number of years that help people get back on their feet after a crisis.Success in this indicator means that a high proportion of people completing home based reablement do not need ongoing care. The business case agreed by NCC and the CCGs in April 2018 for additional investment in Norfolk First support home based reablement was based on delivering 15% more referrals. The service is delivering this.																																																				
Performance	What is the background to current performance?																																																				
<p>The percentage of people receiving reablement that do not go on to require formal care services</p> <table><tr><th>Month</th><th>Number of people receiving reablement (result)</th><th>% People not receiving formal services (result)</th><th>% People not receiving formal services (target)</th></tr><tr><td>Jul-18</td><td>560</td><td>70.36%</td><td>70.36%</td></tr><tr><td>Aug-18</td><td>534</td><td>71.16%</td><td>70.36%</td></tr><tr><td>Sep-18</td><td>494</td><td>68.22%</td><td>70.36%</td></tr><tr><td>Oct-18</td><td>589</td><td>71.82%</td><td>70.36%</td></tr><tr><td>Nov-18</td><td>651</td><td>75.73%</td><td>70.36%</td></tr><tr><td>Dec-18</td><td>655</td><td>74.66%</td><td>70.36%</td></tr><tr><td>Jan-19</td><td>781</td><td>71.06%</td><td>70.36%</td></tr><tr><td>Feb-19</td><td>655</td><td>72.98%</td><td>70.36%</td></tr><tr><td>Mar-19</td><td>812</td><td>73.40%</td><td>70.36%</td></tr><tr><td>Apr-19</td><td>716</td><td>74.44%</td><td>70.36%</td></tr><tr><td>May-19</td><td>683</td><td>73.79%</td><td>70.36%</td></tr><tr><td>Jun-19</td><td>687</td><td>75.25%</td><td>70.36%</td></tr></table> <p>Legend:</p> <ul style="list-style-type: none">People receiving reablement (result)People receiving reablement (target TBC)% People not receiving formal services (target)% People not receiving formal services (result)	Month	Number of people receiving reablement (result)	% People not receiving formal services (result)	% People not receiving formal services (target)	Jul-18	560	70.36%	70.36%	Aug-18	534	71.16%	70.36%	Sep-18	494	68.22%	70.36%	Oct-18	589	71.82%	70.36%	Nov-18	651	75.73%	70.36%	Dec-18	655	74.66%	70.36%	Jan-19	781	71.06%	70.36%	Feb-19	655	72.98%	70.36%	Mar-19	812	73.40%	70.36%	Apr-19	716	74.44%	70.36%	May-19	683	73.79%	70.36%	Jun-19	687	75.25%	70.36%	<ul style="list-style-type: none">The Promoting Independence Strategy aims to increase the amount of reablement available, with the number of people completing reablement going up year-on-year for the last nine yearsIt is calculated that for each £1 invested in home based reablement (NFS), Adult Social Services save £4.06 (gross). 61% of people who have been through reablement do not need a package of care at the end of it. Of the other people who go through reablement, 21% have a home care package at the end that is on average 24.36% smallerThe council's 'home first' principles, efforts to improve peoples' independence, and pressures from acute hospitals to ensure prompt discharges all mean that Norfolk First Support have been attempting to re-able people with more complex needs. As such it is difficult to improve the performance in this indicator, and a steady 'stand still' position can be considered a success providing take-up continues to go up.Recruiting and retaining staff is a continuing challenge.
Month	Number of people receiving reablement (result)	% People not receiving formal services (result)	% People not receiving formal services (target)																																																		
Jul-18	560	70.36%	70.36%																																																		
Aug-18	534	71.16%	70.36%																																																		
Sep-18	494	68.22%	70.36%																																																		
Oct-18	589	71.82%	70.36%																																																		
Nov-18	651	75.73%	70.36%																																																		
Dec-18	655	74.66%	70.36%																																																		
Jan-19	781	71.06%	70.36%																																																		
Feb-19	655	72.98%	70.36%																																																		
Mar-19	812	73.40%	70.36%																																																		
Apr-19	716	74.44%	70.36%																																																		
May-19	683	73.79%	70.36%																																																		
Jun-19	687	75.25%	70.36%																																																		
	What are the planned actions?																																																				
	<ul style="list-style-type: none">To continue to expand the council's Home-Based Reablement services (Norfolk First Support) in order to meet rising demand and ensure that the service can be provided to all those who would benefit from reablement to remain living independently at homeTo expand commissioned Accommodation-Based Reablement (whereby people are reabled during a short-term stay in a setting designed for this purpose) which complements the home based reablement service for those individual's who are unable to return home immediately after a stay in hospital																																																				
	What is the action status?																																																				
	<ul style="list-style-type: none">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 increaseAccommodation 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 teamThe council is working with partners to develop further accommodation-based reablement capacity as part of a revised offer at Grays Fair Court																																																				

Permanent admissions to residential and nursing care per 100k population (aged 18-64)



Permanent admissions to residential and nursing care per 100k population (aged 65+)



Delayed transfers of care attributable to Adult Social Services

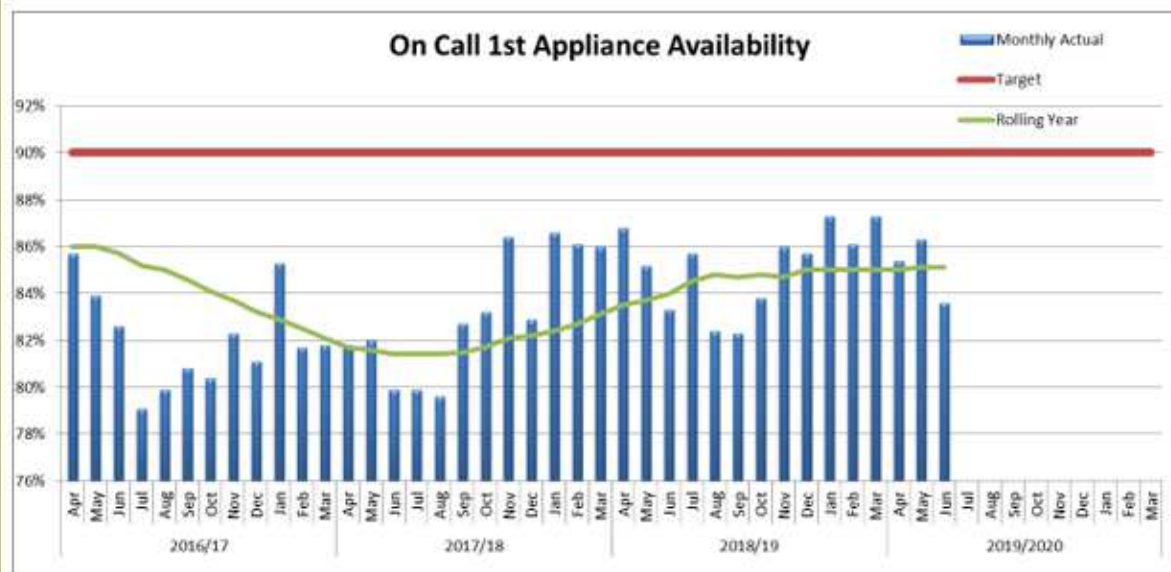
<p>Why is this important & what will success look like?</p>	<ul style="list-style-type: none"> Staying unnecessarily long in acute hospital can have a detrimental effect on people's health and their experience of care. Delayed transfers of care attributable to adult social services impact on the pressures in hospital capacity. Hospital discharges also place particular demands on social care, and pressures to quickly arrange care for people can increase the risk of inappropriate admissions to residential care, particularly when care in other settings is not available. This measure will be reviewed as part of Better Care Fund monitoring. Success requires sustained reductions to delays in line with national targets and benchmarks, and in response to local BCF plans.
<p>Performance</p>	<p>What is the background to current performance?</p>
<p>Number of days delay in transfers of care attributable to social care & both per 100,000 population</p> <p>Delays per 100,000 population</p> <p>Nov-17 Dec-17 Jan-18 Feb-18 Mar-18 Apr-18 May-18 Jun-18 Jul-18 Aug-18 Sep-18 Oct-18 Nov-18 Dec-18 Jan-19 Feb-19 Mar-19 Apr-19 May-19</p> <p>Target Actual - Rolling YTD England - Rolling YTD</p> <p>6.43 3.77 3.40</p>	<ul style="list-style-type: none"> High levels of delayed transfers of care remain a performance issue for both health and social care partners in Norfolk. Norfolk's rate at March 2019 meant that it was ranked 105 (out of 151 authorities) for delays attributable to health service, and ranked 130 out of 151 for social care delays. In March there were 1,264 adult social care 'delay days'. The largest proportion of these occurred at the Norfolk and Norwich University Hospital. The majority of delays (702 of the delay days in March) were attributed to "awaiting residential care packages" – although this doesn't just mean that there are not enough beds – delays around residential care can frequently relate to service user and family choice, and securing the right kind of placement (reablement, specialist dementia placements etc.). Performance improvement conversations around delays have often referred to the quality of the data – with the council previously expressing some concerns about whether the data submitted to NHS digital by health partners was correct. Significant efforts have been made to improve this – and whilst considerable effort is required to audit and verify the data, we have much greater confidence in it, and the Director signs off the figures prior to submission each month.
<p>Number of days delay in transfers of care attributable to social care & both per 100,000 population</p> <p>Apr-17 May-17 Jun-17 Jul-17 Aug-17 Sep-17 Oct-17 Nov-17 Dec-17 Jan-18 Feb-18 Mar-18 Apr-18 May-18 Jun-18 Jul-18 Aug-18 Sep-18 Oct-18 Nov-18 Dec-18 Jan-19 Feb-19 Mar-19 Apr-19 May-19</p>	<p>What are the planned actions?</p> <ul style="list-style-type: none"> Actions are planned through the BCF process, and include increases in Accommodation-Based Reablement, increases to the availability of community-based reablement. A review of the social work offer to acute hospitals is underway Further plans will be developed as part of the negotiations for the refreshed Better Care Fund in Summer 2019. <p>What is the action status?</p> <ul style="list-style-type: none"> Improvement actions have delivered short-term improvements, but these continue to struggle to be sustainable – with rates increasing again under periods of increased demand.

317: On Call (Retained) 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 (retained) firefighters are employed on a contract to provide a set number of hours of "availability". They must be located within 5 mins of their station and are paid to respond to emergencies. They often have alternative primary employment.
- Monthly On-Call Availability** reduced by 2.7% between May and June.
- Outwell availability decreased by 6.6% and remains the lowest at 39.2%.
- NFRS On-call fire station availability (June 2019 Red 83.6% against a target of 90% - May 2019 was Amber 86.3% and April 2019 was Amber 85.4%)
- Challenges for On-Call availability continue to include recruitment and retention (finding people who are prepared to be firefighters and stay within five minutes of station and primary employment pressures). The Home Office has released a new national website and recruitment campaign to support local recruitment <https://oncallfire.uk/treadmill/>. We are consulting with our staff about changing the title from RDS Firefighters to On-Call Firefighters to align all of our recruitment activity with the National work.
- Annual Retained Availability** has been steadily improving over the last two financial years as the service has been taking effective action to see improvements

2016/17	82.1%
2017/18	83.1%
2018/19	85.1%
2019/20	85.1% 0.7% decrease on last month.

The green line on the chart has been changed from Year to Date to Rolling year, which better illustrates the progress made over time.

- 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 RDS stations.

Action required

- Currently recruiting on-call firefighters at a number of stations, a media campaign has recently been run with significant interest
- Resources are currently being 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

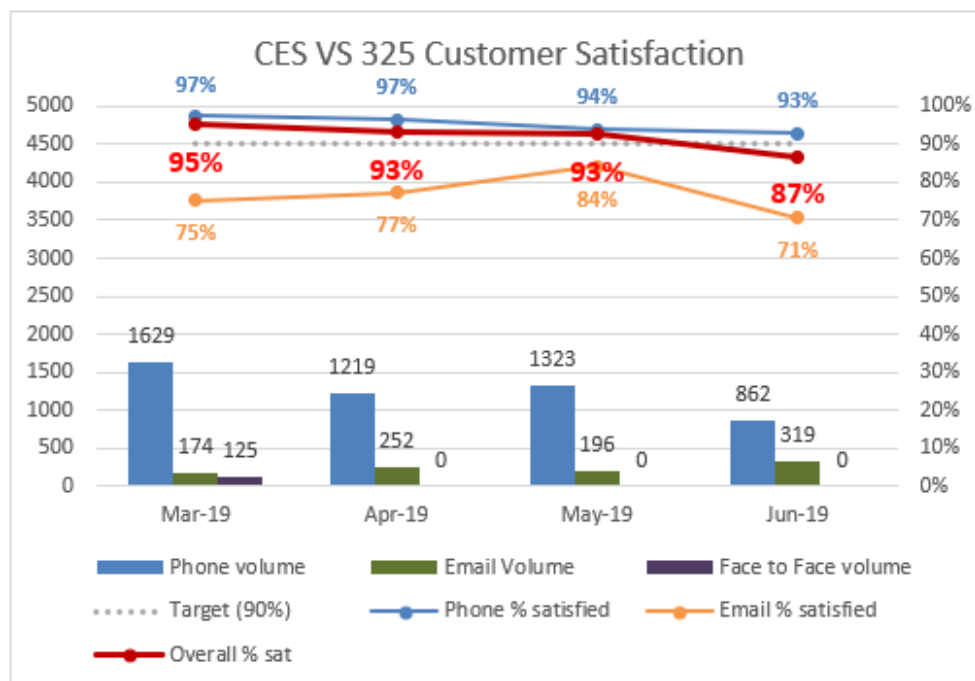
Lead: Stuart Ruff, *Chief Fire Officer* Data: Stephen Maxwell, *Intelligence and Performance Analyst*

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 for June 2019 was 71%. There were seven comments directly made towards the CSC, so CSC satisfaction is calculated at 96%.

Blue Badge satisfaction was 84%, only feedback coming from people refused a badge. 94/112 satisfied

Some people cited their questions not being answered. The CSC are now having a focus on emails sent for the next month.

Phone

NCLS and Children's satisfaction calculated at 100%.

There were three services under 90% (Highways 89%, Registrars 88% and School Transport 79%)

The main trend for School Transport was the delay in answering the calls. 23/29 satisfied. The CSC has a longer wait time to answer calls while there is a higher than average vacancy rate due to internal NCC recruitment to other services.

For Highways the trend remains chasing for answers 133/149 satisfied

No trend for Registrars 23/29 satisfied.

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

- To install the Govmetric software on the new I-pad. This is currently with IT to get iPad onto a secure NCC network

Responsible Officers

Lead: Andrew Blaxter, Head of Customer Service Operations; Data: Paul Green, Customer Services Reporting Officer

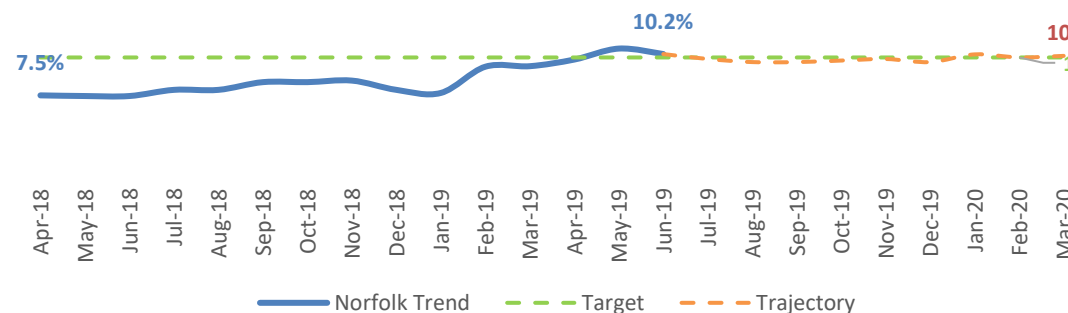
402: Children Starting a Child Protection Plan for a 2nd/Subsequent Time within 2 Years of a Previous Plan Ceasing

Why is this important?

A successful Child Protection Plan outcome is one that has reduced or eliminated the assessed risk to the child to a point where parents and carers can keep their children safe from harm and that the capacity to achieve this is durable

Performance

Children Starting a Child Protection Plan for a 2nd/Subsequent Time (Rolling 12 months)



What is the background to current performance?

- Month-to-month variation continues within what we would consider to be a normal range.
- There are no specific locality concerns and bigger fluctuations tend to be more linked to 2nd or subsequent plans for large sibling groups, as was seen in February and May.
- While current performance in May & June exceeded our target range, there is only a 1% increase from our April position and remains within top quartile national Local Authority performance.

Action required

- Rigorous scrutiny and testing of Child Protection Plans to ensure families are able to safely parent their children without statutory intervention.

What will success look like?

- The percentage of children starting a CP Plan for a second/subsequent time in Norfolk is below that of similar local authorities within England at 10-15%.
- As needs re-escalate in a small proportion of cases, children who are re-assessed as being at risk of significant harm are placed on a CP Plan regardless of whether they have previously had a CP Plan in the previous 2 years.

Responsible Officers

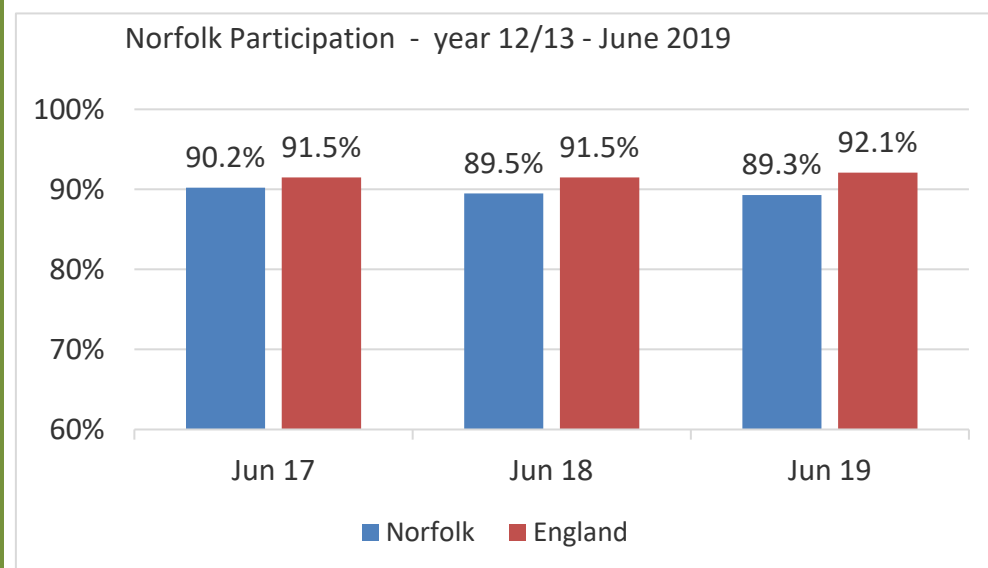
Lead: Phil Watson Data: James Wilson

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 gap between Norfolk performance and that of England has widened confirming a trend from previous years where participation in Norfolk decreases within the academic year but continues to rise nationally
- Norfolk NEET + Not knowns have now risen to 6.4% which is higher than England (5.5%). This reflects the decrease in participation compared to national
- Almost twice as many young people in Norfolk (4.2%) enter employment without training as do nationally (2.4%)

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 home educated, vulnerable groups and 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

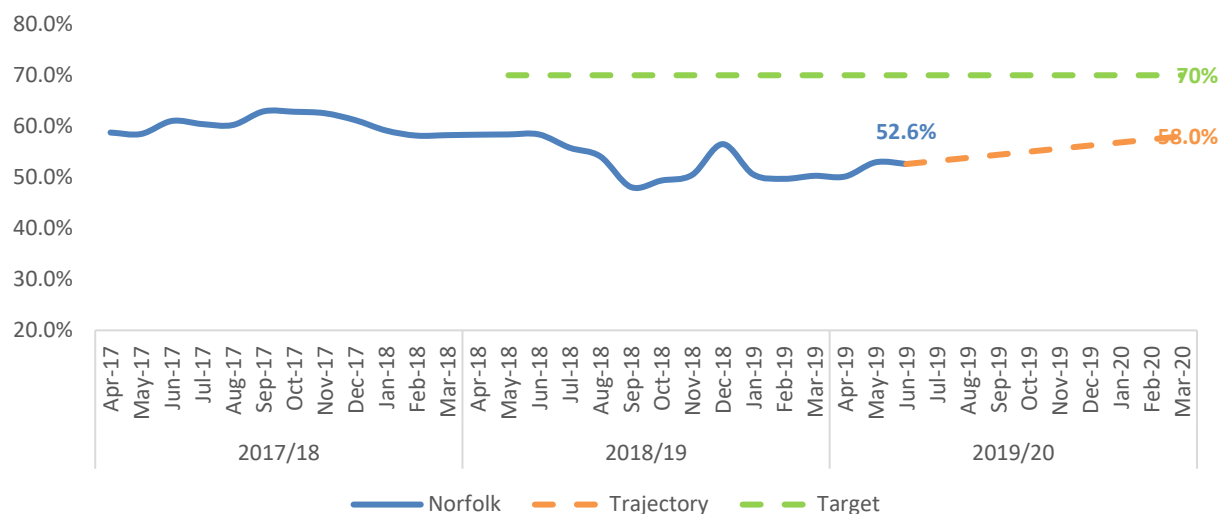
417 Relevant & Former Relevant Care Leavers (aged 19-21) in Employment, Education or Training

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?

- In June 2019 our performance for this measure was 53%.
- Statistical neighbour average is 54% (2017/18)
- National average is 51% (2017/18)

(awaiting 2018/19 published DFE data).

Action required

- Continue to advocate on behalf of our care leavers to ensure they have the motivation, inspiration and aspirations to pursue their education and employment goals.
- Focus of Corporate Parent Board sub group to develop an enhanced and expanded apprenticeship offer to care experienced young people.

What will success look like?

- The percentage of 19-21 year-old care leavers engaged in meaningful employment, education or training will be evidenced by their ability to live independent and sustainable lives within the communities in which they live.

Responsible Officers

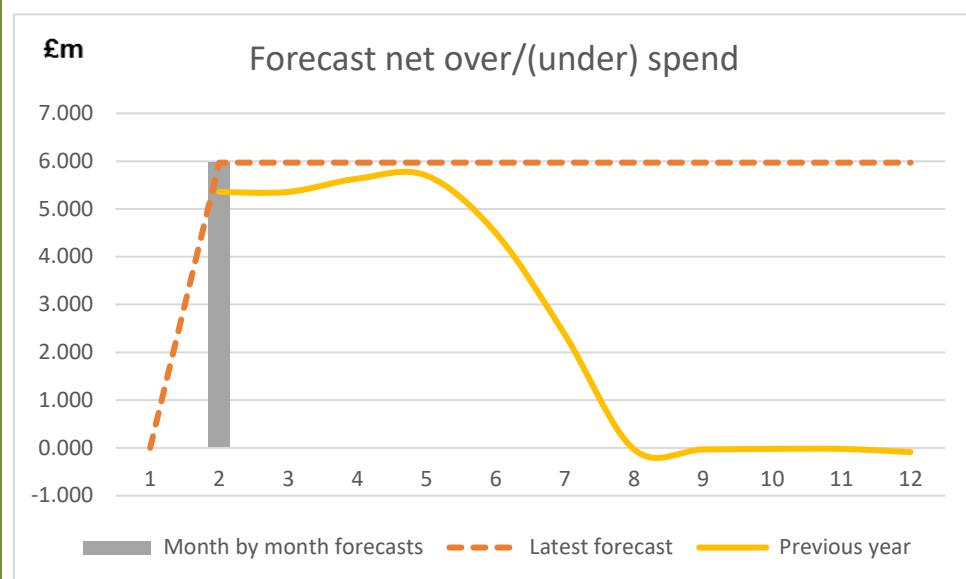
Lead: Phil Watson Data: James Wilson

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 **£5.969m** for 2019-20.

What is the background to current performance?

Within service budget forecasts there are significant forecast overspends in Children's Services due to cost pressures associated with looked after children and children with a high level of need, and in the Adult Social Care purchase of care budget.

These forecast overspends have been 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, Head of Budgeting and Financial Management
Data: Howard Jones, Corporate Accounting Manager

501 Savings targets delivered – by Department

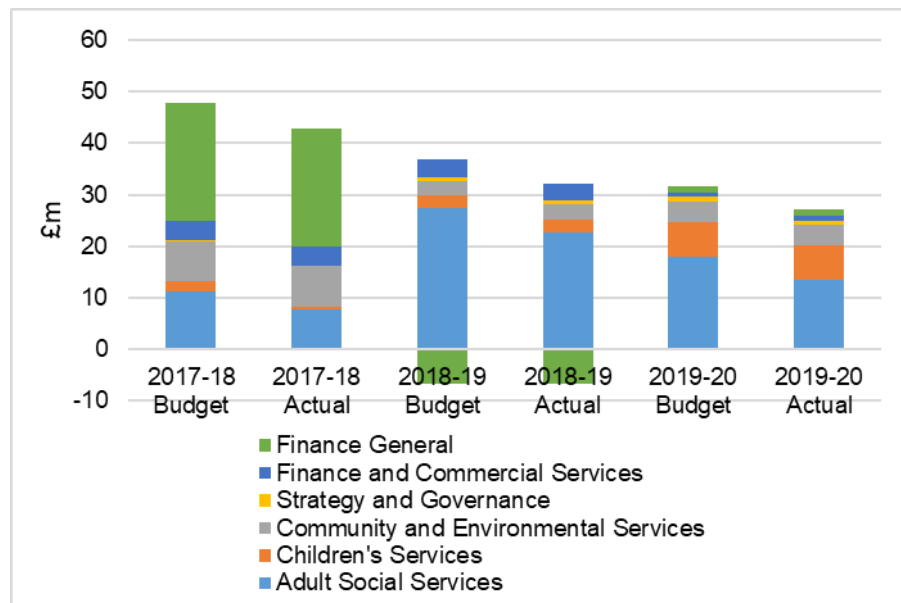
Why is this important?

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 Department



As at Period 2, the savings outturn for 2019-20 was £27.021m, this was 15% 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 £333.769m (90%).
- In 2017-18 savings of £42.902m were delivered, a shortfall in savings of £4.872m, compared to budgeted savings of £47.774m (90%). The shortfall related to non-delivery of savings within Children's Services and Adults (in particular delays in delivering savings within the Promoting Independence work).
- 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 related to non-delivery of savings within Adults (in particular delays in delivering savings within the Promoting Independence work).
- In the current year, 2019-20, as at Period 2 (May), a shortfall of £4.584m has occurred against budgeted savings of £31.605m. Savings of £27.021m are forecast to be delivered (85% of planned savings). The main area of non-delivery relates to delays in the achievement of Promoting Independence savings.

What will success look like?

Action required

- 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.

- Actions to deliver individual saving plans were taken in 2019-20.
- Details of the shortfall in savings is reported to Cabinet and details of mitigating actions are set out in the separate report.

Responsible Officers

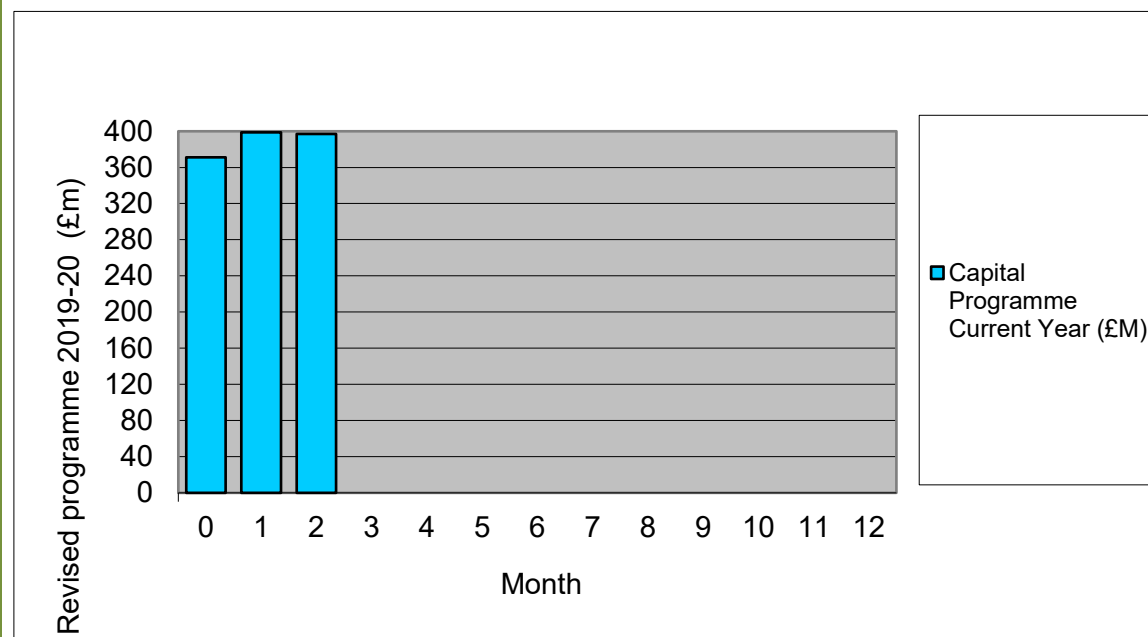
Lead: Harvey Bullen, Assistant Director – Finance
Data: Titus Adam, Financial Projects and Planning Manager

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



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.

The programme is likely to change as the timing of projects became more certain and expenditure is re-profiled to future years.

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, Head of Budgeting and Financial Management
Data: Howard Jones, Corporate Accounting Manager

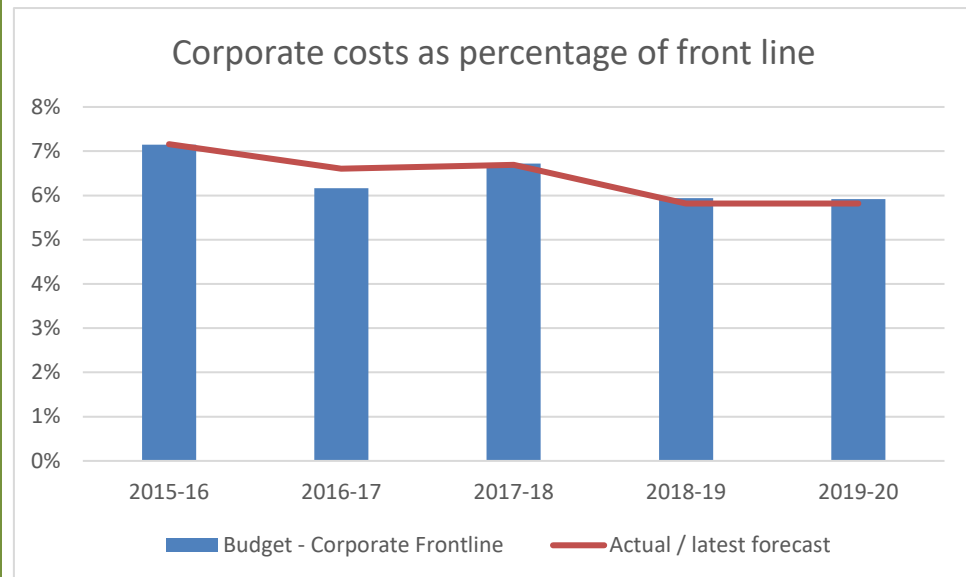
503: Ratio of Corporate net expenditure compared to Frontline

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

Budgeted ratio of Corporate to Frontline compared to Actual / Forecast



At end May 2019 (P2), the 2019-20 forecast ratio is 5.8%.

What is the background to current performance?

- Following the allocation of depreciation revaluation charges to service budgets in 2016-17 and 2017-18 the ratio increased when compared to original budgets.
- The ratio for 2018-19 was 5.8%, lower than the average for recent years.
- There is currently no significant change to the ratio expected in 2019-20.

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, Head of Budgeting and Financial Management
Data: Howard Jones, Corporate Accounting Manager

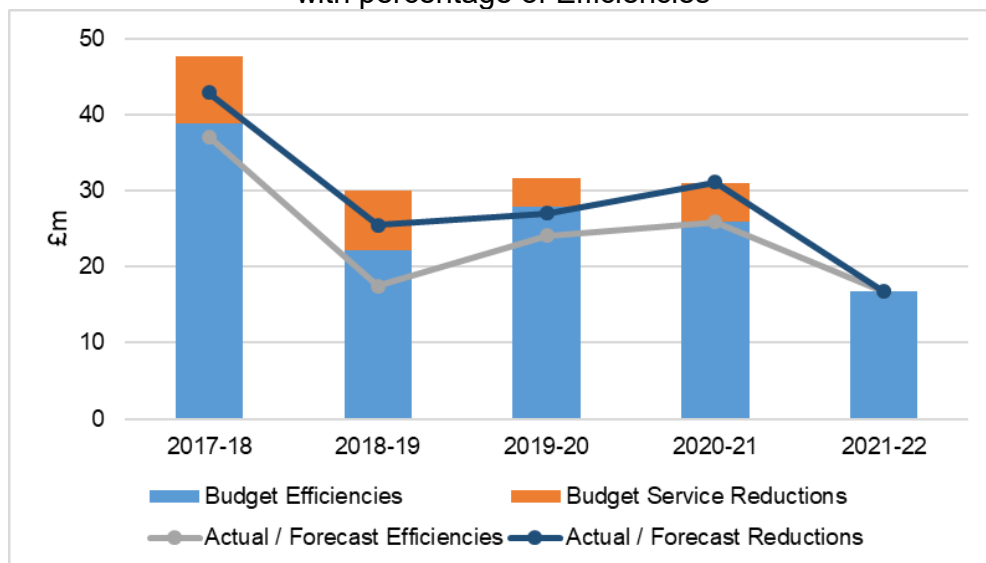
504 Savings – Support Services compared to Front Line

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

Budgeted Efficiencies and Service Reductions compared to Actual / Forecast, with percentage of Efficiencies



As at Period 2, the percentage savings from efficiencies in 2019-20 were 89%, this is the same as the budgeted percentage (89%).

What is the background to current performance?

- 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 2016-17, against budgeted savings of £285.995m, £184.935m (65%) were planned to come from efficiencies. Actual savings achieved for the period saw £175.028m from efficiencies against total savings of £257.302m (68%)
- In 2017-18 £37.106m came from efficiencies out of total savings delivered of £42.902m (86%). There was a shortfall in the overall delivery of savings in the year of £4.872m, mainly relating to front line savings.
- 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, relating to efficiencies savings.
- Savings of £31.605m were budgeted for 2019-20 of which £27.980m were planned to be efficiencies (89%).
- The outturn position for 2019-20 (at Period 2), is a shortfall in savings of £4.584m.

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 were 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

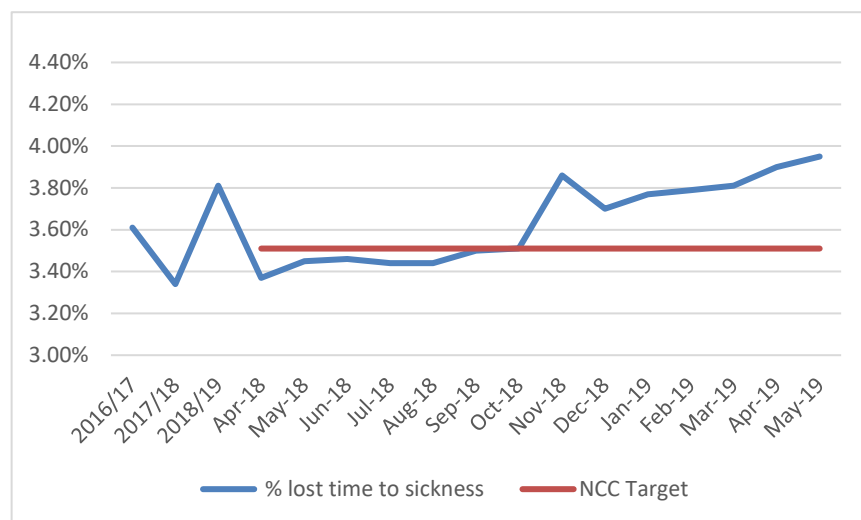
615 HR: % lost time due to sickness

Why is this important?

Supporting employees to be healthy, positive and productive at work is a priority. Staff absence is an indicator of the overall relationship between the employee and employer.

Performance

% of contracted working time lost to sickness



Absence levels are currently above the target, and overall absence levels have increased slightly since the start of the financial year.

While the graphic above shows data up to the end of May 2019, the more detailed narrative in the next column relates to either the whole 18-19 year or Q4, as the more complex in depth reporting from Oracle is only produced quarterly.

What is the background to current performance?

- The % lost time to sickness is currently 3.95% (9.05 days), which is above target. Absence levels have been above target since Nov 18 and show no sign of reducing.
- This equates to 218fte in lost productivity.
- During 2018/19 HR provided support to 718 contacts about sickness, 79% of which were resolved at the first point of contact. A total of 41 employees exited employment due to ill health (capability or ill health retirement) during 18/19.
- The number of total sick days reported has increased - +6,100 days to 47,369 up 16%
- Short term sickness increased significantly in the 4th quarter of 18-19 sickness for against the average quarterly rate in 2018/19 Respiratory (70%) and Short term viral conditions (38%). This correlates with a Public Health England report¹ reporting an increase from 1,600 in 2018 to 3,500 in 2019 of Influenza A.
- Long term sick accounts for the majority of the increase (+5,000 days to 30,805 up 19%)
- The number of employees who were absent for 4+ weeks has increased - 439 in 2018/19 v 272 in 2017/18 up 61%
- NB Long term sickness accounts for 66% of all sick days, but only 12% of staff who are absent.
- Mental wellbeing remains the biggest cause of absence, accounting for nearly 50% of all long term sick days during 2018/19 (15,017 days) and 37% (165) of the absent employees,

	Time lost to sickness May 18 (ave days per fte)	Time lost to sickness May 19 (ave days per fte)	Mental WB absence as % of sick days Apr 18	Mental WB absence as % of sick days Apr 19
CES	2.86% (6.55)	3.16% (7.23)	22%	31%
S&G	2.48% (5.68)	2.71% (6.22)	34%	31%
Fin	2.86% (6.55)	2.9% (6.65)	30%	32%
Child's	4.06% (9.29)	4.45% (10.18)	38%	38%
Adults	4.35% (9.97)	5.06% (11.58)	34%	29%
NCC Ave	3.45% (7.9)	3.72% (8.52)	30%	33%

¹ Six major respiratory viruses reported from PHE and NHS laboratories (SGSS) in England and Wales between week 1, 2009 and week 23, 2019 - June

	<p>indicating that employee absence due to mental wellbeing issues are likely to be off sick for longer.</p> <p>NCC continues to compare well against other upper tier authorities who participated in the 2018 CIPFA HR benchmarking survey which reported average absence levels of 10.3 days per fte and an upward trend compared with 2017, and other large employers.</p>
What will success look like?	Action required
<ul style="list-style-type: none"> Continuing to achieve our sickness absence target. The target is 3.5% The average absence rate for large organisations (5,000+ employees) is 4.3% (CIPD Health and Wellbeing at work survey 2018). 	<ul style="list-style-type: none"> Self service sickness absence notifications project due to be implemented in Q3 19/20 Correlate services with high mental wellbeing absence against utilisation rates for wellbeing services to identify areas we can increase access to inform targeted promotion to employees and managers of available tools to prevent absence and encourage early take up eg stress action plans, Norfolk Support Line, musculoskeletal service, concentrating on areas of elevated mental well-being and musculoskeletal absence and low utilisation rates – HR Service during Q2 19/20 Regular manager absence reporting is available monthly for Tier 3 managers – ongoing Sickness absence manager dashboard to be launched in – HR Workforce Insight Team Q2 19/20
Responsible Officers	<p>Lead: Sarah Shirtcliff, Head of HR Data: Teresa Baker, Programme Manager and Dave Nugent, Workforce Insight Lead</p>

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. .

Performance

New employee retention rate 2018/19



The new employee retention rate is 56.2% as at the end of May 19, which is under the target of 80%.

The average retention rate over the last 12 months is 64% consistent with external comparators.

What is the background to current performance?

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 in 2018/19 was 11.3% with 835 employees leaving NCC employment. Of those, 364 (44%) had less than 2 years' service on leaving. There were a total of 896 new starters to NCC during the same period.

Currently the retention rate is below target, at 56% in May, however there is considerable fluctuation month to month. Our average retention rate during 2018/19 is 66% which is comparable with the 2018 CIPFA survey where the average retention rate was 70%.

Initial analysis has identified a small number of services where the 2-year retention rate is consistently below 50%, particularly in Adults Early Help and Prevention services where 57% of leavers had less than 2 years service and 39% had less than 1 year. These should be investigated in more detail and an action plan developed to address the underlying causes.

What will success look like?

- 80% of our new entrants to NCC will be retained longer than 2 years. This is a consistent benchmarked target when comparing data from the annual CIPFA HR benchmarking survey.

Action required

- Identify the total costs of a leaver and the likely cost of not meeting this target – HR Q2
- Carry out deep dive of areas with poor retention rates to understand root cause – HR Q2/3 2019/20

Responsible Officers

Lead: Sarah Shirtcliff, Head of HR

Data: Lesley Macdonald, Senior Consultant (Workforce Insight and Data)

639 Vacancy Rate (Accuracy of establishment data)

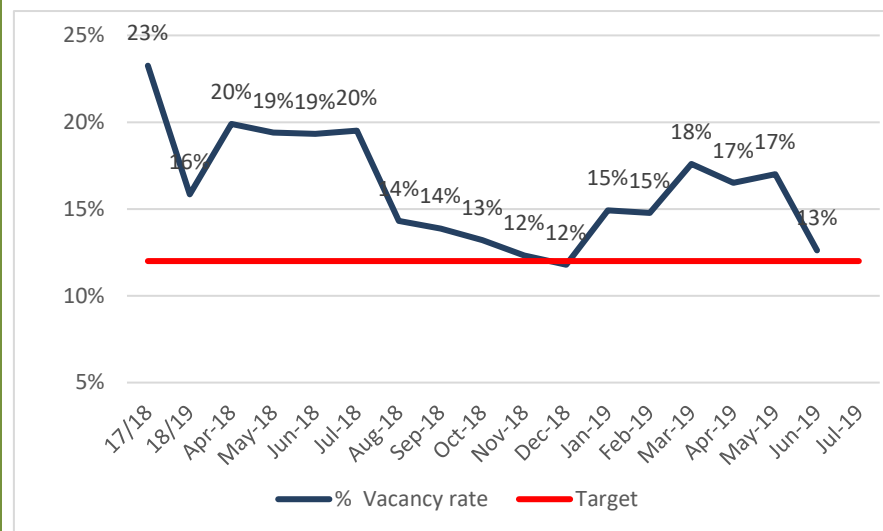
Why is this important?

This is a new measure identifying 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.

Performance

What is the background to current performance?

% of established posts which are currently vacant



The vacancy rate for June was 12.6%, which is close to the target of 12%,.

This measures the number of FTE posts which are shown as vacant as a percentage of the total established FTE posts on Org Plus, our organisation chart publishing system (pulling data from our primary source in HR Oracle).

It is recognised that Org Plus has not been used routinely by managers to monitor the staffing resource available to them. HR Oracle is the central source for employee data feeding several other systems e.g Finance Budget Manager where establishment data is entered.

Whilst it is essential to reconcile establishment data in Budget Manager with Oracle HR, there is no automatic interface between Budget Manager and Oracle. Additionally, the Financial chart of accounts and the HR organisation hierarchy operate to different definitions and requirements, meaning that it is difficult to fully reconcile the data sets to accurately update, maintain and report on establishment. The above measure is based on the available data, however this is not an accurate picture of the level of vacancies across NCC.

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 to improve the accuracy of the establishment data until the new system is implemented:

- Task and finish group sponsored by Business Transformation will facilitate joint working between HR and Finance
- Changes to RMS in plan to make it easier for managers to update their establishment
- Development of an interactive establishment dashboard to replace the static reporting that is available for social care in Adults and Childrens
- Assess whether any reconciliation is possible between Oracle and Budget Manager

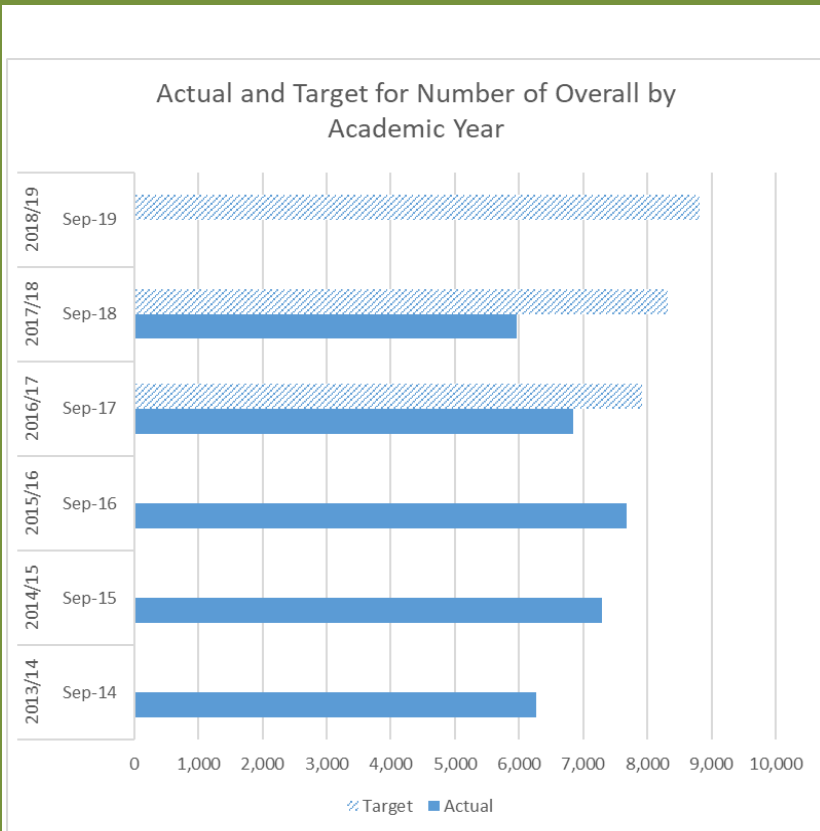
What will success look like?	Action required
<ul style="list-style-type: none"> • NCC will have a vacancy rate of 12% of established posts • We will hold and maintain accurate establishment data 	<ul style="list-style-type: none"> • Task and Finish Group sponsored through Business Transformation to enable joint working between HR and Finance on improving establishment control • Develop the new RMS establishment control authorisation processes – currently being tested – HR Service Q2 19/20. • Reconciliation of Org Plus data against the 2019/20 Budget Manager establishment – HR Workforce Insight Team Q2 19/20 • Continue to cleanse the current Org Plus structures – HR and managers ongoing • Delivery of monthly manager establishment control reporting – HR Workforce Insight team tbc dependent on improved establishment data quality
Responsible Officers	Lead: Sarah Shirtcliff, Head of HR Data: Teresa Baker, Programme Manager and Dave Nugent, Workforce Insight Lead

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). In turn, better paid jobs enable more people to get onto the housing ladder and have a better quality of life more generally. The New Anglia Local Enterprise Partnership Strategic Economic Plan (SEP) highlights the need to increase the number, level, range and quality of Apprenticeship delivery and generate 5000 additional Apprenticeships across Norfolk and Suffolk by 2019.

Performance



What is the story behind current performance?

Apprenticeship Starts	2013/14	2014/15	2015/16	2016/17	2017/18 (Aug-July)	2018/19
	Actual	Actual	Actual	Actual	Actual	Target
All starts – all levels/ages	6,270	7,290	7,670	6,850	5960	8,816

Recently released data for the period August 2018- April 2019 shows an overall increase of 1.94% for Norfolk starts (4740), whilst this is lower than the national increase of 7% this may indicate that we are moving into a more positive phase as the national reforms become embedded.

On the age breakdown the challenge continues to be 16-18 year olds with starts down by 16% compared to this period last year (1260) more than the national decline of 7.5% Starts for 19-24-year olds (1350) were down by 4.26% whilst nationally starts increased by 3.48%. Starts in Norfolk for 25+ (2130) saw an increase of 20.34% comparable to the national figure of 22%.

On the level of the apprenticeship, starts at Intermediate Level (Level 2) dropped by 17.50% (1650), nationally the fall was 9.61%. Advanced (Level 3) saw an increase of 6.77% (2050) in line with national increases (6.72%). Higher level apprenticeships (level 4 and above) saw an increase of 42% (1040), whilst nationally figures increased by 67%.

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

Success will be measured by the overall achievement of annual target whilst maintaining quality, level and range.

Action required

The ESFA has officially begun inviting non-levy employers and providers to test its digital apprenticeships system which it is hoped will increase the availability of apprenticeships for SMEs. Additionally, with the LEP and Suffolk County Council we are co-developing a levy sharing initiative.

Responsible Officers

Lead: Jan Feeney

Data: Jan Feeney 16/07/19

403: Rate of re-entry to care - Percentage of children starting to be looked after who have previously been looked after within the last 12 months

Why is this important?

Sustained reunification with family is our primary aim for Looked After Children. For some children this isn't possible and despite robust support plans some children return to our care.

Performance

Percentage children starting to be looked-after who have previously been looked-after:



What is the background to current performance?

- The numbers of children this applies to are relatively small and as such, small changes in numbers (e.g. a large sibling group) from month-to-month can cause comparatively large changes in percentage.
- Overall over the past 3 years the trajectory has been downwards (i.e. an improving picture) and has consistently exceeded target since autumn 2017.
- The number of children beginning to be looked after in quarter 1 is lower than previous quarters. By definition this means that any children returning to our care will show an adverse increase in the overall percentage.

Action required

- To use all permanence discussion fora to ensure those children who do need to be in our care are.
- For children to return home only when it has been tested and the family appropriately supported to ensure this can be an enduring arrangement.
- Continue to focus on the quality of reunification work with children and families practitioners.
- Ensure identified wrap-around services for children who have been reunified are in place and accessible for families.

What will success look like?

- More than 85% of children who have previously been looked after do not return to our care once permanence has been found.
- Children only return to our care when all family and closely connected networks have been explored.

Responsible Officers

Lead: Phil Watson

Data: James Wilson

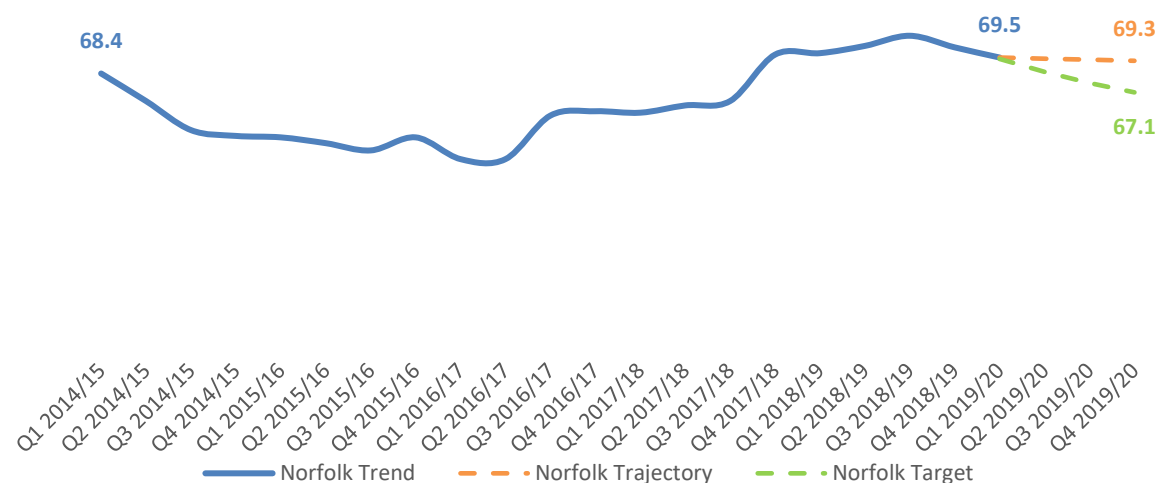
410: Rate of Looked-After Children per 10,000 of the overall 0-17 population

Why is this important?

The rate of looked after children per 10k is an indicator of both past and present practice. Wherever possible children should be cared for by their families. The predicted decline in our LAC population will be testimony to the accuracy and success of our targeted transformation activity. The LAC rate per 10k should be an indicator that only those children who cannot be cared for by their families are in our care.

Performance

Rate of Looked-After Children per 10,000 of the overall 0-17 population



What is the background to current performance?

- While LAC numbers increased between November 2018 and January 2019, the numbers have since stabilised and in the last 6 months the number of children in care has reduced.
- In July 2019 we had a rate per 10k of 68.9 which is below our trajectory and the lowest reported rate since February 2018.
- We are optimistic that this rate will continue to decrease appropriately as a result of the direct activities and interventions described in our transformation agenda.
- As this rate has decreased month on month for the last 6 months there is a growing confidence that this can be sustained in the short term and improved in the longer term.

Action required

- Understanding and addressing our Looked After Children numbers remains a priority and a key element of our transformation programme.
- Continue to strengthen Norfolk's Early Help offer to ensure families receive help as soon as it is required, working to enhance their strengths & overcome issues so they can remain together.
- Developing and embedding an enhanced operating model.
- Continue to embed policy, procedure and practice that enables families to safely stay together.
- Continue to embed permanence for all children, whatever this arrangement may look like.

What will success look like?

- The rate of Looked-After Children per 10k 0-17 is comparable to our statistical neighbours and to other demographically similar local authorities in England.
- The rates of children coming into care continues to reduce whilst we accelerate routes to permanence and exits from care, thus decreasing the net numbers of Looked After Children.

Responsible Officers

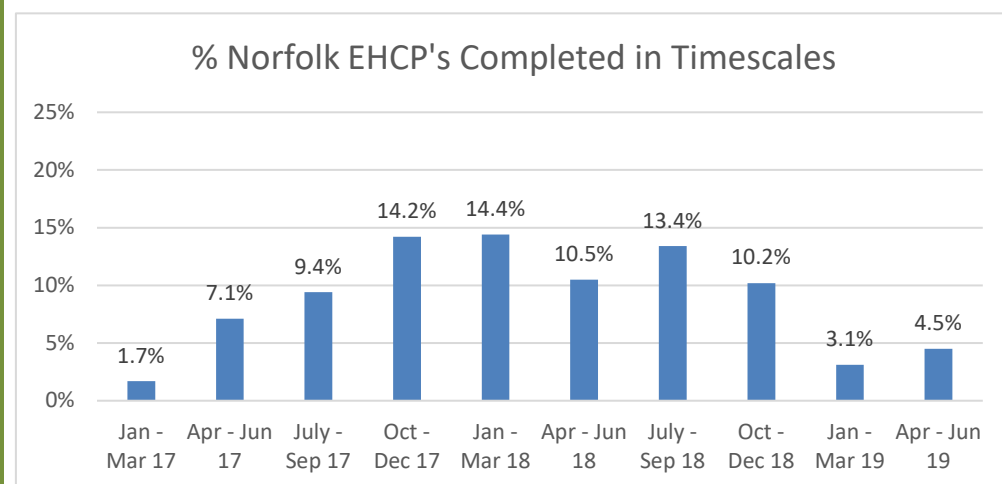
Lead: Phil Watson Data: James Wilson

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



Reported quarterly

What is the background to current performance?

- Performance for the last full year was 12.4% within the 20 week timescale, which still lags significantly behind the national average but represents a slight increase on the previous year's performance
The number of EHCP plans issued has increased from 726 in 2017 to 790 in 2018 (calendar year)
- 6500 EHCPs are now live and in need of maintenance
- New referral rates have increased to over 1000 per year - 1041 new referrals processed during 2018 compared with 650 in 2015/16
- DfE targets for all LAs is 90% and the national average had been 55%. These are the interim (55%) and stretch (90%) targets for Norfolk, therefore.

What will success look like?

55% of EHCP assessments completed in 20 weeks by December 2019.

Action required

- A significant transformation of this activity area is underway
- The authority has invested significantly in additional Education Health and care Plan coordinator capacity and this expanded team is now largely in place
- We have also invested in and sourced additional Educational Psychology capacity which is crucial to the completion of plans within timescale
- A re-design of the business processes has been delivered
- A new Synergy Gateway module has been put in place delivering improved efficiencies within system
- Professional reports provided to LA on time

The above actions mean that we now have a confidence that performance will improve in the coming months. A new process will be in place from September and by the end of the year we expect to see this resulting in a significant uplift in performance in this area.

Responsible Officers

Lead: Lorraine Stephen, Interim Head of Education High Needs SEND Service

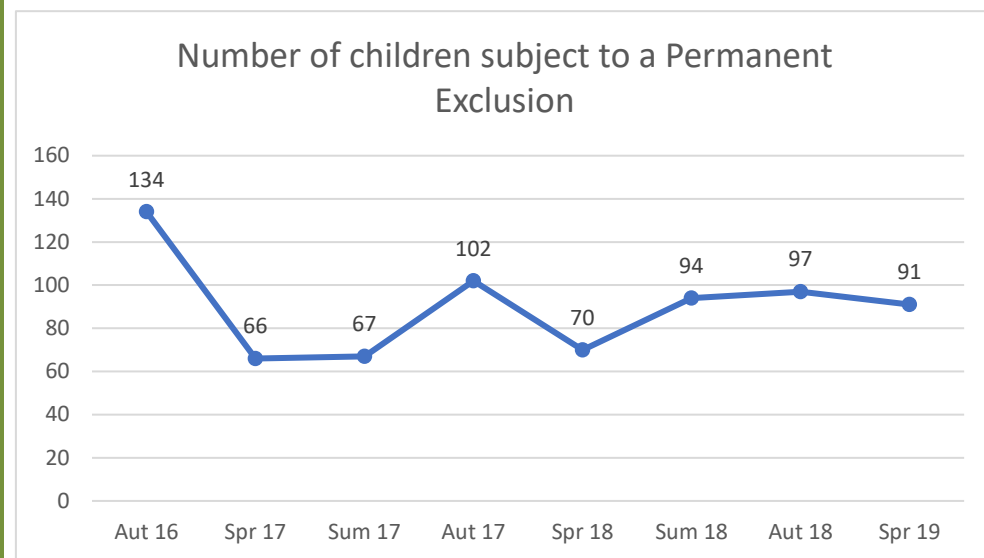
Data: Dom Mingaye, Data Manager & Jackie Goodson, Synergy Systems Officer, Education Achievement and Early Years Service

415: Number of children subject to a Permanent Exclusion

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



Reported termly

What is the background to current performance?

- The overall number of permanent exclusions has continued to reduce, although at a slower pace and there is no clear pattern to exclusions between terms and between years
- The incidence of exclusion increases as pupils get older, with the highest rate of exclusion being in years 9-11.
- There are fewer high excluding schools, but more schools are excluding
- The Inclusion Helpline set up by the Vulnerable Groups Achievement & Access Service (EVGAAS), is now providing a limited amount of in school support and advice.
- Additional staffing has been secured in EVGAAS to challenge and support schools and to support vulnerable students
- Reducing Exclusions has become a higher priority for schools who have signed the Norwich Opportunity Area's Inclusion Charter, but it does not appear to be having significant impact on data
- Fair Access panels have been extended across the county at secondary level to enable managed moves and re-integration, but a number are in their infancy at the moment

What will success look like?

Fewer children subject to Permanent Exclusions from schools & colleges

Action required

- The Inclusion Helpline needs to be developed to incorporate additional staffing and to provide early intervention and support.
- The new staff in EVGAAS need to be inducted in September
- Fair Access Panels need to be further developed across all areas for secondary schools and primary schools as the need arises

Responsible Officers

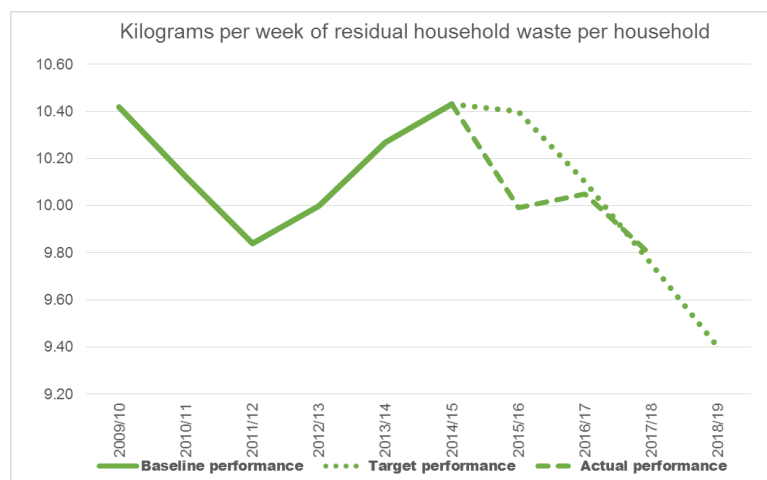
Lead: Stuart Mason, Head of Service, Education Vulnerable Groups Achievement & Access
Data: Dom Mingaye, Data Manager, Education Achievement and EY Service

334: Kgs of residual household waste per household per week

Why is this important?

To help mitigate the effect of increasing household numbers which are expected to increase the service volume and cost.

Performance



- 16/17 was 10.05kg, i.e. 0.05kg below target from audited data.
- 17/18 is 9.96kg, i.e. 0.21kg above target based on figure from DEFRA's audited data in December 2018.
- 17/18 waste reduced to around 212,885t down from around 216,000t in 16/17.
- 17/18 data shows a 0.9% countywide recycling decrease from 46.7% to 45.87%, however this is still above national average.

What is the background to current performance?

- Performance is influenced by changes to recycling services by District Councils and the status of the wider economy, whilst law change and weather patterns also have an effect.
- Costs and the amount of waste collected are expected to increase as housing growth creates greater service demand for collection services, Recycling Centres and residual waste.
- Of 422,672t collected waste in 17/18 399,888t was household waste.
- *Residual waste per household* remained middle quartile in 2017/18, and waste to landfill at 1.55% remained as upper quartile but 0.55% down on 16/17. *Total household waste per person* remained middle quartile.
- £23.4m is the projected cost of dealing with around 214,000 tonnes a year of residual waste in 2018/19 at £113 per tonne.
- The County Council pays around £9.3m in Recycling Credits to District Councils and organisations for the recycling they collect.
- The Norfolk Waste Partnership is exploring funding models to improve collective performance and securing efficiencies for Districts through joint procurements, with Norwich looking at alternative collection models.

What will success look like?

- Less residual waste and lower unit costs.
- 1kg+ reduction in residual waste per household in Norfolk to <9.4kg
- Reduction in the forecast growth in the residual waste budget.
- Helping achieve the County Council's waste policies (expressed as strategy of "Moving Towards Zero Waste").

Action required

- Programmes of activity based on sound business cases developed and delivered in partnership with the Districts to reduce waste, enable more reuse and repair of items, increase and improve recycling of materials, recover value from left over waste.
- Increasing focus on reducing costs, greater efficiency and looking to others for examples of initiatives and emerging best practice.
- Monitoring performance against residual waste reduction target.

Responsible Officers

Lead: Joel Hull, Head of Waste

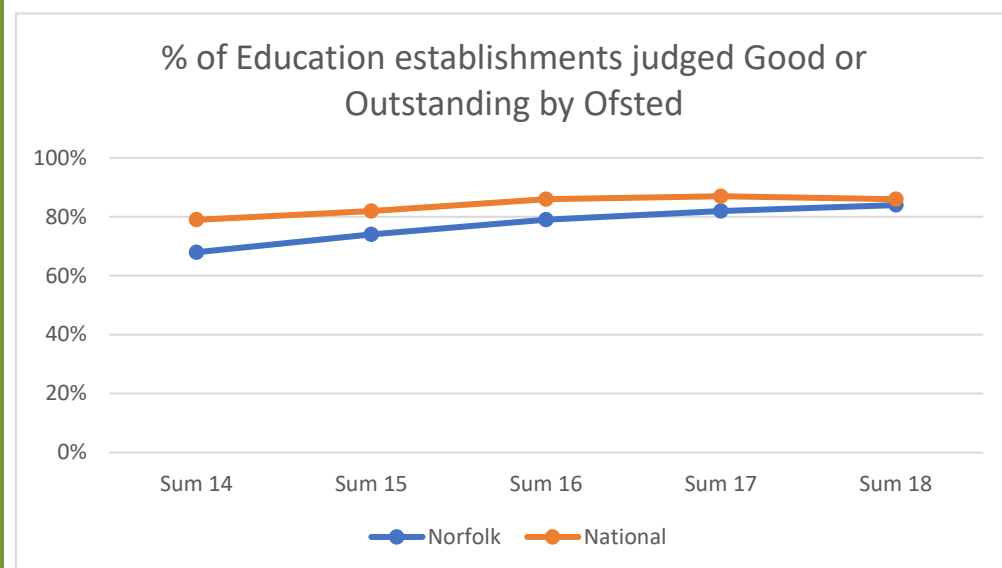
Data: Julie Hurn, Contracts Manager (Residual Waste)

411: Increase in the percentage of education establishments judged good or outstanding by Ofsted

Why is this important?

Achieving a Good or Outstanding rating means that Ofsted have judged that the quality of teaching, learning and assessment is at least good, that the school is well led and that safeguarding is effective. It is therefore essential that all children attend a good or outstanding school.

Performance



Reported academic yearly

What is the background to current performance?

The percentage of schools judged to be good or better continues to improve as more sponsored academies have their first inspection.

Sept 2018	Norfolk	National
Early Years	97%	95%
Primary	84%	87%
Secondary	79%	75%
Special	100%	92%

What will success look like?

- All pupils attend a good or outstanding school
- All new academies are judged good at their first inspection

Action required

- Continue using performance data and other intelligence to categorise, support, challenge and where necessary intervene to ensure a good education for all pupils
 - Continue to monitor the performance of academies who have yet to be inspected and through the annual conversation process support and challenge those multi academy trusts to ensure that all are on an improvement journey towards good

Responsible Officers

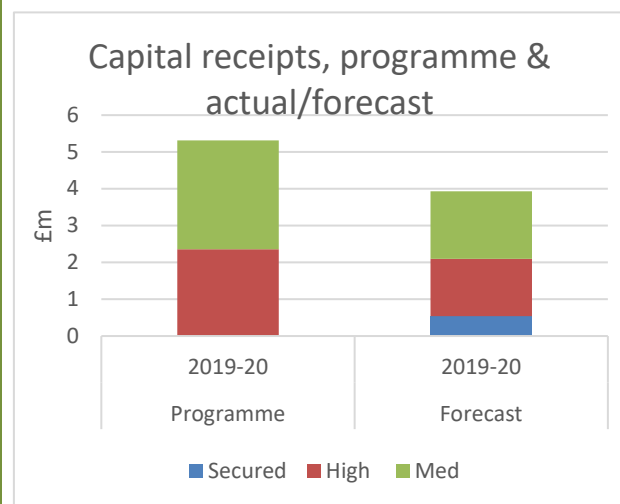
Lead: John Crowley, Head of Service, Education Achievement and EY Service
Data: Dom Mingaye, Data Manager, Education Achievement and EY Service

505 Capital receipts

Why is this important?

Where the Council owns property which it does not need, disposals can release capital receipts and reduce running costs.

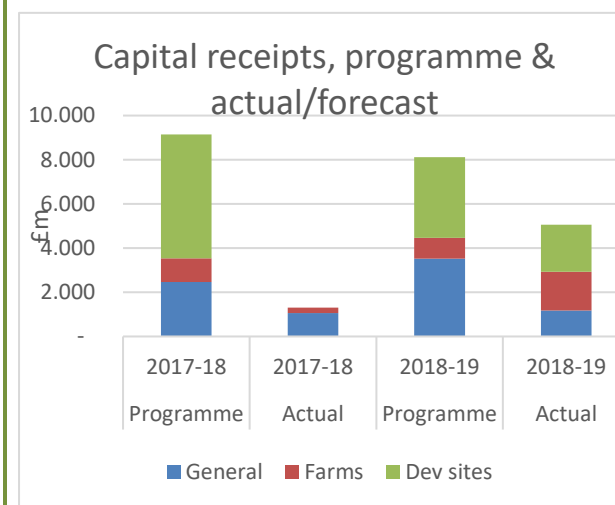
Performance



Forecast capital receipts of £3.9m (including receipts which are high and medium likelihood of receipt but excluding those with low likelihood and major development sites) 74% of capital programme projections.

What is the background to current performance?

Capital receipts are hard to predict, as can be seen from the following graph which shows actual receipts against capital programme aspirations:



What will success look like?

- Minimising the Council's need to borrow, and reducing maintenance and other revenue costs will be achieved through the generation of capital receipts as set out in the Capital Programme, as part of the Council's longer-term disposals programme.

Action required

- The Corporate Property Team continues to identify properties which are surplus to requirements.
- Properties continue to be marketed with the aim of achieving sales forecasts as set out in the approved capital programme.

Responsible Officers

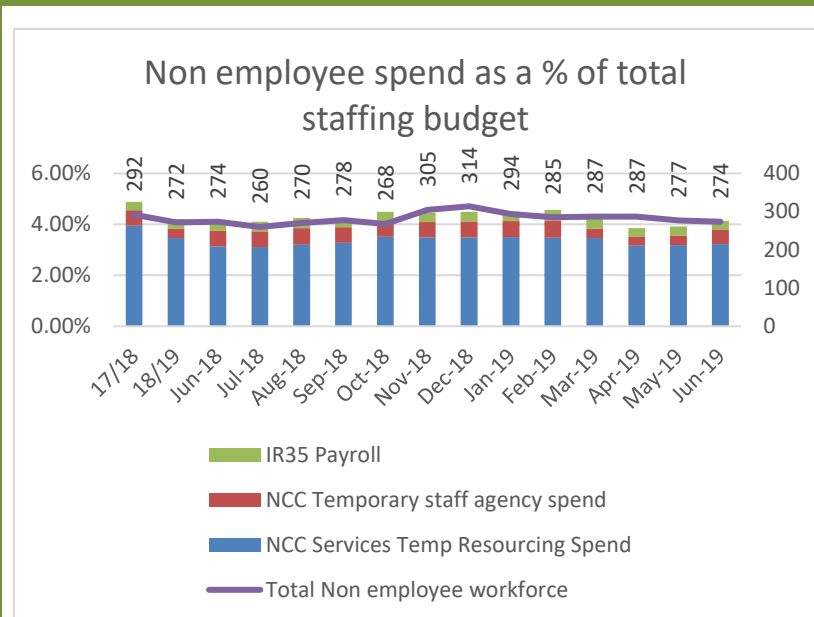
Lead: Harvey Bullen, Head of Budgeting and Financial Management
Data: Howard Jones, Corporate Accounting Manager

633 - HR: Non-employee Staffing and Spend

Why is this important?

NCC employs a range of resourcing options to ensure that we can respond to the needs of the business flexibly including our ability to engage expertise on a short term basis e.g. temporary increase in work, source specialist expertise, or covering a vacant post. It is important to understand how reliant NCC is on a transient workforce and its potential impact on service and cost.

Performance:



The upward trend in the proportion of spend on off-payroll staffing as a percentage of the staffing budget has ceased during Q3 and has reduced slightly at 4.15%

	17/18 (1000's)	18/19 (1,000's)	YOY Diff (1,000's)	% of total spend	18/19 Total Pay Bill (1,000's)	% of total service pay bill
Adults	£794	£890	£96	10%	£46,549	2%
Childrens	£6,023	£7,040	£1,016	77%	£62,296	11%
CES	£654	£232	-£422	3%	£45,919	1%
F&CS	£788	£353	-£435	4%	£21,708	2%
S&G	£534	£643	£109	7%	£13,484	5%
Total	£8,793	£9,157	£364	100%	£189,955	5%

What is the background to current performance?

1. The measure identifies the spend on off-payroll staff procured through NCC neutral vendor agency framework, the internal temporary staff agency and the IR35 payroll over a rolling 12 month period as a percentage of the total employee staffing budget. The cost of interim staff paid via invoice is not included in this data set.
2. All temporary staffing requirements should be filled through NCC's Internal Temporary Staff Register in the first instance and the majority of Business Support and the Social Care Bank within Adult Social Services are delivered successfully through this route. Where this is not possible, we look to engage agency resource through our neutral vendor framework, managing cost, governance and risk. Work to extend the agencies included on the framework continues, to reflect the needs of the business and increase transparency of spend.
3. The spend in the last 12 months to the 30 June 2019 equates to 4.15% of staffing budget. Our target of having downward trend in this area has not been met consistently across the financial year, but costs remained steady during Q4 and show a slight decline at the end of the year 2018-19. The total cost in the rolling 12 months to 30 June of just under £11m which consists of:
 - Geometric Results International (GRI UK) framework increased to £8.5m in 2018/19 compared to £7.6m in 2017/18, (mostly covering Social Workers, Solicitors, short term projects eg Norfolk Futures workstreams). The first quarter of 2019-20 is averaging around 3.2% of total workforce, so lower than the 3.48% for the previous quarter. But broadly in line with the corresponding period in 2018/19
 - IR35 self-employed payroll stayed consistent at £0.92m in 2018/19 compared to £0.92m in June 2018 (self-employed contractors such as music instructors, senior interims engaged directly, Active Norfolk instructors)
4. The majority of agency spend relates to social workers in Children's Services to cover vacant posts, maternity and sickness and providing additional capacity to support the ongoing improvement programme. (cost for 2018/19 was £7m compared to £6m in 2017/18). The cost increase is also as a result of more Social Workers being paid a project day rate due to increased market pressures. Childrens services

	<p>are building a plan to reduce this dependency through 2019/20 as reported to Children's Committee. Agency SW numbers increased to 98 as at June 19, from 81 as at June 18. Children's SW spend during 2018 is the highest in the East of England at £5.2m in Norfolk compared to £3m Bedford who are next highest.</p> <p>5. Increases in SW caseload within Adults also led to increased cost during 2018/19, however this cost has decreased following permanent recruitment to meet the increased need.</p> <p>6. The average spend on agency costs for other LA's in the 2018 CIPFA HR value for money survey was 4.8% (IR35 costs not in scope).</p>
What will success look like?	Action required:
<ul style="list-style-type: none"> The proportion of spend on off payroll roles will reduce during 2018/19 and will inform a future target for 2019/20 Reduction in spend in Children's Services 	<ul style="list-style-type: none"> Clear direction on the use of off-payroll contractors to Directorates to ensure compliance with HRMC standards and greater transparency of all spend – Executive Directors Clear workforce plans (priority in Childrens services) to develop the workforce plan of alternatively qualified professions to replace SW vacancies and reduce reliance on agency workers – CSLT transformation activity 2019/20. Children's Services are restructuring to support this activity, with the consultation due to go out early September. Recommend a target of temporary resourcing spend at 3.57% of staffing budget for 2019/20 (equates to a £1m reduction in spend).
Responsible Officers:	Lead: Sarah Shirtcliff, Head of HR Data: Teresa Baker, Programme Manager and Dave Nugent, Workforce Insight Lead

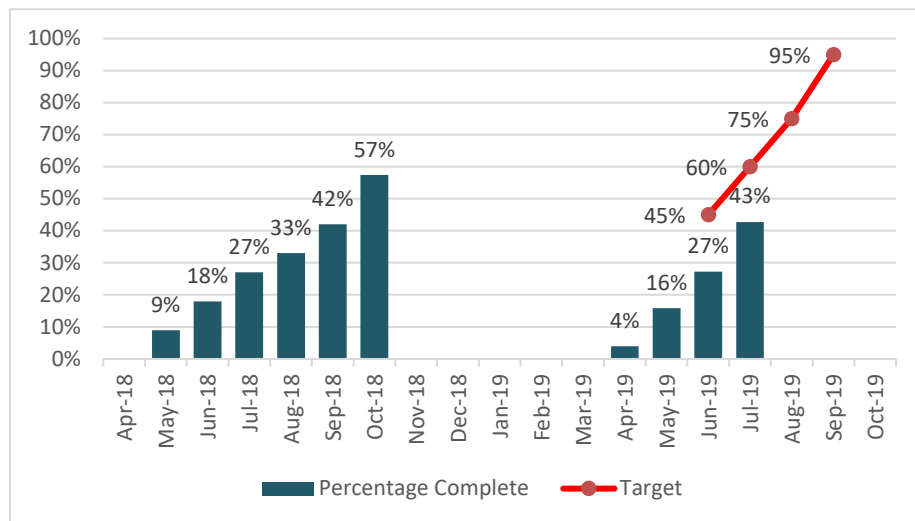
638 HR: Performance Development (previously appraisals) - % Written Goals agreed

Why is this important?

The new approach to Performance Development is intended to contribute to the people development of an effective performance culture.

Performance

% Performance Development written goals agreed



Written goals completion rates are currently at 43%, below the target, but 16% higher than the corresponding period in 2018.

What is the background to current performance?

- External research identified that goals linked to future plans and conversations between managers and employees building on employee strengths are critical for effective people performance.
- This is the second year of the new strengths-based approach to performance development. In 2018, 57% of staff had written goals agreed. An October 2018 pulse survey identified 91% of respondents had had their Performance Development discussion.
- The intention is that a performance discussion should be held with all employees between May and June annually. Education financial year (Aug-Sept)
- The 2019 Staff survey has provided further evidence from 3,119 employees. Staff told us that 2 out of 5 Key Drivers that have the greatest impact on staff engagement 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

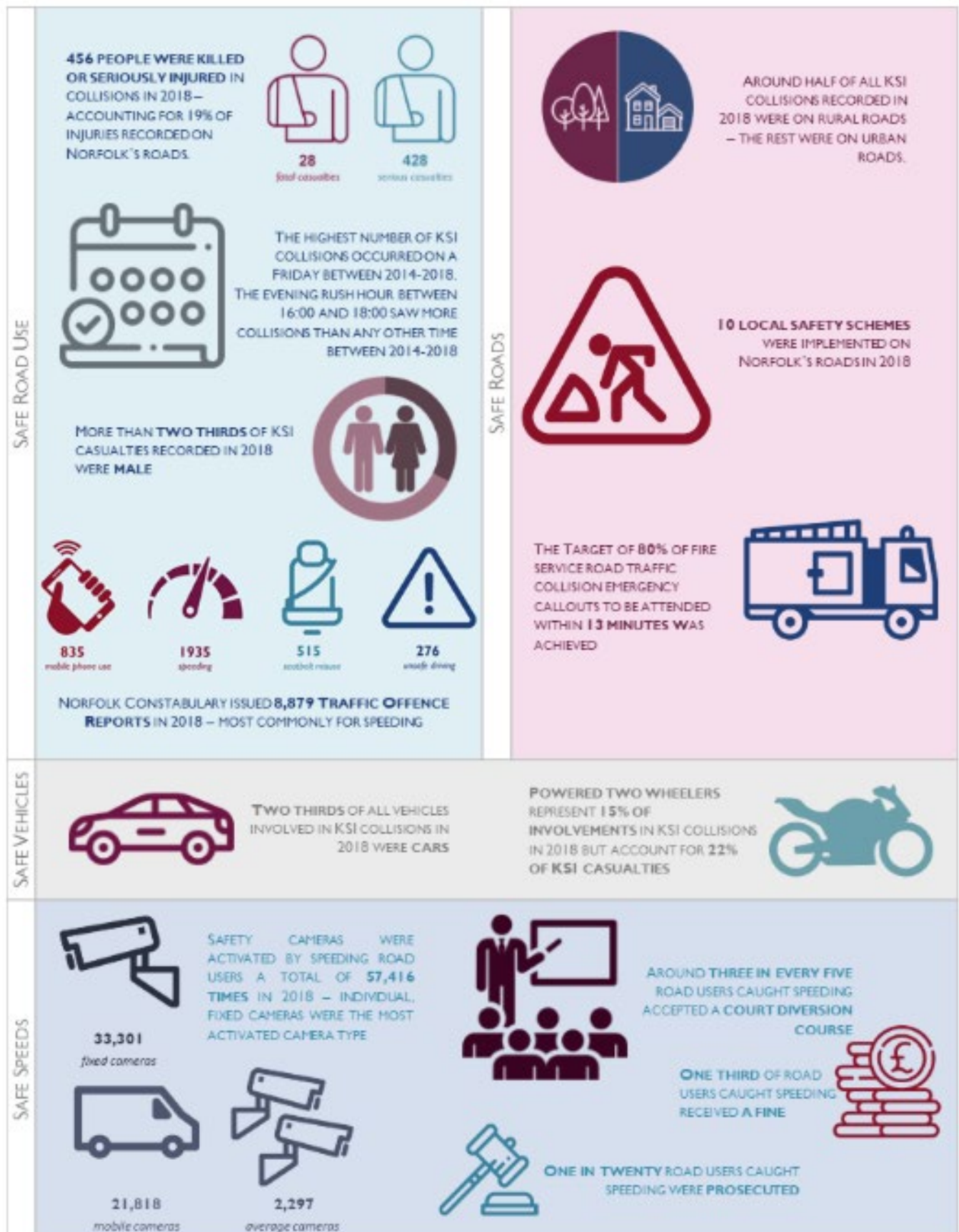
- Regular reminders that performance development discussions are due in Norfolk Manager – HR complete Q1 19/20
- Managers to be reminded that they should record the date goals were agreed on Oracle – Q2 Executive Directors and HR
- EDs, Heads of Service and HRBPs can see where date of written goals agreed have been inserted by managers for employees via a new service portal be launched in Q2 19/20
- Review next steps once action plans from Staff Survey feedback are developed. EDs/Sarah Shirtcliff Q2 19/20

Responsible Officers

Lead: Sarah Shirtcliff, Head of HR Data: Ruth Grant (OD Business Partner) Dave Nugent (Workforce Insight Lead)

NORFOLK ROAD SAFETY PARTNERSHIP HEADLINES 2018

ALL ELEMENTS OF THE ROAD SAFETY SYSTEM SHOULD WORK TOGETHER TO KEEP PEOPLE SAFE- WHETHER IT IS ROAD USERS MAKING SAFE CHOICES, AGENCIES CREATING FORGIVING ROADSIDES OR ENFORCING THE LAW ON SPEED LIMITS AND MOBILE PHONE USE. THE DATA BELOW HIGHLIGHTS RELEVANT DATA FOR NORFOLK.



Report to Cabinet

Item No. 15

Report title:	Risk Management Framework
Date of meeting:	2nd September 2019
Responsible Cabinet Member:	Leader and Cabinet Member for Strategy and Governance
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 Cabinet system of governance is now in place and working. 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, along with the proposed approach for corporate risk management under the new Cabinet system.

Recommendations:

- 1. Consider and agree the key messages (2.1) and key changes (Appendix A), and the risks presented at Appendix B**
- 2. Consider and agree the proposed approach to risk management for the Council**

1. Background and Purpose

- 1.1. The Council's Risk Management Framework was last refreshed in June 2015 and at that point the function transferred to the Internal Audit team. This report supports the remit of the Cabinet. The Council has a [Risk Management Policy \(Framework\)](#) and this is being updated to reflect the governance changes. Following a review of the corporate risks this report sets out the latest corporate risks for the Cabinet, at **Appendix B**.

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 received the Risk Management Annual Report 2018/19 at its meeting on 18 April 2019.

2. Proposals

- 2.1. This report sets out the proposed approach to take including ownership of risks, and where corporate risk decisions will be taken.

Key messages are:

- The Risk Management function has been reviewed and reported to the Audit Committee in the [Annual Report to the Audit Committee](#) (Part 6), at item 9 page 69, and is considered acceptable and sound for the purposes of the regulations and best practice. It will be updated for the new governance arrangements
- It is proposed that Cabinet own the corporate risk register, with key corporate risk decisions being taken by Cabinet, with support from the Corporate Board by way of highlighting any key corporate risk decisions to be taken. Executive Directors sitting on the Corporate Board will continue to be consulted on the corporate risks that they own, along with input from the Leader and Deputy Leader of the Council.
- The Corporate Risks have been fully refreshed and reviewed to ensure that they align with the Council's Business Plan Together For Norfolk. Key changes to the latest corporate risks are shown at **Appendix A**. The corporate risks are presented at **Appendix B**.
- It is proposed to continue to report risk management separately to the performance and financial reporting to Cabinet, whilst maintaining alignment with these other reports.
- The Audit Committee continue to be responsible for monitoring the adequacy and effectiveness of the systems of risk management
- Developments of the risk management function for 2019/20 were reported in the [Annual Report to the Audit Committee](#) (Part 6), at item 9 page 69.

The review of the corporate risks has taken place with risk owners, the relevant Executive Director, and Corporate Board as a group. The key changes are described in **Appendix A**. New risks have been introduced for:

- Legal challenge to procurement exercises (corporate risk RM026)
- Risk of failure of new HR & Finance system implementation (corporate risk RM027)
- Failure to monitor and manage health and safety standards of third party providers of services (RM028)
- NCC potentially not having 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 (RM029)
- Realisation of Children's Services Transformation change and expected benefits (RM030)

For existing corporate risks the risk title, scoring, mitigations and progress have all been reviewed, and updated as necessary.

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.

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 B**.

7. Resource Implications

7.1. Staff:

There are no specific staffing resource implications to consider within this report, other than reported as part of risk RM029.

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 no specific health and safety implications to consider within this report other than as part of risk RM028.

8.5. **Sustainability implications**

There are no specific sustainability implications to consider within this report.

8.6. **Any other implications**

There are no other implications to consider within this report.

9. **Risk Implications/Assessment**

- 9.1. The risk implications are set out in the report above, and also within the risks themselves at **Appendix B**.

10. **Select Committee comments**

- 10.1. At its' June 2019 meeting, the Corporate Select Committee identified the requirement to develop a new corporate risk for the Human Resources and Finance Transformation project. This has been developed by officers as risk RM027 – Risk of failure of new HR & Finance system implementation.

11. **Recommendation**

- 11.1. See recommendations in the report introduction.

12. **Background Papers**

- 12.1. The Corporate Risk Register.

Officer Contact

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

Officer name :	Adrian Thompson & Thomas Osborne	Tel No. :	01603 222784 01603 222780
-----------------------	-------------------------------------------------	------------------	--------------------------------------

Email address : adrian.thompson@norfolk.gov.uk
thomas.osborne@norfolk.gov.uk

Appendix A

Key Changes to Corporate Risks

The review and refresh 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 Risk</i>
RM001		✓	✓	✓		
RM002			✓	✓		
RM003	✓	✓			✓	
RM004			✓	✓		
RM006			✓			
RM007	✓	✓		✓		
RM010	✓			✓		
RM013			✓			
RM016				✓		
RM022						
RM023		✓	✓			
RM024						
RM025	✓					
RM026						✓
RM027						✓
RM028						✓
RM029						✓
RM030						✓

New Risks

There are five new risks to report;

1. RM026 - Legal challenge to a procurement exercise
2. RM027 - Risk of failure of new HR and Finance system implementation
3. RM028 - Failure to monitor and manage health and safety standards of third party providers of services
4. 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
5. RM030 - Realisation of Children's Services Transformation change and expected benefits

Risk Score Changes

There are four risks to report score changes for;

1. RM003 – The current risk score has increased slightly from 8 to 9 (likelihood increased from 2 to 3, impact reduced from 4 to 3) which can be attributed in part to the larger volume of Special Access Requests (SARs) that the Council is receiving.
2. RM007 – The current risk score has increased from 8 to 12 (likelihood increased from 2 to 3) due to greater knowledge on what data management issues the Council faces. The tolerance target score has increased slightly from 4 to 6 in proportion to the revised current score increase.
3. RM010 – The prospects score has reduced from amber to green to reflect the steady progress mitigating the risks of IMT failure, and in running exercises to rehearse what would need to happen in the event of a failure. It also reflects the progress made with the new data centre which is scheduled to be operational by August 2019.
4. RM025 – Potential Change of governance in the Fire and Rescue Service – The current score has decreased from 15 to 10 (likelihood reduced from 3 to 2) to reflect the progress that has been made with the shared work programme on the Emergency Services Collaboration Board and Operational Group.

Amended Risk Titles

RM001

From: Infrastructure is not delivered at the required rate to support existing needs and the planned growth of Norfolk

To: Realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.

This reflects the focus of the risk being on the generation of infrastructure funding.

RM003

From: Potential reputational and financial risk to NCC caused by failure to comply with statutory and/(or) national/local codes of practice relating to information compliance and information security

To: Potential for failure to comply with information compliance and information security requirements.

This simplifies the risk title.

RM007

From: Potential risk of organisational failure due to data quality issues

To: Risk of poor data quality leading to poor decisions being made affecting outcomes for Norfolk citizens.

This clarifies the cause and effect of the risk.

RM023

From: Lack of clarity and failure to act upon changes to demography, funding, and government policy, with particular regard to Adults Services

To: 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.

This emphasises the long-term funding element of the risk.

Risk Description Changes

There are changes to six risk descriptions. For brevity, the corporate risks affected are as set out in the table above.

Risk Level Changes

There are three risks which have been identified to be managed at department rather than at corporate level;

RM011 - The potential risk of failure to implement and adhere to an effective and robust performance management framework.

This risk is deemed to be no longer corporately significant and can be managed within department.

RM014a - The increasing demand for SEND assessments coupled with the amount spent on home to school transport at significant variance to predicted best estimates

This risk is now being managed at a departmental level, feeding into corporate risk RM030, as a part of the transformation programme.

RM014b - The savings to be made on Adult Social Services transport are not achieved.

The savings set have been achieved, and this risk is deemed to be no longer corporately significant as it does not meet the corporate risk criteria.

Risk Number	RM001					Date of update		06 August 2019		
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-20	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.) 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

1.1) Maintain up-to-date project pipeline of future schemes and develop evidence and business cases for priority projects. Work with Transport East on development of Regional Evidence Base: WSP commissioned to undertake Regional Evidence Base. Norfolk County Council have commissioned work on Business Cases for: Norwich Western Link; Long Stratton Bypass; West Winch Housing Access Relief Road.

Work on developing priorities for next round of funding streams including Business Rates Pool, successor to Growth Deal and other identified potential funding streams: Working on Strategic Outline Business case for Transforming Cities funding for submission in June.

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) Work to secure investment into the strategic road network. This includes:

- Business cases to support NCC A47 priority schemes (Acle Straight and East Winch to Tilney dualling) completed.
- NCC led Just Dual It campaign with EDP and Norfolk Chamber. Event at Westminster took place end of June which the Ministers for Roads attended.
- Norfolk MPs briefing held 14 May. As a result, Brandon Lewis MP has written to Highways England seeking assurances over delivery timetable for committed A47 schemes
- Study on wider economic benefits from A47 priority improvement schemes commissioned.

Work to secure investment into the rail network. This includes:

- Continuing to work on GEML (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 recently published.

1.4) Review of Planning Obligations Standards completed, and agreed at EDT Committee on 8 March 2019. Further report went to Select Committee in July 2019, and further report scheduled for Cabinet in September 2019.

1.5) Work with Transport East on Regional Evidence Base and transport strategy:

- WSP completed work on the Regional Evidence Base for Transport East. Transport East submitted this alongside its priorities for Major Scheme Funding and Major Road Network funding to DfT at the end of July 2019. This included priorities in Norfolk of Norwich Western Link, Long Stratton Bypass, West Winch Housing Access Road and A47/A17 junction King's Lynn. We expect government to make initial announcements on these funding streams in the autumn 2019 budget.

- SOBCs and OBCs being undertaken for our priorities of Norwich Western Link, Long Stratton bypass and West Winch Housing Access Relief Road. Detailed engagement with DfT on these business cases starting.

- Met with DfT to discuss Transport East 4 June 2019.

1.6) Longwater S106 was reviewed and it was confirmed that these contributions are all still valid to contribute to the Dereham Road scheme.

Appendix B

Risk Number	RM002		Date of update		04 July 2019					
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					
<p>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.</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
3	4	12	3	4	12	2	4	8	Mar-20	Amber
Tasks to mitigate the risk										
<p>Medium Term Financial Strategy and robust budget setting within available resources.</p> <p>No surprises through effective budget management for both revenue and capital.</p> <p>Budget owners accountable for managing within set resources.</p> <p>Determine and prioritise commissioning outcomes against available resources and delivery of value for money.</p> <p>Regular and robust monitoring and tracking of in-year budget savings by Corporate Board and members.</p> <p>Regular finance monitoring reports to Cabinet.</p> <p>Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants.</p> <p>Plans to be adjusted accordingly once the most up to date data has been received.</p>										
Progress update										

Progress update

Government's 2018-19 local government finance settlement reflected in the 2019/20 budget and Medium Term Financial Strategy.

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 later in 2019. P&R Committee on 28.01.19 considered the latest budget position and recommended to Full Council a balanced budget for 2019/20. 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.

Risk Number	RM003				Date of update			16 July 2019		
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	3	9	1	3	3	Mar-20	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 3 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 enhacing 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 Special 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.

Appendix B

Risk Number	RM004					Date of update		21 August 2019		
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	Mar-20	Amber
Tasks to mitigate the risk										
1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately. Next steps: - 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										
2) Continue to report the pipeline of expiring contracts to Corporate Board every six months. Continue to discuss the pipeline of expiring contracts with CES DMT every quarter. Next steps: - 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										
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. Next steps: a) Review roles and responsibilities around contract management for major contracts and categories by end of August 2019 b) Develop deliverables and obligations matrices for major contracts and categories by end of September 2019 c) Develop KPIs for contract management by end August 2019 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 5) From 2017 internal audit to conduct an audit of 2 contracts each year from the list of top 50 contracts by value 6) Internal audit to undertake audits of the contract management control environment in the three service directorates in second half of the financial year.										
Progress update										

Progress update

The actions set out in the action plan are progressing well but assurance is required about the control environment and this will be provided by the planned audits. Once internal audit has gathered sufficient information, the scoring of this risk will be reviewed. Progress on actions is set out below.

1) The list of suppliers that we receive CreditSafe alerts about has been updated to reflect our major contracts and alerts go to a procurement officer to forward to senior management if necessary.

2) Corporate Board received a report on 21 May 2019 to scope the contract compliance and optimisation workstream and agreed to continue to receive the pipeline six-monthly. Pipeline continues to go quarterly to CES DMT and is discussed quarterly with relevant senior commissioners in adults and children's. Children's has made an officer responsible for liaison with procurement regarding actions arising from the pipeline.

Pipeline reporting has been reimplemented in SharePoint to make production faster and prompt for updates to enable the report to be more up to date.

3) Corporate Board agreed the scope of the contract compliance and optimisation workstream on 21 May 2019.

a) A matrix setting out contract management responsibilities has been produced and a series of workshops is under way to allocate responsibilities to relevant officers. Children's services has made significant progress in stratifying contracts by risk and value and establishing an appropriate contract management structure. The adult commissioning team is currently being restructured and this will give greater focus to the most significant contracts.

b) A model deliverables and obligations matrix has been developed and will be final by the end of September. The matrix will be completed by the end of September and completed for one of the council's largest contracts – Norse Care – by that date. It will then be rolled out to other major contracts except where it is agreed that the format is not applicable.

c) The development of the KPIs has been de-prioritised in favour of work on deliverables and obligations.

In addition to the above, contract management training has now been provided to 87 contract management staff, and consultancy management training has been provided to chief officers and other relevant officers.

4) A standard evaluation question has been developed for contract transitions but as there are no major procurement exercises in train that involve transition of health and care services the standard specification has been delayed so that full lessons can be learnt from the transition from children's centres to the early childhood and families service. A detailed transition specification is being developed for the Oracle ERP replacement, where the issues are somewhat different.

5) Six of the most significant contracts have been audited so far. Findings have been minor and have been addressed.

6) The first audit of the contract management control environment – for CES – will take place in September 2019.

Risk Number	RM006					Date of update		04 July 2019		
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.										

Appendix B

Risk Number	RM007		Date of update		02 July 2019					
Risk Name	Risk of poor data quality leading to poor decisions being made affecting outcomes for Norfolk citizens									
Portfolio lead	Cllr. Andrew Proctor			Risk Owner	Simon George					
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.

Appendix B

Risk Number	RM010					Date of update			02 July 2019	
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	2	3	6	1	3	3	Sep-20	Green
Tasks to mitigate the risk										
1) Full power down completed periodically. 6) Replace ageing Local Area Network (LAN) equipment 8) Ensure access to services if county hall lost by reconfiguring Core Infrastructure Services (DHCP, DNS, Active directory) 9) Implement Cloud-based business systems with resilient links for key areas 10) Replace voice services (contact center / desk phones) with resilient cloud based services 11) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including <ul style="list-style-type: none">• Carry out recommendations from Cyber Security Audit• Carry out recommendations from Phishing Simulation exercise, and repeat• Retire Windows 2003• Implement new client service security for Windows 10 build• Independent IT Health Check for PSN accreditation 12) 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 13) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 14) Implement new data centre to reduce the risk of power failure, loss of data connectivity and reduce ICT hardware failures										
Progress update										

Progress update

- 1) Full power down completed periodically.
 - 6) New Local Area Network equipment has been procured and we are planning the implementation over the next month for delivery Q2 2019
 - 8) Access to services if County Hall was lost was tested during the Disaster Recovery (DR) exercise migrating services to the new DR site
 - 9) We Implement Cloud-based business systems with resilient links for key areas as they are procured
 - 10) Contact services are being migrated to a cloud based system, due to be finished by Q2 2019, Telephony resilience will be improved as part of the Microsoft Teams (Formerly Skype for Business project)
 - 11) We are working through the cyber audit actions target date for 90% completion end of Q1 2019
 - 12) The Cyber Attack exercise with senior stakeholders to reduce the risk of taking the wrong action in the event of a cyber attack will be scheduled for Q2/Q3 2019
 - 13) 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.
 - 14) The new data centre to be implemented by August 2019.
- The projects score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure. The current score will reduce further when the new Data Centre is made operational by August 2019.

Risk Number	RM013					Date of update		02 July 2019		
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 2018-19.										
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
1	4	4	1	4	4	1	4	4	Mar-20	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.

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.

Risk Number	RM016					Date of update		06 August 2019		
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
2	5	10	2	5	10	2	4	8	Mar-20	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) 86% of critical services have plans which are up-to-date. The Resilience Team audits all plans as they are received and provides feedback to service managers where changes are required. The next annual audit has started.					
					2) To develop the Professional Development Centre (PDC) Norwich, which was agreed as a key corporate Work Area Recovery (WAR) site by Corporate Board.					
					2) January 2019 - live exercise with ASSD during powerdown at CH. February 2019 - Exercise Horseshoe to test the IMT access and Disaster Recovery site. Actions as a result of Exercise Horseshoe are being completed. We will complete the exercise annually. Follow up exercises are being scheduled for example the CSC exercise to check telephony took place successfully on the 19th July.					
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.					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. All plans must be exercised once per year. The percentage is increasing gradually - our target for the end of the years is 80%, currently we are on 65%. Resilience representatives and the Resilience Team are focusing and providing support on this. Good progress has been made on our e-learning package which is now being reviewed by colleagues across the organisation and it will be launched this year.					

Tasks to mitigate the risk	Progress update
4) Implement the Business Continuity Framework	4) Every quarter the 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. These reports were completed in 2018, with departments receiving a report listing departmental strengths and weaknesses in relation to Resilience.
5) Gain assurance that ICT could be recovered in line with timescales detailed within the BIAs.	5) A further update was provided to Corporate Board on 4th June 2019. IMT confirmed that the document would be finalised by the end of June ready to be circulated to the business. This has not yet been finalised, but is very close to being completed. IMT have confirmed that the Recovery Time Objectives (timescale of system recovery) have been based on variety of scenarios not just recovery in the event of us losing County Hall. The aspiration is that what the business has documented within the BIAs should be used to help shape IMT infrastructure projects and the DR development.

Risk Number	RM022					Date of update			04 July 2019	
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	Oct-19	Amber
Tasks to mitigate the risk										
1) Norfolk County Council 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). 2) We are members of the LGA Brexit Sounding Board and local authority officer network to keep abreast of local government thinking and influencing of post Brexit policy. We have jointly commissioned work with the LEP and Suffolk County Council to understand the business impact of Brexit within the New Anglia area. 3) We have agreed the principals 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. 4) Human Resources to support managers and staff who may be affected by this issue. 5) Regular meetings are taking place with the Ministry for Housing, Communities and Local Government 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. 6) 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.										
Progress update										

Progress update

- 1) MHCLG have advised that they will be issuing new set of planning assumptions around a no deal Brexit in due course. Brexit Silver Group Meetings will be reconvened prior to October 2019 to understand how departments are preparing for a no-deal Brexit scenario, to minimise disruption to their services post 31st October 2019, and feed any info. from the Norfolk Resilience Forum back to NCC and vice versa. In addition, with the Risk Management Officer we are developing a specific and more detailed corporate Brexit risk register to manage risks arising from leaving the European Union that are within our control.
- 2) The NCC website now offers information for businesses and individuals
<https://www.norfolk.gov.uk/what-we-do-and-how-we-work/preparing-for-brexit>
- 3) The Treasury Guarantee provides assurance that funding is assured in the event of a deal for projects committed by 31 December 2020 (rather than 19 March 2019 as had been anticipated). Payment mechanisms to manage this remain to be explored.
- 3) The Green Paper regarding the Shared Prosperity Fund has still not yet been published and is not expected for some time until the Brexit situation has been clarified: We continue to work with New Anglia and other relevant partners and will in due course prepare a joint response and report the proposals and our response to members when it has been published. NCC is represented on the LGA national Brexit Sounding Board by Vince Muspratt.
- 4) The Internal Project Board is aware of NCC liabilities; nplaw have drafted a Deed of Guarantee seeking written assurance from Ministry of Housing, Communities & Local Government that they will meet our liabilities in order to close the Programme. The Ministry for Housing, Communities and Local Government have raised the issue with Ministers, as is 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 renewed Treasury Guarantee supports this approach.
- 5) 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.
- 6) 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.

Risk Number	RM023					Date of update			04 June 2019		
Risk Name	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.										
Portfolio lead	Cllr. Bill Borrett					Risk Owner		James Bullion			
Risk Description						Date entered on risk register			04 June 2019		
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. Cause: Lack of clarity on future funding, and government policy. Event: The Council has to take short-term decisions instead of following effective and sustainable transformation. Effect: Outcomes for Norfolk citizens may worsen.											
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	4	5	20	2	4	8	Mar-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		06 August 2019		
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.										
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 still to be finalised.

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. They will continue to assess on a quarterly basis, reporting to the board and supporting the work of the commercial team which is now operational.

No issues highlighted to date and budget is considered sufficient - this work was used to update the business case submitted to and accepted by DfT.

A further budget review is being completed following appointment of the contractor (however 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 by end of April 19 as per agreed timescales. DCO also confirmed as accepted by the Planning Inspectorate.

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	RM025		Date of update		06 August 2019					
Risk Name	Potential change of governance in the Fire and Rescue Service									
Portfolio lead	Cllr. Margaret Dewsbury			Risk Owner	Tom McCabe					
Risk Description				Date entered on risk register	30 May 2019					
<p>A change in governance for the Fire and Rescue service has been proposed by the PCC. If this proposal was to go ahead in the future, it would create a number of issues which would lead to a less resilient service which is less able to address community risk and will impact on public safety:- 1) the service will be fully exposed to budget pressures and reductions in a way that they are not currently, and may need to make service reductions to manage these. 2) proposed changes to operations are not clearly articulated and have not been risk assessed, and could lead to inappropriate and unsafe practices being put in place. 3) a change in governance, if agreed, would take 14 months to implement and would require significant resource, which would distract resource from service operations and improvements. It would also cost around £1m, which would create an additional budget pressure. 4) there may be an impact on the morale of staff impacted by the change, and it is possible that there could be strike action.</p>										
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	2	5	10	2	4	8	Dec-19	Amber
Tasks to mitigate the risk										
<p>1) Participate in the public consultation being carried out by the PCC until 05/09/2018 to ensure that the County Council's views and concerns can be understood, and taken into account.</p> <p>2) Keep affected staff updated on progress as and when there are further developments.</p> <p>3) Encourage Norfolk communities and other stakeholders to participate in the PCC's public consultation by 05/09/2018.</p> <p>4) Re-fresh and reinvigorate collaboration with other emergency services, in particular Norfolk Constabulary.</p>										
Progress update										

Progress update

- 1) COMPLETE A special meeting of the Communities Committee took place on 29 August to consider and agree the County Council's formal response to the consultation, and the agreed formal response was submitted to the PCC 4 September 2018. The Committee also agreed to recommend that this risk is managed at corporate level. It was considered and agreed by the Policy and Resources Committee at the October 2018 meeting.
- 2) Regular messages were sent to staff to keep them up to date on progress up to the point that the PCC made a decision to pause the process. Further staff updates and briefings will be arranged, if needed.
- 3) COMPLETE Information on the County Council's views published on the Norfolk County Council website, along with information about how to respond to the PCC's public consultation. The public consultation closed on 5 September 2018. The responses have been reviewed.
- 4) Refreshed arrangements for Emergency Services Collaboration Board are now in place. A Memorandum of Understanding has been signed by the PCC and the Leader of NCC and Communities Committee have approved a formal collaboration agreement between Norfolk Fire and Rescue and Norfolk Constabulary. The new Emergency Services Collaboration Board and Operational Group are meeting regularly, a shared work programme has been developed and some elements of work are complete.

Risk Number	RM026					Date of update		21 August 2019		
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	Mar-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.										
Progress update										
As these are new mitigations, updates will follow to capture the progress against the mitigation tasks proposed to manage this risk.										

Risk Number	RM027					Date of update		29 July 2019		
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 visibiillty of the plans via Assurance and Compliance Group, also 3) Procurement starts 31st October for the release of the ITT (invitation for tender) 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 started, planning for phase two roles TBC 6) Governance managed by project board and programme board for project plans and budget										

Appendix B

Risk Number	RM028		Date of update		29 July 2019					
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	4	5	20	1	5	5	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 the then CLT. Corporate Board ensuring progress made and plans delivered. 2) Departments have reviewed their approach to contract management and proposed changes to structures to ensure responsibilities are clear in particular roles. 3) A robust action plan has been agreed an will be implemented and managed through the commissioning functions.										

Risk Number	RM029		Date of update		29 July 2019					
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 HEIs to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements										
Progress update										
As these are new mitigations, updates will follow to capture the progress against the mitigation tasks proposed to manage this risk.										

Appendix B

Risk Number		RM030			Date of update		14 August 2019			
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			
The risk is 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) Business cases for Safer Children and Resilient Families Programme and the SEND and Alternative Provision programmes have been agreed.
- 2) Current profile of £12-15m investment is flat at £2m per year rather than front loaded.
- 3) Leads and transformation team in place. Roles involved in transformation will increase and decrease in line with programme demand
SEND transformation workstreams are established, project mandates agreed and the capital programme for the first build is underway.
SEND consultation stages / work with IMPOWER completed and design stage underway for Specialist Resource Bases (SRBs)
- 4) Governance structures and reporting processes in place and being actively used through stocktake meetings and trajectory reports.
- 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.

Norfolk County Council

Record of Cabinet Member decision

Responsible Cabinet Member:	
Margaret Dewsbury (Cabinet Member for Communities and Partnerships)	
Background and Purpose:	
<p>In April 2019, Full Council agreed a motion relating to period poverty which tasked the Equalities & Diversity Manager to produce a report for the relevant Select Committee as to the costs and feasibility of providing sanitary products at no charge in toilets of its premises for staff and users to access.</p> <p>This report was considered by the Corporate Select Committee on 16 July 2019, and the costs and feasibility were considered. The Select Committee identified two positive actions that could be taken across an additional 27 county council buildings – which it is recommended the Cabinet Member approves.</p>	
Decision:	
To task officers to:-	
<p>(a) Purchase supplies and make them available to access free of charge in all 27 of the buildings listed in Appendix B of the attached report;</p> <p>(b) Include a poster (or other suitable information) in the toilets of all county council public facing buildings to promote the service available.</p> <p>on the basis that these activities can be funded from within existing resources for 2019/20, and that ongoing revenue funding for 2020/21 onwards will be considered as part of the budget setting process.</p>	
Is it a key decision?	No
Is it subject to call in?	Yes
If Yes – Deadline for Call in	Date: 4pm on 15 August 2019
Impact of the Decision:	
Implementing the actions in county council buildings will further help to address the issue of period poverty in Norfolk.	
Evidence and reason for the decision:	
As set out in the attached report.	

Alternative options considered and rejected:

As set out in the attached report.

Financial, Resource or other implications considered:

As set out in the attached report.

Record of any conflict of interest:

None.

Background Documents:

Report to Corporate Select Committee Meeting 16 July 2019 titled 'Period Poverty'

Date of Decision:

6 August 2019

Publication date of decision:

8 August 2019

Signed by Cabinet member:

I confirm that I have made the decision set out above, for the reasons also set out



Signed

Print name: Cllr Margaret Dewsbury

Date 6 August 2019

Accompanying Documents:

Report to Cabinet Member

- Appendix A – Period Poverty – Desktop review
- Appendix B - Sites list - Norfolk County Council sites for distribution of free sanitary items

Report to Cabinet Member

Item No.

Report title:	Period Poverty
Date of meeting:	N/A
Responsible Cabinet Member:	Councillor Margaret Dewsbury (Cabinet Member for Communities and Partnerships)
Responsible Director:	Tom McCabe (Executive Director of Community and Environmental Services)
Is this a key decision?	No

Executive Summary

In April 2019, Full Council agreed a motion relating to period poverty which tasked the Equalities & Diversity Manager to produce a report for the relevant Select Committee as to the costs and feasibility of providing sanitary products at no charge in toilets of its premises for staff and users to access.

This report was considered by the Corporate Select Committee on 16 July 2019, and the costs and feasibility were considered. The Select Committee identified two positive actions that could be taken across an additional 27 county council buildings. This report recommends that these two actions are progressed.

Recommendation

To task officers to:-

- (a) Purchase supplies and make them available to access free of charge in all 27 of the buildings listed in Appendix B;**
- (b) Include a poster (or other suitable information) in the toilets of all county council public facing buildings to promote the service available.**

on the basis that these activities can be funded from within existing resources for 2019/20, and that ongoing revenue funding for 2020/21 onwards will be considered as part of the budget setting process.

1. Background and Purpose

- 1.1. The following motion was agreed by Full Council at the meeting on 15 April 2019:-

Council acknowledges that easy access to sanitary products is a basic right for all citizens.

Council notes the good work of our libraries in providing sanitary products through a working partnership with “Tricky Period” and other organisations.

We therefore agree that this Council asks:

- The Equalities & Diversity Manager to produce a report for the relevant Select Committee as to the costs and feasibility of providing sanitary products at no charge in toilets of its premises for staff and users to access.
- 1.2. The review has been carried out and the findings reports considered by the Corporate Select Committee.

2. Desktop review

- 2.1. A desktop review has been carried out, and the findings are detailed in Appendix A. The review was carried out with particular reference to equality and diversity, including whether there is evidence to suggest which communities or individuals are likely to be most at risk in terms of dealing with the impact of period poverty.
- 2.2. There were two main conclusions from the desktop review:-
1. There is no clear case or evidence to indicate a need to provide free sanitary items in toilets for County Council employed staff or volunteers.

This is because staff are unlikely to be at the highest risk given that they are in paid employment (noting that NCC pay scales exceed both the minimum and living wage standards) and can access hygiene facilities in their workplace.
 2. There is evidence to suggest that individuals in Norfolk are being affected by period poverty.

There is insufficient research to accurately quantify the scale of period poverty in Norfolk, but it is likely to reflect the national picture. The continuing uptake of the donation based service available in all 47 libraries in Norfolk – both rural and urban - is a good indication of continuing need.

3. Potential actions

- 3.1. Provision for service users is already available (or planned) as follows:-
- Free products are available through all 47 of Norfolk County Council's libraries, including mobile libraries.
 - The Government has announced funding for free sanitary products in all English primary and secondary schools and colleges.
 - From summer 2019, the NHS will provide free access to sanitary products to patients in hospitals.
- 3.2. A number of options were identified in terms of taking additional positive action in county council buildings– these are set out in Appendix A (Section 6). There are a number of options available in terms of taking additional positive action in county council building. 27 county council public facing buildings with services provided directly by the County Council (mainly museums) have been identified as are suitable locations for positive action – these are listed in Appendix B.
- 3.3. The Corporate Select Committee considered the option and agreed the following

two actions as their preferred model:-

- Purchasing supplies and making them available to access free of charge in all 27 of the suitable buildings identified;
- Including a poster (or other suitable information) in the toilets of all county council public facing buildings to promote the service available.

It is proposed that these two actions are implemented.

4. Evidence and Reasons for Decision

- 4.1. The review highlighted that period poverty will be an issue for some families and individuals in Norfolk. Although free supplies are already available in all Norfolk libraries, further action across other county council buildings will further help to address the issue of period poverty in Norfolk.
- 4.2. There continues to be demand for the existing service provided in Norfolk libraries, with approximately 120 - 140 packs of free products given out per month across all libraries.

5. Alternative Options

- 5.1. The review identified a number of potential options – these are set out in Section 6 of Appendix A.
- 5.2. Given that the county council has already taken steps to ensure free supplies are available in all Norfolk libraries, it could be determined that no further action is necessary. However, this will not help to further address the issue of period poverty.

6. Financial Implications

- 6.1. There is currently no relevant budget allocation. The ongoing revenue funding needed to deliver the actions set out in para 3.3. for 2020/21 onwards needs to be secured, and this will be considered as part of the budget setting process for 2020/21. In the meantime, officers will work to implement the actions during 2019/20 from existing resources. As well as meaning the provision can be put in place as soon as possible, this will enable an assessment of the take-up/demand for the service, and the associated costs, to be carried out in advance of the budget setting process.

7. Resource Implications

- 7.1. **Staff:** The actions can be progressed within the available resource.
- 7.2. **Property:** There are no direct property implications.
- 7.3. **IT:** None.

8. Other Implications

- 8.1. **Legal Implications:** None
- 8.2. **Human Rights implications:** N/A
- 8.3. **Equality Impact Assessment (EqIA) (this must be included):** Norfolk County Council is committed to gender equality. As part of the Council's duties under the

Equality Act 2010, opportunities are explored as they arise to promote gender equality. Any activity to address gender related issues like period poverty, either through direct action or by bringing attention to the issue, will have a positive impact.

8.4. **Health and Safety implications:** N/A

8.5. **Sustainability implications:** N/A

8.6. **Any other implications:** None

9. Risk Implications/Assessment

9.1. There is insufficient data available to be able to determine the extent period poverty in Norfolk, and it is anticipated to reflect the national picture.

9.2. The volumes/demand for the new provision is unknown at this stage and therefore it is unclear what the associated costs will be. However, the costs can be estimated by using data from the demand/volumes for the current service available in libraries.

10. Select Committee comments

10.1. The Corporate Select Committee considered the findings of the review, and potential options for positive action, at the meeting on 16 July 2019. The preferred option agreed by the Select Committee is set out in para 3.3.

10.2. The Select Committee also raised the following points:-

- Some Members did not agree with the outcome of the desktop review that stated there was no clear case for providing the service for staff. Noted that the Labour group had provided products in some County Hall toilets which were being taken up, indicating demand. One member noted that the NCC pay scales exceeded the national minimum living wage standards;
- One Member felt that the review was not in depth enough, and that easy access to supplies should have been considered because of unexpected timing of periods. Another Member felt the report was in depth enough.

11. Recommendation

11.1. **To task officers to:-**

- (a) **Purchase supplies and make them available to access free of charge in all 27 of the buildings listed in Appendix B;**
- (b) **Include a poster (or other suitable information) in the toilets of all county council public facing buildings to promote the service available.**

on the basis that these activities can be funded from within existing resources for 2019/20, and that ongoing revenue funding for 2020/21 onwards will be considered as part of the budget setting process.

Officer Contact

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

Officer name: Jo Richardson – Equality and Diversity Manager **Tel No.:** 01603 223816

Email address: jo.richardson@norfolk.gov.uk

Officer name: Sarah Rhoden – Head of Support and Development **Tel No.:** 01603 222867

Email address: Sarah.rhoden@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.

Period Poverty – Desktop review

1. Background

- 1.1. Period poverty is the term used to describe when women and girls struggle or are unable to afford menstrual products and the impact this has on them. It covers the lack of access to sanitary products, menstrual hygiene education, toilets, hand washing facilities, and, or, waste management. It is a worldwide issue, also evident in the UK.
- 1.2. According to research by Plan International, one in 10 girls between the ages of 14 and 21 in the UK have been unable to afford sanitary products, and 49% have missed a day of school because of their period.
- 1.3. Period poverty hit the public consciousness for many in December 2016 following the release of Ken Loach's film *I, Daniel Blake*, which featured a struggling single mother who was caught stealing sanitary towels. Following the impact of the film, food banks in the UK were flooded with donations of menstrual products.
- 1.4. In April 2017 the #FreePeriods national campaign was launched, which called upon the Government to provide free menstrual products to young women in receipt of free school meals. A number of other national campaigns emerged, arguing that menstrual care is a human right, bringing attention to the stigma and shame that sometimes shrouds menstruation and which means that women are sometimes left to improvise alone every month, often without the knowledge of family members or friends.

2. The national policy context

- 2.1. In March 2019 the Government announced a new campaign to end global period poverty. The campaign will launch a new taskforce bringing together charities, manufacturers and the retail sector to find ways to address period poverty in the UK. New health, sex and relationships education, including teaching on menstrual wellbeing, will also be implemented in schools from September 2020.
- 2.2. The Government has also announced funding this year for free sanitary products in all English primary and secondary schools and colleges.
- 2.3. From the summer 2019, the NHS will provide free access to sanitary products to female patients in hospitals.

3. Existing activities in Norfolk

- 3.1. Norfolk County Council has actively worked to combat period poverty since 2017, through an initiative called 'Tricky Period'. Tricky period is delivered through all 47 Norfolk libraries, including mobile libraries. As part of the initiative, libraries collect donations of sanitary products from the general public and redistribute these through public toilets on their premises for girls and women in need. Some libraries also provide boxes of supplies in other places so that residents can take what they need - such as in the teenage area at The Millennium Library.

- 3.2. If anyone needs a larger amount of supplies, they can get a bag of items from library staff by filling in a quick form. When libraries get lots of donations they pass extra supplies on to local high schools or other organisations. At present, libraries are giving out approximately 120 - 140 packs of products per month across all libraries.
- 3.3. The initiative has since been adopted by other local councils including Great Yarmouth Borough Council, King's Lynn and West Norfolk Borough Council and South Norfolk District Council; nationally (under the banner 'tricky period') in Southampton, Islington, Devon and Somerset - and Suffolk, Kent and Leeds (under a different name).
- 3.4. In addition, food bank organisations, a number of voluntary and community organisations, and many schools and colleges in Norfolk are also currently providing free sanitary products.

4. Potential scale of period poverty in Norfolk

4.1. Norfolk communities

- 4.1.1. There is insufficient research to accurately quantify the scale of period poverty in Norfolk. However, it is likely to reflect the national picture. As a result, a number of local charities and voluntary organisations are campaigning for greater awareness of this issue.
- 4.1.2. Norfolk generally has an older population that is projected to increase at a greater rate than the rest of England. Almost all of the population increase over the last five years has been in those aged 65 and over. Over the next ten years the population is expected to increase by 50,700^[1] with most of the increase in the 65 and over age bands. Across Norfolk the average life expectancy is approximately 80 years for men and 84 years for women.^[2] The average number of years a man or a woman can expect to live in good health is about 63.^[3] Deprivation and poverty influence the health and wellbeing of the population. The life expectancy gap between the most deprived areas of Norfolk and the least deprived areas is 7.0 years for men^[4] and 4.5 years for women.^[5]
- 4.1.3. The stigma attached to menstrual issues, and the importance of addressing this stigma, to make it easier to talk about the issues, has been covered extensively by the national press and highlighted by public figures such as the Duchess of Sussex. Bringing attention to the issues helps to address situations in which people affected by period poverty feel unable to confide in those around them, to the extent that this affects their ability to attend school or college.

4.2. County Council staff and volunteers

- 4.2.1. In respect of County Council staff, workforce management data for 2018/2019 indicates that the workforce is made up of 63.4% women (this excludes school-based staff). Whilst it is possible that some of the workforce may be affected by period poverty, these individuals are unlikely to be at the highest risk given that they are in paid employment and the County Council's pay scales exceed both the minimum and living wage standards. Staff are also able to easily access hygiene facilities in their workplace. That is not to say that no staff will be impacted by period poverty, and it is possible that some individuals are directly affected.
- 4.2.2. The County Council works with a large range of volunteers (several thousand). These volunteers are not paid members of staff. Research by NVCO, an

authority on voluntary sector trends, suggests that people from higher socio-economic groups and living in less deprived areas tend to be more likely to volunteer. Women are more likely to volunteer than men, and, in terms of age profiles, 25–34 year-olds are the least likely to volunteer and 65–74 year-olds the most likely. However, these are general trends, and it is likely that there are volunteers who are impacted by period poverty.

- 4.2.3. Volunteers working with the County Council are able to access the same hygiene and related facilities as other directly employed staff.

5. Review conclusions

- 5.1. 1. **There is no clear case or evidence to indicate a need to provide free sanitary items in toilets for County Council employed staff or volunteers.**
2. **There is evidence to suggest that individuals in Norfolk are being affected by period poverty.**

6. Potential actions the County Council could take to help address period poverty

6.1. Enhancing the donation service currently provided in libraries

- 6.1.1. The County Council provides a network of 47 libraries across the county, serving rural and urban communities. As set out above, there is an existing donation based service available for communities to access from libraries. Although it has not been explored in detail at this stage, it may be possible to extend this service. Main options are:-

- Including information within County Council public buildings about the service available within libraries, so that individuals can be better aware of how to access products for free if they need them. This option would mean redirecting individuals to existing provision rather than creating additional provision.
- Explore extending the libraries donation programme to other County Council public facing buildings. This would have the biggest impact if targeted to those buildings providing services to those who are the most at need. It should be noted, that NCC libraries are located in accessible locations across the County – often within main retail loop or on high streets.

- 6.1.2. There of course may be other options or models for extending the existing donation service within libraries e.g. working with other voluntary and community groups.

6.2. Supporting community and voluntary organisations

- 6.2.1. There are a number of voluntary and community groups currently provide free sanitary products. The County Council could seek to work with one or more of these organisations to enhance existing provision. This could be through some form of grant or funding provision from the County Council to enable existing services to be extended or better marketed for example by providing funding of say £5,000 to a suitable organisation.

6.2.2. Supporting existing organisations in this way will help ensure that provision is targeted to those with the biggest need.

6.3. Making sanitary products more easily available in public facing County Council buildings

6.3.1. The County Council currently operates from various buildings across the county; this includes offices (occupied and accessed by staff e.g. highway depots and fire stations), service delivery buildings open to the public to access and including hygiene facilities (e.g. museums and libraries) and other buildings open to the public where service delivery is delivered by others.

6.3.2. At the time of writing this report, Norfolk libraries are giving out approximately 120-140 packs of product per month across 47 buildings. This is based on donations and therefore do not have any cost to purchase. As set out in para 3.1.1 above, it may be possible to extend this donation service at no extra cost.

6.3.3. As a comparison, if the County Council was to purchase these supplies, it would equate to around £2,520 per year. This is calculated using an average cost of around £1.50 per pack, and taking into account that some women and girls consider products at the cheapest end of the scale unusable, as they tend to be bulky and less absorbent.

6.3.4. The opportunities to extend the service to 'public facing' buildings are limited, but would include:

- Museums and Norfolk Record Offices
- County Hall
- Carrow House, Norwich
- Priory House, Kings Lynn
- NCC managed Registrars offices.

6.3.5. A number of other sites are not directly run by NCC, do not have any public access (i.e. Highway depots) or have specialist services operating them, that limit access to general members of the public.

6.3.6. If Members wished to purchase and provide free products at more county council buildings, there are 27 public facing buildings with services provided directly by the County Council (mainly museums) where this may be possible. This excludes libraries (as a service is already available) and schools (as Government has announced funding to enable free products in schools). It should be noted that all but four of these 27 public buildings are within 1 mile of a library.

6.3.7. There are two main options for introducing additional provision in these buildings:-

- Purchasing supplies and making them available to access free of charge in facilities – the total cost of this for all 27 public facing buildings is estimated to be around £1796 and unlikely to exceed £3125 per annum (taking as a reference the current take-up in libraries and including an allowance for back office costs).
- Making sure that there are reasonably priced facilities available within all public buildings e.g. vending machines. This could be provided on a fully commercial or a subsidised basis. It may be possible to implement this with NORSE through the total facilities management contract (see 4.2 below).

- 6.3.8. For services in County Council buildings operated by other organisations (e.g. Health Buildings) there is less scope for the County Council to put arrangements in place. However, we could discuss provision with relevant providers and encourage them to put appropriate arrangements in place.

Sites list

Norfolk County Council sites for distribution of free sanitary items

1. King's Lynn Priory House
2. King's Lynn, 1 Birch Tree Close
3. Woodside Centre Community Hub
4. Woodside One Neighbourhood Nursery
5. Norwich County Hall
6. Norwich Wensum Lodge Complex
7. Norwich Carrow House
8. Norwich Richmond House
9. Unit 1, Whiting Road
10. Great Yarmouth Norman House
11. Great Yarmouth Shrublands
12. Great Yarmouth Havenbridge House
13. Norwich Shirehall and Castle Study Centre
14. Cromer Museum East Cottages
15. Cromer Merchant's Court
16. King's Lynn Town House Museum
17. Gressenhall Rural Life Museum
18. Gressenhall Rural Life Museum and Union Farm
19. Thetford Ancient House Museum
20. Norwich Archive Centre
21. Norwich Strangers Hall Museum
22. Norwich Castle Museum
23. Norwich Bridewell Museum
24. Norwich Bacon House
25. Elizabethan House Museum
26. Great Yarmouth Tolhouse Museum
27. Great Yarmouth Time and Tide Museum

Note that these are in addition to the provision in place across all Norfolk libraries and mobile libraries where free sanitary items are already available.

Norfolk County Council

Record of Cabinet Member decision

Responsible Cabinet Member:	
Margaret Dewsbury (Cabinet Member for Communities and Partnerships)	
Background and Purpose:	
<p>HMICFRS undertook an inspection of Norfolk Fire and Rescue Service (NFRS) in the week beginning 4 February 2019. The HMICFRS concluded that NFRS is providing a 'good' service in four areas. Overall, NFRS received a rating of 'requires improvement' against the 3 main pillars; efficiency, effectiveness and people.</p> <p>An Improvement Plan to address the improvement areas identified by HMICFRS has been developed.</p>	
Decision:	
<ol style="list-style-type: none"> To approve the Improvement Plan (copy attached to this decision notice). To receive monthly updates from the Chief Fire Officer detailing progress being made to deliver the activities set out in the Plan. 	
Is it a key decision?	No
Is it subject to call in?	Yes
If Yes – Deadline for Call in	Date: 4pm on 15 August 2019
Impact of the Decision:	
Putting an improvement plan in place will ensure that there is a clear focus on addressing the improvement areas identified by the HMICFRS.	
Evidence and reason for the decision:	
<p>The Improvement Plan has been developed taking into account:-</p> <ul style="list-style-type: none"> The findings of HMICFRS The technical/professional views of the Chief Fire Officer and his staff Best practice and industry standards (where possible) through regional/national collaboration and information from the National Fire Chiefs Council The views of the Infrastructure and Development Select Committee and the Police and Crime Commissioner <p>The informal views of other key stakeholders, including other emergency</p>	

service providers	
Alternative options considered and rejected: There is no statutory requirement to put an Improvement Plan in place. However, fire and rescue authorities must give due regard to reports and recommendations made by HMICFRS and an Improvement Plan representatives an efficient and effective way to demonstrate this.	
Financial, Resource or other implications considered: As set out in the attached report.	
Record of any conflict of interest: None.	
Background Documents: Report to the Infrastructure and Development Select Committee 17 July 2019	
Date of Decision:	6 August 2019
Publication date of decision:	8 August 2019
Signed by Cabinet member: I confirm that I have made the decision set out above, for the reasons also set out <div style="text-align: center;">  </div> Signed: Print name: Cllr Margaret Dewsbury Date: 6 August 2019	
Accompanying Documents: Report titled to Cabinet Member titled 'Norfolk Fire and Rescue Service – Improvement Plan in response to the 2019 inspection by HMICFRS' Improvement Plan in response to the 2019 inspection by HMICFRS	

Report to Cabinet Member

Report title:	Norfolk Fire and Rescue Service – Improvement Plan in response to the 2019 inspection by HMICFRS
Date of meeting:	N/A
Responsible Cabinet Member:	Margaret Dewsbury (Communities and Partnerships)
Responsible Director:	Tom McCabe (Executive Director, Community and Environmental Services)
Is this a key decision?	No

Executive Summary

HMICFRS undertook an inspection of Norfolk Fire and Rescue Service (NFRS) in the week beginning 4 February 2019. This is the first time that HMICFRS have inspected fire and rescue services.

The HMICFRS concluded that NFRS is providing a ‘good’ service in four areas. Overall, NFRS received a rating of ‘requires improvement’ against the 3 main pillars; efficiency, effectiveness and people.

An Improvement Plan to address the improvement areas identified by HMICFRS has been developed and is attached at Appendix A.

Recommendations

- 1. To approve the Improvement Plan as set out in Appendix A.**
- 2. To receive monthly updates from the Chief Fire Officer detailing progress being made to deliver the activities set out in the Plan.**

1. Background and Purpose

- 1.1. Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) undertook a week long inspection of Norfolk Fire and Rescue Service (NFRS) starting 4 February 2019.
- 1.2. This is the first time that HMICFRS have inspected fire and rescue services across England. Norfolk's inspection formed part of the second tranche of inspections with the third and final tranche currently underway.
- 1.3. In carrying out the inspections of all 45 fire and rescue services in England, HMICFRS look to answer three main questions:
 1. How **effective** is the fire and rescue service at keeping people safe and secure from fire and other risks?
 2. How **efficient** is the fire and rescue service at keeping people safe and secure from fire and other risks?

3. How well does the fire and rescue service look after its people?

- 1.4. The HMICFRS report sets out their inspection findings. After taking all the evidence into account, a graded judgment is applied for each of the three questions. The four categories of graded judgment are: outstanding; good; requires improvement; and inadequate.

2. HMICFRS Findings

- 2.1. HMICFRS found that Norfolk Fire and Rescue Service is good in the way it responds to fires and other emergencies and good in the way it responds to national risks such as terrorism. The inspectorate also concluded that the service is good at making the service affordable now and in the future and that it is good at getting the right people with the right skills.
- 2.2. Although inspectors found the service is good in how it responds to emergencies, it concluded improvements are required in how the service understands the risk from fire and other emergencies, how it prevents these risks from occurring and how it protects the public through fire safety regulation.
- 2.3. HMICFRS also found that the service is good at ensuring it is affordable, but improvement is required in how it makes the best use of the resources available to it.
- 2.4. Inspectors concluded that the service is good at ensuring it gets the right people with the right skills. Improvement is required in how the service promotes its values and culture, ensures fairness and equality, and how it manages performance and develops its leaders.
- 2.5. Based on their findings HMICFRS have provided an overall graded judgement of requires improvement against their 3 main questions of efficiency, effectiveness and people.

3. Service Improvement Journey

- 3.1. Norfolk Fire and Rescue Service welcomed the report and as well as many of the positive findings and recognition of success, the inspection team have provided recommendations for the service to learn from, which will help the service to continue to improve.
- 3.2. Good progress against the HMICFRS recommendations has already been made and (as recognised in their report) work on many of the areas identified as requiring improvement had started before the inspection.
- 3.3. A number of the inspectorate's findings are common to other fire and rescue inspections especially with regard to, how services protect the public through fire safety regulation and how they promote their values, culture, and ensuring fairness and equality. Norfolk Fire and Rescue Service are working with other services to identify best practice and common solutions.

4. The Improvement Plan

- 4.1. An Improvement Plan to address the improvement areas identified by HMICFRS has been developed, and is included at Appendix A.
- 4.2. To ensure there was an opportunity for key stakeholders to be part of developing the Improvement Plan for our service, the draft Plan was discussed by the Infrastructure and Development Select Committee at the 17 July 2019

meeting to enable cross-party challenge and input before it was finalised. The Police and Crime Commissioner was invited to be part of this discussion, given that the HMICFRS also inspects Constabularies, and he attended and participated.

No amendments to the draft Plan were identified as part of the Select Committee discussion.

- 4.3. The Cabinet Member and Chief Fire Officer will meet regularly (monthly) to review progress against the actions, and to ensure sufficient resource is in place to deliver.

5. Impact of the proposal

- 5.1. Putting an improvement plan in place will ensure that there is a clear focus on addressing the improvement areas identified by the HMICFRS.

6. Evidence and Reasons for Decision

- 6.1. The Improvement Plan has been developed taking into account:-
- The findings of HMICFRS
 - The technical/professional views of the Chief Fire Officer and his staff
 - Best practice and industry standards (where possible) through regional/national collaboration and information from the National Fire Chiefs Council
 - The views of the Infrastructure and Development Select Committee and the Police and Crime Commissioner
 - The informal views of other key stakeholders, including other emergency service providers

7. Alternative Options

- 7.1. There is no statutory requirement to put an Improvement Plan in place. However, fire and rescue authorities must give due regard to reports and recommendations made by HMICFRS and an Improvement Plan representatives an efficient and effective way to demonstrate this.

8. Financial Implications

- 8.1. There may be a need to for additional resources or investment to deliver the Improvement Plan. In addition, the organisational review will help in identifying areas where working practices could be more efficient and identify capacity to be used on other activities. Work with partners and stakeholders will continue with a view to making the best use of our collective resources, including through the formal collaboration agreement with Norfolk Constabulary.
- 8.2. If any areas are identified where additional investment or resource is needed, these will be raised with Cabinet (as needed).

9. Resource Implications

- 9.1. **Staff:** It is important that our highly skilled and valued workforce are part of our improvement journey and have the opportunity to be part of the work moving forward. A new engagement strategy for the service is being developed to help ensure that we can work in a way that supports this.

9.2. **Property:** None.

9.3. **IT:** None.

10. Other Implications

10.1. **Legal Implications:** Fire and rescue authorities must give due regard to reports and recommendations made by HMICFRS (section 7.5 of the Fire and Rescue National Framework for England 2018).

10.2. **Equality Impact Assessment (EqIA)** As set out in the Improvement Plan, NFRS are currently undertaking a self-assessment against the national Fire and Rescue Service Equality Framework. Findings from this self-assessment will drive actions to ensure workplaces are inclusive.

11. Risk Implications/Assessment

11.1. There are two key risks. The first is that there is not sufficient resource and capacity to deliver the activities set out in the Improvement Plan; the Chief Fire Officer is carrying out detailed work to ensure that appropriate resources are in place. The second risk is that the activities set out in the Improvement Plan are insufficient to address the areas of improvement identified by HMICFRS and do not result in any improvement in outcomes at the next inspection. However, this is not expected and every effort has been taken to identify appropriate activities to address the findings of the HMICFRS (and in some cases the HMICFRS were very clear in the report what actions were needed).

12. Recommendations

- 12.1. **1. To approve the Improvement Plan as set out in Appendix A.**
- 2. To receive monthly updates from the Chief Fire Officer detailing progress being made to deliver the activities set out in the Plan.**

13. Background Papers

13.1. A full copy of the HMICFRS Inspection report, and further information about the inspection process, can be found on their website at <https://www.justiceinspectorates.gov.uk/hmicfrs/>

Copy of the report considered by the Infrastructure and Development Select Committee on 17 July 2019 is available on the website at <https://norfolkcc.cmis.uk.com/norfolkcc/Meetings.aspx>

Officer Contact

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

Officer name: Stuart Ruff

Tel No.: 0300 123 1383

Email address: stuart.ruff@fire.norfolk.gov.uk

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

Norfolk Fire & Rescue Service

Improvement Plan in response to the
2019 Inspection by Her Majesty's
Inspectorate of Constabulary and Fire
& Rescue Services



Introduction



Stuart Ruff
Chief Fire Officer
Norfolk Fire and Rescue Service

In February 2019 we welcomed a team of Inspectors from Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) who assessed our Service across three core areas of effectiveness, efficiency and how well we look after our people.

I welcome the opportunity to learn from HMICFRS's recommendations to help us further improve our service for Norfolk communities.

The effectiveness and efficiency of our whole service is very important to me. Reassuringly HMICFRS have concluded that we are good at delivering our operational duties such as responding to fires and other emergencies as well as being good at responding to national risks such as terrorism. It is pleasing that the HMICFRS concluded that we are good at ensuring our service is affordable and that we are good at getting the right people with the right skills.

We invest heavily in developing our staff to ensure we can deliver a great service and it is notable that HMICFRS also found that "Protection staff receive comprehensive training, qualifications and continual professional development." It is also reassuring that the HMICFRS recognised that our "Staff are well trained, well equipped and knowledgeable" and that "Incident commanders, at all levels, can command fire service assets assertively, effectively and safely".

I really do believe in our service motto of *Let us be judged by our actions*. The report references that there have been isolated occasions where individuals have behaved in a way that does not represent what the service stands for. We will be carrying out further work to understand the reasons for this, including whether there are any underlying factors. We are one team in Norfolk Fire and Rescue Service and we will work across the service to put a new cultural framework in place so that the whole team can understand the behaviours we want and expect from ourselves and our colleagues.

Norfolk Fire and Rescue Service is a fantastic service and we want to ensure we are relevant, capable and agile. We have an ambitious programme of development work to drive improvement which will result in the publication of a new Integrated Risk Management Plan to identify the risks in Norfolk and how we plan to address them, a new cultural framework which will ensure our service continues to be a great place to work and an organisational review which will ensure we organise the resources we have in the most effective way to improve your service in the coming years.

Effectiveness

1. How effective is the fire and rescue service at keeping people safe and secure from fire and other risks.



Requires improvement

Understanding the risk of fire and other emergencies



Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should improve how it uses information from its engagement with the local community to build up a comprehensive profile of risk in the service area.	<p>Developed a new engagement strategy which will improve how we gather and share information with/from local communities about risk in their area.</p> <p>Changed our processes so that operational data and learning generated by our local crews will be used to test whether we have identified all of the community risks in our Integrated Risk Management Plan (IRMP).</p> <p>Work is well progressed to develop a new fire prevention community risk profile and annual assessment of activity.</p>	<p>Jointly with Norfolk Constabulary, put a programme of Emergency Services Collaboration public meetings in place. This will be a programme of district based public engagement sessions across the county, giving local communities the opportunity to raise concerns about both the fire and policing related risks in their area, and for us to hear their views and local concerns. It also helps to build a shared understanding of community risk with Norfolk Constabulary.</p> <p>As part of the development of the new IRMP, engaging with charities and business</p>	A community risk profile is intended to demonstrate an understanding and analysis of risks in relation to fire and rescue activity, enabling us to effectively plan our prevention, protection and emergency response services.

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
		communities to help shape our new community safety strategy .	
The service should ensure that its integrated risk management plan is informed by a comprehensive understanding of current and future risk. A wide range of data should be used to build the risk profile and operational data should be used to test that it is up-to-date.	The existing IRMP (2016-20) used the risk information from the previous Plan (2014-17) rather than review and update it. We are taking a different approach in developing the new IRMP 2020-23; the service is using a wide range of up-to-date data to help build a comprehensive understanding of the current and future risks in Norfolk.	A public consultation on the draft IRMP 2020-23 will be carried out in Autumn 2019 . The final proposed IRMP will be considered by Full Council for approval in February 2020 . The Infrastructure and Development Select Committee and Cabinet will consider the draft prior to final approval.	The IRMP is a statutory document which every fire and rescue service is required to have in place. Development of a new Norfolk IRMP for 2020-23 is underway.

Preventing fires and other risks

● ● ○ ○
Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure it targets its prevention work at people most at risk. This should include proportionate and timely activity to reduce risk.	We have been working hard to reduce the number of people waiting for a Home Fire Risk Check (HFRC) and have already reduced the backlog by 53%	<p>Targeted work to clear the backlog of HFRCs will continue, and we are introducing new risk based customer service standards to ensure our HFRC visits are delivered in a more timely manner to those most vulnerable from fire.</p> <p>As part of the formal collaboration agreement with Norfolk Constabulary, developing additional opportunities for a shared approach, making better use of our collective resources. This includes the potential for the police to deliver HFRCs and for us to raise awareness of scams and fraud through our existing HFRC visits.</p> <p>Introducing better processes will improve how our prevention services are targeted to people most at risk and will make best use of our resources</p>	<p>The service delivers a wide range of prevention services including the Home Fire Risk Check (HFRC) service which aims to reduce the risk of fire occurring in the home.</p> <p>The service already works with a range of other services and partners to deliver prevention activity, including delivering the #Impact road traffic reduction programme with Norfolk Constabulary, drowning prevention training with the RNLI and safety awareness for children through Crucial Crews.</p>

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure that staff have a good understanding of how to identify vulnerability and safeguard vulnerable people.	A programme of refresher training for all staff has started to ensure they know how to identify vulnerable people and safeguard them by raising concerns through relevant referral routes.	The programme of refresher training for all staff will continue, and will be completed by March 2020 . Introducing a simplified way for our staff to raise safeguarding concerns.	
The service should evaluate its prevention work, so it understands the benefits better.	The County Council's Libraries and Information Service has developed a tool to help evaluate the impact of the prevention work it carries out with communities and vulnerable people. We are working with colleagues in Libraries to explore how this can be adapted for Fire and Rescue.	Exploring ways to evaluate the full range of prevention work undertaken. This includes considering extending the evaluation already carried out, using the tool developed by libraries and working with partners like Norfolk Constabulary to identify impact of shared activity. We will also work with other Fire and Rescue colleagues, through the National Fire Chiefs Council, to identify best practice.	Evaluation is already carried out on the some of our prevention activity. Making a direct link between prevention work and impact on measures/outcomes is challenging.

Protecting the public through fire regulation



Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure it allocates enough resources to a prioritised and risk-based inspection programme. This should include its arrangements for providing specialist protection advice out of hours.	An organisational review has started and all functions will be reviewed over the next 12-18 months.	Community Fire Protection will be a priority area for the organisational review. The review will include consideration of how we can improve access to specialist advice out of hours and how resources can best be organised to deliver outcomes.	There is currently a fire safety plan that prioritises inspections on those buildings that present the highest risk to the occupants, should a fire start.
The service should ensure that staff work with local businesses and large organisations to share information and expectations on compliance with fire safety regulations.	In May 2019, NFRS began piloting a service offering training sessions for residential social landlords to educate staff around fire safety and community safety.	Further improvements in business engagement are being considered as part of the development of the new IRMP 2020-23.	
The service should ensure it addresses effectively the burden of false alarms.	Over the years we have successfully reduced the number of mobilisations to unwanted fire alarm signals to commercial premises (of the 241 automatic alarms received from commercial premises in Jan- March only 31 were attended).	Undertake a policy review to identify further opportunities to reduce our attendance at false alarms , and to work with businesses to avoid instances of false alarms taking place. Introduce refreshed guidance for our staff to improve understanding of how to work with businesses to further reduce false alarms.	The service already has a policy of challenging signals for automatic fire alarms from commercial premises such as shops. This policy has successfully reduced the number alarms attended but this reduction has levelled off over the past few years.

Responding to fires and other emergencies



Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure it has an effective system for staff to use learning and debriefs to improve operational response and incident command.	We have refocused managers attention on ensuring all operational learning and debriefs are completed on time . This performance will be monitored.	Based on the performance of learning and debriefs, we will consider if further measures are required to further embed this.	After serious incidents we ask our crews to record any of the lessons they have identified. This operational learning is used to improve our response and in our training.

Responding to national risks



Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure its firefighters have good access to relevant and up-to-date risk information. This should include cross-border risk information.	The inspection found that a few of our staff did not know how to access this information on the appliance computers when not attending an emergency. Action is already underway through managers to ensure staff are aware.	As we make amendments and additions to risk information, continue to ensure that this is available to firefighters to access.	Our firefighters have access to the latest risk information through their fire appliance on board computers, including cross border risk information.
The service should arrange a programme of over-the-border exercises, sharing the learning from these exercises.	Our district plans now contain over the border exercises and these are currently being undertaken. This provides an opportunity for all services to share operational learning.	Over the border exercises will continue to be carried out.	We have arrangements for forming a multi - agency response to terrorist related incidents including a multi-agency team that responds to terrorist attacks.
The service should ensure it is well-prepared to form part of a multi-agency response to a terrorist-related incident and that its procedures for responding are understood by all staff and are well tested.	Our joint Police and Fire Communication and Control Room went live on 1 July ; this will improve multi-agency coordination and communication during emergencies, and further strengthen our joint working in response to terrorism.	Continue to ensure staff are aware of the procedures for responding.	The recent publication of new National guidance will provide an opportunity to help improve our staff's understanding of the procedures to follow when responding to terrorism.

Efficiency

2. How efficient is the fire and rescue service at keeping people safe and secure from fire and other risks.



Requires improvement

Making best use of resources



Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure that resources are appropriately allocated to support the activity set out in its integrated risk management plan.	Development of a new IRMP 2020-23 is well progressed.	Resources and capacity will be considered as part of the development of the IRMP. If additional resources/capacity will be needed to deliver priorities within the IRMP, they will be highlighted with Members so that they can be fully considered.	The IRMP is a statutory document which every fire and rescue service is required to have in place.
The service should ensure that it makes best use of the resources available to it, including from elsewhere within Norfolk county council, to increase resilience and capacity.	An organisational review has started and all functions will be reviewed over the next 12-18 months. The first phase of the review was to develop a new permanent senior leadership team structure and recruitment to these posts will start shortly.	Community Fire Protection will be a priority area for the organisational review. The review will include consideration of the resources required and how they can best be organised to deliver outcomes.	The organisational review will identify opportunities for better working with colleagues in the wider County Council.

Making the fire and rescue service affordable now and in the future



Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure it makes the best use of available technology to improve operational effectiveness and efficiency.	Following significant capital investment, we will be rolling out new mobile data terminals to all of our fire appliances in the new year.	<p>Reviewing some of our legacy systems and manual processes to identify opportunities put more efficient and effective arrangements in place, including streamlined digital processes. This includes introducing the new ways of working being developed as part of the County Council's Smarter Working programme.</p> <p>Work with fire and rescue colleagues through the National Fire Chiefs Council to identify opportunities to test and adopt new technology.</p>	Norfolk Fire and Rescue Service is working with other services regionally to share systems wherever possible.

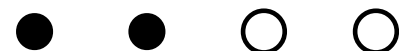
People

3. How well does the fire and rescue service look after its people.



Requires improvement

Promoting the right values and culture



Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure its values and behaviours are understood and demonstrated at all levels of the organisation.	<p>Over the last few months, work has been undertaken to roll out a new cultural framework for the service, clearly defining the values and behaviours of the service.</p> <p>A joint commitment to ensuring dignity in our workplace has been signed by our Chief Fire Officer, Unions and staff associations. This includes a clear statement that bullying and harassment of any form is not acceptable.</p> <p>A new employee engagement strategy is under development.</p> <p>A further staff survey has</p>	<p>Implementation of the cultural framework across the service. This will embed behaviours and values across the service, including through personal and performance management processes. This will help demonstrate how all staff are equally valued for their contribution in making Norfolk safer.</p> <p>We are in the process of adopting the National Fire Chief Councils Leadership Framework. This sets out and defines the leadership behaviours needed at every level in the Fire and Rescue Service. It also sets out some of the key requirements to</p>	The National Fire Chief Councils has this year published a new Leadership Framework. The cultural framework for the service incorporates this framework.

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
	been carried out, as part of the County Council wide survey, and the results of this are being analysed.	support and develop people's careers and will be used in our promotion and personal development programmes. We will continue to work with staff and unions to support staff to understand the behaviours we expect, and to feel able to raise any issues. This includes implementing the new employee engagement strategy.	
The service should assure itself that staff understand and have confidence in the purpose and integrity of health, safety and wellbeing policies.	A programme of rolling out wellbeing surveys across all teams in the service is underway. These surveys will help improve our staff understanding of the wellbeing support available to them and how to access it.	Complete the programme of wellbeing surveys by the Autumn 2020. We will continue to work with staff and unions, as above.	

Getting the right people with the right skills



Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure its workforce plan takes full account of the necessary skills and capabilities to carry out the integrated risk management plan.	We have established a new resources board of senior managers which will help to ensure we have effective succession planning arrangements.	To improve our workforce planning, a new workforce strategy will be developed which will take account of the necessary skills and capabilities to deliver our new IRMP 2020-23.	

Ensuring fairness and promoting diversity

● ● ○ ○
Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should assure itself that it has effective grievance procedures.	The grievance procedure has been changed to so that better data about informal grievances is recorded, to ensure that we are able to review and learn from this information.	Information on the grievance procedure will be monitored regularly by managers and staff groups. Working with staff and representative bodies to build confidence in the procedure.	
The service should assure itself that staff are confident using its feedback mechanisms.	A service wide internal communication staff survey was carried out April. This has shown an improvement in our internal communications when compared to the results of a similar survey carried out in 2018. As a result of the feedback from the survey, new arrangements have been put in place for regular senior management engagement with all teams , including a programme for the CFO and his team to visit all fire stations and other offices.	Undertake a review of our feedback mechanisms to identify further ways we can improve staff confidence.	

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
To identify and tackle barriers to equality of opportunity, and make its workforce more representative, the service should ensure diversity and inclusion are well-understood and become important values of the service.	A self-assessment against the national Fire and Rescue Service Equality Framework is underway, to identify ways that the service can make the workplace more inclusive.	<p>Implement actions and activities identified through the self-assessment process.</p> <p>Work to attract applications to vacancies from across our diverse communities will continue.</p> <p>To act as a critical friend and to help us track the, we have asked the Local Government Association to undertake a peer challenge of our service at the end of the year.</p>	Nationally, fire and rescue services have found it challenging to attract and retain a diverse workforce. The latest wholetime recruitment campaign has been successful with 25% of apprenticeship firefighters being women.

Managing performance developing leaders

● ● ○ ○
Requires improvement

Areas for improvement identified by HMICFRS	Actions already taken by NFRS	Further actions planned	Background information
The service should ensure its selection, development and promotion of staff is open, transparent and fair.	The recruitment to the new senior leadership team posts will be a national campaign open to both internal and external applicants. A staff consultation on the structure was carried out before it was finalised.	Introducing new panel style promotion interviews across the service. This new approach will provide confidence that the interview stage of our selection process is consistent, fair, open and clear.	For uniformed posts, NFRS uses assessment and development centres as part of the recruitment process, which helps to provide a consistent, open and fair selection process.
The service should put in place an open and fair process to identify, develop and support high-potential staff and aspiring leaders.		A talent management scheme will be developed and implemented. This will be informed by the talent management scheme being developed for the wider County Council and the talent toolkit being produced by the National Fire Chiefs Council.	