

# Cabinet

Date: **Monday 6 September 2021**

Time: **10 am**

Venue: **Council Chamber, County Hall, Martineau Lane,  
Norwich NR1 2DH**

## Membership

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

## Advice for members of the public:

This meeting will be held in public and in person.

It will be live streamed on YouTube and, in view of Covid-19 guidelines, we would encourage members of the public to watch remotely by clicking on the following link:  
<https://youtu.be/UNct4dLYm00>

However, if you wish to attend in person it would be most helpful if, on this occasion, you could indicate in advance that it is your intention to do so. This can be done by emailing [committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk) where we will ask you to provide your name, address and details of how we can contact you (in the event of a Covid-19 outbreak). Please note that public seating will be limited.

Councillors and Officers attending the meeting will be taking a lateral flow test in advance. They will also be required to wear face masks when they are moving around the room but may remove them once seated. We would like to request that anyone attending the meeting does the same to help make the event safe for all those attending. Information about symptom-free testing is available [here](#).

## A g e n d a

### 1 To receive any apologies.

### 2 Minutes

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To confirm the minutes from the Cabinet Meeting held on Monday 2 August 2021

### 3 Members to Declare any Interests

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

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

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

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

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

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

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

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

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

**6 Public Question Time**

Fifteen minutes for questions from members of the public of which due notice has been given. Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by 5pm on Wednesday 1 September 2021. For guidance on submitting a public question, view the Constitution at <https://www.norfolk.gov.uk/what-we-do-and-how-we-work/councillors-meetings-decisions-and-elections/committees-agendas-and-recent-decisions/ask-a-question-to-a-committee>.

Any public questions received by the deadline and the responses will be published on the website and can be viewed by clicking this link once uploaded: [Click here to view public questions and responses](#)

**7 Local Member Issues/Questions**

Fifteen minutes for local member to raise issues of concern of which due notice has been given. Please note that all questions must be received by the Committee Team ([committees@norfolk.gov.uk](mailto:committees@norfolk.gov.uk)) by 5pm on Wednesday 1 September 2021.

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|--|----------|
| <b>8 Norfolk County Council in an Integrated Care System</b><br>Report by the Executive Director of Adult Social Services                          | Page 33  |
| <b>9 NCC Apprenticeship Strategy 2020-2023 (and Action Plan)</b><br>Report by the Executive Director of Community & Environmental Services         | Page 48  |
| <b>10 £1m Road Safety Community Fund</b><br>Report by the Executive Director of Community & Environmental Services.                                | Page 111 |
| <b>11 £10m Highways Maintenance Pothole Fund</b><br>Report by the Executive Director of Community & Environmental Services.                        | Page 117 |
| <b>12 Flood Reserve Fund and Norfolk Strategic Flood Alliance Update</b><br>Report by the Executive Director of Community & Environmental Services | Page 122 |
| <b>13 Corporately Significant Vital Signs Performance Report</b><br>Report by the Executive Director of Strategy and Transformation                | Page 162 |
| <b>14 Risk Management</b><br>Report by the Executive Director of Finance & Commercial Services   | Page 175 |

- 15 Finance Monitoring Report 2021-22 P4: July 2021** Page 219  
Report by the Executive Director of Finance & Commercial Services
- 16 Disposal, Acquisition & Exploitation of Property** Page 254  
Report by the Executive Director of Finance and Commercial Services
- 17 Reports of the Cabinet Member Delegated Decisions made since the last Cabinet meeting:**  
To note the delegated decisions made since the last Cabinet meeting.

**Decision by the Cabinet Member for Highways, Infrastructure and Transport**

- [Active Travel Fund – Tranche 3 - Bid Submission](#)
- [Downham Market, Various roads off Railway Road - 20mph zone](#)
- [Extension of the existing e-scooter trial in Norwich](#)
- [Greater Norwich Local Plan submission](#)
- [Norfolk County Council – A149 Speed Limit Reduction](#)

Tom McCabe  
Head of Paid Service  
Norfolk County Council  
County Hall  
Martineau Lane  
Norwich  
NR1 2DH

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**Cabinet**  
**Minutes of the Meeting held on Monday 2 August 2021**  
**in the Council Chamber, County Hall, at 10am**

**Present:**

Cllr Andrew Proctor	Chairman. Leader & Cabinet Member for Strategy & Governance.
Cllr Graham Plant	Vice-Chairman 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 Daniel Elmer	Deputy Cabinet Member for Children's Services.
Cllr Tom FitzPatrick	Cabinet Member for Innovation, Transformation & Performance.
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.

**Executive Directors Present:**

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

Cabinet Members and Executive Directors formally introduced themselves.

The Cabinet Member for Innovation, Transformation and Performance shared with Cabinet the announcement by the Digital Minister about Project Gigabyte from the Department for Culture, Media and Sport. Norfolk County Council had been awarded the highest amount in the East of England as part of this project, and it would allow people to access broadband speeds of more than 1000 megabytes, or 1 gigabyte, per second. The contract for £115-195m would be awarded in February 2022 to start in January 2023, to reach around 119,000 homes in Norfolk. This project would be targeted at the hardest to reach and those with slowest broadband connections.

**1 Apologies for Absence**

- 1.1 Apologies were received from Cllr John Fisher, the Cabinet Member for Children's Services, (Cllr Daniel Elmer substituting) and Cllr Andy Grant, the Cabinet Member for Environment and Waste.

## **2 Minutes from the meeting held on Monday 5 July 2021.**

- 2.1 Cabinet agreed the minutes of the meeting held on Monday 5 July 2021 as an accurate record of the meeting, with an **amendment** to note:
- there was a typographical error in the 'notice of exemptions to contract standing orders' report that came to Cabinet on 5th July under item 12. The report stated that legal advice from supplier Pinsent Masons was in respect of the "Great Yarmouth Third River Crossing EX61228" and should have read "Norwich Western Link EX61228".

## **3 Declaration of Interests**

- 3.1 No interests were declared.

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

- 4.1 No matters were referred to Cabinet.

## **5 Items of Urgent Business**

- 5.1 There were no items of urgent business.

## **6 Public Question Time**

- 6.1 One public question was received; this question and the response given is attached to these minutes at Appendix A..

## **7 Local Member Questions/Issues**

- 7.1 The list of Local Member questions and the responses is attached to these minutes at Appendix B.

### **7.2 Supplementary question from Cllr Alexandra Kemp**

- 7.2.1 Cllr Kemp commented that it was reported that the Medworth Incinerator would burn 625,000 tonnes of waste on the Norfolk Border upwind of King's Lynn which would be against Norfolk's No Incinerator in Norfolk Policy. She noted that Norfolk recycled 60% of its waste while other places, such as San Francisco recycled 80% of its waste and felt that the Council should reassess its waste policy. Cllr Kemp reported that Medworth had told residents that they had spoken with Norfolk County Council and were confident of getting a contract to burn 250,000 tonnes of Norfolk's waste. Cllr Kemp asked if this was true.

- 7.2.2 The Chairman found this incredible and his response to this question was no.

### **7.3 Supplementary question from Cllr Rhodri Oliver**

- 7.3.1 Cllr Oliver believed that no consultation had been carried out by Norfolk County Council, and serious issues had been raised to do with the site. He asked the Cabinet Member to reconsider meeting with himself, Attleborough Town Council

and the public to find a solution which would benefit the town.

- 7.3.2 The Cabinet Member for Commercial Services and Asset Management replied that he was not content to do this; Cllr Oliver had been given a detailed response on this subject in July 2021. He offered Cllr Oliver the opportunity to discuss this with him at another time if needed.

## **8. Norfolk Fire and Rescue Service Statement of Assurance 2020/21**

- 8.1.1 Cabinet received the report setting out the annual Norfolk Fire and Rescue Service Statement of Assurance for 2020/21, which must provide assurance on financial, governance and operational matters for the previous year and how the service had had due regard to the expectations set out in their Integrated Risk Management Plan and the requirements included in the Fire and Rescue National Framework 2018.
- 8.1.2 The Chairman welcomed the Police and Crime Commissioner for Norfolk and Assistant Chief Fire Officer to the meeting.
- 8.1.3 The Cabinet Member for Communities and Partnerships introduced the report to Cabinet:
- There was a legal requirement for the Fire Service to publish the Service Statement of Assurance annually. The information included in the statement was required to be robust, accessible and fit for purpose.
  - The statement included information on how the service had responded to the Covid-19 crisis. This included supporting with delivering PPE, providing services to temporary mortuaries and supporting vulnerable people in the community.
  - The majority of work carried out by the service was prevention, through reducing emergencies and protecting people and property through advising on home safety, fire safety and water safety. They were also a partner in the Norfolk Resilience Forum, supporting the response to flooding and winter safety.
  - There were impressive statistics in the report including those relating to Covid-19 and supporting the NHS
  - The Cabinet Member for Communities and Partnerships thanked all staff in the service for their work over the past year and moved the recommendations as set out in the report
- 8.2 The Chairman commended the fire service for their exemplary response during the Covid-19 pandemic in the past year and ongoing.
- 8.3 The Cabinet Member for Adult Social Care, Public Health and Prevention thanked the Fire Service for their strong performance compared to national criteria and other fire services in the country.
- 8.4 The Cabinet Member for Innovation, Transformation and Performance noted the plan on a page on page 42 and commented that he would like to see this emulated in other service areas
- 8.5 The Chairman noted that ongoing operational assurance and succession planning was being addressed by the service.

8.6 Cabinet **RESOLVED** to **approve** the Norfolk Fire and Rescue Service Statement of Assurance 2020/21 as set out in Appendix A of the report.

8.7 **Evidence and Reasons for Decision:**

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

8.8 **Alternative Options**

It is a legal requirement to publish this document, therefore, there is no viable alternative.

**9. Local Transport Plan**

9.1.1 Cabinet received the report setting out the Local Transport Plan, a statutory document required by the Transport Act 2000 (as amended by the Local Transport Act 2008), setting out the county council's overall approach to transport, including development and delivery of schemes as part of the council's capital programme.

9.1.2 The Executive Director of Strategy and Transformation introduced the report to Cabinet:

- This was a Council high level document setting out strategies for transport in Norfolk and key challenges, supported by a number of other strategies such as Transport for Norwich which was being consulted on over the summer and an electric vehicle strategy which was due before members soon.
- The plan would address key challenges faced by the county and help meet the Council pledge to achieve net zero carbon by 2030 as set out in the environmental policy.
- The plan prioritised changing modes of travel and would bring forward measures to support active travel and public transport while recognising the rural context of the county and access to essential services.
- The plan would help address the commitment to the enhanced bus partnership.
- The strategy would be supported by a more detailed implementation plan which would bring measures to deliver policy commitments. The Local Transport plan had been developed having considered a range of evidence reports including on carbon reduction. Health and equality impact assessments and an environmental assessment had been carried out.

9.1.3 The Cabinet Member for Highways and Infrastructure introduced the report to Cabinet:

- This key document for council set out the overall approach to transport, showing how wider ambitions could be delivered including growing the economy, stronger communities and reducing the impact on the environment.
- The Council had a commitment to reach carbon neutrality by 2030, as set out in the environmental policy, and to improve air quality in rural and urban areas.
- The plan included a focus on active travel in towns and villages, a shift to clean fuels and towards electric vehicles with a focus on public transport,



recognising the importance of ensuring people could get to work and education.

- The Council would strive to improve rail links and achieve dualling of the A47.
- The local transport plan was presented to the Infrastructure and Development Committee in July 2021, where important comments were made including about active travel and the shift to electric vehicles. The Select Committee made suggestions about things which could support the Local Transport Plan which would be taken into account by officers over the coming year as they prepared the implementation plan.
- The Select Committee were concerned about public transport, particularly in rural areas, and suggested a Member Working Group be set up which could build on work carried out by the Local Transport Plan working group which carried out a deep dive into public transport; this group could help the Council with development of the public transport improvement plan.
- The Cabinet Member would ask officers to take issues and suggestions raised by the Select Committee into account as they moved forward.
- The Cabinet Member for Highways and Infrastructure moved the recommendations as set out in the report.

- 9.2 The Cabinet Member for Adult Social Care, Public Health and Prevention was pleased to note the goal of improving connectivity between rural and urban centres with a focus on active travel. He congratulated the Cabinet Member on the success in obtaining funding from Government to support large infrastructure projects such as the Broadland Northway, 3<sup>rd</sup> River Crossing and Long Stratton Bypass.
- 9.3 The Cabinet Member for Finance was pleased to note the extension of walking and cycling networks in urban areas and urged the Cabinet Member to focus on this infrastructure in rural areas as well. The Cabinet Member for Finance noted the funding received for this type of infrastructure and looked forward to the outcome of the Bus Back Better funding bid.
- 9.4 The Cabinet Member for Innovation, Transformation and Performance noted that there had been a 24% drop in shopping trips in England between 1995 and 2013, showing a change in shopping habits towards an increased use of online modes of shopping, which was reflected in the report.
- 9.5 The Vice-Chairman highlighted paragraph 2 under the title “growth and development” on page 107 of the report; he felt it was important to note this approach taken by the council which indicated that newly developed sites would be well-connected to local services and consideration given to infrastructure required to ensure developments could be delivered sustainably.
- 9.6 The Chairman drew attention to the legal implications and how these were being considered, set out in paragraph 8.1 of the report, and the sustainability implications and how policies had performed against the Sustainability Assessment, set out in paragraph 8.6 of the report. He also noted this was not a strategy in isolation as an Implementation Plan was being prepared.
- 9.7 Cabinet **RESOLVED** to **recommend** to Full Council that the Local Transport Plan set out in Appendix A of the report is adopted.

## 9.8 Evidence and reasons for Decision

Adoption of the proposed plan will ensure that the county council has an up to date plan taking account of, and reflecting, amongst other things, current legislation and policy requirements; and that the council continues to meet the requirements of the relevant Act.

## 9.9 Alternative Options

The proposed plan is considered best to achieve the council's wider ambitions including a growing economy, strong communities and reducing our impact on the environment. It has been the subject of robust assessment, including a Sustainability Appraisal, to promote sustainable development by assessing environmental, social and economic impacts, as well as mitigating any potential adverse effects that the plan might otherwise have.

## 10 Norfolk Youth Justice Plan 2021-24

- 10.1.1 Cabinet received the report setting out the Norfolk Youth Justice Plan, produced to outline the actions, risks and opportunities identified to ensure that the desired outcomes for young people and the victims of their crime are achieved by Norfolk Youth Offending Team and the Norfolk Youth Justice Board partnership in 2021-24, and setting out the key priorities for the 2021-24 period.
- 10.1.2 The Executive Director for Children's Services introduced the report to Cabinet:
- It was a statutory requirement to bring the report to Cabinet in accordance with section 40 of the Crime and Disorder Act 1998.
  - A 3-year plan had been brought due to a change in national policy to put children first and offenders second; this was a welcome shift which fits well with local practice.
  - An independent chair was now in place so NCC could be equally held to account alongside other relevant partners that form the Youth Justice Board.
  - The plan showed achievements over the past year and detail of future priorities over the next 3 years.
- 10.1.3 The Deputy Cabinet Member for Children's Services introduced the report to Cabinet:
- The plan built on progress locally and nationally and aimed to reduce first time entrants into the criminal justice system
  - Over the next three years a new pathway for speech and language therapy would be introduced and there was an aim to reduce the caseload for practitioners with higher risk caseloads.
  - The Deputy Cabinet Member for Children's Services recognised the work of the challenge for change initiative where Children's Services had worked collaboratively with Norfolk Constabulary to intervene with young people at the earliest opportunities at the point of arrest.
  - The Deputy Cabinet Member for Children's Services asked the Chairman to move the recommendations as set out in the report.
- 10.2 Having been involved in setting up a charity which helped prevent young people from becoming involved in crime, the Cabinet Member for Commercial Services and Asset Management noted the excellent work of the Youth Offending Team

and felt that the proposals set out in the paper would enhance their work further.

- 10.3 The Cabinet Member for Adult Social Care, Public Health and Prevention welcomed the appointment of the independent chair which he felt was an excellent step forward and showed the maturity of the approach of the Council. He felt there was a clear focus set out in the report which supported the plan. The Cabinet Member for Innovation, Transformation and Performance noted the importance of the aims set out in the report to “reduce the number of children in the justice system” and “reduce the number of the children in the offending system”.
- 10.4 The Chairman noted the importance of the “restorative approach to work with young people” set out in paragraph 2.5 of the report which he felt was a positive way forward. The Chairman noted the outcomes of successful delivery of the plan and what this would mean in terms of success as set out in paragraph 3.1 of the report. The Chairman drew attention to page 195 showing the priorities for the period of the plan and also showing what would indicate success. The Chairman was also pleased to note feedback from young people had been included in the report.
- 10.5 Cabinet **RESOLVED** to **recommend** the Norfolk Youth Justice Plan 2021-24 to Full Council for approval.

10.6 **Evidence and Reasons 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 in consultation with the Norfolk Youth Justice Board partnership.

In February 2021 the Norfolk Youth Justice Board held a ‘Setting the Strategic Direction’ workshop. The Independent Chair of the Board and the YOT Management Team presented the progress and future challenges to the Board. The Board subsequently agreed the 2021-24 plan priorities at the June 2021 Board meeting and those priorities are contained in the plan.

10.7 **Alternative Options**

The formulation and implementation of an annual Youth Justice Plan is a statutory requirement under the Crime and Disorder Act, 1998.

**11 Independent living programme – Stalham**

- 11.1.1 Cabinet received the report summarising the business case for approving £2,046,000 capital funding from the Independent Living capital programme to Housing 21 to support the development and secure nomination rights for Norfolk County Council to all 62 apartments in a new 62 unit independent living scheme for older people in Stalham, North Norfolk district.
- 11.1.2 The Executive Director for Adult Social Services introduced the report to Cabinet:
- Independent living was a strand of promoting independence; as part of this approach, when working with people on care decisions, it has been identified that most people found residential care to be a last resort and

would prefer to live somewhere where they have a stake in ownership.

- This would be the third scheme of its type achieved over the course of the programme and the department was looking to implement more to meet the need identified in the County.

11.1.3 The Cabinet Member for Adult Social Care, Public Health and Prevention introduced the report to Cabinet:

- As people were living longer there was a greater elderly population. Independent living gave people the opportunity to receive care in their own homes, in an environment where they could be more independent and make decisions about their daily routine in a way that they could not do in a care home.
- The County Council launched its fund of around £30m to support private capital and providers to bring this option into Norfolk; this approach has been effective in other countries, such as Australia, and is an option people had been telling the council they would like to be available to them.
- Paragraph 3.2 of the report gave information from studies of independent living showing that it could result in a reduction in falls and GP visits and increase wellbeing.
- Each development would provide about 35 jobs and inward investment in communities.
- This proposed unit was subject to final planning approval from North Norfolk District Council. Pre-planning engagement had taken place since spring and conversations had been held with stakeholders including Stalham Town Council. Amendments have taken place as a result of these discussions
- There would be an opportunity for local people and people with ties to the community to have priority for these units.
- Similar units had been built in Fakenham and Herondale in Acle, which were accessible to local amenities and facilities and had been well received.
- The Cabinet Member for Adult Social Care, Public Health and Prevention moved the recommendations as set out in the report.

11.2 The Vice-Chairman noted that the location was in ideal for local people as indicated on page 125 of the report and referred to the evidence as set out in paragraph 4.5 of the report.

11.3 The Cabinet Member for Finance thanked the Executive Director and Cabinet Member for their introductions. He noted that independent living schemes were popular and also cheaper to run for the Council. This scheme would create 35 new jobs, bring a £15m development to the town and contribute towards housing targets. This was part of £29m set aside to meet this type of demand and the Cabinet Member for Finance looked forward to more such schemes being developed.

11.4 The Cabinet Member for Innovation, Transformation and Performance noted that the Fakenham scheme was near to many facilities and amenities and was delivering what local people wanted.

11.5 The Chairman agreed that this development would bring significant benefits to the local community and was proposed to be placed in an ideal location with access to local facilities. The Chairman noted that this type of provision was much needed and would provide jobs in the area; it was an invest to save project which would further the Council's strategies.

- 11.6 Cabinet **RESOLVED:**
- (a) To approve £2,046,000 of capital contribution funding from the Independent Living (extra care) capital programme to Housing 21 to support the development and secure nominations rights for 62 apartments in a new 62 independent living scheme for older people in Stalham, North Norfolk
  - (b) To approve an exemption under paragraph 10(a)(iii) of contract standing orders
  - (c) To delegate the responsibility to the Director of Commissioning to complete the relevant contract(s) with Housing 21

11.7 **Evidence and Reasons for Decision**

Norfolk County Council has a programme of work to support independent living (also called extra care) housing developments with capital contributions in exchange for nomination rights. Affordable rental schemes are not financially viable for the market to provide but they allow vulnerable people to live independently for longer and they reduce need for placements in residential care homes.

Based on the original programme demand data, there is an estimated total requirement for 482 extra care housing units in North Norfolk. Of these, 194 units should be for affordable rent and 292 should be for sale (either shared ownership or outright sale).

Housing 21 have provided a range of information about the scheme which has been assessed and validated against the criteria set out by the programme, including design standards (including accessibility), communal space, location, assistive technology provision and commitment to the planned and unplanned care model. The outcome of these assessments is that the programme recommends the scheme as meeting the criteria for an Independent Living capital contribution.

The scheme is still subject to planning approval and is anticipated to be granted in September 2021. North Norfolk District Council (NNDC) have provisionally approved the proposed rents for the affordable rental units and service charges that Housing 21 have submitted for all units. These levels of rent and service charges will be reviewed each year and will be subject to inflationary increases.

There will be a fifty-year Nomination Agreement between NCC, Housing 21 and NNDC which will give NCC the right to nominate older people with eligible care needs as potential tenants for the 62 affordable rent units. Priority will be given to residents of the local district or with a family connection within the local district.

Potential tenants for affordable rent units will be identified by adult operational teams, approximately nine months before completion. This will allow units to have an element of customisation where possible and to minimise the risk of there being empty units on completion.

11.8 **Alternative Options**

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

## **12 Economic Recovery and Growth Plans**

- 12.1.1 Cabinet received the report outlining the areas of work that would support Norfolk to respond to the changing economic landscape, putting the county in a strong position to address the challenges, maximise opportunities and compete nationally for funds.
- 12.1.2 The Vice-Chairman introduced the report to Cabinet:
- It was vital that Norfolk placed itself to enable its economy to grow; the report acknowledged key pieces of work underway to support Norfolk's economic recovery post pandemic.
  - Appendix B of the report highlighted key economic recovery activity for 2021 such as the Go Digital programme which currently had 160 businesses taking part, and the Innovation Grant Mentoring Project.
  - Part A2 of appendix B of the report gave details of the schemes which would support key sectors in Norfolk and the Vice-Chairman gave details about these.
  - The Vice-Chairman gave background to the Economic Recovery, Norfolk and Suffolk Renewal Plan as set out in paragraph 2.1 of the report and the Norfolk Investment Framework, detailed in paragraph 2.2 of the report, which would define Norfolk's contribution to economic growth objectives and how this would be delivered.
  - Norfolk's GDP had fallen during the pandemic and it was therefore important to put support in place for communities and businesses to enable this to recover.
  - Paragraphs 2.2-2.4.5 of the report gave an overview of funds that would replace European funding.
  - To place Norfolk in a position to compete for funds on a national scale, paragraph 3.2 showed how a clear framework for investment would be put in place by developing a strong evidence framework.
- 12.2 The Cabinet Member for Finance felt that the report set out an ambitious range of programmes supporting key sectors and commended the Drive programme for driving rural investment and employment, and the Employer Training Incentive Programme which would allow people to upskill in their chosen profession. The Cabinet Member for Adult Social Care, Public Health and Prevention noted that the Norfolk Investment Framework would be vital to ensure that the council was ready to bid for Central Government funding moving forward.
- 12.3 The Cabinet Member for Highways and Infrastructure supported the report which showed that the council was looking forward to a strong economy in Norfolk coming out of the pandemic with the delivery of main infrastructure projects such as the Great Yarmouth Third River Crossing and Norwich Western Link helping to attract jobs to Norfolk.
- 12.4 The Cabinet Member for Innovation, Transformation and Performance noted the comprehensive report and thanked the Vice-Chairman for his introduction. The Cabinet Member for Innovation, Transformation and Performance referred to page 249 of the report, commenting on the importance of ensuring that holiday accommodation had good access to the internet and mobile signal and noting how many services of the council were interconnected. This would be supported by the announcement of Project Gigabyte.

- 12.5 The Vice-Chairman discussed that during 2014 £300m of funding was allocated by Government for completion of major improvement schemes on the A47. The Vice-Chairman and Cabinet Member for Highways and Infrastructure had followed up about achieving completion of this work so that the economic benefits could be realised.
- 12.6 The Chairman commented that the work outlined in the report was a key piece of work for the County Council to be involved in; recovery of the economy was essential for the county and the country. The place-based approach was beneficial, and the plans would link into county deals and levelling up.
- 12.7 Cabinet **RESOLVED** to **agree**:
1. That the Council's Growth & Development Team works in partnership with the Local Enterprise Partnership to produce a Norfolk and Suffolk Renewal Plan. Sign off on the draft of this Plan will be delegated to the Head of Paid Service and the Cabinet Member for Growing the Economy.
  2. That the Council's Growth & Development Team develops a Norfolk Investment Framework, which sets out the challenges in the next 3-5yrs. The Framework will:
    - provide the evidence base and agreed priorities used to unlock investment, from a wide range of funding sources
    - be brought back to Infrastructure & Development Committee, then Cabinet, for review and sign off
- 12.8 **Evidence and Reasons for Decision**
- The report outlines the rationale for the development of a strong evidence base required to compete for future funding.
- 12.9 **Alternative Options**
- a) Do nothing and respond to calls for funding as and when they arise. This should be rejected, as it would cause difficulties in prioritising competing activity and bids across Norfolk, which would put us at a competitive disadvantage Nationally.
  - b) Choose to limit support for and input into the LEP's Norfolk and Suffolk Renewal Plan. This should be rejected, as it would result in an imbalance, with Suffolk heavily influencing the areas of potential investment and the LEP prioritising key activity across Suffolk for future funding bids.
  - c) Choose to only support the Norfolk and Suffolk Economic Renewal Plan and the shared priorities across the two counties. This should be rejected, as it would limit the opportunities for Norfolk to compete nationally for funds. With uncertainty over the future of LEPs, this would also be risky not to have a separate investment framework for Norfolk.
  - d) Delay the development of the Framework until the Shared Prosperity Fund is announced and full details are published. This should be rejected, as it would risk us missing opportunities to develop a strong pipeline of projects that would enable us to draw down funds within the timescales. It could also mean that other investment opportunities are missed for wider schemes.

## 13 Finance Monitoring Report 2021-22 P3: June 2021

- 13.1.1 Cabinet received the report giving a summary of the forecast financial position for the 2021-22 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2022, together with related financial information.
- 13.1.2 The Cabinet Member for Finance introduced the report to Cabinet:
- At the close of the first quarter of 2021, a balanced position was forecast for the end of the financial year, 2021-22
  - Some uncertainties remained particularly in relation to the ongoing impact of the pandemic.
  - Children's Services' home to school transport and social care placements were under pressure and Adult Social Services were seeing a purchase of care overspend. As part of additions to the capital programme in recommendation 1, an option of capitalising earlier costs incurred was therefore included within both transformation teams' programmes.
  - The bulk of the capital budget was for highways use funded by DfT and other sources; it was proposed in the report that a reserve be set up, funded from surplus capital receipts to fund the council's commitments to underwrite 15% of the cost of the Norwich Western Link.
  - The initial payment into that reserve of £2.861m represented the sale of land at Hopton to Repton Properties Ltd. The remaining £16.37 would be secured from future land and property sales
  - The Cabinet Member for Finance noted the proposal to move ahead with the Stalham development, subject to planning permission discussed earlier in the meeting. The leverage discussed by The Cabinet Member for Adult Social Care, Public Health and Prevention would be important at ten times the money the Council would put into the scheme.
  - £69.19m Covid funding for the current year had been received. Covid pressures were summarised in table 4b and detailed in annex 2, and were estimated at £82m. The discrepancy was due to uncertainty around the NHS commitment to fund hospital discharge costs incurred by the Council post September 2021
  - The Council would continue to work with the DfE to find sustainable funding for the high needs block of DSG; underfunding of Norfolk had exacerbated the problem and although it was held off the balance sheet, the in-year deficit was £10.1m
  - The Council would continue to take advantage of rock bottom interest rates to smooth the repayment profile to an annual amount of £20m
  - The Cabinet Member for Finance moved the recommendations as set out in the report.
- 13.2 The Chairman noted the work to find a solution for funding for the high needs block.
- 13.3 Cabinet **RESOLVED**:
1. To recommend to County Council the addition of **£68.324m** to the capital programme to address capital funding requirements as set out in detail in capital appendix 2, paragraph 4 as follows:
    - £68.324m for 2021-22 Highways projects funded through external sources, including the Department for Transport for £61.411m and S106 for £4.681m (further details are available in Capital Appendix 2 paragraph 4.2)



- the amendment of the allocation of £0.600m capital project proposed in July 21 Cabinet to £0.020 to facilitate the 2 year programme of structural monitoring at Kings Lynn Museum and to allocate the unutilised £0.580m to the Shire Hall Victorian Court dry rot mitigation works. (Further details are available in Capital Appendix 2 paragraph 4.3)
2. Subject to County Council approval of recommendation 1 above, to delegate:
    - 2.1) To the Director of Procurement authority to undertake the necessary procurement processes including the determination of the minimum standards and selection criteria (if any) and the award criteria; to shortlist bidders; to make provisional award decisions (in consultation with the Chief Officer responsible for each scheme); to award contracts; to negotiate where the procurement procedure so permits; and to terminate award procedures if necessary;
    - 2.2) To the Director of Property authority (notwithstanding the limits set out at 5.13.6 and 5.13.7 of Financial Regulations) to negotiate or tender for or otherwise acquire the required land to deliver the schemes (including temporary land required for delivery of the works) and to dispose of land so acquired that is no longer required upon completion of the scheme;
    - 2.3) To each responsible chief officer authority to:
      - (in the case of two-stage design and build contracts) agree the price for the works upon completion of the design stage and direct that the works proceed; or alternatively direct that the works be recompleted
      - approve purchase orders, employer's instructions, compensation events or other contractual instructions necessary to effect changes in contracts that are necessitated by discoveries, unexpected ground conditions, planning conditions, requirements arising from detailed design or minor changes in scope
      - subject always to the forecast cost including works, land, fees and disbursements remaining within the agreed scheme or programme budget.
      - That the officers exercising the delegated authorities set out above shall do so in accordance with the council's Policy Framework, with the approach to Social Value in Procurement endorsed by Cabinet at its meeting of 6 July 2020, and with the approach set out in the paper entitled "Sourcing strategy for council services" approved by Policy & Resources Committee at its meeting of 16 July 2018.
  3. To approve the creation of a Norwich Western Link capital reserve funded through capital receipts to fund the non-grant funded element of the Norwich Western Link, with a first contribution of £2.861m from the sale of land at Hopton. (Appendix 2 paragraph 3.6)
  4. To note the Cabinet paper requesting approval for £2.046m capital funding for the Independent Living Capital Programme at Stalham. This £2.046m is part of the £29m Independent Living Programme approved by the Council in October 2018.
  5. To note the period 3 general fund forecast revenue **balanced position**, noting also that Executive Directors will continue to take measures to reduce or eliminate potential over-spends where these occur within services;
  6. To note the COVID-19 funding available of **£69.190m**, including £19.274m brought forward from 2020-21;

7. To note the period 3 forecast 100% savings delivery in 2021-22, noting also that Executive Directors will continue to take measures to mitigate potential savings shortfalls through alternative savings or underspends;
8. To note the forecast General Balances at 31 March 2022 of **£23.763m**.
9. To note the expenditure and funding of the revised current and future 2021-25 capital programmes

#### 13.4 **Evidence and Reasons for Decision**

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

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

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

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

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

Additional capital funds will enable services to invest in assets and infrastructure as described in Appendix 2 section 4 of the report.

The use of capital receipts for the creation of a capital receipts reserve to partially fund the Norwich Western Link will reduce the borrowing need and will consequently, reduce the revenue costs associated with funding the project.

#### 13.5 **Alternative Options**

In order to deliver a balanced budget, no viable alternative options have been identified to the recommendations in this report. In terms of financing the proposed capital expenditure, no further grant or revenue funding has been identified to fund the expenditure, apart from the funding noted in Appendix 2 of the report.

### 14 **Disposal, Acquisition & Exploitation of Property**

- 14.1.1 Cabinet received the report setting out proposals aimed at supporting Norfolk County Council priorities by exploiting properties surplus to operational requirements, pro-actively releasing property assets with latent value where the operational needs can be met from elsewhere and strategically acquiring property to drive economic growth and wellbeing in the County.
- 14.1.2 The Cabinet Member for Commercial Services and Asset Management introduced the report to Cabinet:
  - This report was proposing nine sites for disposal; all sites had been reviewed by the director of property in consultation with the corporate

property strategy group. All sites had been confirmed as not required for service use except for two of the sites in Great Yarmouth.

- The respective division members had been informed of the proposed disposal of each site.
- The Cabinet Member for Commercial Services and Asset Management gave a brief overview of each site proposed for disposal, which was outlined in the report.
- The Cabinet Member for Commercial Services and Asset Management outlined the recommendations as set out in the report.

14.2 The Cabinet Member for Innovation, Transformation and Performance agreed that the Council should dispose of land it no longer needed operationally so proceeds could be put to good use.

14.3 Cabinet **RESOLVED**:

1. To formally declare the Land adjacent to Doctor's Surgery site, Blofield (5009/017) surplus to County Council requirements and instruct the Director of Property to agree terms and dispose of the land to the adjoining owner. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
2. To formally declare the Additional Land at Former Depot, Arlington Way, Brettenham IP24 2SP (3013/013) (edged red on plan) surplus to County Council requirements and instruct the Director of Property to agree terms and dispose of this land and the land edged blue on plan to the adjoining owner. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
3. To formally declare the Land adjacent Postwick Lane Buildings, Brundall (5013/100) surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
4. To formally declare 3 former highway sites as listed in the report in North Wootton, Norwich and Wymondham surplus to County Council requirements and instruct the Director of Property to dispose of the properties. In the event for each disposal the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance & Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offers.
5. That in the event Adults Services have no use for 38 Hawthorn Road, Great Yarmouth NR31 8ES (6009/080), to formally declare the property surplus to County Council requirements and instruct the Director of Property to dispose

of the property. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.

6. That in the event Childrens Services and Adults Services have no use for 1b St Catherine's Way, Great Yarmouth NR31 7QB (6009/085), to formally declare the property surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.
7. To formally declare the Land at Church Road (2038/106 part), Hilgay surplus to County Council requirements and instruct the Director of Property to dispose of the property. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer

#### 14.4 **Evidence and Reasons for Decision**

Declaring the sites and land holdings surplus to County Council use means that the Corporate Property Team can consider options for the disposal and exploitation of these sites.

#### 14.5 **Alternative Options**

Declaring sites and land holdings surplus is a result of the sites no longer being required for service delivery. The alternative would be to retain resulting in incurring holding costs for an asset that is not contributing to service delivery.

### 16 **Reports of the Cabinet Member and Officer Delegated Decisions made since the last Cabinet meeting:**

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

The meeting ended at 11:19am

**Chairman**

**Cabinet  
2 August 2021  
Public & Local Member Questions**

<b>Agenda item 6</b>	<b>Public Question Time</b>
6.1	<p><b>Question from Philip Leslie</b> Does the cabinet member agree that Norfolk County Council's assets should be used for the benefit of the local community in which they are situated and that prior to disposal every effort should be made to engage stakeholders such as the local town district councils?</p> <p><b>Response from the Cabinet Member for Commercial Services and Asset Management</b> The responsibility of Norfolk County Council is to support all residents across the County and to deploy our funding where there is need. The disposal of assets helps fund our Capital Programme – providing the maintenance for our highway network, helping us build new schools, or to fund programmes of specialist housing for older people. For this reason we do not ringfence receipts, but fund works where they are needed</p> <p>Within Attleborough, Mr Leslie will be aware that there has been substantial investment into the new Rosecroft School and into the new Attleborough Library. Services I am sure he would agree bring great benefit to the local community.</p> <p>Where land is disposed of in a locality, we will contact the Local Divisional Member, whose role it is to act on behalf of their community. Having reviewed recent disposals with Attleborough I can confirm that Norfolk County Council made contact with the divisional member to inform them of the proposals and to seek feedback.</p>

## Appendix B

### Cabinet 2 August 2021 Local Member Questions

Agenda item 7	Local Member Issues/Questions
7.1	<p><b>Question from Cllr Alexandra Kemp</b> Medworth, subsidiary to Germany's largest listed municipal energy network MVV, owned by City of Mannheim, wants to build an incinerator upwind of the Wash, Lynn, Welney and Sandringham, to burn 625,000 tonnes of waste a year.</p> <p>From the 95-metre high stack, Lynn and Clenchwarton could be more affected by the air pollution, than Wisbech. Medworth refuse to consult with Lynn communities.</p> <p>Medworth propose to pressure Norfolk roads with 380 lorries a day on the A17 past Clenchwarton, to the Pullover Roundabout.</p> <p>Cambridgeshire County Council voted overwhelmingly against the incinerator.</p> <p>Will Cabinet respond to the consultation (ends 13 August) to reject the incinerator affecting Norfolk residents?</p> <p><b>Response from the Cabinet Member for Environment and Waste</b> The proposal by MVV is still at the pre application stage and as such the full details of the proposals and their implications is not yet known. The current consultation exercise is seeking views on the Preliminary Environmental Information Report. The purpose of which is to ensure all the likely environmental impacts are addressed in any subsequent application. It is not seeking views on support or opposition to any future proposal. We respect the positions made by our colleagues elsewhere however for the reasons already stated we do not consider it necessary or appropriate to exercise planning judgement at this stage.</p>
7.2	<p><b>Question from Cllr Ben Price</b> This summer, we've witnessed extreme weather events globally. Scientists unequivocally link these to man-made climate change.</p> <p>Again, we've seen flooding across Norfolk, including Beatrice Road in Thorpe Hamlet. Flooding is exasperated by a lack of co-ordination between this council; the lead authority, and district partners, regarding sweeping roads and gulleys. Officers from both councils try to mitigate the impacts of flooding. Representing Beatrice Road at district and county level, I've provided that co-ordination, arranging a meeting with residents and both authorities.</p> <p>What urgent steps will the leader take to establish a co-ordinated approach with district authorities to keep gulleys clear so residents across the county don't find homes unnecessarily flooded?</p> <p><b>Response from the Cabinet Member for Environment and Waste</b></p>

	<p>The road gullies are cleansed on a risk-based approach. The risk assessment looks at recorded silt levels, flood risk areas, the number of blocked gully reports and classification of the road. This assessment determines the frequency of the cleanse which is undertaken by the County Council's contractor. The District and Borough Councils are responsible for street cleansing.</p> <p>County Council Officers have well established contacts with the District and Borough Councils, and other stakeholders, in order to coordinate a response relating to flooding at a local level. This would include advising the street cleaning authorities of where significant accumulations of road silt could affect the efficiency of our drainage systems.</p> <p>On a strategic level, this collaborative approach is further demonstrated in the work the Norfolk Strategic Flood Appliance are currently delivering to resolve instances of flooding in Norfolk.</p> <p><b>Supplementary question from Cllr Ben Price</b>          “Longer-term, Norfolk is under extreme threat of rising sea levels, costal erosion, inland flooding and heat-waves. What steps is this council taking right now to adapt to climate change, while the opportunity still exists?”</p> <p><b>Response from the Cabinet Member for Environment and Waste</b>          In response to concerns around climate change, Norfolk County Council adopted an ambitious new Environmental Policy in November 2019. This Policy sets out the goal for Norfolk County Council achieving ‘net zero’ carbon emissions on our estates by 2030, and the means by which we will achieve this. Beyond our immediate estate, we also recognise our role within the wider County working with Government, District Councils and other key organisations in both the public and private sectors. Since the adoption of the Policy, significant work has been undertaken across a number of delivery areas including working with partners, communities and landowners to plant one million trees over five planting seasons; working with partners on a major active travel programme including the development of new walking and cycling infrastructure and EV charging points; and further work has successfully been completed on our long-term plans to install LED streetlights across Norfolk.</p> <p>The Council's approach to tackling climate change is set out in full in the Environmental Policy adopted in November 2019 and available on the County Council website.</p>
7.3	<p><b>Question from Cllr Rhodri Oliver</b>          Could the cabinet member outline all the different uses that were considered, the resulting reports that were drawn up, the professional advice sought and what consultations with the public and other stakeholders have been conducted in respect of the land currently being marketed for sale adjacent to Rosecroft School.</p> <p><b>Response from the Cabinet Member for Commercial Services and Asset Management</b>          Cllr Oliver will be aware that the local planning authority sets the ‘use of land’ and not Norfolk County Council. In October 2019 planning permission was granted for the site for the development of eight residential units. This replaced a planning</p>

	<p>permission from 2017, also for residential development, both of these were granted by Breckland District Council.</p> <p>Details of these and the public consultation can be found on the Breckland Planning portal.</p>
7.4	<p><b>Question from Cllr Paul Neale</b></p> <p>During the lockdown, many children who rely on Alternative Provision for education were left with little or no support due to AP providers not being recognised by the county council as schools. While mainstream schools received laptops for their students, AP provisions had to source donations from charities, initially. This is on top of a consistent lack of funding from state sources for AP providers that leave these institutions, who help some of the most vulnerable children in the county, at risk of a precarious financial position.</p> <p>Will the Cabinet Member agree to a review of the council's policy on Alternative Provision?</p> <p><b>Response from the Cabinet Member for Children's Services</b></p> <p>Alternative providers that are not state maintained are not recognised as schools by the Department for Education. All funding for schools, comes via the local authority through the Designated Schools Grant, and is delegated to maintained schools via a funding formula. Local authorities cannot deviate from that formula. Independent, or charitable alternative providers, that are not Ofsted registered and regulated are not commissioned by the local authority to provide education places. Schools can spend their budget on this provision, but the local authority works through schools, as all children must be on a school roll (or electively Home Educated) and schools are responsible for any additional alternative provision. We continue to encourage unregulated providers to seek registration and we work closely with the regional Ofsted team in line with DfE guidance.</p> <p><b>Question 2 from Cllr Paul Neale</b></p> <p>Some Alternative Providers are not commissioned by the county council directly due to these providers not being recognised as being regulated under DfE guidance. The DfE guidance was last updated in 2013. Will the Cabinet Member for Children's Services lobby Government for an update to the DfE guidance to ensure that alternative providers who work with excluded children can more easily be commissioned by local councils, thereby helping provide security for these services?</p> <p><b>Response from the Cabinet Member for Children's Services</b></p> <p>The council will continue to promote the use of registered and regulated provision for the most vulnerable children. As Cabinet Member for Children's Services I feel it would not be appropriate for me to lobby government to reduce checks and balances when children's safeguarding is at stake.</p> <p>The local authority does not commission alternative provision as schools remain responsible for every child's overall education. They can source and risk assess relevant alternative provision for some part of a young person's school week, and the council has no part in determining this provision. Schools are accountable (including through inspection), children are on their school rolls and it is not our place to directly commission this provision.</p>



7.5	<p><b>Question from Cllr Brian Watkins</b></p> <p>Is the Leader confident that devolution is back on the agenda following the publication of the County Council Network's report on the future of local government? If so, what lessons need to be learned from 'past battles' in order to build consensus about the best way forward for Norfolk?</p> <p><b>Response from the Leader and Cabinet Member for Governance and Strategy</b></p> <p>Thank you for the question. We welcome the Secretary of State's announcements and the opportunity of the County Deal approach. We are committed to working across our whole system to put forward a compelling case for Norfolk. I welcome the guidance set out in the letter to all County Leaders providing a framework to move forward with.</p> <p>Over the past two years we have focussed on working better together and the Covid Pandemic has seen local government across all tiers, rise to the challenge as a real place leader, championing the interests of communities and forging strong partnerships. I think that puts us in a good place to start to have discussions about the Government's call for bids.</p> <p><b>Question 2 from Cllr Brian Watkins</b></p> <p>How will the County Council seek to work with young people across Norfolk to improve their access to employment and further/higher education opportunities following the devastating impact of the Covid-19 pandemic?</p> <p><b>Response from the Cabinet Member for Children's Services</b></p> <p>There are a number of programmes already underway to support young people to access further/higher education and employment. As part of our normal work we track every young person aged 16 and 17 to support high levels of participation and our Guidance Advisers and Young Person Advisers work directly with those judged to be at risk of becoming NEET (Not in Education, Employment or Training) and those who are NEET. All of our work does of course take account of the impact of the pandemic and we are planning further targeted projects as part of our Learning Recovery Programme. System Leaders across both the education system (Norfolk Learning Board) the post-16 provision (Education and Training Strategy Group) and the Skills Advisory Panel (SAP) have agreed priorities and are also developing collaborative action. Furthermore, we work closely with our colleagues in Growth and Development, HR and the New Anglia LEP (Local Enterprise Partnership) to align programmes targeted to support employers training young people.</p> <p>New and existing work (often amended to address the impact of the pandemic) already underway:</p> <ul style="list-style-type: none"> <li>• Summer 21 Transition Challenge – a programme of support for young people moving to the next stage of their education employment or training (<a href="https://helpyouchoose.org/content/infoadvice/summer-transition-2021/">https://helpyouchoose.org/content/infoadvice/summer-transition-2021/</a>)</li> <li>• Strategic and operational partnership working with the LEP, District Councils, DWP, Chamber of Commerce and other partners to ensure coordinated approach to young peoples' progression into employment</li> <li>• Participation and Transition support activities with young people including identification of those at risk of NEET, targeted support at points of transition</li> </ul>

	<p>after year 11, 12 and 13; advice, guidance and support for NEET including referral into EET provision; tracking and keeping in touch services (<a href="https://www.norfolk.gov.uk/children-and-families/send-local-offer/about-the-local-offer/meet-our-teams/participation-strategy-team">https://www.norfolk.gov.uk/children-and-families/send-local-offer/about-the-local-offer/meet-our-teams/participation-strategy-team</a>)</p> <ul style="list-style-type: none"> <li>• Coordinated working across NCC teams to join up EET support activity for vulnerable groups including for NEET, LAC/Care Leavers, SEN, YOT</li> <li>• Help You Choose – Norfolk’s Careers Information, advice and opportunities website and online applications system for 14-19 year olds. Used by all schools and post 16 providers and managing over 6000 post 16 applications per annum. Complemented by range of other information materials for young people, parents/carers and teachers/advisers (<a href="https://helpyouchoose.org/content/">https://helpyouchoose.org/content/</a>)</li> <li>• Coordination of Careers Network of school/college careers leaders and advisers including of SEN Transition Coordinators</li> <li>• WEX Norfolk – work experience service for schools and colleges including traded service of health &amp; safety checks and placement brokerage for SEND, and virtual employer experiences from 2020/21 (<a href="https://norfolk.work-experience.co.uk/">https://norfolk.work-experience.co.uk/</a>)</li> <li>• Provision of performance reports for schools to help target support for those most at risk of NEET (Risk of NEET Indicator – RONI) reports, and to review and evaluate the quality of their provision through Year 11 Destinations reports and Y12 &amp;13 Progression Reports</li> <li>• Apprenticeships Norfolk website promoting apprenticeships and recruitment services, grants and support to employers, providers and potential apprentices (<a href="https://apprenticeshipsnorfolk.org/">https://apprenticeshipsnorfolk.org/</a>)</li> <li>• New Pathways to Work Team working with young people in schools and colleges and LA teams including LAC/Care leavers, SEND, Home Educated, NEET etc – promoting awareness and progression into apprenticeships, traineeships, T levels and other work based options</li> <li>• Travel Independence Training (TITAN) for year 9-13s including face to face travel route training from home to college/work for young people with SEND (<a href="https://www.norfolk.gov.uk/education-and-learning/school-and-college-transport/titan-travel-training">https://www.norfolk.gov.uk/education-and-learning/school-and-college-transport/titan-travel-training</a>)</li> <li>• Participation in Careers Fairs and events aimed at young people and their parents</li> <li>• Higher Aspiration Scheme (<a href="https://helpyouchoose.org/content/infoadvice/decisions-choices/choices-18/norfolk-higher-aspirations-scheme/">https://helpyouchoose.org/content/infoadvice/decisions-choices/choices-18/norfolk-higher-aspirations-scheme/</a>) extensive programme of activities targeted at year 12s and 13s to promote higher level learning in Higher Education and in higher/degree apprenticeships and proactive working with the LEP Careers Hub, Enterprise Adviser Network and NEACO to promote effective careers education and guidance for young people</li> <li>• Recruit Retain Reward A grant of £1000 for Norfolk based non levy paying business to take on a new young apprentice (aged 16-24) or a young apprentice made redundant as a result of C-19 <a href="https://apprenticeshipsnorfolk.org/recruit-retain-reward">https://apprenticeshipsnorfolk.org/recruit-retain-reward</a> the funding can be utilised in a number of ways including supporting the apprentice</li> <li>• Youth Pledge for Employers The project aims to engage with a wide range of small and medium enterprises (SMEs) across the New Anglia LEP, to develop opportunities for young people to engage in work-based experience, structured employment activities and sector related learning.</li> </ul>
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	<p><a href="https://www.norfolk.gov.uk/business/volunteering-and-mentoring/youth-pledge">https://www.norfolk.gov.uk/business/volunteering-and-mentoring/youth-pledge</a></p> <ul style="list-style-type: none"> <li>• CHANCES, bespoke support for those who are long term unemployed (1 year plus) and with a health condition to help them to overcome barriers in moving closer to or into the labour market. Those aged 18+ and in receipt of Universal Credit or Employment Support Allowance are eligible.</li> </ul> <p><a href="https://www.norfolk.gov.uk/business/grants-and-funding/european-funding/eu-programmes/business-growth-innovation-and-skills/chances">https://www.norfolk.gov.uk/business/grants-and-funding/european-funding/eu-programmes/business-growth-innovation-and-skills/chances</a></p> <ul style="list-style-type: none"> <li>• Range of support and challenge activities to system and learning providers to ensure sufficient and suitable provision for young people and to ensure transition support across 13-19 including through Education Training Strategy Group (ETSG), Skills Advisory Panel (SAP), Norfolk Provision Network; Apprenticeship Norfolk Providers Network, Sixth Form+ Network</li> </ul> <p><u>Planned work</u></p> <ul style="list-style-type: none"> <li>• ESF NEET Support programme – if it is approved – targeting non engaging NEET in Norwich</li> <li>• Social Recovery Project targeting yp NEET/at risk with low level mental health issues</li> <li>• Public Sector Training Academy (CRF bid)</li> </ul>
7.6	<p><b>Question from Cllr Dan Roper</b></p> <p>Will the Portfolio Holder please provide details of the number of landowners and householders still awaiting payments arising from the construction of the Broadland Northway and what is the total amount of money still outstanding?</p> <p><b>Response from the Cabinet Member for Highways and Infrastructure</b></p> <p>More than 100 separate land interests have been directly affected by the project and more than a half have so far been legally completed. Of the outstanding cases, for over half of them the final figure has been agreed but the formal legal transfer has yet to be completed.</p> <p>Of the remaining c.25% of cases, negotiations are continuing with landowners and their representatives/agents but in some instances a compensation claim, or indeed contact from the landowner is still awaited, despite chasing them.</p> <p>Advance payments of compensation have been made in the majority of outstanding land acquisition cases.</p> <p>With compensation cases still to be finalised it is not possible to state what the total amount still to be paid is. However, the latest land estimate remains within the budget allowance.</p> <p>There are also claims received from homeowners who have not had land taken but believe that their property value has suffered because of the scheme, with over 650 such 'Part 1' claims been received to date.</p> <p>Just because a Part 1 claim is submitted does not automatically mean that a compensation payment is due to the homeowner. They or their appointed agent must justify and evidence the impact and that it is covered under the limited assessment criteria. In approximately half the claims received our surveyors do</p>

	<p>not consider there is any justifiable loss, and the claim is being resisted.</p> <p>Of the Part 1 claims received, approximately 50% have been resisted, 25% have been provisionally agreed, 12% are new claims to be assessed, 8% are being actively negotiated and of the final 6%, it is just the property value, as at the valuation date, that is to be agreed.</p> <p>As with the land acquisition compensation total payment, it is not possible to state what level of payments will ultimately be made until all negotiations have been completed and the timescale for claims to be submitted expires.</p> <p><b>Question 2 from Cllr Dan Roper</b></p> <p>There are residents and landowners in my division who have been waiting for nearly three years for compensation payments linked to construction of the Broadland Northway. Does the Portfolio Holder feel this is reasonable and what assurances and timeframes can he provide re these individuals receiving the money that they are due?</p> <p><b>Response from the Cabinet Member for Highways and Infrastructure</b></p> <p>Compensation resulting from major infrastructure projects are historically a long and complicated process as in many cases the full impact of the scheme cannot be assessed until the scheme has been open to traffic for some time.</p> <p>To help overcome this, on the land acquisition cases advance payments of 90% of the Council's assessment of compensation can be made following possession being taken and this has been done in many cases on this scheme.</p> <p>As well as the Council progressing matters it is also incumbent on landowners or their appointed advisors to submit and then progress negotiations or legal transfers. This has caused delays in some cases.</p> <p>It is also important to ensure, especially for Part 1 claims, that they are valid or appropriate claims. Across the scheme homeowners are represented by a number of different agents, some of whom are national agents specialising in such claims, but also involved in other schemes across the country, whereas others are local agents who have limited experience in dealing with such compensation claims.</p> <p>It is important to ensure consistency across the whole length of the scheme and with the different agents, and this takes time. It is normal to meet with agents collectively and individually to progress discussions but this has been restricted due to Covid.</p> <p>With a number of cases now agreed between our surveyors and the homeowners the payment authorisation process is underway and we are optimistic that payments will be made in the next two months.</p>
7.7	<p><b>Question from Cllr Tim Adams</b></p> <p>Could the Cabinet member please advise what alternatives to glyphosate are being considered for weed control on our footways and roads and how soon will alternatives start to be used?</p> <p><b>Response from the Cabinet Member for Environment and Waste</b></p>

	<p>Norfolk County Council takes a careful approach to the use of herbicides and pesticides across its estate, including highways, County Farms and other locations and one which is always led by national legislation and directives, including the Plant Protection Products (Sustainable Use) Regulations 2012.</p> <p>As laid out in the Pollinator Action Plan, the Council's approach to its Roadside Nature Reserves (RNRs) is to avoid the use of pesticides. Officers are currently working on a new policy with regard to the Council's use of herbicides and pesticides and this will be shared with the Environment Member Oversight Group in due course ahead of any committee review as part of the Council's overarching approach to its policy framework.</p> <p><b>Question 2 from Cllr Tim Adams</b></p> <p>Following the exponential levels of growth we have seen this year, the failure to keep many junctions and sight lines clear, and the absence of any strategy to manage grass verges in line with the advice of organisations such as Plant Life, should the most recent reduction in the grass verge maintenance budget be seen as a failure and just another budget cut disguised as something positive?</p> <p><b>Response from the Cabinet Member for Highways and Infrastructure</b></p> <p>This season's prolonged wet and mild weather have been the perfect growing conditions for Norfolk's roadside verges, resulting in exceptional growth across the county.</p> <p>This year, the County Council has changed the annual grass cutting arrangements: urban cuts have been reduced from 5 to 4 cuts; rural cuts on roads classified A and B have remained at 2 full cuts; and rural cuts on roads classified as C and Unclassified have been reduced to one cut.</p> <p>Whilst this approach will result in budget savings (circa £100k) for the County Council (which have already been agreed by Members and included in the budget) there will also be environmental benefits for verges cut less often and to allow flowers to complete their full lifecycle rather than being cut down before setting seed – see: <a href="https://www.plantlife.org.uk/uk/about-us/news/road-verge-management-guide">https://www.plantlife.org.uk/uk/about-us/news/road-verge-management-guide</a></p> <p>A report entitled "Greenways to Greenspaces: Green Travel and Green Networks along our Highways Corridors" was presented to The Infrastructure and Development Select Committee in July which proposed that a new NCC policy on verge management is established to manage roadside verges. A copy of the report can be found <a href="#">here</a></p> <p>(The first rural verge cut commenced on 17 May 2021; the second and final rural cut commenced 26 July 2021).</p>
7.8	<p><b>Question from Cllr Steffan Aquarone</b></p> <p>Could the cabinet member inform us what the Council is doing to maintain the trees that were planted along the Broadland Northway and comment on the ongoing concerns being raised by residents that many thousands of the trees are still dying?</p> <p><b>Response from the Cabinet Member for Highways and Infrastructure</b></p>

	<p>It is very regrettable that some trees have not survived, and others are showing signs of decline.</p> <p>The Development Consent Order (DCO) requires the County Council to replace any trees which die within the first five years following the completion of the landscape planting (completed in 2019). Norfolk County Council reports back to Planning Authority (Broadland District Council) who are monitoring compliance to the DCO.</p> <p>A maintenance and replacement contract exists with Norse, which identifies trees on Broadland Northway which have not survived. A substantial programme of replanting was undertaken last year which was largely successful. A low failure rate has been observed after last year's replanting and those trees which have failed will be replaced in November /December 2021.</p>
7.9	<p><b>Question from Cllr Jamie Osborn</b></p> <p>The Economist leader on 17 July stated, "The opportunity to pollute the atmosphere without penalty is [a] distorting subsidy." Fossil-fuel polluters pay nothing to meet the cost of the damage produced by their pollution. In the run-up to COP26, there are increasing calls for a carbon tax that could help finance a just transition and help communities in locally and globally adapt to the inevitable change and disruption that climate breakdown is already bringing. Will the leader of the Council join these calls and urge the Government to explore options for a carbon tax?</p> <p><b>Response from the Cabinet Member for Environment and Waste</b></p> <p>In terms of climate action, Norfolk County Council is continuing to focus on the ambitious goal of achieving Net Zero by 2030 with regard to our own estate and operations, as well as working with a diverse number of partners across the County, delivering against many of the climate change topics which will be discussed at the forthcoming COP26. Many of the activities in the County Council's current programme, including the planting of 1 million trees, improvements to the green travel infrastructure across Norfolk, and the development of an innovative, new Environmental Hub at Gressenhall Farm and Workhouse, involve working closely with our local communities. We also recognise that our actions locally contribute to the actions which are needed nationally and internationally, and which will be considered fully by the COP26 members in Glasgow in the autumn.</p>
7.10	<p><b>Question from Cllr Mike Smith-Clare</b></p> <p>With the Summer holidays upon us, does the Cabinet Member for Children's Services know how many Norfolk children are receiving support to alleviate holiday hunger and how many are identified as living in poverty?</p> <p><b>Response from the Cabinet Member for Children's Services</b></p> <p>We are pleased to confirm that we have supported Norfolk schools, colleges, early years settings and our own colleagues to issue 27276 holiday food vouchers to eligible families so far. This includes families with children who are out of school, at independent settings or electively home educated. It represents a considerable achievement, as we worked with an allocation of 27000 vouchers and it means Norfolk children benefit from £2.45m of additional funding to ensure they are well-nourished.</p>

	<p>We identify children in low income families, and this data can be found on Norfolk Insight (<a href="https://www.norfolkinsight.org.uk/deprivation/">https://www.norfolkinsight.org.uk/deprivation/</a>). The most recent data available is for 2018/19 and at that time 21,812 Children under 16 were living in families with Absolute Low Income and 28,146 Children under 16 were living in families with Relative Low Income.</p>
7.11	<p><b>Question from Cllr Maxine Webb</b> Given the recent criticism of NCC's lack of co-production with disability groups and the good practice principle of 'nothing about us without us' will Cabinet amend Policy 16 of the Local Transport Plan to commit to working with groups made up of and representing disabled people, such as Making it Real Norfolk, Equal Lives, the Learning Disabilities Partnership Board and the Norwich Access Group to ensure disabled people are actively involved in decisions made about transport accessibility in the county?</p> <p><b>Response from the Cabinet Member for Highways and Infrastructure</b> We will make an addition to the wording of the first bullet point in the section of Policy 16 "What this means in practice" to include consultation with relevant groups representing people with disabilities.</p>
7.12	<p><b>Question from Cllr Chrissie Rumsby</b> Can the Cabinet Member for Children's Services confirm exactly what percentage of the Holiday Activity and Food Programme funding the Council has requested to use in order to provide places for children who are considered as vulnerable or in need of this provision over the Summer holidays and whether this includes the examples given in the Department for Education guidance notes: children assessed as being in need, looked-after children, children with an EHC plan, children assessed as otherwise vulnerable, children living in areas of high deprivation?</p> <p><b>Response from the Cabinet Member for Children's Services</b> In Norfolk, we have 50,000 places on the HAF programme this summer spreading across 16 days over the 6 weeks. We have been granted permission to offer up to 15% of our places to non-FSM children that are considered vulnerable following the DfE guidance. In addition, we are offering places to those electively home educated (EHE), supported directly the by the Local Authority (Section19), etc and using headteacher discretion as they know their own families. As a result we have offered 500 places to other vulnerable young people, which will give them up to 8000 places over the 16 HAF days.</p> <p>It is too early to evaluate the take up of these places, as the programmes have only just got underway and parents can still register for any of the offer in the coming weeks by going to <a href="https://www.norfolk.gov.uk/what-we-do-and-how-we-work/campaigns/big-norfolk-holiday-fun">https://www.norfolk.gov.uk/what-we-do-and-how-we-work/campaigns/big-norfolk-holiday-fun</a>. Norfolk is of course planning to utilise 100% of the funding offered by the DfE.</p>
7.13	<p><b>Question from Cllr Brenda Jones</b> Please will the cabinet member for Adult Social Care, Public Health and Prevention tell me how many people are currently on the social care waiting list, whether that number is going up and if so by how much?</p>

**Response from the Cabinet Member for Adult Social Care, Public Health and Prevention**

Thank you for your question. During the Covid 19 pandemic the number of referrals to Social Care and Health has increased greatly, over the last year the number of people discharged from hospital to our teams has doubled. There are currently 1900 people on our waiting list an increase of 53% in the last year. I would like to pay tribute to the commitment of the staff across the Social Care and Health System who have soldiered on in very difficult conditions and who are working very hard to reduce the waiting list.



# Report to Cabinet

Item No. 8

<b>Report title:</b>	<b>Norfolk County Council in an Integrated Care System</b>
<b>Date of meeting:</b>	<b>6 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Bill Borrett (Cabinet Member for Adult Social Care and Public Health)</b>
<b>Responsible Director:</b>	<b>James Bullion, Executive Director for Adult Social Services</b>

## **Executive Summary/Introduction from Cabinet Member**

The health and care system leadership is moving at pace to establish necessary governance and supporting structures to become a statutory Integrated Care System (ICS) in April 2022. Norfolk County Council (NCC) is a significant leader in this and a key part of ICS development.

There are significant potential benefits Adult Social Services (ASS), Children's Services (CS), Public Health and more widely NCC and its citizens could derive from the creation of an ICS, that will ultimately contribute to the delivery of its strategic aims. However, to secure those benefits, NCC will need to make some critical decisions about how it wants an ICS to form and what its role in an ICS will look like.

This paper aims to:

- a) Update Cabinet on ICS developments and the local ICS plan
- b) Understand and build on key opportunities and risks for NCC in a statutory ICS

## **Recommendations**

**Cabinet are asked to agree NCC support for the following key strategic approaches:**

- a) **Leadership - Delegate the Executive Directors of Adult Social Services in partnership with the Cabinet Member for Adult Care, Health and Prevention, and fellow Executive Directors to revise partnership and leadership arrangements in line with this report**
- b) **Place - Develop senior council leadership for each ICS Place and supporting officer structures, with the ambition to provide leadership within new ICS Places, and conduct a review across NCC of operational and commissioning service models for alignment to new Place forms**
- c) **Governance - Given the cross-over of statutory duties, priorities, membership and scope between the Health and Wellbeing Board (HWB) and the Integrated Care Partnership (ICP), NCC propose the HWB take on the ICP role from April 2022. Accordingly, commence a review of the HWB scope and terms of reference**
- d) **Procurement - Explore opportunities for the council and the ICS, as anchor institutions, to attain procurement, transport and estates savings and social and environmental benefits through joint procurement of non-clinical goods and services with the ICS. Continue to engage with national bodies on public procurement and NHS provider selection regime changes and develop a Memorandum of Understanding to support procurements between ICS and NCC**
- e) **Commissioning & Transformation - Revise the Better Care Fund arrangements in line with new agreements at place level, whilst maintaining County level commitment to equality of access, and consistent service models. Develop a deeper strategic relationship with health services which builds on the potential for public service reform, based on a strong commitment to primary and community health prevention. Adapt existing agreements and contractual arrangements in line with a strong place-based**

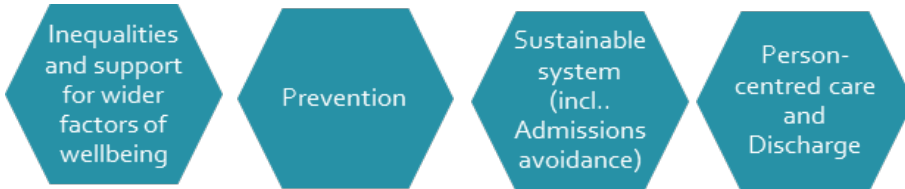
<p>approach, whilst maintain system level consistency and economies, and explore opportunities for broader joint contracting. Explore further opportunities for join-up in IT and analytics</p> <p>f) Finance - Continue and expand NCC engagement in joint financial planning in an ICS, whilst retaining ultimate control and accountability for NCC budgets</p>	
1.	<b>Background and Purpose</b>
1.1.	<p><b><u>Context</u></b></p> <p>Integrated Care Systems (ICSs) are developing across England, with the purpose of improving population health and care, tackling unequal outcomes, enhancing productivity and value for money and supporting social and economic development. Bringing together providers and commissioners of NHS services with local authorities and other partners, nationally there are 42 ICSs which have replaced Sustainability and Transformation Partnerships (STPs). Norfolk is in one of four ICSs within the Eastern Region, and has agreed three key goals:</p> <ol style="list-style-type: none"> <li>1. To make sure that people can live as healthy a life as possible</li> <li>2. To make sure that you only have to tell your story once</li> <li>3. To make Norfolk and Waveney the best place to work in health and care</li> </ol>
1.2.	<p>NCC has a leadership role in health which it expresses through the Health and Wellbeing Board, the Health Overview and Scrutiny Committee and key services including Public Health, Adult Social Services and Children's Services. The Joint Health and Wellbeing Strategy alongside our Corporate Plan, Together for Norfolk, outlines ambitions to improve health, wellbeing and life chances for local people. Collaborative work with District Councils on shared health improvement also forms a key part of the pandemic recovery – addressing inequalities by bringing public bodies together to influence wider determinants of health and good lives.</p>
1.3.	<p>Three key national papers have been published since an <a href="#">ICS report to Cabinet in October 2020</a> (page 200). NCC departments have been working internally and with partners to understand the guidance, identify implications and develop policy positions:</p> <ol style="list-style-type: none"> <li>a) <b>November 2020</b> <a href="#">Next steps to building strong and effective integrated care systems across England</a> - Guiding principles for the future of ICSs in England</li> <li>b) <b>February 2021</b> <a href="#">White Paper including details on ICSs in England</a></li> <li>c) <b>June 2021</b> <a href="#">NHS ICS: Design Framework</a> – Guiding ICS design</li> <li>d) <a href="#">Health and Care Bill</a> – Places ICSs on a statutory footing for April 2022</li> </ol>
1.4.	<p><b><u>Purpose</u></b></p> <p>The ICS means that governance and partnerships for health and care in Norfolk are changing radically over the next three years – bringing internal integration, unified leadership, and significant investment in new service models through the NHS 10-year plan and the national pandemic response. NCC therefore faces key strategic choices over the next three years which will accelerate or disturb existing patterns of work in NCC. In October 2020, Cabinet agreed NCC's support for, and commitment to becoming part of our local ICS, alongside principles that have guided NCC's developing role within local arrangements. It is critically important that Adult Social Services, Children's Services, Public Health, and by extension the whole Local Authority (LA), continue to deliver on a clear vision for their role within an ICS when making these strategic decisions.</p>
1.5.	<p>Transitioning to a statutory ICS will enable deepened partnership arrangements between NCC and health partners through integrated commissioning, joint and aligned delivery of services in new configurations, joint leadership roles and strategic leadership of shared programmes. This will require NCC to bring together aspects of working in leadership,</p>

	commissioning and delivery to be the strong and equal partner to the NHS which we are committed to. To achieve this, we will need to bring together strategic leadership of health within NCC and outline requirements for participation in ICS governance arrangements.
1.6.	<p>The purpose of this paper is to:</p> <ul style="list-style-type: none"> <li>a) Update Cabinet on ICS developments and the local ICS plan</li> <li>b) Understand and build on key opportunities and risks for NCC in a statutory ICS</li> </ul>
1.7.	<p><b><u>Opportunities</u></b></p> <p>The proposals within this paper build on the set of NCC Principles agreed by Cabinet in October 2020 to guide our development within an ICS, summarised as:</p> <ul style="list-style-type: none"> <li>a) <b>Integration and collaboration</b> - helping achieve greater social, health and wellbeing outcomes, and focusing on social, economic and environmental links</li> <li>b) <b>Place-based planning and working</b> - working together and making decisions at a more local level, whilst developing joint approaches to engaging with our population</li> <li>c) <b>Governance and strategy</b> - strengthening NCC's role in an ICS, including joint commissioning and embedding prevention across all organisational strategies</li> <li>d) <b>Resources</b> - utilising finances that support integration and controlling demand</li> </ul>
1.8.	<p>Since the introduction of STPs in 2016, NCC has developed a key role in the strategic delivery of health and care across the system. This includes:</p> <ul style="list-style-type: none"> <li>a) <b>Adult Social Services</b> – joint health and care commissioning and operational functions, and c.£64m joint Better Care Fund; for prevention, discharge and inequalities</li> <li>b) <b>Children's Services</b> - joint approaches to supporting Children and Young People (CYP) and families, including Early Help and the Children's Alliance Board to oversee joint commissioning</li> <li>c) <b>Public Health</b> - working across health and social care to provide population health information, evidence and needs assessments to inform support and interventions</li> <li>d) <b>Community Information and Learning</b> - establishing 'Community Hubs' as multi-disciplinary teams that support access to services, information and support early.</li> <li>e) <b>Strategy</b> - Joint Health and Wellbeing Strategy (JHBS) and Health and Wellbeing Board (HWB) leadership that sets strategic aims binding health and care partners. NCC representation across main ICS workstreams (Workforce, Digital etc)</li> </ul>
1.9.	<p>If NCC adapts and embraces an ICS, there are significant benefits that could derive from it, that will ultimately contribute to delivering our strategic aims and improving our resident's lives:</p> <ul style="list-style-type: none"> <li>a) <b>Economic and social recovery</b> - health and care play a vital role in Norfolk's employment and economy, including recovery after Covid-19. An ICS could support leaders to drive impact, value and responsibility of local anchor organisations</li> <li>b) <b>Health of our children and families</b> - the health of CYP is determined by far more than healthcare. Household income, education, housing, a stable and loving family life and a healthy environment all influence young people's health and life chances</li> <li>c) <b>Responding to residents</b> – engagement with health services is a key way elected members respond to their residents. An ICS leads NHS services that are important to them and NCC's priorities, including access to hospitals and GP support. Being an ICS leader cements NCC's role in supporting citizens, and NCC's community-lead democratic approach will enhance accountability and public voice in and ICS</li> <li>d) <b>Tackling inequalities across Norfolk</b> - there is wide variance in health and care outcomes across Norfolk and an ICS brings a renewed focus on population health. It is here that Public Health, utilising our Joint Strategic Needs Assessment (JSNA), will be key in driving improvements</li> <li>e) <b>Working with primary care</b> – Primary Care Networks (PCNs) provide an increasing range of services, such as mental health workers and multidisciplinary teams. NCC</li> </ul>

	<p>is well placed to support, ensuring partners such as care providers and voluntary sector have an equal voice round the table</p> <ul style="list-style-type: none"> <li>f) <b>Financial planning</b> - ICS' will have more control over their finances and increased collaboration has begun, with NCC having a growing influence over NHS planning</li> <li>g) <b>Delivering priorities</b> - an ICS could strengthen how partners deliver multi-agency priorities. NCC priorities that could greatly benefit include developing Housing with Care and Extra Care, supporting older people in physical wellbeing through leisure, and developing safer neighbourhoods that identify vulnerable people early</li> </ul>
<b>2.</b>	<b>Proposals</b>
2.1.	The following proposals outline the key strategic choices for NCC in preparing for a statutory ICS by April 2022. The proposals are focussed around Place, Governance, Procurement, Service Design and Finance.
2.2.	<p><b><u>Place</u></b></p> <p>The Secretary of State for Health and Social Care has now announced that there will be no change to the existing ICS boundaries in the East of England, including to continue with a Boundary for our ICS which includes areas of East Suffolk. The Council regrets that outcome which forgoes some opportunities for integrated approaches and poses potential risks around governance. Nonetheless there is much potential for working in new ways at place level in Norfolk which help us address underlying inequality and better health and wellbeing.</p>
2.3.	<p>For most people, day-to-day care and support alongside interactions with communities will be expressed locally in the 'Place' where they live. Our ICS currently operates around five service areas, known as Local Delivery Groups and based on the old five Clinical Commissioning Group Areas. To develop future form and function of these Places, engagement was recently completed by the ICS. Following discussion at the Interim ICS Partnership Board, a Steering Group is further considering the outcomes, but the options for Place footprints will be informed by:</p> <ul style="list-style-type: none"> <li>a) <b>Purpose of Place</b> - integrating operational delivery and addressing longer term 'wicked' issues, bringing together public and third sector to forge new relationships</li> <li>b) <b>Building Blocks of Place</b> - considering geographic footprints that are built-up from Primary Care Networks and District Council boundaries</li> <li>c) <b>Each ICS 'Place' will have multi-agency governance</b> - responsible for leading the design of critical services that support resident's health and wellbeing in that Place</li> </ul>
2.4.	National thinking positions ICS decision making and delivery to Place level. The UK Government has also laid out plans for new 'County Deals', offering the rest of England powers that metro mayors have over areas like transport, skills and economic support. This will further bring decisions closer to people and places, allowing more areas to pilot ideas, create jobs, drive growth and improve public services. Consequently, the development of ICS 'Places' as partnerships from across the public sector requires NCC leadership to ensure they complement, not conflict.
2.5.	<p>As outlined, NCC already has a strong history of working at Place. Our ambitions for ICS 'Places' are foremost guided by the opportunities that working together can address, to:</p> <ul style="list-style-type: none"> <li>a) Address wide variance in population health and care needs across the County</li> <li>b) Develop a prevention approach at Place across NCC, primary and community care</li> <li>c) Build on existing interfaces and structures based around District Council footprints</li> <li>d) Involve a broader range of public sector partners in Place to tackle wider determinants of health and wellbeing</li> </ul>

2.6.	<p>The potential outcome of engagement on Places aligns with NCC's vision. NCC must now actively establish its own part in the leadership of ICS Places, in expectation that:</p> <ul style="list-style-type: none"> <li>a) Delegation of NHS funding and accountability to Place is expected, and each ICS Place will potentially have a named NHS Director for ICS Place working.</li> <li>b) Increasingly close working between the NHS, Councils, the Voluntary Community &amp; Social Enterprise sector (VCSE) and other partners is anticipated, in a form of public sector Place-based partnership</li> <li>c) Places will be expected to have strong representation on ICS governance</li> <li>d) Places will engage with residents, playing an important role in public discourse</li> </ul>
2.7.	<p>With its natural strength in Place working, democratic accountability, and community assets approach woven through our purpose and practice, NCC is poised to lead in ICS Places. To deliver, we must consider senior NCC leadership in each Place and supporting officer structures.</p>
2.8.	<p>It is therefore recommended that NCC:</p> <ul style="list-style-type: none"> <li>a) Develop senior council leadership for each ICS Place and supporting officer structures, with the ambition to provide leadership within new ICS Places</li> <li>b) Conduct a review across NCC of operational and commissioning service models for alignment to new Place forms and functions</li> </ul>
2.9.	<p><b><u>Governance</u></b></p> <p>An ICS will have two named bodies, an Integrated Care Board (ICB) and Integrated Care Partnership (ICP):</p> <ul style="list-style-type: none"> <li>1. Integrated Care Board (ICB) will lead integration within and across the NHS to deliver healthcare, for example taking on health commissioning functions. This means there will now be one single body organising health services in Norfolk</li> <li>2. Integrated Care Partnership (ICP) will lead integration between the NHS, local government and wider partners to enable partnerships that serve and improve local community's health and care</li> </ul>
2.10.	<p>Given the strong cross-over of statutory duties, priorities, membership and scope between the Health and Wellbeing Board (HWB) and the proposed Partnership body, it is NCC's view that the HWB should take on the role of the Integrated Care Partnership for our local ICS from April 2022. This would avoid duplication and build on the HWB experiences in bringing together partners in facilitating improved health and care outcomes. It is anticipated that national guidance will permit adapting existing partnerships to form the new Partnership, and NCC will engage with other partners in our ICS system as part of this proposal.</p>
2.11.	<p>There will be a requirement for a Partnership Strategy. This offers opportunities to join up on issues with a significant bearing on health and wellbeing, for example across education, air quality and housing. It will also provide a forum to consider how to deliver these strategies. Norfolk's HWB already operates a district sub-committee, which could play a critical role in an ICS.</p>
2.12.	<p>Highly detailed and prescriptive national guidance on Integrated Care Partnerships is not expected, so it is incumbent on local partners to shape the form and function of them. NCC must act as a champion in this space, building on existing work via the HWB, our existing role at Place, and role supporting the wellbeing of our residents via care and public health services.</p>
2.13.	<p>The Health and Care Bill, and national guidance, are also beginning to solidify the key role Integrated Care Partnerships and HWBs will play in forming strategy for their ICS. This includes:</p>

	<ul style="list-style-type: none"> <li>a) Integrated Care Partnerships completing a 'health and care' strategy - encompassing significant engagement locally and taking in to account of existing JSNAs and strategies</li> <li>b) The Integrated Care Board must consult the HWB on a range of plans, including how it implements HWB strategy and NHSE may consult on annual ICS performance assessments</li> </ul>
2.14.	<p>It is recommended that:</p> <ul style="list-style-type: none"> <li>a) Given the cross-over of statutory duties, priorities, membership and scope between the Health and Wellbeing Board (HWB) and the Integrated Care Partnership (ICP), NCC propose the HWB take on the ICP role from April 2022. Accordingly, commence a review of the HWB scope and terms of reference</li> </ul>
2.15.	<p><b><u>Procurement</u></b></p> <p>The move to an ICS introduces changes to existing NHS and local authority procurement regimes. There are three categories of change:</p> <ul style="list-style-type: none"> <li>a) <b>Public sector procurement regime</b> - as a result of changes to public procurement outlined in the <a href="#">Green Paper: Transforming Public Procurement</a>, everyday goods and services will not be radically different from the current regime, but will require greater transparency and offer greater flexibility. NCC and the ICS can act as 'anchor institutions' and seek to obtain savings, social and environmental through joint procurement of non-clinical services, transport and goods. NCC are involved in discussions with Cabinet Office to ensure compatibility with the Care Act 2014. We anticipate some form of light touch procurement will be retained for education and care</li> <li>b) <b>NHS provider selection regime</b> - the procurement of health services will be subject to a new regime, the <a href="#">Provider Selection Regime (PSR)</a>, that will apply whether the contracting authority is an NHS body or Local Authority. It will provide greater freedom to select a provider without competition, where that is the best approach, and we do not anticipate any significant issues with procurement of health services</li> <li>c) <b>Impact of the differing regimes</b> - the position on 'mixed procurement' (services which encompass health and care or health and education, or all three) is unclear. It seems possible that where there is a mixture, the more-restrictive regime may apply. This could act as a deterrent to joint procurement of mixed services. NCC will continue to engage with DHSC and NHSE on these issues</li> </ul>
2.16.	<p>Joint procurements already take place between NCC and the Clinical Commissioning Group (CCG), so we will also commence preparation of a Memorandum of Understanding (MOU) to govern future exercises, building on existing integrated approaches.</p>
2.17.	<p>It is therefore recommended that NCC:</p> <ul style="list-style-type: none"> <li>a) Explore opportunities for the council and the ICS, as anchor institutions, to attain procurement, transport and estates savings and social and environmental benefits through joint procurement of non-clinical goods and services with the ICS.</li> <li>b) Continue to engage with national bodies on public procurement and NHS provider selection regime changes and develop a Memorandum of Understanding to support procurements between ICS and NCC</li> </ul>
2.18.	<p><b><u>Integration and service design</u></b></p>
2.19.	<p><b><u>Commissioning:</u></b></p> <p>With the move to working within an ICS, we need to develop commissioning practice following the principle of subsidiarity; making decisions closer to communities, embracing commissioning at Place level. Through engaging more locally, stronger links will be developed with the communities we serve, understanding local need and identifying gaps in</p>

	<p>services that will give rise to innovation and service development. Whether a service is commissioned across the County or in a Place, local engagement and buy-in from partners will also contribute to service monitoring. Working at Place offers an opportunity to deliver within a more joined-up approach, both in our relationships and our influence of resource allocation. It will also strengthen engagement between Commissioning and Operational leaders at Place.</p>
2.20.	<p>An example of developing commissioning practice in an ICS is the future of Norfolk's Better Care Fund (BCF) - a nationally mandated programme aiming to join up health and care services, so that people can manage their health and wellbeing and live independently in their communities for as long as possible. In 2020 NCC led a joint review of the BCF with the CCG in Norfolk to shape a future BCF that further delivers local priorities; acts as a strengthened delivery arm of joint commissioning; and focus' strategy and funding on the most important priorities for integration. Key opportunities identified included:</p> <ul style="list-style-type: none"> <li>a) Services within the BCF often accounted for only a small proportion of their total funding – challenging any tie-back to directly attributable better outcomes</li> <li>b) There was significant opportunity to use the BCF to further enable joint health and care working and reflect the full range of opportunity– particularly areas of integration that sit outside BCF, where we know joint funding discussions cause challenges</li> <li>c) The BCF was primarily system focused, rather than Place-focused, and with the development of the ICS we needed to rebalance this</li> </ul>
2.21.	<p>To align with this approach, the BCF has been 're-baselined', to create 'buckets' that contain the funding pots for services/projects based around the Norfolk BCF priorities:</p> <div style="text-align: center;">  <pre> graph LR     A[Inequalities and support for wider factors of wellbeing] --- B[Prevention]     B --- C[Sustainable system (incl. Admissions avoidance)]     C --- D[Person-centred care and Discharge] </pre> </div>
2.22.	<p>A new set of principles for services in the BCF have also been agreed:</p> <ul style="list-style-type: none"> <li>a) Funding services which move us towards meeting our local and national priorities.</li> <li>b) Funding whole services through the BCF, to better understand system impact</li> <li>c) Funding services which are meaningfully joint between health and social care</li> </ul>
2.23.	<p>Using the learning and principles from the review, we have created a refreshed and reprofiled BCF Programme. This has an increased focus on supporting people in their community and is more focussed on joint delivery between NCC and the CCG in funding and impact. In the future, we want to use the BCF to drive place-based thinking and services, as the best way to achieve our local priorities for the people of Norfolk.</p>
2.24.	<p><u>Provider Collaboratives:</u></p> <p>In preparing for the transition to a statutory ICS', NHS England and NHS Improvement are developing guidance on provider collaboratives. Indications are that as a minimum, all NHS trusts will be expected to be part of at least one collaborative. In reality, multiple collaboratives could operate across one or more ICS footprint, as well as across several pathways and places within the ICS. This complexity creates opportunities to work differently but will not fit easily into a simple new architecture for the NHS and its partners.</p>
2.25.	<p>Whilst questions remain about how provider collaboratives form, their representation and resources, NCC has an active interest in their formation on a number of fronts:</p> <ul style="list-style-type: none"> <li>a) As a commissioner of NHS trusts that may enter into collaboratives, for example in Children's Services and Public Health</li> </ul>

	<ul style="list-style-type: none"> <li>b) As an employer of staff in integrated posts with NHS trusts that may enter into collaboratives, for example in Adult Social Services</li> <li>c) As a provider and commissioner of services that may benefit from alignment or involvement in a collaborative with NHS trusts and/or other organisations an ICS</li> </ul>
2.26.	<p><b><u>Data and intelligence</u></b></p> <p>The ICS will need to allow for robust and complete data flows across organisational boundaries, with the geographical granularity and timeliness to support local action and meet the needs of local users, including local DsPH. Sharing local data effectively will help ensure the organisations involved in an ICS can take a targeted, data-led approach to services, identifying and reducing inequalities and improving population health.</p>
2.27.	<p>The ICS and NCC are also engaged in joint procurement of the shared care record that will span our health and care system. This forms part of a larger opportunity for joint working on transformative approaches to Information technology, where joint working is already strong between partners, so NCC will explore further opportunities for join-up in IT and analytics.</p>
2.28.	<p>It is therefore recommended that NCC :</p> <ul style="list-style-type: none"> <li>a) Revise the Better Care Fund arrangements in line with new agreements at place level, whilst maintaining County level commitment to equality of access, and consistent service models</li> <li>b) Develop a deeper strategic relationship with health services which builds on the potential for public service reform, based on a strong commitment to primary and community health prevention</li> <li>c) Adapt existing agreements and contractual arrangements in line with a strong place-based approach, whilst maintain system level consistency and economies, and explore opportunities for broader joint contracting.</li> <li>d) Explore further opportunities for join-up in IT and analytics</li> </ul>
2.29.	<p><b><u>Finance</u></b></p> <p>Developing a health and care system that delivers better outcomes is dependent on financial structures that genuinely support joint working. An ICS presents NCC with an opportunity to shape how resource allocation across organisations will support integration and ultimately reduce demand for high cost care, whilst improving sustainability.</p>
2.30.	<p>A joint approach to financial and resource management is already developing. For example, the establishment of the Children's Alliance Board has enabled a system response to the challenges of meeting CYP's mental health and emotional wellbeing. Whilst the Board has an initial focus on core Child and Adolescent Mental Health Services (CAMHS), a shared commitment to preventing needs from escalating requires wider re-alignment of how resources are deployed. NCC will also utilise the BCF as NCC's primary integrated funding allocation at System and Place levels in the ICS, within the governance of the HWB.</p>
2.31.	<p>Alongside NCC's budget position, wider NHS partners have identified an increasing and underlying recurrent deficit. To prepare for a statutory ICS, and to manage the long-term deficit, ICS Chief Finance Officers have developed a new approach to efficiency and productivity, supported by a process to assess future funding requests. A group of senior leaders across the ICS, including NCC, will have oversight of new schemes and determine priorities. NCC has historically had limited engagement in prioritisation of local NHS funding at a transformational scale. The new process presents an opportunity to both be part of the collaboration and put forward proposals for the funding itself.</p>
2.32.	<p>NCC and the residents we serve have already begun to benefit more widely from NCC's place within an ICS, including utilisation of national funding to support discharge and emerging Community Transformation Funding. The ICS gives NCC a stronger voice in decisions which impact on system resource allocation, particularly around the shift from</p>



	acute to community, in line with NCC's Promoting Independence strategies. This highlights the need for NCC to continue to work closely with NHS ICS partners to deliver a sustainable health and care system, whilst ensuring our sovereign ability to manage and deliver our own financial planning is maintained.
2.33.	<p>The ICS has also developed principles for medium to long-term financial planning, that could be congruent with NCC's objective to support a sustainable health and care system, including:</p> <ul style="list-style-type: none"> <li>a) working transparently and sharing understanding of financial pressures</li> <li>b) working collaboratively to identify and deliver efficiency and productivity schemes, with no one party pursuing any scheme that may have a detrimental impact on another party without prior agreement</li> <li>c) engaging transparently and early in respect of emerging financial plans</li> </ul>
2.34.	<p>Whilst there are significant opportunities presented by working together on resource allocation, there are also risks that will need to be mitigated. These risks apply to all individual organisations in an ICS. Critical to the approach will be the overall principle that NCC retains ultimate control and accountability for its budgets and would retain its ability to adjust resource across the county to meet need. NCC would look to effectively support Places or commissioning arrangements that empower decision making and innovation by providers and in localities but would ensure that overall budget setting and control remains with the accountable organisation. Consequently, NCC would be utilising the ICS to deliver its aims but ensuring that should those aims not be being delivered it would retain control to adjust its involvement.</p>
2.35.	<p>It is therefore recommended that NCC:</p> <ul style="list-style-type: none"> <li>a) Continue and expand NCC engagement in joint financial planning in an ICS, whilst retaining ultimate control and accountability for NCC budgets</li> </ul>
<b>3.</b>	<b>Impact of the Proposal</b>
3.1.	<p>An ICS presents a series of opportunities for NCC, including to:</p> <ul style="list-style-type: none"> <li>a) unite around a common purpose that will deliver strengthened health and social outcomes for our residents, for example ensuring the ICS includes social outcomes in its priorities and measures of success</li> <li>b) use new joint financial ways of working to unlock opportunities that are often challenged by financial barriers and competing priorities</li> <li>c) benefit from wider engagement in system resourcing and develop a platform to negotiate key spending priorities</li> <li>d) build on the role of the LA as significant lead for health improvement with a focus on the causes of ill health associated with lifestyles and behaviours and wider determinants including education, employment, housing and environment</li> <li>e) develop our workforce within a whole systems approach, focused on improving population health and wellbeing outcomes; recognising the benefits of identifying the role of health and social care employers and institutions to have a positive impact on place and socio-economic development through employment, training and volunteering opportunities</li> <li>f) fundamentally reshape how we work together at a Place level that strengthens the voice and role of a social care model in locality and primary care network approaches</li> <li>g) strengthen our collective focus on meeting the needs of children, young people and adults through early intervention and prevention - including the development and transition into adulthood - so that the right support is provided at the right time and they can flourish</li> <li>h) given the evidence about the importance of a child's first 1001 days, provide an integrated model which supports social mobility, education and family functioning alongside physical health, approaches that include a focus on the home environment,</li> </ul>

	integration with early years education and collaboration with voluntary, community and peer support
<b>4.</b>	<b>Risks</b>
4.1.	<p>Despite the opportunities, there are also challenges and risks associated with ICS development, including:</p> <ul style="list-style-type: none"> <li>a) a new way of working is required to ensure a consistent and equal social care commissioning and operational voice in an ICS environment</li> <li>b) joint financial working poses risks to individual organisations if not effectively governed/planned/executed</li> <li>c) the need to support a system that maintains HWB accountability</li> <li>d) legislative requirements to integrate education, health and care are driving our transformation with the necessity to provide increasingly integrated and more effective services to meet the needs of our population across all age groups, including children and young people</li> <li>e) wider system development overseen by our CYP Strategic Partnership Board must not be duplicated or delayed by the process of establishing an ICS Partnership Board</li> <li>f) that we manage engagement in ICS development to ensure social care is at the heart of plans</li> <li>g) Developing and implementing a joint workforce strategy including further joint working and integration where competing reward and employment frameworks carries risk retention and motivational issues</li> <li>h) The development work outlined requires significant resource investment and capability from across NCC capabilities (legal, strategy, HR/OD, analytics) at a time of budget challenge and competing demands. Work is required to size the development need and investment required</li> </ul>
<b>5.</b>	<b>Reason for Decision</b>
5.1.	These risks must be weighed against the potential benefits, and the alternative of an ICS without NCC aims embedded in its purpose and approach. If navigated with care, these risks can all be mitigated to a degree that could result in a significant net benefit to the local authority, our partners and our citizens. The recommendations in this paper attempt to find a manner in which to navigate through these opportunities and challenges.
<b>6.</b>	<b>Financial Implications</b>
6.1.	The strategy itself has no immediate financial implications. However, the work taken forward in development of an ICS may have implications for NCC and other system partners. Where these financial implications are identified they will form part of business cases to be assessed on a case by case basis.
<b>7.</b>	<b>Resource Implications</b>
7.1.	<b>Staff:</b>
7.1.1	It is anticipated that this will be a significant cross-organisational piece of organisational development and leadership focus. Further work is required to engage and understand a broad strategic plan of work and resource requirements to scope and shape work.
7.2.	<b>Property:</b>

7.2.1	The strategy itself has no immediate implications. However, where property implications do arise during the development of ICS, these will form part of reports to be assessed on a case by case basis and could lead to opportunities to better utilise system estate.
7.3.	<b>IT:</b>
7.3.1	The strategy itself has no immediate IT implications. However, where implications do arise during the development of ICS, these will form part of reports to be assessed on a case by case basis and could create opportunities for more effective information sharing and a greater ability to measure outcomes as a system.
<b>8.</b>	<b>Other Implications</b>
8.1.	<b>Legal Implications:</b>
8.1.1	This situation is developing, and the Health and Social Care Bill is still at Committee stage. The proposals in this report are consistent with the current Bill, and the legal team will work closely over the coming months with Adult Social Services, Children's Services, and Public Health, to ensure that the Council responds appropriately and has the appropriate arrangements in place to comply with the legislation once it becomes law.
8.2.	<b>Human Rights implications</b>
8.2.1	None identified.
8.3.	<b>Equality Impact Assessment (EqIA)</b>
8.3.1	An EqIA will be conducted, and equality issues will be considered, as part of the development of any agreed elements of an ICS that impact on our residents.
8.4.	<b>Health and Safety implications</b> (where appropriate)
8.4.1	None identified
8.5.	<b>Sustainability implications</b> (where appropriate)
8.5.1	None identified
<b>9.</b>	<b>Risk Implications/Assessment</b>
9.1.	Please see section 3 for details of potential risks.
<b>10.</b>	<b>Select Committee comments</b>
10.1.	Not applicable
<b>11.</b>	<b>Recommendations</b>
11.1.	<p><b>Cabinet are asked to agree NCC support for the following key strategic approaches:</b></p> <ul style="list-style-type: none"> <li><b>a) Leadership - Delegate the Executive Directors of Adult Social Services in partnership with the Cabinet Member for Adult Care, Health and Prevention, and fellow Executive Directors to revise partnership and leadership arrangements in line with this report</b></li> <li><b>b) Place - Develop senior council leadership for each ICS Place and supporting officer structures, with the ambition to provide leadership within new ICS Places, and conduct a review across NCC of operational and commissioning service models for alignment to new Place forms</b></li> </ul>

- c) **Governance** - Given the cross-over of statutory duties, priorities, membership and scope between the Health and Wellbeing Board (HWB) and the Integrated Care Partnership (ICP), NCC propose the HWB take on the ICP role from April 2022. Accordingly, commence a review of the HWB scope and terms of reference
- d) **Procurement** - Explore opportunities for the council and the ICS, as anchor institutions, to attain procurement, transport and estates savings and social and environmental benefits through joint procurement of non-clinical goods and services with the ICS. Continue to engage with national bodies on public procurement and NHS provider selection regime changes and develop a Memorandum of Understanding to support procurements between ICS and NCC
- e) **Commissioning & Transformation** - Revise the Better Care Fund arrangements in line with new agreements at place level, whilst maintaining County level commitment to equality of access, and consistent service models. Develop a deeper strategic relationship with health services which builds on the potential for public service reform, based on a strong commitment to primary and community health prevention. Adapt existing agreements and contractual arrangements in line with a strong place-based approach, whilst maintain system level consistency and economies, and explore opportunities for broader joint contracting. Explore further opportunities for join-up in IT and analytics
- f) **Finance** - Continue and expand NCC engagement in joint financial planning in an ICS, whilst retaining ultimate control and accountability for NCC budgets

## Officer Contact

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

**Officer name :** Gary Heathcote **Tel No:** 01603 973863  
**Email address :** gary.heathcote@norfolk.gov.uk



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

## Appendix 1 – What are Integrated Care Systems

Taken from [The Kings Fund: Integrated care systems explained: making sense of systems, places and neighbourhoods \( 11 May 2021\)](#)

### **What are integrated care systems?**

Integrated care systems (ICSs) are partnerships that bring together providers and commissioners of NHS services across a geographical area with local authorities and other local partners to collectively plan health and care services to meet the needs of their population. The central aim of ICSs is to integrate care across different organisations and settings, joining up hospital and community-based services, physical and mental health, and health and social care. All parts of England are now covered by one of 42 ICSs.

ICSs are intended to bring about major changes in how health and care services are planned, paid for and delivered, and are a key part of the future direction for the NHS as set out in the [NHS Long Term Plan](#). It is [hoped that they will be a vehicle](#) for achieving greater integration of health and care services; improving population health and reducing inequalities; supporting productivity and sustainability of services; and helping the NHS to support social and economic development.

ICSs are part of a fundamental shift in the way the health and care system is organised. Following several decades during which the emphasis was on organisational autonomy, competition and the separation of commissioners and providers, ICSs depend instead on collaboration and a focus on places and local populations as the driving forces for improvement. They have grown out of [sustainability and transformation partnerships](#) (STPs) – local partnerships formed in 2016 to develop long-term plans for the future of health and care services in their area.

### **Why are ICSs needed?**

The NHS was set up primarily to provide episodic treatment for acute illness, but it now needs to deliver joined-up support for growing numbers of older people and people living with long-term conditions. As a result, the NHS and its partners need to work differently by providing more care in people's homes and the community and breaking down barriers between services. ICSs are the latest in a long line of initiatives aiming to address this by integrating care across local areas.

ICSs also have the potential to drive improvements in [population health](#) and tackle health inequalities by reaching beyond the NHS to work alongside local authorities and other partners to address social and economic determinants of health. Evidence consistently shows that it is the wider conditions of people's lives – their homes, financial resources, opportunities for education and employment, access to public services, and the environments in which they live – that exert the greatest impact on health and wellbeing.

The case for collaborative working in the health and care system has been strengthened by the experience of the Covid-19 pandemic, as the response has rested on different parts of the system working together to address the public health emergency, enable continued provision of essential services and to support people to remain well in their communities. Many health and care leaders emerged from the initial stages of the pandemic with renewed conviction about the benefits of collaboration and a determination to keep hold of and build on the progress made.

## Appendix 2: List of contractual relationships with NHS organisations

Below is a list of contracts held between NCC and NHS organisations, including section 75 agreements and procured contracts.

Contract Title	Supplier Name
<b>Section 75 agreements and services</b>	
Medicine Optimisation Advice	Arden & Greater East Midlands CSU
Public Health - Integrated Sexual Health Service	Cambridgeshire Community Services NHS Trust
Public Health - Healthy child programme	Cambridgeshire Community Services NHS Trust
Speech and Language Therapy Services	Cambridgeshire Community Services NHS Trust
Public Health - Specialist Stop Smoking Services	East Coast Community Healthcare (CIC)
Speech and Language Services (SaLTS)	East Coast Community Healthcare (CIC)
LD Psychiatry Services	Hertfordshire Partnership NHS Foundation Trust
Specialist safeguarding expertise from health to support in the healthy child programme	NHS Great Yarmouth and Waveney CCG
Therapy, Assessment and Family Support Services LTR Framework	Norfolk Community Health & Care
LD Integrated Community Teams	Norfolk Community Health & Care
LD Respite Service - Mill Lodge	Norfolk Community Health & Care
Autism Service Norfolk	Norfolk Community Health & Care
SEND Annual review of moving and handling requirements	Norfolk Community Health & Care
Joint Systems Leadership programme Training	Norfolk Community Health & Care
Section 75 - Community Care	Norfolk Community Health & Care
Breckland Sexual Health Service	School Lane Surgery
CAMHS	NHS Norfolk and Waveney CCG
Adult Community Health and Social Care Services	NHS Norfolk and Waveney CCG
Better Care Fund	NHS Norfolk and Waveney CCG
Commissioning Support to Public Health	North East London Commissioning Support Unit
Toxicology Services	University Hospitals of Leicester NHS Trust
Adults - Day Care - 1995 contract	Cambridgeshire and Peterborough NHS Foundation Trust

Purchase Healthy Start vitamins for distribution to community pharmacies as part of the Healthy Start project	NHS Supply Chain
Deliver stock to pharmacies and dispensing surgeries throughout Norfolk	Norfolk Community Health & Care (NHS Trust)
Enhanced fostering clinical psychologist support	Norfolk & Suffolk NHS Foundation Trust
<b>Staffing-related</b>	
Seconded health workers to meet the requirements of the Crime and Disorder Act 1998	Cambridgeshire Community Services NHS Trust
Seconded health workers to meet the requirements of the Crime and Disorder Act 1998	Norfolk & Suffolk NHS Foundation Trust
Secondment of Member of Staff from NSFT for 6 months	Norfolk & Suffolk NHS Foundation Trust
Secondment of Member of Staff from Norfolk and Suffolk NHS Foundation Trust	Norfolk & Suffolk NHS Foundation Trust
Employee Occupational Health	Norfolk & Norwich Univ Hospitals NHS Foundation Trust
<b>Coroner's services</b>	
Coroner's Services - Mortuary Services	Queen Elizabeth Hospital NHS Foundation Trust
Coroner's Services - Mortuary Services	James Paget University Hospitals NHS Foundation Trust
Coroner's Services - Mortuary Services	Norfolk & Norwich Univ Hospitals NHS Foundation Trust
Coroner's Services - Pathology/ Medical Services	Cambridge University Hospitals NHS Foundation Trust
<b>Other</b>	
Rent for Multiple Desk Licences - Various Locations	Norfolk & Suffolk NHS Foundation Trust
Rent payments for office accommodation at Shrublands	East Coast Community Healthcare (CIC)
Rebecca House Annual Rent and Service Charge	NHS NORFOLK PRIMARY CARE TRUST
Rent payments for Tuckswold library, Norwich	NHS Property Services Ltd
Rent for Benjamin Court	NHS Property Services Ltd
Rent and service charge for North Walsham Hospital	Norfolk Community Health & Care (NHS Trust)
Rent Charges for Meditrina House & Dereham Hospital	Norfolk Community Health & Care (NHS Trust)
Lease of a property at Birch Tree Close, King's Lynn for supervised contact	Norfolk Community Health & Care (NHS Trust)
On behalf of Benjamin Court annual order for Facilities Management Charges 16/17	Norfolk Community Health & Care (NHS Trust)

# Cabinet

Item No: 9

<b>Decision making report title:</b>	<b>NCC Apprenticeship Strategy 2020-2023 (and Action Plan)</b>
<b>Date of meeting:</b>	<b>6 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Graham Plant (Cabinet Member for Growing the Economy)</b>
<b>Responsible Director:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services</b>
<b>Is this a key decision?</b>	<b>Yes</b>
<b>If this is a key decision, date added to the Forward Plan of Key Decisions.</b>	<b>03 December 2020</b>

## Introduction from Cabinet Member

This report details the Norfolk County Council (NCC) Strategy for Apprenticeships 2020-2023 and demonstrates the importance of Apprenticeships being at the core of our goal of supporting the Norfolk economy and people living in Norfolk, to prosper. The Strategy and accompanying action plan highlight the actions which will provide a clear framework for businesses to grow and individuals to progress.

This strategy outlines how we intend to meet our responsibilities to support the delivery of apprenticeships both as an employer and as a strategic leader. The strategy's associated action plan is intended to be a living document, and we will be monitoring progress closely against our goals. By working together, we can best support sustainable economic recovery and growth, for the people and businesses in Norfolk.

## Executive Summary

This strategy sets out a strategic vision, aims and objectives and an operational action plan for apprenticeships in Norfolk across all relevant areas of NCC, cohesively bringing together the three strategic strands identified by the Local Government Association (LGA) review;



1. Children's Services; supporting a broad range of pathways into Apprenticeships for 16-18 year olds (to age 25 for SEND and care leavers)
2. Growth and Development; driving forward the provision of apprenticeships to support our businesses to prosper and our residents to aspire and grow throughout their working lives'
3. Human Resources; leadership and coordination of the internal Apprenticeship Programme

NCC is committed to helping ensure Norfolk's economic growth and will promote social mobility by helping people who are not in work get the skills they need for 21st century employment. Apprenticeships form an integral part of our workforce strategy to provide the Council with a talent pipeline that supports our current and future skills needs.

Collectively, the strands which underpin the NCC Apprenticeships Strategy, will seek to identify and respond to series of indicators (eg: number of vacancies/starts, available local provision, number of young people progressing into apprenticeships – both internally and externally to NCC) - which will provide the focus for developing our action plan, our aims and approach in delivering it.

Monitoring of these indicators, as part of quarterly performance updates reported to the Apprenticeship Board, will help us to provide an agile response to the ever-changing apprenticeship landscape, as we move out of the pandemic and into economic recovery post Covid19 and Brexit.

## **Recommendation**

1. **To agree the proposed Apprenticeship Strategy and Action Plan**

## **1. Background and Purpose**

- 1.1. The 2018 Local Government Association (LGA) review 'Realising Apprenticeship Opportunities at NCC' identified an overall vision and strategy for the delivery of Apprenticeships in Norfolk, both internally and externally to NCC, reflecting individual strategic strands of activity across Growth & Development, Children's Services and Human Resources. As a result, we have established an Apprenticeship Board chaired by the Cabinet Member for Growing the Economy Councillor Graham Plant. Together we have developed this strategy (and the attached Action Plan) to guide our joint support for and delivery of apprenticeships across Norfolk

## **2. Proposals**

- 2.1. The proposed Norfolk County Council (NCC) Apprenticeships Strategy has been written and developed collectively by officers within Children's Services, Community and Environmental Services and Human Resources. The supporting

'action plan' (appendix A, 1.2) is a live document and as such will be updated in line with the NCC Apprenticeship Board meeting schedule.

The key strategic aims/approach for each directorate include:

### **Children's Services - Pathways into Work**

#### **Aims/Approach**

*Aim: Affirm apprenticeships as a key option route for 16-18 learners and drive up the number and % of applications and starts*

- Establish the apprenticeship pathway as a strategic priority to increase 16-18 participation and progression (to age 25 for SEND and care leavers)
- Promote apprenticeships for young people in specific sectors of the Norfolk labour market.
- Champion the value of recruiting 16-18-year olds apprentices to key influencers
- Ensure that Children's Services delivery teams working with LAC/Care Leavers, NEET, Home Educated, Young Offenders, SEND other vulnerable young people are informed about apprenticeships and can advise/support young people about work-based options
- Map the intended destinations of school/college leaver cohorts to recruitment needs of Norfolk labour market
- Re-frame the conversation about apprenticeships as an option for school and college leavers

*Aim: Increase the numbers of apprenticeship opportunities and starts for 16-18-year olds*

- Support employer and provider engagement activities to prioritise apprenticeships for young people including for vulnerable groups
- Identify and promote apprenticeships and traineeship opportunities in sectors of the Norfolk labour market that are actively recruiting
- Challenge and support providers to deliver against the funding made available by ESFA and other bodies for 16-18 apprentices
- Influence providers to develop new provision to address both labour market recovery needs, skills gaps and the needs of young people including vulnerable groups.
- Promote the recruitment of apprentices in the school workforce

### **Community and Environmental Services - Growth & Development - Apprenticeships Norfolk**

#### **Aims/Approach**

*Aim: Increase the number of apprenticeship starts in Norfolk for 19-24-year olds and 25+ focussing on a sector specific and/or place approach as appropriate*

- Develop an apprenticeship strategy for the period 2020-2023 to increase the number, level, range and quality of apprenticeships in Norfolk
- Working with external partners co-ordinate employer engagement across the county to maximise impact and support for businesses.

- Working with external partners co-ordinate provider/stakeholder engagement across the county to maximise impact
- Raise brand awareness of 'Apprenticeships Norfolk' and provide clear information for all stakeholders, which is easy to access and that meets their needs
- Coordinate an information and advice service about Apprenticeships across the county
- Celebrate the achievements of apprentices

*Aim: Undertake research to understand in greater detail the needs of employers and the barriers to taking up apprenticeships and develop workplans to secure provision that meets the needs of employers*

- Undertake market research to understand challenges in engaging in the apprenticeship agenda
- Dispel myths about apprenticeships

*Aim: Improve the balance between intermediate/advanced/higher starts creating more in-work progression opportunities*

- Increase the volume of Apprenticeship delivery at Advanced and Higher level to meet the skills needs of Norfolk businesses

## **NCC HR - Workforce Apprenticeships Action Plan**

### **Aims/Approach**

*The NCC Workforce Apprenticeship action plan will be governed by the Norfolk Development Academy Board (NDA). The plan will also be shared with the NCC Apprenticeships Board and progress against the plan will be provided. Plan workstreams are:*

1. Creating strategic workforce plans
2. Improving quality and quantity of NCC apprenticeships
3. Supporting a workforce that reflects the Norfolk community
4. Increasing schools' use of apprenticeships
5. Operational activities:
  - Communications to and engagement with NCC managers and wider workforce
  - Levy tracking
  - Reporting against plan
  - Attendance at events such as careers fairs

## **2.2. Consultation & Summary Position:**

To date, senior management in each directorate have approved the paper in line with DMT, HRLT and CSLT processes. The draft paper and finalised paper has been submitted to the NCC Apprenticeships Board for feedback, agreement and approval, prior to submission to Select Committee, and finally Cabinet.

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

- 3.1. This strategy sets out a strategic vision, aims and objectives and an operational action plan for apprenticeships in Norfolk across all relevant areas of NCC, cohesively bringing together the three strategic strands identified. As a result of the proposal there will be a clear mechanism to support the development and take up of apprenticeships in Norfolk. Ongoing progress and impact will be measured and articulated in the live action plan, which the three directorates will report quarterly to the Apprenticeships Board

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

- 4.1. The proposed NCC Strategy and Action Plan provides a cohesive and collaborative approach from three key directorates to provide an agile response to the ever-changing apprenticeship landscape. Regular monitoring of progress through the NCC Apprenticeship Board provides a robust and pragmatic mechanism to support achievement of the objectives set out within the Action Plan.

### **5. Alternative Options**

- 5.1. Not Applicable

### **6. Financial Implications**

- 6.1. Existing teams in Children's Services, HR and CES Growth & Development will continue to support activity within their respective strands of the Strategy.
- 6.2. To achieve the objectives of the Pathways to Work strand of the Strategy, Children's Services have recruited a team of four Pathways to Work Advisers led by a Pathways to Work Coordinator, working in the Education Strategy & Infrastructure team within the Learning & Inclusion Service. The costs of the team are included within the Children's Services core budget for 2021-22
- 6.3. CES Growth & Development continue to seek external funding to support ongoing and additional Apprenticeship initiatives (for example; ESF Insight Apprentice Project and a suite of 'Recruit Retain Reward' incentive grants for local employers/apprentices). To support peaks of activity for these additional projects, external funding bids include budgets to provide additional staffing.
- 6.4. There will be cost pressure and resource needs for HR to continue to sustain the level of apprenticeship delivery. In 2021/22 this is partly supported by reserves. The budget requirements of £115,000 per annum reoccurring will be picked up through the forthcoming budget discussions.

### **7. Resource Implications**

#### **7.1. Staff:**

CES Growth & Development will utilise existing resource within the teams to deliver their objectives (subject to successful bids for external funding)

There will be cost pressure and resource needs for HR to continue to sustain the level of apprenticeship delivery. In 2021/22 this is partly supported by reserves. The budget requirements will be picked up through the forthcoming budget discussions.

To achieve the objectives of the Pathways to Work strand, Children's Services have appointed a new team of four Advisers and a Coordinator to be managed within the Learning & Inclusion – Education Strategy and Infrastructure Service.

7.2. **Property:**

Not Applicable

7.3. **IT:**

Not Applicable

**8. Other Implications**

8.1. **Legal Implications**

Not Applicable

8.2. **Human Rights implications**

Not Applicable

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

Assessment undertaken with contributions from all three directorates within the report (Children's Services, CES Growth & Development and HR).

**EQIA Conclusion:**

There is no legal impediment to going ahead with the proposal. It would be implemented in full accordance with due process, national guidance and policy. Similar proposals have been implemented elsewhere in the UK.

It is possible to conclude that the proposal may have a positive impact on some people with protected characteristics;

- all three directorates provide information and guidance in a range of accessible formats
- Childrens Services prioritise the participation and progression into apprenticeships pathways for young people aged 16-18 and disadvantaged and vulnerable young people with protected characteristics up to 25 years.
- CES Growth & Development provide individualised guidance to all individuals aged 19+ which is inclusive to all, will actively support those with protected characteristics and help signpost to other services as required/relevant.

HR supports the NCC commitment to ensure increased accessibility and workforce representation for groups with protected characteristics and through

the strategy seeks to continue to increase diversity within these groups, creating accessible opportunities.

**8.4. Data Protection Impact Assessments (DPIA)**

Data Protection Impact Assessments are carried out for all projects undertaken as part of the apprenticeships activity and will be considered by each project team delivery activity under the strategy.

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

Not Applicable

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

Not Applicable

**8.7. Any other implications**

Not Applicable

**9. Risk Implications/Assessment**

9.1. NCC are committed to helping ensure Norfolk's economic growth and will promote social mobility by helping people who are not in work get the skills they need for 21st century employment. Apprenticeships form an integral part of our workforce strategy to provide the Council with a talent pipeline that supports our current and future skills needs.

9.2. An endorsed NCC Apprenticeship Strategy will provide opportunity for NCC to formally reference its strategic direction and focus for supporting sustainable economic recovery and growth, for the people and businesses in Norfolk, alongside delivery/progress of our operational aims and objectives. There has been significant opportunity in 2020/21 to access external funding to support additional initiatives (for example; to support businesses in Norfolk with financial support when recruiting an apprentice and helping apprentices to access equipment and travel expenses).

9.3. In conclusion, there could be an opportunity cost risk of not being able to reference a fully endorsed NCC Apprenticeship Strategy – both in terms of ongoing work with internal and external stakeholders and also future external funding bids which could continue to raise the profile and growth of Apprenticeships, as well as taking full advantage of the NCC Schools and Workforce Levy to avoid returning funds to central government.

**10. Select Committee comments**

10.1. No substantive comments from Infrastructure and Development Select-Committee.

**11. Recommendation**

11.1. To agree the proposed Apprenticeship Strategy and Action Plan.

## **12. Background Papers**

12.1. Not Applicable

### **Officer Contact**

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

**Officer name:** Katy Dorman

**Tel No.:** 01603 638331

**Email address:** [katy.dorman@norfolk.gov.uk](mailto:katy.dorman@norfolk.gov.uk)



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**Norfolk** County Council

Norfolk County Council

**Apprenticeship Strategy  
2020-2023**



## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Foreword from Cllr Graham Plant**

**Deputy Leader of Norfolk County Council, Cabinet Member for Growing the Economy and Chair of the Norfolk County Council Apprenticeships Board**

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“Norfolk County Council is proud to present its Apprenticeship Strategy 2020-2023.

Apprenticeships are core to our goal of supporting the Norfolk economy to prosper - we can only become stronger by developing our people.

A well-educated and flexible workforce trained to seize new opportunities is key to business success. Equally, our residents deserve to have the very best opportunities at all stages of their career, to raise their aspirations, gain the relevant skills and qualifications and to progress in challenging and rewarding work roles. Apprenticeships can create these opportunities and provide a clear framework for businesses to grow and individuals to progress.

This strategy outlines how we intend to meet our responsibilities to support the delivery of apprenticeships both as an employer and as a strategic leader. The strategy and the associated action plan are intended to be living documents, and we will be monitoring progress closely against our goals.

By working together, we can best support sustainable economic recovery and growth, for the people and businesses in Norfolk”

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Executive Summary

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This strategy sets out a strategic vision, aims and objectives and an operational action plan for apprenticeships in Norfolk across all areas of Norfolk County Council (NCC), cohesively bringing together the three strategic strands identified by the Local Government Association (LGA) review;

1. Children's Services; supporting a broad range of pathways into Apprenticeships for pre-16 and students aged 16-18
2. Growth and Development; driving forward the provision of apprenticeships to support our businesses to prosper and our residents to aspire and grow throughout their working lives'
3. Human Resources leadership and coordination of the internal Apprenticeship Programme

#### **Vision**

Apprenticeships will be an attractive offer that our young people and adults aspire to go into as a high quality and prestigious path to a successful career, and that employers (including NCC itself) value to develop their workforce.

#### **What does Apprenticeship success look like?**

- ✓ Apprenticeships will be a viable and aspirational pathway and route of progression for our young people and adults
- ✓ Apprenticeships are increasingly inclusive and accessible to the communities of Norfolk that reflect our diversity, adequately representing groups such as care leavers, younger workers, returners to work, people with disabilities, and people with BAME heritage.
- ✓ A broad range of apprenticeships are available to meet economic need, and at all levels, including degree level, where available.
- ✓ Every apprenticeship will be a high-quality opportunity that delivers the skills, knowledge and behaviours that employers are looking for.
- ✓ Apprenticeships are a good quality pathway to successful careers, providing opportunities for new and existing employees to develop/reskill, and helping the Council achieve its 'Caring for the County' vision.

NCC are committed to helping ensure Norfolk's economic growth and will promote social mobility by helping people who are not in work get the skills they need for 21st century employment.

Apprenticeships form an integral part of our workforce strategy to provide the Council with a talent pipeline that supports our current and future skills needs.

#### **Action & Impact**

Collectively, the strands which underpin the NCC Apprenticeships Strategy, will seek to identify and respond to series of indicators (eg: number of vacancies/starts, available local provision, number of young people progressing into apprenticeships) - which will provide the focus for developing our action plan, our aims and approach in delivering it. Monitoring of these indicators, as part of quarterly performance updates reported to the Apprenticeship Board, will help us to provide an agile response to the ever-changing apprenticeship landscape, particularly as we move out of the pandemic and into economic recovery post Covid19 and as the changes following Brexit unfold.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Why Apprenticeships?

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Apprenticeships are a key element of national skills policy and provide a vehicle for developing and increasing skills, knowledge and behaviours for those entering the labour market, workforce development and progression, and the development of higher-level skills. In its 2015 strategy<sup>1</sup> **‘Our 2020 Vision’** the Government said *‘A nation flourishes when it realises the full potential of all its people’*.

Norfolk has historically been a low skill, low wage economy with skills levels lower than national equivalents at all levels (particularly acute at levels 3 and 4; respectively between 4-5% lower than a national figure of 39% in 2018) and lower HE participation (Norfolk POLAR rating – reflecting young people entering HE – reported 29.53% against a national rating of 39.57% in 2018). Encouraging the creation of apprenticeships provides an opportunity to address this by providing opportunity to gain skills and qualifications throughout working life.

Apprenticeships deliver real benefits to employees, businesses and the economy <sup>2,3</sup>

- ✓ Individual apprentices achieve higher levels of qualification and increase their own employment prospects, productivity and wages.
- ✓ 83% of apprentices said their career prospects had improved.
- ✓ Apprentices completing an apprenticeship at level 4 or above could earn £150,000 more, on average, over their lifetime
- ✓ 70% of surveyed employers said apprenticeships improved product quality and service.
- ✓ Apprenticeships represent a highly effective means for all businesses to build their pipeline of skilled future staff
- ✓ Apprenticeships represent an excellent investment for both the Government and employers, delivering significant benefits for the taxpayer: Apprenticeships provide a typical return of £26–£28 for every £1 of government investment in apprenticeships at levels 2 and 3
- ✓ The investment of UK employers in training has rapidly declined over the last 20 years and is low when compared to our international competitors.
- ✓ Employers have the opportunity to feel full ownership of apprenticeships, designing and owning the content of all apprenticeship standards and assessments
- ✓ Countries with high relative shares of young people in vocational education, tend to have among the lowest rates of youth unemployment
- ✓ Apprenticeship programmes can help to improve the general level of skills in the local economy and can boost overall economic growth and productivity
- ✓ Many employers recoup the cost of training before the completion of the apprenticeship and others within a time frame as short as 1-2 years

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<sup>1</sup> [English Apprenticeships - Our 2020 Vision \(GOV.UK, 2015\)](#)

<sup>2</sup> [English Apprenticeships - Our 2020 Vision \(GOV.UK, 2015\)](#)

<sup>3</sup> [OECD/ILO – Engaging Employers in Apprenticeship Opportunities \(2017\)](#)

## Norfolk County Council – Apprenticeship Strategy 2020-2023

- ✓ Investing in apprenticeship training has other diffused benefits for the business, including increased skills development for other employees, increased entrepreneurship and increased exposure to new technologies in the workplace
- ✓ Firms that invest heavily in apprenticeships have reported reduced rates of staff turnover in entry-level positions and see apprentices and trainees as a stream of workers ready to move onto higher – level training and promotional positions
- ✓ Firms that invest in apprenticeship programmes also report other benefits, including reduced recruitment costs, enhanced job satisfaction among workplace supervisors and achievement of corporate social responsibility outcomes

NCC are committed to helping ensure Norfolk's economic growth and will promote social mobility by helping people who are not in work get the skills they need for 21st century employment.

Apprenticeships form an integral part of our workforce strategy to provide the Council with a talent pipeline that supports our current and future skills needs.

Our NCC values set out what's important about how we work and these have been applied in developing the strategy;

**Make strategy happen** | Live action plans detail our work, which will deliver the strategy

**Take accountability** | The strategy is a collaborative; giving accountabilities to each department to own and drive forward their aims and ambitions

**Be evidence based** | Our approach is supported by evidence from national and local data

**Be business-like** | We will deliver the strategy professionally, consulting with key stakeholders as we respond to supporting a changing economic landscape.

**Be collaborative** | Children's Services, Growth & Development & HR commit to ongoing development and delivery of the Strategy.

The strategy paper aligns with the NCC 6 year Business Plan **'Together, for Norfolk'** by supporting *"..work with schools, the LEP and employers to raise standards and ensure Norfolk is not left behind"* and *"create more new apprenticeships by working with local businesses and the education sector"*.

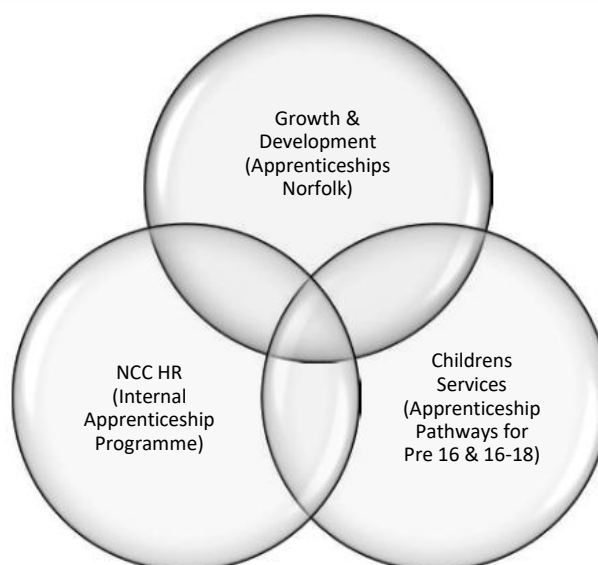
Furthermore, the strategy will support delivery of the priorities of the **'Norfolk & Suffolk Economic Strategy'** to *"promote collaboration between business, HE, FE, schools and the public sector to provide the training opportunities and work experience that enable businesses and people to fulfil their full potential"*.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Background

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The 2018 Local Government Association (LGA) review **‘Realising Apprenticeship Opportunities at NCC’** identified an overall vision and strategy for the delivery of Apprenticeships in Norfolk, both internally and externally to NCC, reflecting individual strategic strands of activity across Growth & Development (G&D), Children’s Services (CS) and Human Resources (HR).



As a result we have established an Apprenticeship board (see **Appendix 1** for Terms of Reference), chaired by the Cabinet Member for Growing the Economy with senior representation from each of these directorates together with the Director of Community Information and Learning<sup>4</sup>.

Together we have developed this strategy and the attached Action Plan to guide our joint support for and delivery of apprenticeships across Norfolk

**This strategy sets out a strategic vision, aims and objectives and an operational action plan for apprenticeships in Norfolk across all areas of Norfolk County Council, cohesively bringing together the three strategic strands identified by the Local Government Association (LGA) review;**

- Children’s Services approach in supporting a broad range of pathways into Apprenticeships for pre-16 and students aged 16-18
- Growth and Development; driving forward the provision of apprenticeships to support our businesses to prosper and our residents to aspire and grow throughout their working lives
- Human Resources leadership and coordination of the internal Apprenticeship Programme

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<sup>4</sup> NCC Adult Learning is an Adult Education provider (regulated and funded as a Further Education Institution) and sits within Community Information & Learning, providing delivery of Apprenticeships across a number of apprenticeship standards. NCC Adult Learning Apprenticeships delivery is aligned with and supports the main aims set out by the above tripartite strategy, but does not contribute to it specifically, as it is one of a number of local training providers offering apprenticeship delivery internally to NCC employees and externally in Norfolk.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### National & Local Context

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Apprenticeships exist in a dynamic marketplace with notable recent changes including;

- Placing employers in the driving seat; working together to design apprenticeships so they meet the needs of the industry
- Simplified apprenticeships – replacing complex frameworks with short, simple standards, written by employers in a language they understand
- A lack of approved standards at L2 following the transition from frameworks to standards. It is widely acknowledged this has impacted on volumes of starts for young people whose attainment grades are lower.
- Increased quality – introduction of the 20% off-the-job training funding requirement and a rigorous, graded End Point Assessment (EPA) to confirm the apprentice is fully competent and their capabilities appropriately stretched.
- Introduction of the Apprenticeship Levy (2017 onwards) - which aimed to increase employer investment and improved opportunities for upskilling the existing workforce (who tend to be 19+) creating broader apprenticeship opportunities for all ages
- Non-levy contributions were drastically reduced and remained only for larger organisations with over 50 staff and/or for recruiting apprentices aged over 19
- Norfolk has seen a consistent reduction in Independent Training Provider delivery; with five notable organisations closing within the last 5 years; creating a significant reduction in the county in terms of apprenticeship offer and availability

### Where are we now?

The Apprenticeship Levy improved opportunities for businesses to fund both workforce development for existing staff and higher-level apprenticeships; both a likely focus for large organisations looking to utilise their Levy. Existing staff are more likely to be in the higher age groups and are more likely to complete higher level apprenticeships. It is widely acknowledged nationally that this strategy has improved much needed upskilling of staff; however, potentially at the expense of recruiting lower level apprenticeships and/or younger apprentices externally. However, Norfolk has a significant pot of unspent Levy funds; suggesting larger Levy paying organisations are yet to fully utilise this funding opportunity. This gives us an opportunity to increase the provision of apprenticeships.

The following data demonstrates a significant 4-year decline locally, in terms of apprenticeship starts in each full academic year, from a high of 7670 in 15/16 to 5740 in 18/19; a drop of nearly two thousand new starts and in stark contrast to the aim of increasing apprenticeships. The rate of decline had begun to reduce in 2018/19 and there were encouraging signs early in 2019/20, however this has been severely impacted by Covid19.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

Norfolk (2013/14 – 2019/20)				England (2013/14 – 2019/20)			
Academic Year	Norfolk Apprenticeship Starts	Difference	% Change	Academic Year	Apprenticeship Starts	Difference	% Change
13/14	6270			13/14	434,600		
14/15	7290	↑1020	+16%	14/15	494,200	↑59,600	+14%
15/16	7670	↑380	+5%	15/16	503,900	↑9,700	+2%
16/17	6850	↓820	-12%	16/17	489,100	↓14,800	-3%
17/18	5960	↓890	-13%	17/18	371,200	↓117,900	-24%
18/19	5740	↓220	-4%	18/19	389,600	↑18,400	+5%
19/20	4890	↓840	-15%	19/20	322,500	↓70,880	-18%

**Current Data (19/20) including Covid-19 Impact Data (updated July 2020) is available here:**  
[Apprenticeship Norfolk Data Pack 2019-20](#)

National data gives an early indication of the impact of Covid19 on new apprenticeships starts; creating an unprecedented and unpredictably negative landscape, both locally and nationally. However, the most recent figures (reported as at 31.07.20) show an improved picture on the previous reporting period to 30.06.20 suggesting there has been a very gradual increase in starts at all ages and levels as we moved out of the first lockdown.

The government has created unprecedented levels of support for businesses, as a response to Covid19; offering the opportunity for furlough via the job retention scheme amongst other financial support grants & loans. The 'Plan for Jobs' announced on 8<sup>th</sup> July 2020, by chancellor Rishi Sunak included a significant focus on Apprenticeships with incentives for employers of all sizes taking on NEW apprentices of all ages, from 1<sup>st</sup> August 2020 to Jan 31<sup>st</sup> 2021, in an effort to boost apprenticeship starts nationally. Alongside the above incentives, ESFA have launched a Redundancy Support Service for apprentices adversely impacted by Covid19.

Apprenticeships Norfolk have worked to support local apprenticeship provision during lockdown; surveying apprenticeship providers to understand the impact of Covid19 and how to best assist them, as well as issuing a weekly newsletter (as requested), giving updates on national and local policy changes, initiatives and support available. Apprenticeships Norfolk have introduced a local flexible 'Apprenticeship Incentive Fund' targeting non-levy paying businesses in Norfolk, to take on new or redundant apprentices, aged 16-24.

The New Anglia LEP's '**Covid19 Economic Recovery Restart plan**' suggests '1/5 of apprentices (~2,000 in Norfolk and Suffolk) are not expected to return once economic restrictions are relaxed' and that

## Norfolk County Council – Apprenticeship Strategy 2020-2023

together we will *'Reshape existing apprenticeship projects to help stimulate the creation of quality apprenticeships and to enable those existing apprentices who have been made redundant to be connected to new opportunities, working with businesses to show them the value of apprenticeships.'* NCC will continue to work with the LEP and other partners including the New Anglia Skills Advisory Panel to maximise the opportunity to drive up apprenticeship starts.

It is likely that moving forward, support and interventions - such as flexibilities in the levy, incentives and subsidies - will need to continue to be broad. This should encourage and stimulate growth across apprenticeship starts in all sectors/levels, but perhaps with a focus on 16-24 age cohorts – to keep apprenticeships buoyant at a time where the local and national economy will be in an extraordinary and as yet, undetermined position.



## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Resources to deliver the Strategy

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The following strands each have a specific focus in delivering the NCC strategy; and the resources section of the strategy paper will set out the strategic and individual approach that each directorate will take and how they link and work together, to form an overall action plan.

- **Strand 1:** Children's Services; supporting a broad range of 'Pathways into Work' for pre-16 and students aged 16-18 (24 for SEND and those leaving care).
- **Strand 2:** Growth and Development; leadership and coordination of 'Apprenticeships Norfolk'
- **Strand 3:** Human Resources; leadership and coordination of NCC Workforce Apprenticeships

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Strand 1 – Children’s Services: Pathways into Work**

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#### **Introduction**

A thriving education and training sector is essential for all of Norfolk’s 16-18-year olds (24 years for SEND and those leaving care) and viable pathways into work for all young people are crucial to this aspiration and to enable Norfolk County Council to fulfil its statutory role as the champion of children and corporate parent to Norfolk’s most vulnerable young people. The participation of 16-18-year olds with education and training is paramount to young peoples’ achievement, attainment, well-being and progression to economic independence and adulthood. High quality apprenticeships are essential to achieve this aspiration and for young people to gain entry to the labour market. In line with Norfolk’s Corporate Parenting principles no young person should be left behind, we are committed to promote opportunities and promote aspirations to help seek and secure best outcomes.

However, local research shows that there still is not enough awareness amongst some young people or their parents/carers by the time they reach Year 11 including some of the basic knowledge about what an apprenticeship is and the mechanics of how to get into a job/apprenticeship.

Providers feedback that many employers will recruit older and often more highly qualified apprentices citing issues with the levels of maturity and work readiness amongst many 16 and 17 year old young people, as well as valuing the additional knowledge and skills from time spent at college, sixth form or other training.

Teacher and careers adviser feedback is that matching available vacancies to the aspirations and academic ability of students is an ongoing issue with young people sometimes struggling with the academic requirements of an apprenticeship, or where apprenticeship vacancies don’t necessarily match the elected career interests or aspirations of young people.

Finally, national and local research points to the negative impacts of Covid19 on young people, particularly those leaving education in 2020 and 2021. Faced with a recession, growing unemployment and a much reduced recruitment market, we expect 16-18 young people to be most likely to struggle to access labour market opportunities including apprenticeships, particularly in those sectors that have traditionally recruited young people including retail, commercial enterprise, hospitality and catering.

#### **Children’s Services Context & Strategic Approach**

##### **16-18 Participation and NEET reduction**

Norfolk County Council has a statutory duty to ‘encourage, enable and assist’ all 16-18-year olds to participate in learning and to reduce NEET. This duty is overseen by our Participation & Transitions Strategy Team (PTST). Whilst over 90% of Norfolk’s 16-year-olds currently progress into full time education in Sixth Forms and Colleges, many 16 and particularly 17-year-olds aspire to enter work with training – mostly through apprenticeships.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Supporting 14-18 career choices**

We work with schools, colleges and other providers to support young people to make well informed and realistic career decisions and achieve successful transitions into post 16 destinations including providing:

- i. IAG services to vulnerable groups including NEET, SEND, LAC/CL; Home Educated, YOT
- ii. Help You Choose website for Norfolk's young people full of impartial information and advice about all 16-18 options including extensive information on apprenticeship vacancies, traineeships and other work with training
- iii. Care Offer Website has been developed as one-stop job and apprenticeship shop for 16 upwards with interactive graphics, front-page lead-in links to Guaranteed Income Scheme, Supported Internships, Norfolk / NCC Apprenticeships.
- iv. Norfolk's Careers Network for school/college careers advisers and career leads and work with LEP's Careers Hub/Enterprise Adviser Network to provide school staff with the careers CPD they require to meet their statutory duties for Careers Guidance.
- v. The Higher Aspirations Scheme (HAS) to provide information, support and advice about all options at 18+ for post 16 A level students.

### **Corporate Parenting Strategy**

As part of Norfolk's Corporate Parenting Strategy, a monthly sub-group (EET 1) focusing on Education and Training for our Looked After Children and Care Leavers is held where targeted areas are progressed. Apprenticeships are a key focus and we promote secured agreements with several large organisations including within NCC and other public sector bodies. At this time challenge is around post 16, barriers, actions and opportunities where additional targets are required in order to meet the need.

### **Inclusion and supporting the vulnerable**

Children's Services is committed to promote the interests and provide a safety net for Norfolk's most vulnerable young people. In recent years we have promoted apprenticeships with NEET young people through our Guidance Adviser/YPA delivery teams; with LAC/Care leavers with colleagues in Growth & Development and HR; with HR to develop a pilot Apprenticeships Training Agency model with TrAC and through the Virtual School to provide apprenticeships advice for social workers, personal advisers, young people and providers around the apprenticeships top-up grant. Funding is being sought via the Corporate Parenting sub-Group to continue the Positive Activities Norwich Pilot for work-readiness, soft skills and confidence for NEET Care Leavers, and to extend it to the whole County. Norfolk's Corporate Parenting Board remain at the front of these operations to promote and review inclusion as well as need and volume.

### **Successful progressions**

Children's Services ESI and Achievement Services provide challenge and support through a programme of annual conversations with Multi Academy Trusts (MAT), FE Colleges and Sixth Forms and through network meetings with the Norfolk Provision Network, Sixth Form+ Group and the New Anglia Learning Providers Forum (NALP). A key goal is to promote progression opportunities for all 16-18-year-old learners. Apprenticeships are an essential component of this progression framework.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Working in partnership

Children's Services are committed to work in partnership to promote pathways to work including apprenticeships for young people. Our Partnership approach involves working with both internal and external partners by:

- i. Participating in a 'virtual team' with Growth & Development, HR, Community Learning Services and Adult Social Services that promotes a consistent approach within NCC to apprenticeship support and promotion
- ii. Corporate Parenting group meeting monthly as multi-agency group with County Council member chair to review opportunities and progress of pathways and agree action points for progression
- iii. Promoting new provision to address the gaps including scoping the possibility of traineeships or transition to apprenticeships provision
- iv. Coordinating and promoting existing apprenticeships information and support provision targeted at young people by bringing together the range of agencies involved in this work.

### Vision

Norfolk County Council – Children's Services vision is for all young people to have a viable and aspirational pathway to work, with apprenticeships as a core option for at least 10% of 16-18-year olds in Norfolk.

Our aim is to work with Providers and senior leaders in schools, sixth form and colleges to establish four clear pathways to work for young people with apprenticeships at the centre of our strategy:

- i. 16-year-old school leavers
- ii. 17-year-old sixth form and college leavers
- iii. 18-year-old sixth form and college leavers.
- iv. Our fourth priority aims to enable access to work including apprenticeships for as many as possible vulnerable young people who have the capability including young people looked after, leaving care, those SEND young people with EHCP up to age 25 years, those on youth offending orders and the home educated.

To realise this vision, we will create a Pathways to Work Team within our Learning & Inclusion Service whose role will be to lead on our strategy to promote the profile, value and provision of apprenticeship and other work-related options. This will increase the demand from young people for apprenticeships and other work-based options.

We will also work through Norfolk's Corporate Parenting Board who review progress on a quarterly basis through sub-groups for Education, the Decriminalisation of LAC and LC and Leaving Care. These provide additional strands of focus and task to support achievement and development for our young people.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

To meet a growing demand will also require a significant increase in the number, range and availability of quality apprenticeship opportunities, especially post Covid. To support this to happen, we will also work with partners in Growth & Development, New Anglia LEP, District Councils, Norfolk Chamber and the provider network. Growth in demand from young people needs to be matched with growth in the supply of apprenticeship opportunities.

### **Pathways into Work Action Plan - Aims/Approach**

**Aim: Affirm apprenticeships as a key option route for 16-18 learners and drive up the number and % of applications and starts**

- Establish the apprenticeship pathway as a strategic priority within Children's Services and as a viable progression pathway for young people in order to increase 16-18 participation and progression with priority focus on LAC/Care leavers and other vulnerable groups
- Establish the apprenticeship pathway as a strategic priority to increase 16-18 participation and progression with priority focus on LAC/Care leavers.
- Promote apprenticeships for young people in specific sectors of the Norfolk labour market.
- Champion the value of recruiting 16-18-year olds apprentices to key influencers
- Ensure that Children's Services delivery teams working with LAC/Care Leavers, NEET, Home Educated, Young Offenders, SEND other vulnerable young people are informed about apprenticeships and can advise/support young people about work-based options (including ensuring this reports progress to Norfolk's Corporate Parenting board).
- Map the intended destinations of school/college leaver cohorts to recruitment needs of Norfolk labour market
- Re-frame the conversation about apprenticeships as an option for school and college leavers

**Aim: Increase the numbers of apprenticeship opportunities and starts for 16-18-year olds**

- Support employer and provider engagement activities to prioritise apprenticeships for young people including for vulnerable groups
- Identify and promote apprenticeships and traineeship opportunities in sectors of the Norfolk labour market that are actively recruiting
- Challenge and support providers to deliver against the funding made available by ESFA and other bodies for 16-18 apprentices
- Influence providers to develop new provision to address both labour market recovery needs, skills gaps and the needs of young people including vulnerable groups.
- Promote the recruitment of apprentices in the school workforce

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Strand 2 – Growth & Development: Apprenticeships Norfolk**

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#### **Introduction**

Good productivity is fundamental to economic growth. Increasing the quality and quantity of apprenticeships plays a significant role in developing opportunities for improving skills and thereby helping to address Norfolk's skills shortages. This, in turn increases productivity and stimulates economic growth.

Growth & Development is committed to helping ensure Norfolk's economic growth and will promote social mobility by; helping people who are not in work get the skills they need for 21st century employment; and championing Apprenticeships as a highly effective means for all businesses to build their pipeline of skilled future staff.

NCC Growth & Development has a strong history of supporting apprenticeships, including;

- 'Apprenticeships Norfolk' fund - a two year £2.2m fund, with the expressed aims of increasing the number of SMEs offering Apprenticeships within Norfolk and reducing the number of 16-24 year olds not in education, employment or training (NEET). The fund also aimed to help more care leavers into Apprenticeships. The target of 441 new apprenticeships was achieved 8 months ahead of the target date.
- The 'Apprenticeships Norfolk' network was formed in 2014, providing a partnership approach to influencing the strategic growth of apprenticeships in Norfolk.

#### **Context & Strategic Approach**

In 2020 Apprenticeships Norfolk have brought a fresh approach; relaunching with improved & updated branding; creating a clear, strong presence and visibility to all key stakeholders. Strong working relationships have developed with the provider and stakeholder networks and enquiries from employers and potential apprentices are increasing week on week. Apprenticeships Norfolk have been successful in supporting employers previously unfamiliar with setting up an Apprenticeship, with the individualised and impartial guidance and support required.

Key recent activities include creating an updated, user-friendly, interactive and engaging website and setting up new and enhanced social media platforms. Regular content posted on all channels has seen a sharp increase in followers, engagement and interactions with a wide variety of key stakeholders, increasing brand awareness.

Apprenticeships Norfolk have initiated various market research surveys, which supported insight and understanding of the sector - both during the pandemic and looking forwards - as we move into the recovery and normalisation phase, finding the 'new normal' for employers, providers and more broadly the landscape of apprenticeship provision. This insight has been pivotal in being able to offer initiatives to support a Covid19 response.

## Norfolk County Council – Apprenticeship Strategy 2020-2023

The direction of travel for Apprenticeships Norfolk is to continue to build on the recent successful relaunch and continue to strengthen the impartial, trusted professional advice service for apprenticeships in Norfolk; supporting more apprentices, employers and providers through a range of supportive & innovative projects and initiatives.

One current initiative is the **‘Recruit | Retain | Reward’** (RRR) incentive fund, which provides additional incentives to small/medium non-levy business in Norfolk, recruiting a new apprentice aged 16-24 or an apprentice made redundant due to Covid19. Initially funded through repurposed project funds, RRR has recently benefitted from additional funding via the Norfolk Strategic Fund, meaning we have a significant opportunity to stimulate new apprenticeship starts and also enable completion and achievements for those apprentices adversely affected by Covid19.

Utilising the RRR incentive initiative, Apprenticeships Norfolk are working towards achieving a target of 437 successful incentive grants between August 2020 and July 2022, making a real difference to the businesses and individuals in Norfolk. Furthermore, Growth & Development will continue to identify opportunities to secure further additional funding to support further projects and initiatives.

Apprenticeships Norfolk, working alongside the NCC ‘Apprenticeship Pathways for 16-18 year olds’ and the NCC HR ‘Apprenticeship Programme’ will ensure that a joined up approach reinforces and supports the overall aims of each other.

### **Vision**

The focus and vision for Growth & Development is to promote the growth of apprenticeships as a viable and aspirational pathway and route of progression for those aged 19-24 and 25+, across a breadth of indicators (such as level, sector and place) as appropriate. Every apprenticeship will be a high-quality opportunity that delivers the skills, knowledge and behaviours that employers are looking for. Employers will recognise that investing in apprenticeships brings value, innovation and emerging talent into the heart of their business. People of all ages in Norfolk, considering reskilling or changing career, will see Apprenticeships as a viable opportunity.

Growth & Development continues to facilitate ‘Apprenticeships Norfolk’ to deliver an effective and impartial brokerage service to help realise this vision.

### **Apprenticeships Norfolk - Vision Statement**

Apprenticeships Norfolk is a trusted, impartial service; working collaboratively with providers, employers and partners to promote the profile & growth of Apprenticeships across the county.

Championing apprenticeships #MadeInNorfolk

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Apprenticeships Norfolk Action Plan - Aims/Approach**

**Aim: Increase the number of apprenticeship starts in Norfolk for 19-24-year olds and 25+ focussing on a sector specific and/or place approach as appropriate**

- Develop an apprenticeship strategy for the period 2020-2023 to increase the number, level, range and quality of apprenticeships in Norfolk
- Working with external partners co-ordinate employer engagement across the county to maximise impact and support for businesses.
- Working with external partners co-ordinate provider/stakeholder engagement across the county to maximise impact
- Raise brand awareness of Apprenticeships Norfolk and provide clear information for all stakeholders, which is easy to access and that meets their needs
- Coordinate an information and advice service about Apprenticeships across the county
- Celebrate the achievements of apprentices

**Aim: Undertake research to understand in greater detail the needs of employers and the barriers to taking up apprenticeships and develop workplans to secure provision that meets the needs of employers**

- Undertake market research to understand challenges in engaging in the apprenticeship agenda
- Dispel myths about apprenticeships

**Aim: Improve the balance between intermediate/advanced/higher starts creating more in-work progression opportunities**

- Increase the volume of Apprenticeship delivery at Advanced and Higher level to meet the skills needs of Norfolk businesses



## Norfolk County Council – Apprenticeship Strategy 2020-2023

### **Strand 3 – HR: Workforce Apprenticeships**

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#### **Introduction**

“As a strategic leader of public services in Norfolk and one of the largest employers in the area, Norfolk County Council’s ambition is to lead the way as an employer in championing, shaping and deploying apprenticeships to help solve strategic challenges within its own 6,000-person workforce, thereby improving the quality of services offered to the people of Norfolk.”

*Tom McCabe, Head of Paid Service, Sarah Shirtcliff, Director for People*

Our approach to date has successfully raised the profile of apprenticeships under modern reform, meaning that we have used the levy strategically to support 429 apprenticeship starts within NCC’s workforce to date, with 311 live currently, our greatest achievement so far (November 2020).

Building on this success, we will continue to identify workforce challenges where we can strategically deploy apprenticeships to best effect.

#### **Context & Strategic Approach**

In order to build on our success to date, our strategic approach is twofold:

Firstly, we want to increase the number of skilled individuals in hard to recruit to areas, targeting the provision of apprenticeships (as well as internships, graduate schemes, traineeships and work experience) in parts of the organisation where systemic or long-term difficulties are anticipated (Social Care, for example).

Secondly, we want to support NCC to become an employer that reflects the communities of Norfolk, makes best use of their talents, supports social mobility and is increasingly attractive and accessible for those groups who have historically not been adequately represented within the NCC workforce. This means making apprenticeships (as well as internships, graduate schemes, traineeships, and work experience) increasingly available to groups such as care leavers, younger workers, returners to work, people with disabilities, and people with BAME heritage.

Work to achieve this approach will be guided by workforce plans within services, and the creation of these plans will be supported using the LGA workforce planning toolkit and approach.

The challenge for NCC to achieve these aims may well increase as Norfolk’s population is set to rise significantly over the next twenty-five years and the economy is due to create up to 88,000 new jobs<sup>5</sup>. The current Covid19 pandemic notwithstanding, we may find it increasingly difficult to attract and retain enough numbers of people with the skills required to deliver some of our services.

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<sup>5</sup> [New-Anglia-Economic-Strategic-Brochure-Lowres.pdf](#) (Nov 2017)

## Norfolk County Council – Apprenticeship Strategy 2020-2023

The NCC Workforce Apprenticeships action plan provides a structured, measurable approach to the achievement of the strategic aims set out above.

In addition to its internal focus, the plan co-exists in conjunction with the outward facing 'Apprenticeships Norfolk' and 'Apprenticeship Pathways for pre-16 to 18-year olds', supporting broader efforts to raise aspirations, skills and qualifications, and, therefore, economic growth and social mobility in the wider Norfolk community. This joined up approach means that each plan reinforces and supports the aims of the others.

### Vision

Our mission is to use the NCC levy strategically to provide apprenticeships that support the Council to attract, retain and develop a skilled and diverse workforce that meets our county's needs now and, in the future, positively impacting NCC service delivery and opportunities for the community of Norfolk. Embedding apprenticeships into our services' workforce plans and creating recruitment/outreach campaigns will ensure our offers are targeted for maximum return and supports our visibility as a local employer of choice.

Our vision by the end of 2023 is:

1. Apprenticeships form an integral part of each service / directorate strategic workforce plan, which is based on evidence, focuses on areas of strategic need for skills, and looks a rolling 2-5 years ahead
2. We are an employer of choice in terms of quality and quantity of apprenticeships provided
  - a. Of the people who started an apprenticeship with NCC (excluding schools), 90% have remained with us in NCC roles for at least two years after the end of their apprenticeship, and 90% of starters have completed their apprenticeship
  - b. NCC is widely recognised within Norfolk and beyond as an employer offering a wide range of attractive apprenticeship opportunities
  - c. The NCC levy is consistently forecast against and targeted to finance apprenticeships in the priority areas identified by directorate plans, with no under-spend, ensuring recruitment initiatives for certain grades and roles are monitored and allows a ringfence for those apprenticeships targeted at our care leavers. This may include levy sharing where this supports directorate workforce plans.
  - d. 50% of apprenticeship opportunities are filled by current NCC colleagues, 50% by new starters (currently 65:35)
  - e. NCC continues to engage with schools, colleges and young people via Cornerstone to raise the profile of apprenticeships and promote them as high-quality learning opportunities and good routes into successful careers, making sure we attract high quality apprentices to the council, especially in under-represented or priority areas.
3. Through the medium of apprenticeships and other learning vehicles, the NCC workforce reflects more accurately the make-up of the Norfolk communities we serve, in terms of care leavers, younger people, those at the start of their career, people with disabilities, people with BAME

## Norfolk County Council – Apprenticeship Strategy 2020-2023

heritage, and returners to work. We have established a baseline and appropriate methods to measure progress in these areas. We have increased awareness and accessibility for those in disadvantaged groups, and we have some success stories we are able to share.

4. Joint vision with Children's Services: Schools continue to increase monthly levy spend at a rate of over 200% on a year-to-year basis for the next two years whilst sharing levy within the education sector and its supply chains. They have increased take-up of apprenticeships (from 46 live now to 150 live by the end of 2023)

### **Equality Impact Assessment Statement**

NCC is committed to tackling discrimination and prejudice in all its forms and recognises our responsibility to lead by example. Our commitment to work to address disadvantage, promote equality and eradicate racism is supported by our Workforce Strategy which interlinks with the Apprenticeship Strategy.

### **NCC Workforce Apprenticeships Action Plan - Aims**

The NCC Workforce Apprenticeship action plan will be governed by the Norfolk Development Academy Board (NDA). The plan will also be shared with the NCC Apprenticeships Board and progress against the plan will be provided. Plan workstreams are:

1. Creating strategic workforce plans
2. Improving quality and quantity of NCC apprenticeships
3. Supporting a workforce that reflects the Norfolk community
4. Increasing schools' use of apprenticeships
5. Operational activities:
  - Communications to and engagement with NCC managers and wider workforce
  - Levy tracking
  - Reporting against plan
  - Attendance at events such as careers fairs

## Norfolk County Council – Apprenticeship Strategy 2020-2023

### Apprenticeship Action Plan

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The overarching strategic aims were previously agreed at the initial Apprenticeships Board meeting.

The aims for the delivery of apprenticeships **externally** to employers and individuals are:

1. Affirm apprenticeships as a key route for 16-18 learners
2. Arrest the decline in apprenticeships starts for 16-18
3. Increase the number of apprenticeship starts in Norfolk for 19-24-year olds and 25+ focussing on a sector specific and/or place approach as appropriate
4. Undertake research to understand in greater detail the needs of employers and the barriers to taking up apprenticeships and develop workplans to secure provision that meets the needs of employers
5. Improve the balance between intermediate/advanced/higher starts creating more in-work progression opportunities

The aims for the delivery of apprenticeships **internally** to employees are:

1. Creating strategic workforce plans
2. Improving quality and quantity of NCC apprenticeships
3. Supporting a workforce that reflects the Norfolk community
4. Increasing schools' use of apprenticeships
5. Operational activities, including Levy tracking, attendance at events and internal communications

Our action plan sets out how we will collectively achieve the strategic aims and priorities identified within this paper. It will be regularly reviewed and updated in line with the Council's Strategy and any other local and national influences.

The detailed action plan, which cohesively links all three strands within the strategy paper is listed within **Appendix 2**.

## **Appendix A, 1.1**

### **Terms of Reference – NCC Apprenticeship Board**

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#### **Role/Purpose**

The Norfolk County Council (NCC) Apprenticeship Board was established by the Corporate Board in accordance with the recommendations of the LGA Apprenticeship Review '*Realising Apprenticeship Opportunities at NCC*'. The Apprenticeship Board will provide collective leadership and a strategic steer for apprenticeship activity across NCC (HR, Children's Services, Growth and Development) driving commitment to the programme by:

- Developing and agreeing the overall vision and strategy for the delivery of apprenticeships both internally and externally to NCC
- Agreeing an overall apprenticeships action plan that brings together the service area plans for each discrete area of work
- Developing, monitoring and providing challenge on targets and KPI's
- Agreeing areas of collaboration (e.g. literature & information, engagement & events) within NCC to maximise the impact of apprenticeships both internally and externally, (including budgetary responsibility)
- Identifying and agreeing papers to come to the Apprenticeship Board
- Agreeing proposals for the transfer of the NCC apprenticeship levy
- Providing half yearly reports to the Corporate Board on progress against targets

#### **Responsibilities**

- Each discrete function i.e. HR, Children's Services, Growth and Development will bring its action plans to the Board for agreement at the first meeting and will provide an update report at each subsequent meeting on progress, proposing additions/changes as necessary
- Each function will have budgetary responsibility for its own area of work
- Each function will have responsibility for leading and co-ordinating any sub-groups relevant to the function and for providing reports to the Board as appropriate

#### **Term**

These Terms of Reference are effective from (date of first meeting) and will be ongoing until amended or terminated by agreement between the parties.

## **Appendix A, 1.1**

### **Terms of Reference – NCC Apprenticeship Board**

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#### **Membership\***

The NCC Apprenticeship Board will comprise:

- Cllr. Graham Plant, (Chair) Deputy Leader of the Council and Cabinet Member for Growing the Economy
- Vince Muspratt, Director - Growth and Development, Community & Environmental Services
- Sarah Shirtcliff, Head of HR, Strategy & Governance
- Sara Tough, Director - Children's Services
- Ceri Sumner, Director - Community, Information & Learning

Members may appoint an alternate to represent them. Each member may be accompanied by an officer to support with detailed knowledge.

*\* Correct at time of writing, will be updated to reflect membership if roles subsequently change*

#### **Roles and Responsibilities**

The members of the Board will commit to:

- Attending all scheduled Board meetings, nominating a proxy if necessary
- Wholeheartedly championing the Board within and of work areas
- Sharing relevant communication and information across all Board members
- Making timely decisions and acting to facilitate the work of the Board
- Notifying members of the Board as soon as practical, if any matter arises which may be deemed to affect the development/progress/work of the Board

Members of the Board will expect:

- That each member will be provided with complete, accurate and meaningful information in a timely fashion
- To be given reasonable time to make key decisions
- To be alerted to potential risks and issues that could impact on the delivery of apprenticeships in Norfolk

## **Appendix A, 1.1**

### **Terms of Reference – NCC Apprenticeship Board**

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#### **Meetings**

All meetings will be chaired by the Cabinet Member for Growing the Economy

Members with any personal, business or financial interest in a matter being discussed must declare that interest and will not be entitled to take part in discussion/decision making. Any declared interests will be maintained on the meeting notes.

Decisions will be made by consensus (i.e. members are satisfied with the decision even though it may not be their first choice). If not possible, the chair of the Board will make the final decision.

Growth & Development, will act as the secretariat to the Board, including:

- Coordination of NCC Apprenticeship Strategy & Action Plan
- Preparing agendas
- Preparing meeting notes and actions and following up on progress
- Coordination of any sub-groups

Agendas and papers will be circulated at least 5 working days in advance of meetings. Meetings will be held quarterly for 1.5 hours and will take place remotely via MS Teams. *(Note: If significant decisions are required, guidance will be sought from NP Law, and meeting could be held at County Hall.)*

If required, subgroup meetings will be arranged outside of these times at a time convenient to subgroup members

#### **Sub-Groups**

The Board may establish such sub-groups as it sees fit in order to support the implementation of the NCC Apprenticeship Strategy. The Board will be responsible for developing and agreeing the Terms of Reference of any sub-group and deciding on a chair. Any sub-group will be required to establish an action plan to achieve the task set by the Board and will report to each quarterly meeting of the Board.

#### **Amendment, modification or variation**

These Terms of Reference may be amended, varied or modified in writing after consultation and agreement at a Board meeting.

## Appendix 2 - Action Plan [Updated May 2021]

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### Strategic Aims/Objectives/Actions

The overarching strategic aims were previously agreed at the initial Apprenticeships Board meeting.

The aims for the delivery of apprenticeships **externally** to employers and individuals are:

1. Affirm apprenticeships as a key progression route for 16-18-year olds (24 for LAC, SEN and other vulnerable groups) and drive up the number and percentage of applications and starts
2. Increase the numbers of apprenticeship opportunities available to 16-18-year olds
3. Increase the number of apprenticeship starts in Norfolk for 19-24-year olds and 25+ focussing on a sector specific and/or place approach as appropriate
4. Undertake research to understand in greater detail the needs of employers and the barriers to taking up apprenticeships and develop workplans to secure provision that meets the needs of employers
5. Improve the balance between intermediate/advanced/higher starts creating more in-work progression opportunities

The aims for the delivery of apprenticeships **internally** to employees are:

1. Creating strategic workforce plans
2. Improving quality and quantity of NCC apprenticeships
3. Supporting a workforce that reflects the Norfolk community
4. Increasing schools' use of apprenticeships
5. Operational activities, including Levy tracking, attendance at events and internal communications

Our action plan sets out how we will **collectively** achieve the strategic aims and priorities identified within this paper.

*Notes:*

*Additional actions have been developed since the original action plan was first drafted in Dec 2019.*

*Actions have been notated & RAG rated to indicate progress towards completion – and as such, this is a working document.*

*Some target dates have been affected by Covid-19 pandemic; and will be rescheduled as relevant.*



## Appendix 2 - Action Plan [Updated May 2021]

### Children's Services – Pathways into Work

Objective	Action	Impact	Timescale	RAG rated Progress Indicator	CS Resource Lead (& Support)
<b>Aim 1 - Affirm apprenticeships as a key route for 16-18 learners (24 for SEN, LAC) and drive up the number and % of applications</b>					
Establish the apprenticeship pathway as a strategic priority within Children's Services and a viable progression pathway for young people in order to increase 16-18 participation and progression with priority focus on LAC/Care leavers and other vulnerable groups	CSLT sign off for CS 'strand' for Apprenticeships Pathway for 16-18s (16-25 for vulnerable groups inc LAC/Care leavers, SEN, YOT, Home Educated)	Strategic commitment to promote apprenticeships within Children's Services.  Creation of Children's Services <i>Pathways to Work</i> team to take forward CS strand of apprenticeships strategy.  Strategic priority for Corporate Parenting Board for LAC/Care leavers to progress into apprenticeships	Oct 2020	CSLT sign off in October 2020.  PTW team recruitment commenced Feb 2021. Coordinator + 2 PTW Advisers recruited May 2021. Additional 2 Adviser posts to be recruited – June 2021.  Corporate Parenting Board strategy + Plan	SG/MR
	Work with system leaders in schools, sixth forms, Colleges, WBL Providers, business community to promote apprenticeships and other work-based pathways from Level 1-4 (inc. apprenticeships) for: <ul style="list-style-type: none"> <li>16-year-old school leavers</li> <li>17-year-old L1 and L2 College leavers</li> <li>18-year-old sixth form and college L2 and L3 leavers</li> </ul>	Pathways to Work framework agreed with Providers and endorsed by ETSG and SAP for Norfolk's young people aged 16-18 and for vulnerable young people up to age 25.  Strategic priority for Corporate Parenting Board	July 2022	Provider and stakeholder working party being established	MR lead/SH

## Appendix 2 - Action Plan [Updated May 2021]

	<ul style="list-style-type: none"> <li>Vulnerable young people inc to 25 years inc. LAC/CLs, SEND etc</li> </ul>				
Promote apprenticeships as a positive and viable option for 16-18-year-old school and college leavers	<p>Identify and review/evaluate existing materials/resources</p> <p>Develop resources for 16-18-year olds (25 SEND), parents and schools/colleges promoting apprenticeship and other work-based learning opportunities in recruiting sectors of the Norfolk labour market.</p> <p>Promote resources through Help You Choose, Apprenticeships Norfolk, ICanBeA and other online and social media platforms</p> <p>Review/evaluate new resources. Recommend improvements</p>	<p>Young people and parents/carers know where to access information</p> <p>Young people and parents/carers understand apprenticeship career opportunities in sectors that are currently recruiting apprentices.</p>	<p>December 2021</p> <p>August 2022</p>	PTW team goal for 2021 to audit and evaluate existing provision in relation to needs of young people and their parents/carers	SH/ Pathway s team/ HYC team
	<p>Create and promote 'Apprenticeship Pathways Maps' for school and college leavers highlighting opportunities and career pathways at Level 2 and 3, with likely available progression routes these can lead to.</p> <p>Promote through Help You Choose, Apprenticeships Norfolk and face to face work</p>	Young people, parents/carers and careers leads/advisers understand progression pathways in Norfolk's key/priority employment sectors	April 2021- July 2022	PTW team goal for 2021/22 to research and develop progression pathways resources	SH/PTW team + HYC team

## Appendix 2 - Action Plan [Updated May 2021]

	<p>Ensure all Y10-13 young people and parents/carers have access to apprenticeships information and advice via:</p> <ul style="list-style-type: none"> <li>• Face to face services, group work, mentoring, class sessions and presentations (Priority given to 1:1 and group work with vulnerable groups)</li> <li>• Help You Choose, Apprenticeships Norfolk, ICanBeA websites</li> <li>• Amazing Apprenticeships, schools/colleges; social media and partner material</li> <li>• Apprenticeships Opps Fair (2022/23)</li> </ul>	<p>Work with TrAC Apprenticeships New Anglia, NEACO and YAAN to ensure joined up communications</p> <p>2500 young people engaged and participating in face to face activities per annum</p> <p>8000 young people accessing online resources through Help You Choose, Apprenticeships Norfolk etc</p>	Dec 2020 – July 2023	<p>Delivery sessions commenced in Norfolk schools from May 2021</p> <p>Help You Choose – over 6000 Year 11s using annually</p>	
	<p>Create and deliver an Annual programme of activity to promote the value of apprenticeships to key influencers including staff in schools and colleges + parents/carers.</p>	<p>To brief/train:</p> <ul style="list-style-type: none"> <li>• 35 school and college leaders;</li> <li>• 60 school/college Careers Leaders</li> <li>• 120 teachers</li> <li>• 10 parents events</li> </ul>	July 2022	<p>3 workshops in Jan/Feb 2021 with Careers leaders and teachers – 45 staff attending.</p> <p>Briefing for Careers Leads 18<sup>th</sup> March 2021 – 47 attending</p> <p>2 x parents/carers event at UTCN – May 2021</p>	MR/SH /PTW team
	<p>Monitor school, college and CS Teams' engagement with PTW team and apprenticeships support organisations.</p>	<p>Engagement data/evidence.</p> <p>Annual Report + recommendations to Apprenticeships Board</p>	April 2021- July 2023	<p>All school/college/Team/employer engagements to be recorded</p>	MR/SH
	<p>Work with providers, young people and G&amp;D to identify and celebrate success stories</p>	<p>Success stories to be identified and shared</p>	Aug 22	<p>Team objective for new PTW Advisers</p>	PTW Team

## Appendix 2 - Action Plan [Updated May 2021]

Champion the value of recruiting 16-18-year olds as apprentices to providers, employers and other key influencers	To develop NCC's approach to work experience including piloting a model for virtual work experience.	Virtual work experience programme in piloted and evaluated for wider roll out inc. links to apprenticeships recruitment	Aug 2020-July 2021	Completed/ongoing. VWEX events taken place for Engineering, Construction and Inside Business events with Greater Anglia, Millennium Library and Redback	MR/BMN
	CS to work with NCC HR, CS Corporate Parenting, CES and other directorates to support the development of a collective approach to public sector pathways to traineeships and apprenticeships that prioritises the recruitment of young people inc. care leavers, SEND and other vulnerable young people.	<ul style="list-style-type: none"> <li>Public sector pathways traineeships and apprenticeships publicised to young people, schools, colleges, CS teams and other stakeholders.</li> <li>Increase in number and % of apprenticeship vacancies available each year to young people including in NCC and other DCs</li> </ul>	August 2022		HR Lead  SG/MR support
	Support Growth & Development's RRR and other campaigns to promote recruitment of 125 young people as apprentices with local employers and Providers, targeting SMEs particularly – rising to 437 by 2022.	Recruitment of 16-18-year olds including young people in vulnerable groups prioritised within RRR campaign	Aug 2020-July 2022	Promotion of RRR campaign to Careers Leads at March 2021 workshop	CES - KD lead/ MR/SH support
Ensure that Children's Services delivery staff who work with VG inc. LAC/Care Leavers, NEET, Home Educated, Young Offenders, SEND are informed about apprenticeships and can advise/support their young people	<p>Virtual School and LAC Personal Advisers provides IAG for LAC and Care Leavers for apprenticeships.</p> <p>Progress reported and monitored by Corporate Parenting Board</p> <p>GAs/YPA provide apprenticeships IAG and support for NEET young people</p>	<p>Data gathered and reported on 16-18 participation in apprenticeships by VG</p> <p>PTW Advisers linked with Teams to provide guidance and support</p> <p>At least 1 CPD session for each NCC Team working with designated vulnerable group</p>	August 2020 – July 2023	PTW to be linked withy CS Delivery Teams/staff with responsibility for IAG with young people	SH/PTW team

## Appendix 2 - Action Plan [Updated May 2021]

	<p>IAG staff in SEN Service, Home Education Service, YOT and GRT identified</p> <p>Apprenticeships briefings/updates for LA/CS teams delivered in partnership with G&amp;D and HR</p>	<p>Identified IAG staff in each Team are confident to deliver basic IAG about apprenticeships</p> <p>Increase intended destinations for apprenticeships amongst vulnerable groups from 2020/21 baseline data.</p> <p>Increase in numbers of VG young people progressing into apprenticeships from 2020/21 baseline data</p>		<p>Programme of briefings to take place from August/September 2021</p>	SH/PTW team
<p>Work with internal and external partners/ stakeholders to develop coordinated and coherent approach to young people's apprenticeships information.</p>	<p>Link/work with DfE and with LEP – NCC – SCC group and with DfE to agree/confirm messaging around apprenticeships and traineeships</p> <p>Ensure use of messaging through NCC's Help You Choose website and through work of PTW team. ,</p>	<p>Improved quality and consistency of apprenticeships information to young people, parents/carers and teachers/advisers</p>	October 2021	<p>Help You Choose information of apprenticeships &amp; traineeships + vacancies from NAS displayed and promoted to young people.</p> <p>Direct involvement with DfE re: apprenticeships support and knowledge programme</p>	MR/SH. Link with G&D and LEP
<b>Aim 2 – Increase the numbers of apprenticeship opportunities available for 16-18-year olds (up to 25 years for vulnerable groups)</b>					
<p>Support an approach to employer and provider engagement activities which prioritises the recruitment of young people for apprenticeships including LAC/Care Leavers and other vulnerable groups</p>	<p>Develop work with Growth &amp; Development, the LEP and with Work Based learning Providers to increase the number, range and quality of apprenticeships available to meet the growing demand from young people in Norfolk post Covid 19</p>	<p>Increasing number and % of apprenticeship vacancies available to 16-18-year-old young people each year working from 2020/21 baseline data</p>	August 2020- July 2023	<p>Work under way through G&amp;D.</p> <p>Link direct withy G&amp;D Apps Norfolk team</p>	MR/SH

## Appendix 2 - Action Plan [Updated May 2021]

Identify and promote apprenticeships and traineeship opportunities in sectors of the Norfolk labour market that are actively recruiting	<p>Use information and intelligence from Growth &amp; Development and the LEP mapping about sectors of the Norfolk labour market expected to recruit trainees and apprentices during 2020/21 and 2021/22 e.g. Health &amp; Social Care; Agriculture/Agri-tech; ICT, digital tech.</p> <p>Use this information to inform young people and key influencers</p> <p>Regular meetings/comms with Providers and ESFA</p>	<p>Quarterly analysis of opportunities in key recruitment sectors</p> <p>Ensure that Apprenticeships LMI produced for young people and advisers/teachers through HYC.</p>	August 2020- July 2023	Sector information available through New Anglia LEP and G&D team	MR/SH
Challenge and support providers to deliver against the funding made available by ESFA and other bodies for 16-18 apprentices	Work with G&D, HR, the LEP and the provider networks to identify and lobby for resources from ESFA & the LEP create more/new apprenticeships/traineeship and pre-apprenticeships provision to address local needs	<p>Quarterly meetings with Provider Networks</p> <p>Increasing number and % of apprenticeship vacancies available each year</p>	August 2020-July 2023	Regular meetings with G&D, LEP, ESFA	SG/KP/ MR
Influence Providers to develop new provision to address both labour market recovery needs, skills gaps and the needs of young people including vulnerable groups.	Providers to develop new and innovative work based and work-related learning provision to support more 16-18-year old young people to embark on a pathway to work that is right for them including bespoke provision targeted at vulnerable group categories including LAC/CLs, SEND, Home Educated.	<p>New/increased apprenticeships and traineeships provision</p> <p>Increasing number and % of apprenticeship vacancies available each year</p> <p>Increasing number and % of work-based learning starts amongst vulnerable group categories</p>	August 2020-July 2023	Norfolk Provision Network (CS) and Norfolk Apprenticeship Providers (G&D) quarterly meetings	SH/PTW team

## Appendix 2 - Action Plan [Updated May 2021]

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Promote the recruitment of apprentices in the school workforce	Discussion of delivery and partnership arrangements as part of the annual conversations with LA schools, Multi academy Trusts, sixth forms, colleges and other learning providers	Increasing number and % of apprenticeship opportunities available each year in Norfolk schools	July 2020-2022	L&I Service support for LA schools. Arrangements to be reviewed for 2021/22	SP/MR
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## Appendix 2 - Action Plan [Updated May 2021]

### Growth & Development – Apprenticeships Norfolk

Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
<b>Aim 3 - Increase the number of apprenticeship starts in Norfolk for 19-24-year olds and 25+ focussing on a sector specific and/or place approach as appropriate</b>					
Develop an apprenticeship strategy for the period 2020-2023 to increase the number, level, range and quality of apprenticeships in Norfolk	<b>Strategy</b> Design, develop, consult and deliver an apprenticeship strategy for Norfolk, taking account of the key priorities in the NSES and Together for Norfolk	Increased cohesion, communication and collaboration between all directorates delivering Apprenticeship related activity for NCC, in order to strengthen the NCC approach for addressing Apprenticeships county-wide growth, pathways for 16-18s and workforce strategy for NCC employees.	Dec 2020	NCC Apprenticeships Strategy 2020-2023 - developed and final version has been approved by Apprenticeships Board and ready for Select committee and Cabinet to endorse (July/Aug 2021)	KD / LR, MR
	<b>Strategy</b> Continue to review & develop apprenticeship strategy & appendices on a quarterly basis, to ensure currency in line with NART data & national / local updates in policy	Strategy/action plan will be a live working document; updated and amended to stay aligned with changes in progress and policy updates. This will allow us to be agile in reviewing the changing landscape of Apprenticeships – particularly important as we move out of pandemic and into recession – and implement solutions which are current and responsive.	Ongoing (quarterly): August, November, February, May	NCC Apprenticeships Strategy includes live action plan; each directorate updates in line with the quarterly NCC Apprenticeship Board meetings, and key headlines are reported.	KD/ LR, MR
	Establish an operational working group established with representatives from G&D, HR, CS to identify and action joint NCC working opportunities and ensure effective and efficient collaboration	Improved opportunity to drive forward and influence implementation of actions from Apprenticeship Board meetings, within timely milestones.	Establish - August 2020  Ongoing - fortnightly	Operation Working Group established Oct	KD / MR, LR



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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
Working with external partners co-ordinate employer engagement across the county to maximise impact	Develop a range of initiatives that respond to various aspects of the apprenticeship agenda, seeking external funding as appropriate, to support SME engagement and/or brokerage.	<b>Recruit   Retain   Reward</b> Stimulating new starts and supporting redundant apprentices; by way of additional financial support of £1000 to local non-levy (SME) organisations, when recruiting a new apprentice or employing an apprentice made redundant due to CV19, to support them through to completion of apprenticeship.	Launched - 01.08.20  NSF funding extension to RRR - 01.10.20  Anticipated end - 30.06.22	NSF additional funding for RRR – The impact of additional funds has increased the project fund from £125k to £437k which extends the duration the project will be able to run until June 22 (subject to availability), and also provides staffing to actively engage and further support employers to recruit a new apprentice.	KD / SK, SA
		<b>RRR extension: FCE C-Care</b> Funding of £250k will provide 500 apprentices/employers to support social mobility (travel expenses, equipment & digital kit) – until March 2023 Retrospective funding claim supports recruitment for new staffing to lead the RRR suite of initiatives	Expected launch - late summer 2021  Funding ends - 31.03.23	First funding claim completing June 2021 for retrospective funding  Recruitment for 2 new posts started May 2021 – <i>these posts will design/implement the FCE C-care strand of activity</i>	KD / SK, SA
		<b>RRR extension: Progression to Apprenticeships (P2A)</b> New strand to RRR to support ringfenced incentive to businesses progressing from feeder programme (Kickstart, Traineeship or SWAP) into an apprenticeship.	Anticipated start - August 2021  Project End – March 2022 (if CRF funds)	£100k NCC funding awarded to support project – March 2021  CRF bid submitted June 2021 to extend project – awaiting progress!	KD / SK, SA

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
		NB: Project has been scaled up for CRF bid (£250k), to include package of support including wage contribution, incentive, wrapround support and training for employer and apprentice.			
		<b>ESF Insight Apprentice</b> New ESF funded project to promote, increase and support SME participation in Apprenticeships. Project will allow creative and innovative ways to encourage increased Apprenticeship activity across all districts in Norfolk, with specific focus on growth sectors across the county (Clean Energy, Digital/ICT, Agritech and Adv Manufacturing) as well as post-pandemic growth sectors (Hospitality & Visitor economy). Project will work closely with Chamber of Commerce.	Funding Agreement Jan 2021  Soft launch 21.06.21  End date 31.12.23	Project funding agreement signed Jan 2021 with Managing Authority. Reprofiled granular budgets and project outline to ensure currency/accuracy (Jan 2021) New match funding agreements with delivery partners – (Jan-April 2021) Contracts issues (May 2021) Project Inception Visit from Managing Authority (June 18 <sup>th</sup> 2021)	KD / SK
		Increasing collaborative opportunities with related NCC skills projects (eg: Kickstart, Youth Pledge, Chances) will support a network style opportunity to identify progression and pathways into Apprenticeships.	Ongoing	Ongoing collaboration	KD / SK, SA
	<b>Employer Engagement Plan</b> Develop and deliver an employer engagement action plan, screen existing data to identify where	Using data and evidence from employer-engaged projects will help identify (eg: district areas and sectors) where employer apprenticeship activity is lower; meaning	May 2020 - Ongoing  <i>(Impacted by Covid19)</i>	Aiming to utilise above projects to continue to support this activity. Data is being tracked and will help	KD / SK, SA

## Appendix 2 - Action Plan [Updated May 2021]

Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
	employers are not engaged either geographically or on a sector basis.	Apprenticeships Norfolk can create targeted marketing to increase overall engagement.		feed into interventions for projects above.	
	<b>Employer Engagement (Levy)</b> Engage with at least 5 key large local organisations – e.g. invite to join network, content on website, attend meetings, support levy-share scheme participation with LEP etc	An ambition for Apprenticeships Norfolk is to build a more effective network of local employers who act as ambassadors for apprenticeships. By facilitating an employer network this allows us to consider how the network can share good practice to employers with less experience.	Dec 2020 & ongoing	Target achieved; and work is ongoing to add employer section to website. Continuing to increase numbers of Levy-sized organisations engaging with AN on regular basis and attending network meetings.	KD / SK, SA
	<b>Employer Engagement (non-Levy)</b> Engage with at least 25 small and medium size employers via own marketing presence, partnerships (eg: Growth Hub, Chamber, Districts etc) and wider networking events. Encourage network support through signup process.		Dec 2020 & ongoing	Target significantly overachieved at c100 (May 2021); and work is ongoing to add employer section to website. Continuing to increase numbers of non-levy-sized organisations engaging with AN on regular basis and attending network meetings. Business case for CRM submitted to support more efficient tracking/engagement	KD / SK, SA
	<b>Employer Engagement (non-Levy)</b> Refer non-levy employers into levy-share scheme participation with LEP	Actively referring employers to access levy-share via the NALEP scheme increases support for employers by reducing their financial outlay and keeps apprenticeship levy funding in Norfolk.	Ongoing	Levy-share is discussed with all referrals where this option is potentially required. Information included on newly developed website.	SK / SA
* Working with external partners co-ordinate provider/stakeholder	<b>Provider Engagement – plan</b> Develop and deliver a provider engagement action plan, screen	Creating strong provider engagement is key to Apprenticeships Norfolk having the right information and	July 2020	Currently c35 training providers in AN network, with delivery footprint in Norfolk.	KD / SK, SA

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
engagement across the county to maximise impact	existing data to identify where providers are not engaged. Engage & develop relationships with <u>all</u> local provider organisations; invite to join network, exclusive content on website, attend network meetings, identify support required & collaborate.	communication channels to signpost interested employers to. Collaboration with providers will create a better understanding of apprenticeship provision in order to better promote to stakeholders.	Ongoing (6 monthly): Feb, Aug	Varying levels of engagement but solid relationship with most has been strengthened in last 12 months, with good attendance at network meetings, RRR applications, and market research responses.	
	<b>Provider Engagement – data</b> Share quarterly data-pack for all provider/stakeholders which responds to request for local NART/vacancy data to be provided. Update each quarter and send.	Sharing current data to key stakeholders allows data-based evidence to help create a transparent picture of Apprenticeships in Norfolk and facilitate discussions in how to continue to increase and improve across the different splits – eg: district, level, age, sector.	July 2020  Ongoing (quarterly) Aug, Nov, Feb, May	Ongoing – data pack is issued monthly	SK / SA
	<b>Provider Engagement – offer</b> Develop updated apprenticeship routes matrix to accurately reflect opportunities available in Norfolk, by provider/standard/level detail - confirmed ready for Sept starts.	Collaboration with providers to inform a clear and trusted understanding of apprenticeship provision in Norfolk will allow Apprenticeships Norfolk to best promote and provide impartial guidance to potential apprentices, employers and key stakeholders. Additionally, gap analysis can help inform where future provision needs exist and work to increase supply of a broad variety of apprenticeship standards.	July 2020  Dec 2020	Completed and new interactive matrix on website (Jan 2021) allows internal and external stakeholders to access provision matrix for Apprenticeships being delivered in Norfolk.	SA
Raise brand awareness of Apprenticeships Norfolk and provide clear information for	<b>Marketing Campaign</b> Develop & deliver collective marketing campaign to launch	Marketing campaigns will raise our brand awareness and also apprenticeships as a viable route for	Launch June 2021	Marketing campaign - #MadeInNorfolk has been developed. Campaign is	KD / SK, SA

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
all stakeholders, which is easy to access and that meets their needs	'Apprenticeships Norfolk' aimed at encouraging employers to take on an apprentice (#MadeInNorfolk)	new or existing apprentices; therefore, helping to increase number of new starts. The #MadeInNorfolk campaign aims to bring a local feel to the campaign, celebrating Apprenticeships in Norfolk. This will be used in conjunction with targeting gaps identified by data trends (eg: district and sector)	(delayed due to Covid19)	targeted at SMEs in Norfolk and will be aired on SKY TV and YouTube as well as via boosted adverts on social media w/c 14 <sup>th</sup> June 2021	
	<b>Website</b> Undertake redesign & redevelopment of current ANN website to develop centralised, standardised, clear and up to date information & resources to meet the needs of all stakeholders (employers, potential apprentices/parents and providers)  Develop further interactive content.	Improving and redeveloping the Apprenticeship Norfolk website will ensure content is current, accurate & informative, to meet the needs of all stakeholders. As a go-to for impartial guidance, the site must be engaging and interactive. This will increase accessibility, trust and brand awareness for the service.	June 2020 (18-month contract for project) – weekly update meetings Jan 2021 launch	New website launched January 2021  Continued development is underway for additional new content and features.	SK / KD, SA
	<b>Marketing Materials</b> Develop branding refresh - redesign logo/branding for leaflets and materials used at events, wider website/media etc	The new Apprenticeships Norfolk logo/branding has been designed to align to national branding. By improving and updating the 'brand' to have more impact and a stronger presence locally, we can realise our ambition to be 'the' trusted apprenticeship advisory service in Norfolk.	July 2020	Branding re-fresh completed in March 2020 with new logo approved by ESFA.  Consistent approach to all assets and marketing materials used publicly.	KD / SK, SA
	<b>Social Media</b>	In a world which is more and more utilising an online presence, these	March 2020 – quarterly	All platforms continue to see increase in followers and	KD / SK, SA

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
	Increase presence & followers by adding regular content across main platforms (LinkedIn, Twitter, Instagram and Facebook) to engage with varied target audience of businesses, providers, parents and potential apprentices.	platforms provide a direct conduit to engage with our target audience and share information, guidance, and awareness of all things apprenticeships, for free. It encourages liking/sharing, enquiries and questions and applications – all leading to increasing apprenticeship activity in Norfolk.	reviews / development ongoing	engagement on weekly basis. Channels feature regular, carefully selected content to promote Apprenticeships to a wide variety of stakeholders.	
	<b>Case Studies</b> Develop real life stories in a range of sectors and employers of differing sizes to highlight success and opportunity of apprenticeships, at all levels, ages and routes. Aim to publish 5 by December 2020, and then one per month minimum.	Celebrating the achievements of apprentices creates an opportunity to promote, raise awareness and champion apprenticeships as a viable workforce development strategy and career progression route – helping us to reduce myths and increase participation and engagement with local employers, apprentices and stakeholders.	Dec 2020 – ongoing (monthly)	Initial target of 5 achieved by Dec 2020.  Case Studies are sourced and published regularly once a month via social media and have dedicated page on the website.	SK / SA
Coordinate an information and advice service about Apprenticeships across the county	Work with JCP and wider job fairs to promote awareness of Apprenticeships. Work with National Careers Service.	Coordination of this type of advisory service increases awareness and reduces myths surrounding apprenticeships, for potential apprentices, leading to informed choices and potential applications for live vacancies.	July 2020 – ongoing (as/when)	Continue to support events as requested by JCP. Since CV19 these have been delivered remotely	SK / SA
	Coordinate sharing of local vacancies from ESFA/Find an Apprenticeships to key stakeholders and via social media platforms to drive engagement and awareness	Significant impact in sharing countywide vacancies with potential apprentices, their families and linked stakeholders. Increase in referrals, social media follows and interactions,	July 2020 - Ongoing (weekly)	Vacancies continue to be published every Monday plus bespoke vacancies are advertised free of charge for local employers in Norfolk.	SA / SK

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
		leading to better promotion/awareness of opportunities locally.		Vacancies (number, sector, level, district, hours, wages etc) are tacked to gauge local activity levels.	
Celebrate the achievements of apprentices	Design, develop and deliver a programme of events and activities to celebrate the achievements of apprentices, such as the previously held graduation events, competitions, apprentice of the year etc, use social media to promote and drive traffic to the website	Celebrating the achievements of apprentices creates an opportunity to promote, raise awareness and champion apprenticeships as a viable workforce development strategy and career progression route – helping us to reduce myths and increase participation and engagement with local employers, apprentices and stakeholders. Additionally, events will help drive traffic to our website and social media platforms to further build our brand awareness.	July 2020 Feb 2021 (NAW)	The first virtual Apprenticeship Norfolk Awards was held in NAW21 (February 2021). This was extremely successful and led to a significant increase in social media engagement/followers.	KD / SK, SA
Work with internal/external stakeholders to develop coordinated approach to Apprenticeship Information & Guidance in Norfolk	Work closely with the new Childrens Services 'Pathways to Work' team to utilise the Apprenticeships Norfolk brand, ensuring internal consistency for external stakeholders.	External stakeholders have clearer picture of NCC's offer in terms of Apprenticeships information and guidance. NCC are able to 'hide wiring' to ensure high quality, impartial and consistent information is shared.	June – Dec 2021	G&D have shared branding and marketing materials.  Nest steps – agree ways of working between teams, regular meetings/comms, briefings for teams on current work/projects/priorities	KD/MR
	Work with external partners/stakeholders to develop coordinated approach.	Improved coordination in approaches and support for strategic working in Norfolk/Suffolk	June – Dec 2021	First discussions with NA LEP and Apprenticeships Suffolk have taken place with overarching strategy being developed	KD/MG/ AM / AW

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
<b>Aim 4 - Undertake research to understand in greater detail the needs of employers and the barriers to taking up apprenticeships and develop workplans to secure provision that meets the needs of employers</b>					
Undertake market research to understand challenges in engaging in the apprenticeship agenda	<b>SME Market Research</b> Design, develop and deliver a research project, aimed at engaging those SMEs not currently engaged in apprenticeships, use ANN website and social media to promote and engage	This market research will enable us to better understand the barriers SMEs face when considering apprenticeships for their business. Improved knowledge helps inform how we can reduce and/or remove those barriers more effectively.	<del>June 2020</del> Dec 2021 <b>Postponed due to CV19 priorities</b>		<b>KD / SK, SA</b>
	<b>Covid19 Impact Survey</b> Design & develop and deliver Covid19 impact research survey, aimed at engaging with providers to identify impact on local apprenticeship provision; use ANN website and social media to promote and engage	This market research enabled us to better understand how Covid19 had affected providers and apprenticeship delivery during the first pandemic lockdown in the UK and the type of support required by providers, employers and apprentices in such unprecedented times.	April - June 2020  3 <sup>rd</sup> survey March 2021 (update)	Completed three Covid-19 impact surveys with AN Training provider network; March 2020, May 2020 and March 2021. Headline results collated to inform local interventions and support (eg: RRR, AN newsletter etc)	<b>SK / KD, SA</b>
	<b>Traineeship Survey</b> Design & deliver Traineeship provision survey, aimed at engaging with providers to identify impact/routes into local apprenticeship provision	This market research will enable us to better understand the appetite for providers in Norfolk looking to offer Traineeship provision and facilitate working groups to help support the network to offer a broad variety of opportunities for Traineeship provision.	August 2020	Completed to support awareness of Traineeship provision locally. Ongoing working group established as a result to continue support for this apprenticeship feeder programme.	<b>SK / KD, SA</b>
	<b>Apprenticeship Survey (NAW2021)</b> Design & deliver apprenticeship survey, in collaboration with UCAS - aimed at engaging with potential apprentices (via school, FE, Kickstart, DWP etc) to dispel myths,	This market research will enable us to better understand the pathways which potential future apprentices are considering. Improved knowledge helps inform how we can increase	Feb 2021	Co-ordinated survey with support from Childrens Services. 1100 responses with majority from 16-18s helping to inform barriers to accessing apprenticeships and general	<b>SK / KD, MR, SA</b>



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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
	understand interest in sectors & identify routes into local apprenticeship provision	opportunities and/or develop more suitable information, advice and guidance relating to gaps in growth areas across the county		views to inform future engagement work.	
Dispel myths about apprenticeships	Work with employers including SMEs to understand the myths about apprenticeships, produce myth busting information and advice, publish and publicise on ANN website, use social media to drive traffic to the site	This market research will enable us to better understand the barriers SMEs face when considering apprenticeships for their business. Improved knowledge helps inform how we can reduce and/or remove those barriers more effectively.	April 2020 – ongoing via social media / website	Ongoing – have hosted several events – presenting to sector skills groups, local events and webinars to offer apprenticeships guidance to local businesses. Webinars will be available alongside the #MadeInNorfolk campaign in June 2021. Wider Market Research on hold due to Covid19.	SK / SA
	Use social media platforms to post engaging polls around national gov.uk data, statistics and survey findings to help increase awareness and encourage participation and engagement with our service and encourage improved knowledge through myth busting. Continue - ongoing	In a world which is more and more utilising an online presence, these platforms provide a direct conduit to engage with our target audience and share information, guidance, and awareness of all things apprenticeships, for free. It encourages liking/sharing, enquiries and questions and applications – all leading to increasing apprenticeship activity in Norfolk.	April 2020 – ongoing via social media / website	Channels feature ongoing, regular, carefully selected content to promote Apprenticeships to a wide variety of stakeholders, including myth busting features.	SA
	Develop and encourage participation of short survey for students attending Norfolk Skills	This market research will enable us to better understand the pathways which potential future apprentices are	March 2020	Completed – no further events since due to Covid19	SK/SA

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Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
	Festival; based on dispelling myths and market research. Aim for minimum 75 completions. Continue to use at future public events to identify trends in responses.	considering and general levels of apprenticeship awareness. Improved knowledge helps inform how we can increase opportunities and/or develop more suitable information, advice and guidance.			
<b>Aim 5 - Improve the balance between intermediate/advanced/higher starts creating more in-work progression opportunities</b>					
Increase the volume of Apprenticeship delivery at Advanced and Higher level to meet the skills needs of Norfolk businesses	<b>Higher Apprenticeship Offer/Level</b> Research/understand skills gaps at advanced/higher apprenticeship levels and work with provider base to develop solutions	Better understanding of the correlation between higher skills needs in Norfolk and provision available, allows us to better inform pipeline of opportunities for higher apprenticeship provision.	Oct 2020 (v1)  Dec 2021 (v2)	Survey completed in partnership with UEA – poor response from SMEs due to timing (Covid-19) Planning another version (21/22)	SK/SA

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### Human Resources – NCC Workforce Apprenticeship

Objective	Action	Impact	Timescale	RAG rated Progress Indicator	Resource Lead (& Support)
<b>Aim 1 - Creating strategic workforce plans</b>					
Establish apprenticeships as a strategic priority for workforce planning	Agreement on Workforce planning as an active tool as an organisation and to be a key part of the approach for apprenticeships strategic use.	LGA workforce planning project is undertaken Apprenticeships programme is signed off by HRLT and SS	Nov 2020	Final session hosted by LGA on 24 <sup>th</sup> April 2021	SS / KC / LR
	HRLT sign-off Apprenticeships Programme for NCC workforce	Paper goes to Apprenticeships Board for sign off.	Dec 2020	Agreed and supported	HRLT and SS/KC/ LR
Commitment from HR Business Partners	Apprenticeships to be endorsed by and written into strategic workforce plans per service by HRBPs.	Apprenticeships are a key feature of each services' workforce plans, and not just a mention	Dec 2020	ongoing	HRBPs
Creating a sustainable model for workforce planning going forwards	Undertake programme of support on workforce planning with the LGA <ul style="list-style-type: none"> <li>LGA workforce planning toolkit</li> <li>Roll out to HR and then service managers</li> <li>Creation of a plan for workforce data needed</li> <li>Explore future job trends</li> <li>Identify key stakeholders</li> <li>Gather qualitative data from key stakeholders, such as <ul style="list-style-type: none"> <li>Councils strategic aims – how does our workforce</li> </ul> </li> </ul>	Our managers have a toolkit to use and an identifiable way of applying workforce planning to their service and apprenticeships are a key feature and number of apprenticeships starts increase in correlation.	By Oct 21	Ongoing as HRLT activity.	LR / KC / HRBPs

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	<p>need to be equipped to support this? Does workforce have skills to deliver the vision?</p> <ul style="list-style-type: none"> <li>○ Ideal workforce looks like?</li> <li>○ Any new service activity in next 3 years?</li> </ul>				
<b>Identify apprenticeship opportunities as part of Service workforce planning activity to support skills needs</b>	Work with SHR BPs and Service managers to feedback recruitment date and understand their skills needs, i.e. Digital, to identify apprentice opportunities as part of service workforce planning to meet current and future skills needs.	There are identified and agreed measures and areas for where our council needs to focus its core efforts for a workforce equipped with the skills for the future.	Jan 21	Piloted first approach with Adults SS	LR
Work with recruitment and workforce insights teams	Gather recruitment data to feed strategic priorities. Gather data from action plan on workforce planning tasks. Gather data to understand effectiveness of initiatives such as all roles A-E as apprenticeships	Key areas for priority recruitment are identified, and apprenticeships are mapped to these areas and discussions with managers happen regularly.	Feb 21	Started with priority areas in NFR. Ongoing	LR
<b>Mapping apprenticeships with service areas</b>	<p>Work with service managers to map apprenticeships to roles within services</p> <p>For individual roles, identify for managers both;</p> <ul style="list-style-type: none"> <li>• an apprenticeship that offers a development opportunity option for someone in that role,</li> </ul>	Service mapping increases in line with managers taking a lead on their activity to follow through initiatives – to replicate the ISSS pilot. Focus to a new service can be given each month.	Jan 21 ongoing	Mapping done for Legal Team as a pilot and to link with careers families and role profiles.	LR and Apprenticeships Team

## Appendix 2 - Action Plan [Updated May 2021]

	<ul style="list-style-type: none"> <li>and an apprenticeship that allows them to recruit as a 'grow your own'.</li> </ul> <p>Create a fortnightly action to send out new apprenticeship standards where they are available. Identify best place/person for this to go to in each instance, including service leaders, SHRBPs, managers and potential learners</p>		Dec 20	Ongoing	
<b>Align mapped apprenticeships where they priority to semi-priority to forecasting and levy spend</b>	<p>Identify priority areas affordability first. Forecast against them and set a commitment against them to hold and fund</p> <p>Forecast to ringfence at least 5 Care Leaver vacancies per year.</p>	<p>Ensured focus on priority areas. At least two thirds of the levy is spent on priorities.</p> <p>Offers at least 5 apprenticeship training funded opportunities to care leavers per year.</p>	Ongoing	<p>Forecasting complete and maps to strategy.</p> <p>Ongoing development of ringfencing policy for care leavers</p>	
<b>Increase conversion of vacant posts to apprenticeship opportunities</b>	<p>Drive the uptake of apprenticeships through recruitment to achieve 50/50 ratio of new to cpd.</p> <p>Through ...</p> <p>New vacant posts on RMS considered apprenticeship post before sign-off</p> <p>Build and promote internally cohorts for apprenticeships with wide appeal e.g. business admin, data analyst</p>	<ul style="list-style-type: none"> <li>Reduction of agency staff</li> <li>Retention and achievement rates</li> </ul> <p>Increased progress to 50:50 ratio year on year.</p> <p>Increase in vacancy conversion Increase in levy spend on vacancy apprenticeships as a proportion of overall apprenticeship spending A tallied increase in the age diversity of the workplace with more recruitment.</p>	Ongoing	Ongoing. Progress moved to 59:41 existing staff to newly recruited.	LR / Team

## Appendix 2 - Action Plan [Updated May 2021]

	Any C – E posts directed to Apprenticeships Team for conversation with recruiting manager and if an apprenticeship could be incorporated			Still ongoing issue with RMS ability – plans and processes in place for new Oracle system and roll out in November	
<b>Aim 2 - Improving the quality and quantity of NCC Apprenticeships</b>					
<b>Manage the Apprenticeships Framework</b>	Continue to quality review applicants to the framework as well as tender for apprenticeship delivery, where the bid must be of the highest quality to be successful provider.	We have a choice of appropriate apprenticeship training providers for most/all apprenticeships where there is a demand at NCC  Framework updated every 6 months	Ongoing	Framework up for renewal in Feb 2022, so currently preparing work on new SLA for providers and to review the T&CS as still fit for purpose.	LR / Team
<b>Relationships with providers for monitoring quality</b>	RAG ratings, monthly RAG reports sent by providers, good communication/working relationships with all providers  Establish key expectations with all framework providers e.g. <ul style="list-style-type: none"> <li>DAS records to be approved within one month (30 days) of record being added to the DAS</li> <li>apprentices to start working towards F/S within 3 months of start date</li> <li>Processing of exemptions for functional skills within first 3 months of apprenticeship</li> </ul>	Training provider updates such as BIL etc sent within 3 working days  Providers meet and exceed our minimum expectations, and any issues are dealt with smoothly with reference back to agreed minimum standards	Ongoing	Current project underway now new staff recruited. Will be monitored on going. Creation of an internal RAG meeting between advisors will ensure higher QA and communication.	LR / Team

**Appendix 2 - Action Plan [Updated May 2021]**

<b>Alignment and sharing of apprenticeships with wider Council L&amp;D offer</b>	Work with L&D consultants to identify areas where apprenticeships could enhance the NCC L&D offer  Offer apprenticeship waiting lists and expressions of interest on learning hub		Ongoing	Mapped the offer and updated joined up intranet pages. Next phase will be to demonstrate on Oracle.	LR / HE
<b>Link to management offering</b>	Management Apprenticeship Cohort Intakes throughout the year – possibly aligned with the L&D Management offering  Invite people who have completed L&D management courses to IAGs/discussions with Apprenticeship Team for upcoming opportunities.	Increase number of management apprentices who have completed L&D management courses first.	Jan 21	Process in place by working across L&D – approach is proving highly useful and beneficial.	LR / BV / HE
<b>Senior Leaders endorsements</b>					
<b>Create Apprenticeship Awards</b>	To be held during National Apprenticeships Week			On hold due to Covid	
<b>Add an Apprenticeship Award to the OSCARs</b>	Apprentice of the year category to feature	Heightened awareness of Apprenticeships impact and agenda	Feb 21	On hold due to Covid	
<b>Aim 3 - Creating a workforce that reflects the Norfolk community</b>					
<b>Work with recruitment for more targeted recruitment</b>	Research ways of reaching further audiences of Norfolk when advertising roles. E.g. Mumsnet etc.  Work with CIPD as Champions	Increased number and quality of applicants to apprenticeship posts, especially appropriate, well suited candidates	Jan 21 and ongoing	Planned approach of working with the recruitment team. Looking to set up an Outreach programme which cuts across the two teams.	LR and Team

## Appendix 2 - Action Plan [Updated May 2021]

	Offer specific and time-limited apprentice cohorts, work with comms to brand these as an appealing offering to young people across Norfolk	Increased awareness among young people of NCC as an apprenticeship employer			
<b>Corporate Parenting</b>	<p>Create a Guaranteed Interview scheme for Care Leavers applying to apprenticeships at NCC and meet the essential criteria</p> <ul style="list-style-type: none"> <li>Base the skeleton of this on the armed forced covenant?</li> </ul> <p>Share information with PAs and ensure vacancies are posted on the County Councils website</p> <p>Take part in a working group to support the NCC offer to those in care and care leavers. The local offer.</p> <p>Attend and contribute to CS priority groups 1 and 5</p> <p>Undertake research into and participate in, the plan for a public sector/ LA approach to increase a joined-up approach to opportunities to for care leavers in Norfolk.</p>	<p>A scheme in place to guarantee an interview for care leavers where essential criteria is met.</p> <p>Increased applications from LACs</p> <p>Tracking system that allows LAC to identify this to us</p> <p>A more attractive Local offer site that supports care leavers to better understand their options for EET</p> <p>Increased opportunities for care leavers and increased understanding of public sector</p>	October 2020	<p>Undertaking research and working with HR policy team to understand how this could be put into place.</p> <p>Attending local offer and LAC meetings regularly to share updates.</p>	<p>LR</p> <p>LR / Team</p> <p>LR</p> <p>LR &amp; KD, KC</p> <p>LR, HE, KC &amp; KG</p>
				Kickstart scheme is up and running. Ready to launch in June, with first cohort starting in August.	



## Appendix 2 - Action Plan [Updated May 2021]

	Investigate the KickStarters initiative as part of Governments Plan for jobs, and as a likely source offering to care leavers through DWP. Identify appropriateness in current budget climate and plan for when/if may be feasible to engage.	Support the local community and the initiative run by NCC G&D as a Gateway.			
<b>Work in partnership with Growth &amp; Development, Childrens Services Participation team and other key strategic partners to grow the apprenticeships for Norfolk.</b>	Understand labour market metrics and trends including: <ul style="list-style-type: none"> <li>• Uptake of apprenticeships in Norfolk and nationally</li> <li>• NEETS</li> </ul> Work together to create overarching Norfolk County Council Apprenticeships Strategy Build an apprenticeships landing page on NCC website to direct the public to the appropriate service	G&D supports NCC as an employer  Enquiries from the public go to the appropriate team first-time	Ongoing	Partnership working through the board and the strategy continues	LR /Team
<b>Strategically support and work alongside other talent and entry to work initiatives as part of our wider early talent approach.</b>	<ul style="list-style-type: none"> <li>• Work experience,</li> <li>• T-Levels and placements,</li> <li>• traineeships and</li> <li>• graduate programmes</li> </ul>		Ongoing	Delayed and on hold due to Covid	LR / Team
<b>Create a mechanism for a pipeline of talent</b>	Work with SHLT to identify how the new HR system can support this	Effective recruitment for every apprenticeship vacancy, with at least one appointable candidate and a healthy candidate pool	Feb 21	On hold due to new Oracle system coming in to place. Waiting to understand features and capabilities of the system.	LR / SHLT /KC

## Appendix 2 - Action Plan [Updated May 2021]

<b>Improved visibility of NCC as an employer of apprenticeships</b>	<p>Social media/advertising</p> <p>Build specific, time limited cohorts for specific apprenticeships and work with comms to brand and promote these</p> <p>Work with schools/colleges for careers/post 16 events</p>	<p>Increased number and quality of applicants for apprenticeship posts</p> <p>Increased awareness among young people of NCC as an apprenticeship employer</p>	Ongoing	Delayed and on hold due to Covid	LR / Team
<b>Early Careers Initiatives</b>	Evaluating new national and local employment and early career initiatives and participating in schemes where there is clear synergy with our workforce plan.		Ongoing	Delayed and on hold due to Covid	LR / KC
<b>Establish an NCC work Experience programme</b>	Work with CS to develop an approach to using apprenticeships to provide pathways for young people to join NCC incl. a virtual work experience pilot.	WEX & VWEX scheme offered to all Norfolk schools – positive feedback from students and school regarding programme.	Sept 21	Delayed and on hold due to Covid	
	Develop, implement and embed a diverse work experience and traineeship programme that offers opportunities to young people, children in care, care leavers, long term unemployed and those with disabilities.		Ongoing	Delayed and on hold due to Covid	

## Appendix 2 - Action Plan [Updated May 2021]

<b>Establish Public Sector Apprenticeships</b>	Develop public sector approaches to create additional traineeship and apprenticeship opportunities for young people through County/District/City Councils – signposting the public sector as an employer.	The creation of a public sector apprenticeship across Norfolk – promotion of this and apprentice starts	Nov 2020	Led by Trevor Holden, but on hold due to Covid. Due to start meetings again in July.	
	Create and setup a HR Apprenticeships working group <ul style="list-style-type: none"> <li>Support the wider work to shape and drive public sector provision of apprenticeships in Norfolk.</li> <li>Contribute to the identification of common core skills needs across the public sectors in Norfolk.</li> </ul> Review existing apprenticeship standards and identify those that meet our joint requirements; join up to leverage best provision from learning providers		Ongoing	Set up and working well. Cross sharing apprenticeship experiences and building cohorts together. Ongoing project.	
<b>Aim 4 - Increase schools' use of apprenticeships</b>					
<b>Increased uptake of Apprenticeships by schools</b>	Engage schools into embracing and adopting apprenticeships into their workforce and share unspent levy within the education sector and their supply chains. <ul style="list-style-type: none"> <li>Work with them to advise and support their ability to engage</li> </ul>	<ul style="list-style-type: none"> <li>Enquiries received from schools</li> <li>Increase number of apprentices within Norfolk schools</li> </ul> <p>Increased levy spends across Schools utilising a range of apprenticeships</p>	Feb 21  Jan 21	Schools have made huge progress with spending their levy over the last 12 months – up by 799% in their monthly spending capability.  Work continues to support them, think of creative ways for them to get involved and work	LR / Team

## Appendix 2 - Action Plan [Updated May 2021]

	<p>with and benefit from the Levy</p> <ul style="list-style-type: none"> <li>Promote the benefits the changes can offer in helping to meet skills gaps and future workforce needs.</li> </ul> <p>As new school focused standards are developed, the Council will ensure that schools are kept up to date with their availability.</p>	Promotion of apprenticeships in NCC comms to schools.	<p>Jan 21</p> <p>Ongoing</p>	with partners to regularly communicate with them.	
<b>Fulfil Cornerstone Employer activity</b>	Work with Childrens Services to identify best practice ways of creating meaningful work experience opportunities for school children.	<p>Able to offer work experience</p> <p>Have more than one Enterprise Advisor</p> <p>Attended at least three careers events</p> <p>Attendance at all meetings</p>	Ongoing		LR / MR
<b>Aim 5 - Operational Activities, including Levy tracking, attendance at events and internal communications</b>					
<b>Activity for Apprenticeships week</b>	<ul style="list-style-type: none"> <li>Promotion of apprenticeships across the council</li> <li>Headteachers experience – video and case study</li> <li>Information pack to be sent to all Norfolk School – Educate Norfolk</li> </ul>	<ul style="list-style-type: none"> <li>A successful NAW 2021</li> <li>Awareness of apprenticeships increased across NCC and Norfolk Schools</li> </ul> <p>Number of enquires from managers and staff</p>	Feb 21 and ongoing	Very successful and rewarding NAW 2021.	LR and Team
<b>Engagement with staff, managers and departments/services</b>	<ul style="list-style-type: none"> <li>Publish strategy</li> <li>Information sessions</li> </ul>	<ul style="list-style-type: none"> <li>Apprentice numbers up from last year</li> </ul>	Ongoing	Continues throughout the year – regular updates through Friday takeaway. As at June 2021, apprentice start numbers	LR / EM / AG / MJ

## Appendix 2 - Action Plan [Updated May 2021]

	<ul style="list-style-type: none"> <li>Attend team and service meetings</li> <li>Associated promotion to managers and employees in council publications</li> <li>Develop ongoing communication strategy</li> <li>Produce case studies</li> <li>Up to date Intranet pages</li> <li>Improve interface with internal Comms team</li> <li>Social Media Promotion</li> <li>Engaging with local schools and colleges through recruitment fairs</li> <li>Destination monitoring</li> <li>Celebration of current apprentices across NCC and Schools (awards)</li> </ul>	<ul style="list-style-type: none"> <li>Awareness of apprenticeships increased across NCC and Norfolk Schools</li> <li>Social media promotion – Facebook/twitter/Instagram</li> </ul>		have continued to increase, and covid notwithstanding have started 153 apprentices in 2019 and 162 apprentices in 2020.	
<b>HR Apprenticeships working group with other Local Authority HR or L&amp;D representatives</b>	<p>Quarterly meetings throughout the year to discuss individual updates and progress.</p> <p>Work together to develop rotational public sector apprenticeship scheme.</p> <p>An opportunity to share materials and ideas of how to utilise levy. Enabling joint cohorts for popular apprenticeship standards (cohort-based) – TL/Supervisor, Associate</p>		Ongoing	Continues quarterly. Updates from other councils is good. All struggled with numbers through covid but coming out the other side. Looking forward to engaging in the Public Sector apprenticeships discussion again. Collaboration on Project Management apprenticeships.	LR, MJ

**Appendix 2 - Action Plan [Updated May 2021]**

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	Project Manager, Business Admin, Data Analyst etc.				
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## Report to Cabinet

**Item No: 10**

<b>Decision making report title:</b>	<b>£1m Road Safety Community Fund</b>
<b>Date of meeting:</b>	<b>06 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Wilby (Cabinet Member for Highways, Infrastructure and Transport)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director of Community &amp; Environmental Services)</b>
<b>Is this a key decision?</b>	<b>Yes</b>
<b>If this is a key decision, date added to the Forward Plan of Key Decisions.</b>	<b>20 July 2021</b>

### **Introduction from Cabinet Member**

Historically, road safety capital schemes undertaken by the Council have followed a formal planned programme of highways capital works. Some community identified, lower priority local road safety issues and concerns have not been advanced as the Council's resources remain focused on directing the limited funding to those locations where the greatest casualty reduction benefits can be achieved.

The new Road Safety Community Fund proposed in this report is designed to address this situation and provide communities across Norfolk an opportunity to promote small scale, locally driven capital schemes to improve road safety in their communities.

### **Executive Summary**

It is proposed that a new Road Safety Community Fund (RSCF) is introduced. This £1m fund aims to deliver 100 new road safety schemes in local communities over the next four years. To optimise efficiency of delivery, it is envisaged that the schemes will be rolled out in geographical areas.

These community-focused capital schemes are to be small scale (up to £10,000 each), local highway improvements, such as speed limit changes and other signing and lining changes, which will help address local issues and concerns. Larger schemes will need to be considered as part of the wider Highways Capital Programme. However, in some instances, local communities may also wish to contribute to scheme costs eg Parish Partnership fund.

## **Recommendations**

- 1. To agree to recommend to Full Council an increase in the capital programme to include the allocation of £1m capital funding to establish a new Road Safety Community Fund (RSCF) to enable delivery of 100 community identified local road safety schemes across Norfolk.**
- 2. To agree that the RSCF will be delivered over four years and will focus on different geographical areas for each of these four years, as set out in para 2.6.**

## **1. Background and Purpose**

- 1.1. Across the County, there are community identified road safety issues and concerns that are unlikely to be dealt with in the foreseeable future through the current Highways Capital Funding Programme. This is because existing resources are targeted to those areas where the greatest benefits can be achieved.
- 1.2. To help address this situation, it is proposed that the Council establish a £1m Road Safety Community Fund (RSCF). The aim of the Fund is to deliver 100 new county-wide road safety schemes, which are important for local communities, over the next four years.

## **2. Proposals**

- 2.1. There is a recognised and growing need to work with County Councillors and local communities to provide small scale road safety schemes that address more specific local issues; schemes which are unlikely to be funded and delivered from other sources.
- 2.2. It is proposed that £1m capital funding is allocated to establish a dedicated RSCF to deliver 100 new road safety schemes in local communities across Norfolk over the next four years.
- 2.3. These community-focused capital schemes are to be small scale (up to £10,000 each) local highway improvements, such as speed limit changes and other signing and lining changes, which will help address local issues and concerns.
- 2.4. Larger schemes will need to be considered as part of the wider Highways Capital Programme. However, in some instances, local communities may also wish to contribute to scheme costs eg via Parish Partnership fund in order to bring the scheme within the £10,000 scope of the RSCF.
- 2.5. Typical speed limit changes can cost around £5,000 each and can often take around 12 months to implement, as there are public consultation and statutory legal processes that need to be followed as part of the Traffic Regulation Order process. However, there are many variables that may affect this cost



and timescale and there may also be efficiencies by sharing certain costs between different sites.

2.6. Therefore, it is proposed to batch changes by geographical area to optimise these efficiencies. A suggested programme is:

- Year 1: King's Lynn & West Norfolk;
- Year 2: North Norfolk, Broadland & Gt Yarmouth;
- Year 3: South Norfolk & Breckland;
- Year 4: Norwich & other subsequent requests.

2.7. It is anticipated that between 20 to 30 schemes can be delivered in each of the above years, although this will depend on the successful completion of legal processes which includes stakeholder consultation. Where possible, schemes will be batched together to minimise costs and enable a greater total number of schemes to be delivered. However, this may result in some schemes taking longer to deliver.

2.8. Delivery of the RSCF will mirror the Parish Partnership Scheme initiative where expressions of interests will be requested from Parish Councils and Members. Requests will be collated and prioritised based on the Council's Local Transport Plan priorities with a particular focus on casualty reduction.

2.9. The Council's local Highways Area teams will assist in the process by providing advice to communities on engineering solutions and give a preliminary view on whether the proposed changes will meet the Speed Management Strategy, and whether other traffic management interventions are justified.

2.10. Following this initial advice, the programme and individual projects will be managed by a specialist team, established to deliver a number of other parking and traffic management related projects. This team will also collate all the requests. Reporting will then take place as part of the annual Highways Capital Programme report which is considered by Cabinet each spring. This new team will also record and monitor spend and delivery.

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

3.1. This additional fund offers the Council the opportunity to work with many local communities across Norfolk and address more local road safety issues and concerns that are important to communities. It will also help to improve overall network safety.

3.2. Any ongoing maintenance (revenue) costs are excluded from this scheme and will need to be considered separately.

3.3. The maximum budget of £10,000 per scheme should not be exceeded. Given the nature of construction, there may be unexpected or unforeseen costs which will need to be managed within the £10,000 allocation. Any schemes

which are likely to exceed this amount may not be taken forward, unless other funding streams are confirmed.

- 3.4. Depending on local demand, schemes may need to be prioritised as only 20 to 30 schemes per year can be delivered. Prioritisation will be based on the Council's Local Transport Plan priorities, with a particular focus on casualty reduction. RSCF schemes will be included as part of the annual Highways Capital Programme report to Members each spring.

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

- 4.1. The RSCF will help address local concerns and improve road safety for communities by enabling local schemes to be delivered which otherwise may not meet the criteria for funding.

## **5. Alternative Options**

- 5.1. It is unlikely that capital funding of this amount (£1m) for a programme of county-wide local road safety schemes could be obtained from any alternative Council or local community source, particularly under the present economic climate.
- 5.2. Members could decide not to establish this fund. However, this means it is unlikely that issues and concerns identified by local communities would be able to be addressed.

## **6. Financial Implications**

- 6.1. A recommendation to Full Council is required to approve the £1m capital funding for this new Road Safety Community Fund (RSCF). The profile funding requested is shown below:

- Year 1: £0.150m
- Year 2: £0.350m
- Year 3: £0.250m
- Year 4: £0.250m

It should be noted that this profile is not linear due to the time taken to complete the Traffic Regulation Order (TRO) process.

This would be an increase to the capital programme and it is assumed that it would be funded through additional prudential borrowing.

## **7. Other Implications**

- 7.1. **Staff:**

The RSCF will be delivered by a small specialist team who will also manage delivery of a number of other parking and traffic management related projects. Officer time spent on RSCF work over the 4-year programme will be recharged as above.

7.2. **Property:**

There will be no impact on property as staff involved with delivering the fund's schemes will either be working remotely, on site or using existing Council facilities.

7.3. **IT:**

There will also be no impact on IT as staff will use existing hardware and software.

**8. Other Implications**

8.1. **Legal Implications:**

Legal input/assistance will be sought from NpLaw as required, in the making of the necessary Traffic Regulation Orders (TRO).

8.2. **Equality Impact Assessment (EqIA):**

An EqIA is not deemed a requirement at this stage and can be carried out at an appropriate time should this prove necessary.

8.3. **Sustainability Implications:**

The proposals described in Section 2. could have a number of positive impacts on sustainability:

Some schemes may involve reducing vehicular travel and inconsiderate parking, the fuel used, carbon emissions produced and overall transport costs.

It is also likely that some schemes could result in the reduction of road user and pedestrian casualties, thereby reducing hospital admissions and associated medical and other accident costs.

**9. Risk Implications/Assessment**

9.1. All highway designs and schemes arising from this funding will follow existing and well-established departmental and corporate risk assessments, with dynamic risk assessments carried out on site where necessary.

**10. Recommendations**

**1. To agree to recommend to Full Council an increase in the capital programme to include the allocation of £1m capital funding to establish a new Road Safety Community Fund (RSCF) to enable delivery of 100 community identified local road safety schemes across Norfolk.**

2. To agree that the RSCF will be delivered over four years and will focus on different geographical areas for each of these four years, as set out in para 2.6.

## **Background Papers**

None.

## **Officer Contact**

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

**Officer name:** Ian Gregory

**Tel No:** 01603 223851

**Email address:** [ian.gregory@norfolk.gov.uk](mailto:ian.gregory@norfolk.gov.uk)



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## Report to Cabinet

Item No: 11

<b>Decision making report title:</b>	<b>£10m Highways Maintenance Pothole Fund</b>
<b>Date of meeting:</b>	<b>06 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Wilby (Cabinet Member for Highways, Infrastructure and Transport)</b>
<b>Responsible Director:</b>	<b>Tom McCabe (Executive Director of Community &amp; Environmental Services)</b>
<b>Is this a key decision?</b>	<b>Yes</b>
<b>If this is a key decision, date added to the Forward Plan of Key Decisions.</b>	<b>20 July 2021</b>

### **Introduction from Cabinet Member**

We know how crucial the highway network is to keep Norfolk communities and businesses connected and also to support economic growth and recovery. Everyone in Norfolk relies on the highway network for walking, cycling, transport (including public transport) or for the movement of goods, access to services or for commuting.

As Cabinet Member, one of my priorities remains to keep our highway network safe and reliable. This report proposes that Full Council consider the allocation of an additional £10m funding to enable this programme.

### **Executive Summary**

This report seeks approval to recommend the fund to Full Council and sets out the proposed distribution of the £10m Highways Maintenance Pothole Fund for 2021/22 (£2.5m allocated) and the proposed reporting process for future years.

### **Recommendations**

- 1) To recommend to Full Council to increase the Capital programme by £10m to create a Pothole Maintenance Fund.**
- 2) To approve the distribution of the £2.5m allocation for 2021/22 from the £10m Highway Maintenance Pothole Fund, as detailed in Appendix A.**
- 3) To agree that the future reporting arrangements for this fund should form part of the Annual Highways Capital Programme Report to Cabinet.**

## **1. Background and Purpose**

- 1.1. This report seeks approval to recommend the fund to Full Council and details the proposed use of the £2.5m allocation for 2021/22 from the £10m investment of the new Highway Maintenance Pothole Fund.

## **2. Proposals**

- 2.1. The proposals recommend focusing the majority of the funding in 2021/22 on additional resurfacing works of £0.5m, and boost the additional surface dressing budget by £1.1m. Both treatments will repair potholes and proactively prevent additional potholes forming.
- 2.2. The proposals also recommend spending £400,000 on further resurfacing and drainage repair work, £100,000 on additional bridge maintenance repairs and a further £100,000 for each of the four highway maintenance areas across Norfolk for machine patching (smaller isolated resurfacing works to repair and prevent potholes) and other pothole repair work.
- 2.3. The proposed programme is detailed in Appendix A.
- 2.4. It is proposed that future allocations of this funding is split equally over the next three financial years, with £2.5m each year to make the £10m total, and that this will be reported as part of the annual Highways Capital Funding Report each spring.

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

- 3.1. The proposal will see an additional 2 miles of resurfacing and 54 miles of surfacing dressing delivered in 2021/22. It will also help reduce the highway maintenance backlog as reported each year.
- 3.2. The funding will also improve the resilience of the highway asset and will help reduce the creation of new potholes in the future.

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

- 4.1. The funding allocated under the proposed £10m Highways Maintenance Pothole fund is capital funding, intended for the maintenance of highway infrastructure to extend the life of these assets.
- 4.2. The proactive use of intermediate treatments to seal the road surface is an integral part of our Asset Management Policy and Strategy and incorporated into the Transport Asset Management Plan which was approved by Cabinet on 13 January 2020.

## **5. Alternative Options**

- 5.1. The funding could be used elsewhere and so Full Council may decide not to allocate these monies. However, it is clear that the intended purpose of the allocation is the repair of and the prevention of potholes.

## **6. Financial Implications**

- 6.1. The £10m funding would come from the County Council as an increase to the capital programme, it is assumed that it will be funded through additional prudential borrowing. It is proposed to allocate £2.5m in 2021-22, with £2.5m planned over each of the following three financial years.

## **7. Other Implications**

### **7.1. Staff:**

There are no staffing implications and the programme can be delivered within existing staff and construction resource.

### **7.2. Property:**

None of the proposed schemes involve land acquisition.

### **7.3. IT:**

None.

## **8. Other Implications**

### **8.1. Legal Implications:**

The legal implications of individual schemes will be evaluated as part of the project delivery process. None of the proposed schemes will require permanent legal orders to deliver.

### **8.2. Equality Impact Assessment (EqIA):**

The Human Rights implications of individual schemes will be evaluated as part of the project delivery process. The funding will utilise standard highway maintenance practices already used for the Highway Capital Programme. An Equality Impact Assessment for the Highway Asset Management Strategy and Policy has been completed.

Maintenance schemes are a like for like replacement and will not change the use of the highway, as improvement schemes may. No adverse impacts have been identified.

### **8.3. Sustainability Implications:**

The sustainability implications of individual treatment options will be considered as part of the scheme delivery process. Where possible, more sustainable options will be selected where it is cost effective to do so.

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

- 9.1. Any scheme specific risks and implications will be assessed and mitigated during the development of each scheme.

## **10. Recommendations**

- 10.1.
1. To recommend to Full Council to increase the Capital programme by £10m to create a Pothole Maintenance Fund.
  2. To approve the distribution of the £2.5m allocation for 2021/22 from the £10m Highway Maintenance Pothole Fund, as detailed in Appendix A.
  3. To agree that the future reporting arrangements for this fund should form part of the Annual Highways Capital Programme Report to Cabinet.

## **Background Papers**

None.

## **Officer Contact**

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

**Officer name:** Kevin Townly

**Tel No:** 01603 222627

**Email address:** [Kevin.townly@norfolk.gov.uk](mailto:Kevin.townly@norfolk.gov.uk)



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Parish	Road Name	Treatment	Cost
Needham	A143 High Road	Resurfacing	£100,000
Munford	A134 Cranwich Road	Resurfacing	£50,000
Wells	A149 Mill Road	Resurfacing	£220,000
Hainford	B1354 Old Church Road	Resurfacing	£130,000
South Creake	Waterden Lane	Resurfacing & drainage repairs	100,000
Burnham Norton	Marsh Lane	Resurfacing & drainage repairs	130,000
Syderstone	Rudham Raod	Resurfacing & drainage repairs	70,000
Thornham	Staithe Lane	Resurfacing & drainage repairs	100,000
Various including: Oxborough Weeting-with-Broomhill,Cranwich Thetford Thompson Dereham Dereham,Swanton Morley Great Dunham,Fransham	Various sites including: Stoke Ferry Road,Oxborough Road Cranwich Heath Road Nunnery Drive,Newtown,Mill Lane,Ickfield Way,Maine Street Stow Bedon Road,Watton Road,Church Road,Mill Road Norwich Road Swanton Road,Dereham Road,Greengate Beeston Road,Station Road	Surface Dressing Surface Dressing Surface Dressing Surface Dressing Surface Dressing Surface Dressing Surface Dressing Surface Dressing	£1,100,000
North Area - various sites	Various	Machine patching / layered patching	£100,000
South Area - various sites	Various	Machine patching / layered patching	£100,000
West Area - various sites	Various	Machine patching / layered patching	£100,000
City Area - various sites	Various	Machine patching / layered patching	£100,000
Countywide Bridge Maintenance		Bridge Maintenance	100,000
<b>TOTAL:</b>			<b>£2,500,000</b>

# Cabinet

## Item No 12

<b>Decision making report title:</b>	<b>Flood Reserve Fund and Norfolk Strategic Flood Alliance Update</b>
<b>Date of meeting:</b>	<b>06 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr Andy Grant (Cabinet Member for Environment and Waste)</b>
<b>Responsible Director:</b>	<b>Tom McCabe – Executive Director, Community and Environmental Services</b>
<b>Is this a key decision?</b>	<b>Yes</b>
<b>If this is a key decision, date added to the Forward Plan of Key Decisions:</b>	<b>21 July 2021</b>

### **Introduction from Cabinet Member**

The Norfolk Strategic Flooding Alliance (NSFA) established by Norfolk County Council and Chaired by Lord Dannatt, is a new taskforce brought together in February 2021 to help ensure that Norfolk communities and infrastructure are safer and more resilient to the risks of inland and coastal flooding.

Significant multi-agency work has developed a proposed Norfolk Strategic Flood Alliance Strategy for Norfolk. This strategy details the goals, vision, and objectives for the NSFA and how the various Flood Risk Management Authorities will work c to resolve priority flood sites and improve community resilience.

We know of the often-devastating impact that flooding events can have on Norfolk's communities and businesses. The County Council has already provided emergency funding of £650,000 in January 2021 in response to the December 2020 flooding event, which affected many communities across the county, and the Council also established the £1.5m Flood Reserve fund. This demonstrates our commitment to improving the outcomes for Norfolk. It is crucial to enable the essential work the NSFA are overseeing to continue, having already delivered key improvements such as "One Number for Norfolk", a flooding leaflet to Norfolk's residents, improved website information, as well as drainage asset improvement works on the ground.

### **Executive Summary**

This report details the vision and objectives of the NSFA, the Alliance's progress in line with the overall strategy, progress towards delivering the top 16 priority flooding sites and the proposed distribution of the £1.5m Flood Reserve Fund.

### **Recommendations.**

- 1. To endorse the Norfolk Strategic Flood Alliance Strategy and action plan, as set out in Appendices A and B.**
- 2. To agree the allocation of the £1.5m flood reserve fund for 2021/22, as set out in Appendix C.**

## **1. Background and Purpose**

- 1.1. Over the past 6 years Norfolk has been subject to regular intense storms that have caused widespread flooding, severely impacting local communities, key services and transport networks.
- 1.2. In June 2016, over 250 properties were internally flooded in a band that stretched from Diss to Cromer, with a concentration of reports in Watton and Dereham. The floodwater blocked many roads and required emergency measures to deliver ballot boxes on the referendum vote. October 2019 saw another event that affected over 100 properties mainly across the east of the County. On both these dates rainfall intensities were recorded as having return periods of a 1:40 event or higher
- 1.3. In 2020, Norfolk was hit by both summer and winter storms with over 60 properties flooded in August between East Harling and Swaffham. In December, prolonged rainfall caused widespread flooding and disruption in an arc from Martham through South Norfolk to Watton. 260 Properties across the County were flooded. The rainfall intensity in August was recorded as being over a 1:1000 event near Watton and in December some areas recorded over 50mm of rain falling in 24 hours over already saturated ground, resulting in many over-flowing watercourses and run-off from surrounding fields into properties. This also impacted on the highway network, with the A140 in Long Stratton particularly affected. The Council responded quickly to these events, allocating £650,000 of emergency funding for repairs to systems and assets damaged in the flooding, and also the establishment of a £1.5m Flood reserve Fund.
- 1.4. Under the Flood and Water Management Act 2010 several organisations are classed as Risk Management Authorities (RMAs). This status acknowledges the roles these organisations have in managing flooding and provides them with statutory powers and duties.

Section 6 of the Flood and Water Management Act 2010 defines Risk Management Authorities as:

- The Environment Agency (EA)
- A Lead Local Flood Authority (LLFA)
- A District Council for an area for which there is no unitary authority
- An Internal Drainage Board (IDB)
- A Water Company
- A Highway Authority

1.5. In Norfolk there are 36 organisations that meet the definition of Risk Management Authority (RMA). Including the Environment Agency and Norfolk County Council in its role as Lead Local Flood Authority (LLFA). This number is made up of 7 District Councils, 22 Internal Drainage Boards, 3 Water Companies and 2 Highway Authorities

1.6. These organisations are involved in the response to flooding events, from forecasting and warning, through emergency activities such as rescue and pumping out, recovery, repair and developing improvement schemes.

Norfolk County Council undertakes a key role as defined below:

- to co-ordinate the emergency response, when certain thresholds are met (through our Resilience Team);
- respond to emergency calls from the public via the Fire and Rescue Service;
- respond to reports of flooding on the Highway; and
- to investigate the causes of flooding, by our Flood & Water Team.

1.7. It is crucial that a coordinated response is given under these heavy rainfall conditions, to minimise damage and reassure residents that help is available. It was evident during the recent flooding events that the county-wide response to flooding and associated flood risks was unclear and confused, not just to the RMA's but also for Norfolk's communities. An example being reporting and requesting assistance related to a flood event

## **2. Proposals**

### **2.1. Norfolk Strategic Flood Alliance Strategy and Action Plan**

The Norfolk Strategic Flooding Alliance (NSFA) established by Norfolk County Council, chaired by Lord Dannatt, is a new taskforce brought together in February 2021 to help ensure that Norfolk communities and infrastructure are safer and more resilient to the risks of inland and coastal flooding. The terms of reference for the NFSA areas detailed in the NFSA Overall Strategy (Appendix A). It is planned that the strategy will be ratified at the NSFA Board meeting on 20 September 2021. The Strategy will then be reviewed annually at the July NSFA meeting, where organisations will affirm their commitment to the NFSA and the delivery of collaborative working in accordance with the principles.

The Alliance of 14 organisations and associations includes:

- the Environment Agency;
- Anglian Water;
- the Association of Drainage Authorities;
- the Water Management Alliance;
- Water Resources East;
- the Norfolk Resilience Forum;
- the Broads Authority;

- Norfolk County, Borough, City, District and Parish Councils; and
- Highways England.

2.1.1. The NSFA has already delivered key areas of work which includes:

- I. One Number for Norfolk launched 27 May 21;
- II. Improvements to NCC's website;
- III. Production and distribution of flooding leaflet;
- IV. Multi-agency resilience exercise planning (to be held 18 October 2021);
- V. 16 priority sites identified involving NCC Highways, LLFA, Environment Agency, and Anglian Water (Tranche 1).

The 16 priority tranche 1 sites are list below. The NSFA continues to meet to discuss these sites and review progress. The latest progress report relating to tranche can be observed in Appendix B.

- Burgh Road/Beccles Rd, Gorleston;
- Ferry Road, Horning;
- A1101, Welney Wash;
- Necton;
- Burnham Market and North and South Creak;
- Tunstead;
- A140, Long Stratton;
- Norwich Road, Strumpshaw;
- Gayton;
- Watton/Saham Toney;
- Mattishall;
- A143 Redenhall;
- Yaxham;
- Kenninghall;
- Cranworth;
- Newport Road / Yarmouth Road, Hemsby.

2.1.2. The work carried out on this first tranche will inform further work across Norfolk in the coming years. As such, there will be further tranches of priority sites agreed by the NSFA as they are identified.

Each site will see work led by a Lead Agency – Norfolk County Council or Anglian Water in this first tranche, depending on the site – to develop an outline, costed solution that will form the basis of any necessary future funding bids. While flood risk at many of these sites will not prove easy or quick to resolve, this work will provide the blueprint for addressing other flood sites across the county

## 2.2. **Community Resilience and Communications.**

2.2.1. The NSFA overall strategy identifies the need for improved and regular communications on flooding related issues to ensure communities are as well

informed on NSFA activities as is practicable, recognising the key role of Parish Councils. NCC will lead and develop a NSFA communications plan.

- 2.2.2. Community engagement is being led by the Norfolk Fire and Rescue Service (NFRS) and will progress in line with the current approach delivered by the District and Borough Council's Emergency Planners and the Norfolk Resilience Forum. This engagement will take the form of community training and will look to determine whether communities can establish their own level of resilience in order to support local responses to flooding. NFRS will liaise closely with the National Association of Local Councils (NALC) and will be supported by District/Borough Emergency Planning teams and NCC Resilience.

2.3. **Norfolk Flood Reserve Funding.**

- 2.3.1. Members have approved £1.5 million funding and its usage is detailed in Appendix C. Future funding requirements will be considered as part of the annual Council budget setting cycle. Of the £1.5 million flood reserve funding, some of this has been allocated to priority areas of activity and it is proposed that the remaining is allocated to a number of different workstreams in order to ease the flooding challenges faced across the county. These are set out below (points 2.3.3 to 2.3.4)

- 2.3.2. The £1.5m funding has been key in enabling a collaborative approach with other agencies who in turn have been able to obtain funding to deliver improvements to their assets.

2.3.3. **Maintenance**

- 2.3.3.1. There are 145,305 gullies across the county, 285,864 metres of drainage grips and 31,037 metres of kerb drains.

It is proposed that £695,000 is to be spent from the Norfolk Flood Reserve (NFR) on an enhanced maintenance regime. This will cover operations such as increased gully emptying, ditch cleaning and other drainage cleansing works.

2.3.3.2. **Drainage asset improvements**

- 2.3.3.3. It is proposed that £365,000 will be spent in the first year (2021/22), on improvements to the drainage asset including:

- Feasibility studies;
- Match funding for NSFA priority schemes;
- Match funding for external capital funding bids; and
- Capital NCC delivered drainage schemes & Digital Innovation.

2.3.4. **Delivery of an NSFA action plan**

- 2.3.4.1. The remainder of the funding, as shown in Appendix C, is to be allocated for NSFA initiatives to improve the county's flooding response. Examples of these initiatives include the One Number for Norfolk solution (point 1.4) as well as the production, publication and distribution of a flooding information leaflet to

Norfolk's residents. In addition, a shared surface water flood risk mapping system, with asset register will be produced using the funding. The remaining funding also covers any additional staff needed to investigate and report on an increasing number of flooding events.

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

- 3.1. Should the proposal be approved, this strategy and funding will improve the county-wide response to flooding and flood related risks. Through working together with stakeholders, we will ensure Norfolk communities and infrastructure are safer and more resilient to the risks of inland and coastal flooding and better placed to ensure adequate water supplies during droughts.

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

- 4.1. In the last 3 years, Norfolk County Council has received over 10,000 flooding related enquiries and 215 flooding related complaints (63 formal complaints and 152 Member representations). There have also been numerous media publications on the subject of flooding. The council has also experienced a number of flooding events (see section 1 above). There is a clear need for a more collaborative approach for dealing with the challenge of flooding. Further investment in the service over the next 4 years is required to both protect and reassure Norfolk communities.

### **5. Alternative Options**

- 5.1. The NSFA strategy details the goals, approach, and vision and identifies the requirement for a collaborative and coherent approach across Norfolk with a view of making maximum use of public sector cooperation. A 'do nothing' approach is not considered appropriate.

### **6. Financial Implications**

- 6.1. The £1.5m is County Council revenue funding and has already been agreed by Members. The funding requirements set out within the report are crucial to improving the County's response to the worsening flooding situation and delivering the NSFA strategy, aims and objectives.
- 6.2. It is likely that further funding will be required in the following 3 financial years (to 2024/25 inclusive) to further support the work of the NSFA. Future allocations to the Flood Reserve will be considered as part of the annual Council budget setting cycle.
- 6.3. The £1.5m Flood Reserve funding will enable the Council to meet our NSFA obligations and also provide match funding in the form of financial contributions. This match funding will be used to encourage other NSFA bodies to likewise financially contribute towards the delivery of the NSFA Strategy, improving flood and water management and benefiting businesses and residents across Norfolk.

## **7. Resource Implications**

### **7.1. Staff:**

There are resource requirements for the Council, including Highways and Norfolk Fire & Rescue Service teams. There may be further support needed for the Norfolk Strategic Flood Alliance work and for the Norfolk Association of Local Councils (NALC). These costs are all factored into the overall funding allocation.

### **7.2. Property:**

None as a direct result of this report

### **7.3. IT:**

None as a direct result of this report

## **8. Other Implications**

### **8.1. Legal Implications**

None as a direct result of this report

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

None as a direct result of this report

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

Section 149 of the Equality Act 2010 creates the public sector equality duty which requires that when Norfolk County Council makes decisions it must have regard to the need to:

- a) Eliminate unlawful discrimination, harassment and victimisation and other behaviour prohibited by the Act;
- b) Advance equality of opportunity between people who share a protected characteristic and those who do not;
- c) Foster good relations between people who share a protected characteristic and those who do not including tackling prejudice and promoting understanding.

The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, gender and sexual orientation.

The equality impact assessment indicates that the proposals in this report will not have a disproportionately adverse impact on any people with a particular characteristic.

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

None as a direct result of this report.



8.5. **Sustainability implications**

The funding proposed in this report and the work of the NSFA, including the strategy, will have a positive impact on both the environment and sustainability by reducing flood risk and flood damage and improving water management across Norfolk.

8.6. **Any other implications**

None as a direct result of this report

**9. Risk Implications/Assessment**

9.1. Norfolk County Council undertakes a key role as defined below:

- to co-ordinate the emergency response, when certain thresholds are met (through our Resilience Team);
- respond to emergency calls from the public via the Fire and Rescue Service;
- respond to reports of flooding on the Highway; and
- to investigate the causes of flooding, by our Flood & Water Team.

All risks associated with the delivery of specific schemes will be assessed with mitigation measures identified. Where necessary environmental assessments will be undertaken to minimise impacts.

**10. Select Committee comments**

10.1. Not applicable

**11. Recommendations**

- 11.1.     **1. To endorse the Norfolk Strategic Flood Alliance Strategy and action plan, as set out in Appendices A and B.**
- 2. To agree the allocation of the £1.5m flood reserve fund for 2021/22, as set out in Appendix C.**

**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:	Karl Rands	Tel No.:	01603 638561
Email address:	<a href="mailto:karl.rands@norfolk.gov.uk">karl.rands@norfolk.gov.uk</a>		



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## NORFOLK STRATEGIC FLOODING ALLIANCE – OVERALL STRATEGY

***The purpose of the constituent members of the Norfolk Strategic Flooding Alliance (NSFA) is to work together so that Norfolk communities and infrastructure are safer and more resilient to the risks of inland and coastal flooding and better placed to ensure adequate water supplies during droughts.***

1. **Introduction.** The NSFA was formed following recognition that the county-wide response to flooding and flood-related risks is incoherent and improvements are required to protect and reassure Norfolk communities. Members of the NSFA are united in their determination to work collaboratively and transparently across boundaries and structures to improve the response of flooding and increase the coherency and consistency of flood risk management. The unique selling point of the NSFA is that it represents a single point of focus and collaboration for all flood-related challenges facing the County of Norfolk. Our Action Plan is at Appendix A and the record of actions achieved, so far, is at Appendix B.

### OUR GOALS

2. **Our Vision.** The NSFA will be successful through the coordinated actions of the statutory authorities from central to local government, through to commercial companies, land and property owners large and small, their communities and individuals themselves. As a result, the people of Norfolk will have high level of confidence that flood risks are as low as reasonably practicable and are being managed within the overall context of improved water management.

3. **Our Objectives.** Our objectives are:<sup>1</sup>

- a. Achieve a transparent, collaborative, integrated and sustainable approach to water management issues across the County of Norfolk that is applied coherently.<sup>2</sup>
- b. Provide a cooperative approach to local, regional and national funding opportunities to mitigate Norfolk's flood risks.
- c. In accordance with Shoreline Management Plan governance, establish a strategic group (or Groups) for the coastal areas from the Yare to the Wash/Ouse to help mitigate coastal erosion and coastal flooding.
- d. Examine how to implement whole river management best practice for inland waterways from catchment areas to the sea.
- e. The planning system across the County is coherently applied and does not exacerbate the flood risks to new and existing residents and communities.
- f. When preparing and delivering their statutory or lead-agency responsibilities, category one responders and other relevant bodies will, where appropriate, collaborate through the Norfolk Resilience Forum (NRF) to:
  - I. enable the Local Lead Flood Authority (LLFA) to compile a common flood risk picture,
  - II. develop a consolidated action plan that maps multi-agency activities and progress,
  - III. ensure local flood resilience and the response to flooding events, which is streamlined and cohered across the County,
  - IV. achieve synchronised initiatives across Norfolk that mitigate the risk of flooding and enhance communities' local resilience, and
  - V. deliver a programme of exercises to confirm NSFA effectiveness and assure progress development.<sup>3</sup>

<sup>1</sup> These are distilled further into a series of actions and tasks in Annex A.

<sup>2</sup> This will include an understanding of other water management strategies and activities already in practice through other bodies and organisations.

<sup>3</sup> We will do this in partnership with the Ministry of Housing, Communities and Local Government (MHCLG) or the Cabinet Office, partner authorities in the region and the Emergency Planning College, in the design, training, work up and delivery of the exercise.

- g. Enhance the confidence of Norfolk communities through regular public communications and engagement on flood risks, mitigation measures and resilience / self-reliance initiatives.
- h. Produce an Integrated Norfolk Water Management Strategy.<sup>4</sup>
- i. Deliver a united Norfolk view on flooding and water management issues to Central Government.

## OUR APPROACH

### 4. **Our Principles.** Our guiding principles are:

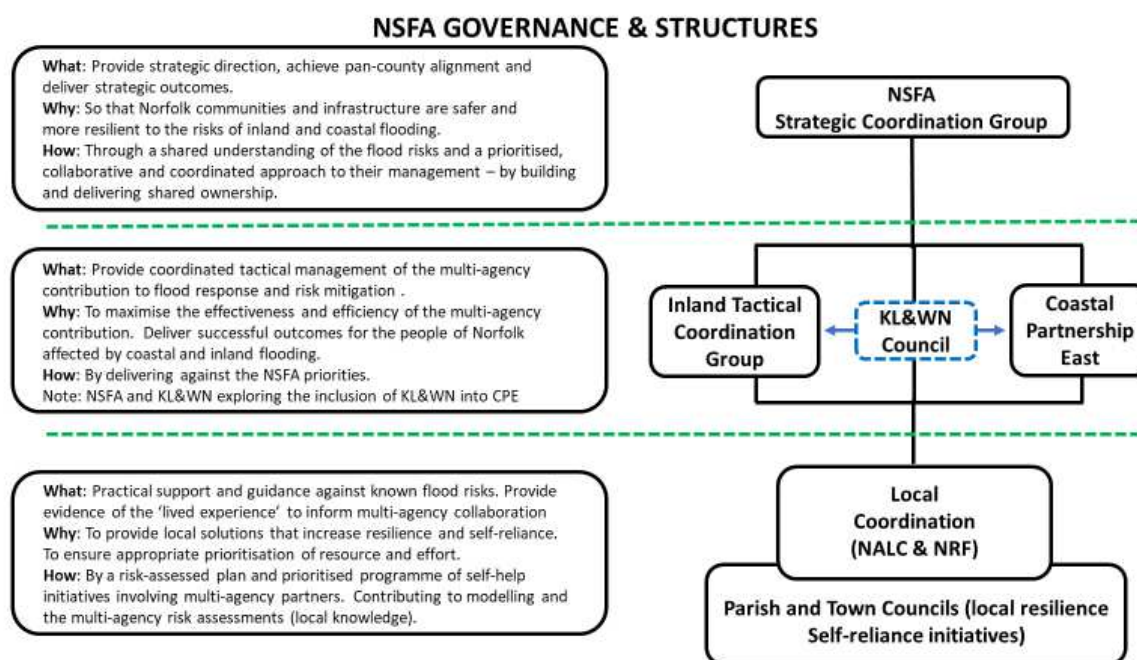
- a. We will work together in a collaborative and transparent manner through the statutory duties established by the Civil Contingencies Act (CCA) (2004) and its supporting doctrine and guidance as well as making maximum use of Public Sector Cooperation Agreements, where appropriate.
- b. Extant statutory or lead responsibilities remain with the relevant agency.
- c. We will share information and manage knowledge intelligently.
- d. We will focus on delivering the best outcome for Norfolk communities.
- e. We will speak with one voice and communicate clearly, coherently and consistently to Norfolk communities.
- f. We will exploit pre-existing structures and multi-agency fora to reduce duplication and ensure our activities are efficient and effective.
- g. We will ensure a balanced approach – delivering quick wins and set the conditions for achieving longer-term success.
- h. We will make evidence-based decisions and anticipate future risk through collaborative analysis and data sharing.
- i. We learn from others and our own experiences and seek to identify and share ‘best practice’ as appropriate.

5. **Strategic Collaboration – Threats and Opportunities.** It is unlikely that any single entity will be able to develop projects or solutions alone to mitigate the threats of flooding or to promote the opportunities of better water management. Collaboration (not duplication) between NSFA and Water Resources East (WRE) is essential to a coherent approach across the County of Norfolk. From a water management perspective, WRE and its strategic partners will identify opportunities in the short, medium and long-term to connect fluvial flood risk reduction with water scarcity opportunities, ideally delivering water quality benefits at the same time. This will predominantly focus on the opportunities to capture and store flood water and make it available for use for example for irrigation, energy production and to drive environmental improvement and natural capital net gain. Key partners in this work, alongside Norfolk local authority colleagues and WRE’s Norfolk Water Strategy partners (Anglian Water and The Nature Conservancy) will be landowners, internal drainage boards, local community leaders and environmental Non-Governmental Organisations (NGO).

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<sup>4</sup> To include an integrated approach to resource planning that considers all potential requests for funding to develop a single and prioritised statement of desired outcomes that all can work to deliver.

6. **How we Function.** The NSFA will operate across 3 levels (using Civil Contingencies Act doctrinal definitions for each level) – Strategic, Tactical and Operational/Delivery – a schematic representation of how this will be achieved, with broad roles and responsibilities, is shown below:<sup>5</sup> The NSFA recognises that member organisations and authorities have different priorities, funding arrangements, regulators and statutory obligations. It is incumbent on NSFA members to highlight to the NSFA their constraints to help the NSFA appreciate how best to work around these for the benefit of local communities. While the NSFA will determine its priorities, it accepts the need to use the statutory and funding frameworks of other bodies in order to realise these priorities. The Norfolk County Council (NCC) communications team would use this strategy and action plan to develop a proactive communications and engagement plan.



### ASSESSING SUCCESS

7. **What will success look like?** Achieving the stated vision will be the ultimate assessment of success for the NSFA. On our journey to achieving this vision, the NSFA will assess performance against the individual objectives (para 3), the specific actions and tasks (annex A) and our ways of working / guiding principles (Appendix B). On an annual basis (July NSFA meeting) members will be invited to affirm their commitment to the NSFA and the delivery of collaborative working in accordance with our guiding principles.

8. **Universal Stakeholder Buy In.** On an annual basis – commencing in July 2021 - the stakeholders, who are the constituent members of the NSFA (details at Appendix C), will commit to work together by formally signing off the annual NSFA Overall Strategy, of which this is the first.

<sup>5</sup> For local operational/delivery groups to be successful, there will need to be multiple (to spread the load), probably covering either the district council areas (with a number amalgamated to ensure there aren't too many groups for those of us that cover the whole of Norfolk) or Anglian Water water recycling collection areas. Discussions are underway to see if KL&WN might consider joining Coastal Partnership East and therefore remove the need for a bilateral arrangement between the NSFA and KL&WN on coastal flooding matters.

## APPENDIX A - ACTION PLAN

Code: **RED**: Significant issues to be resolved or task/outcome/action not commenced, **Amber**: Significant issues identified and plan to resolve developed – no target date set, **Yellow**: minor issues or progress to achieve goal is on track, **Green**: desired task/action/outcome achieved.

SER	TASK	ACTION	PROGRESS	LEAD/OWNER	ASSESSMENT
1	Task 1. Develop closer working between all agencies and better co-operation	1.1 More effective collaboration to ensure clearer multi-agency emergency response, recovery and remediation actions.	Agreement to this strategy signifies a commitment from members to adopt the principles and objectives in their own programmes, plans and strategies and a commitment to work collaboratively to achieve the NSFA's objectives.	All	
2		1.2 The need to have a single consolidated approach to flooding across Norfolk so there is no 'post code lottery' (e.g. removal of the confusion about the utility and availability of sandbags).	<p>To be addressed through the NSFA Inland Flooding Group. The NRF is developing a picture of what districts provide in terms of flooding support during both response and recovery phases. The NRF (via the Multi-Agency Fusion Group (MAFG)) will provide a formal update on who does what to the next Inland Flooding Group meeting in September.</p> <p>Explore the role of the Severe Weather and Flood Risk working group and how this might inform the working of the coastal and inland flooding groups.</p> <p>This work should recognise the roles and responsibilities of all 3 tiers of local government and consider how we balance locally derived needs with autonomy of decision-making and resourcing (especially finance) while achieving appropriate county-wide consistency.</p>	<p>Chair NSFA Inland Flooding Gp</p> <p>NRF Chair</p>	

3		<p><b>1.3</b> Develop in partnership with others (such as Water Resources East (WRE) and the <b>Broadland Futures Initiative</b> (BFI) options for how flood water might be used to alleviate drought risks or managed in a more integrated multi-agency approach.</p>	<p>First formal meeting between NSFA and WRE programmed for 17 May. It discussed opportunities for shared working and what 'plugs and sockets' are required between the 2 structures to ensure opportunities to deliver a holistic approach to water management might be achieved.</p> <p>Develop an appropriate 'plug and socket' approach with existing flood and drought initiatives to ensure an integrated approach while not duplicating effort.</p> <p>The BFI should be reviewed by the NSFA and areas of collaborative opportunity identified and factored into the NSFA Action Plan. The BFI considers existing and new plans that will emerge and impact upon the BFI plan area. It is expected that the BFI will inform the Norfolk Strategic Flooding Alliance (NSFA).</p> <p>Ensure the Current Shoreline Management Plans for the County are referenced in relation to the strategic flood (and erosion) management on the coast.</p>	<p>Chair NSFA</p> <p>MD WRE</p> <p>Chair BFI</p>	
4		<p><b>1.4</b> Develop a prioritised list of known flooding risk areas to guide initial collaborative working</p>	<p><b>NSFA members will share their capital and maintenance plans with each other to ensure the maximum opportunities possible for the development of synchronised and mutually supporting work and to help communicate our work with Norfolk Communities.</b></p>	<p>Chair NSFA</p> <p>Chairs of Inland and Coastal</p>	

			<p>An initial prioritised list comprises 16 flood sites that have been identified as complex and requiring multi-agency involvement to resolve. Outline costed solutions will be worked up, with a lead agency for each site. These solutions can then be delivered when the necessary funding has been secured.</p> <p>A second tranche of flood risk sites is being considered.</p>	Working Groups	
5	<b>Task 2.</b> Clarify roles and responsibilities both amongst partners themselves and for the general public.	<b>2.1</b> Education of Riparian owners, homeowners and businesses on their responsibilities, how to be more resilient in the face of severe weather and who to reach out to in times of flooding.	<p>Flyer produced and to be distributed to all properties (business and private across Norfolk). It provides basic advice and linkages to where specific advice can be found.</p> <p>NFRS, NRF and NALC exploring ways to improve local resilience and self-reliance through education and advisory programmes.</p> <p>Riparian owners need to be updated on their responsibilities to watercourse maintenance. This might be led by the CLA and NFU.</p>	CFO, NFRS  NALC  CLA  NFU	
6		<b>2.2</b> The potential for a Memorandum of Understanding to provide greater clarity and the need to undertake a gap analysis of areas not covered by agencies.	<p>To be considered by the NCC as the LLFA. Consideration should be given to the NRF to lead on developing this.</p>	NCC as LLFA (through NRF)	
7		<b>2.3</b> Encourage local support groups to help improve community resilience through provision of support, education and information.	<p>Consideration should be given to the Coastal and Inland groups leading on this with NRF liaison for delivery of engagement and education programme. These groups might want to explore the role of the Coastal Flood Wardens as</p>		



			<p>a resource that might be developed for other scenarios.</p> <p>Consider the development of dashboard, to guide planning and response, in which flood data and the current picture is made accessible to all stakeholders.</p> <p>Consider the Introduction of a web-based portal to help householders and businesses identify who is responsible for what drainage asset.</p> <p>Integration of data feeds by the NCCC Norfolk Office of Data Analytics (NODA) to create an more holistic appreciation of risk and situational awareness. Intention to embed this in an open forum website (Norfolk Prepared) to ensure agencies and public maintain situational awareness and can prepare and response more effectively</p>	<p>Chairs of Inland &amp; Coastal Groups</p> <p>CFO, NFRS</p> <p>NALC</p> <p>NRF</p>	
8		<p><b>2.4</b> Maintain regular communications with Norfolk communities on flooding related issues to ensure communities are as well informed on NSFA activities as is practicable.</p>	<p>This recognises the need for direct (NSFA to communities) and indirect (through a third party) communications. Parish Councils will have a key role to play here.</p> <p>Requires close collaboration and coordination on flooding related communications. NCC will lead on the development of a coordinated NSFA Communications Plans (including agreed, immediate lines to take in times of crisis).</p> <p>Utilise Norfolk Prepared website, tactical delivery through inland and coastal NSFA groups.</p>	<p>Chair NSFA</p> <p>Chair Inland and Coastal Groups</p> <p>NCC as LLFA</p> <p>NRF</p> <p>NALC</p>	

			The Norfolk Prepared website was advertised in the flood flyer and the website provides broad resilience and self-reliance advice.		
9		<b>2.5</b> Consider what flood protection and mitigation capabilities are required and how they might be supported and supplied.	Item needs to be addressed by the inland and coastal flooding groups to identify most appropriate capabilities to mitigate flooding. Once the 2 groups have considered the issue for their respective remits, the NSFA should consider a consolidate view including how capabilities might be resourced	NSFA  Chairs of inland and Coastal groups	
10	<b>Task 3.</b> Determine and implement appropriate mechanisms for funding flood-related initiatives.	<b>3.1</b> A shared resilience fund to help agencies and authorities better react to emergency situations in a collaborative manner.	The Chairs of the Inland and Coastal working groups should consider what additional resources they required. This detail should be submitted to the NSFA who would fuse the requirements into a single submission for the LLFA to consider. This should be completed by end of July 21.  CPE is also exploring a coastal adaptation mechanism to support those affected by erosion which could be linked	Chairs of the inland and Coastal working groups	
11		<b>3.2</b> Maximising the capital, maintenance and revenue funding streams of NSFA members , as well as resource and skills, jointly to agree common priorities and funding for proactive water management initiatives.	A more collaborative approach to funding-streams, utilising Regional Flood and Coastal Committees (RFCC), and a more coordinated approach to the Business Plans of NSFA members should be the preferred method to operationalise the water management outcomes we seek for Norfolk.  The NSFA will work integrally with Anglian ( Eastern) and Anglian (Gt Ouse) RFCCs to ensure Flood Defence Grant in Aid capital and other	All	

			funding opportunities are maximised for all RMAS in Norfolk.		
12		<b>3.3</b> Lobbying DEFRA regarding the funding criteria for retro-fitting SuDS and drainage improvement works, as current model undervalues the damage caused by surface water flooding and the costs of mitigation schemes			
13	<b>Task 4.</b> Improve the coherency of planning processes across the County to ensure that new developments do not exacerbate the flood and coastal erosion risks or act as a barrier to the development of options.	<b>4.1</b> Removal of the automatic right to connect surface water from new developments to the sewerage system, which should be replaced with a more conditional approach to ensure all parties work together to assess and approve connections to the sewer network.	<p>Anglian Water is already involved in this work nationally with Water UK.</p> <p>Lord Dannatt and George Freeman MP wrote, on 23 Jun 21, to SofS EFRA and SofS HCLG to express concerns over 2 planning policy matters. The first regarding the automatic rights for developers to connect surface water from new developments to the sewerage system. Second, The ongoing responsibility of developers for drainage and water management on their developments.</p>	<p>Chair NSFA</p> <p>Anglian Water</p>	
14		<b>4.2</b> Planning policy and guidance to be updated and strengthened to require flood risk betterment in areas of high flood risk and to reflect new environment policy objectives and new SuDs National Non-Statutory Technical Standards.	<p>CPE is working with our 3 LA planning teams and those at KLWNBC and south into Essex to ensure we have integrated coastal planning policy in relation to erosion and coastal change. we have a shared Supplementary Planning Document which we are currently reviewing in line with new and emerging Local Plans. We are also exploring spatial planning and development in Coastal Change Management areas with planners locally and nationally.</p> <p>Farmers and landowners perceive planning to be a barrier to the development of on-farm reservoirs, which will play a crucial role in</p>	<p>Chair NSFA</p> <p>NCC and District / Borough Councils</p>	

			<p>connecting flood risk with water resources, delivering economic and environmental benefits. The group needs to consider what is most needed, is it formal policy changes, guidance to landowners submitting applications or is internal guidance for planners needed to help them with reviewing an application? It would also be helpful to identify a number of 'shovel-ready' projects and test them through the planning system.</p> <p>The NSFA would consider forming a focused working group to understand the breadth of planning-related challenges and recommend a programme of work to address these.</p>		
15		4.3 LLFA to review thresholds for bespoke responses to consultations on Major Development and LPAs to review provision of drainage advice for Minor Development to improve the technical expertise in flooding.		NCC / LLFA	
16		4.4 A clear process to remove and replace misconnections to sewers through Building Control, or re-classification of foul sewers into combined sewers.	<p>Seems a logical for Anglian Water to lead, given their role (this might ensure that foul sewer are <u>not</u> reclassified as combined sewers).</p> <p>Building Control at the local authorities with regards to spotting and addressing misconnections, working with Anglian Water to ensure that foul sewers are <u>not</u> reclassified as combined sewers).</p>	<p>Anglian Water</p> <p>and local authority Building Control teams</p>	
17	Task 5. Improve collective	5.1 Develop a shared surface water flood risk mapping resource and asset register, and provide districts with access to the LLFA's GIS system.	<p>Encourage wider use of EA flood map to increase awareness of surface water flood risks in the County. Information can be found on <a href="https://eur02.safelinks.protection.outlook.com/">https://eur02.safelinks.protection.outlook.com/</a></p>	<p>EA</p> <p>Anglian Water</p>	

	understanding of the flood risks through the development of multi-agency situational awareness and data sharing protocols, establishing a commonly accessible mapping resource and modelling function.		<p>Anglian Water is developing something similar for all flood risk partners across the region, so no need to reinvent the wheel.</p> <p>CPE is also keen to develop a shared asset register for coastal locations so they can develop integrated asset investment strategies with their partners (similar to that with AW).</p>		
18		<b>5.2</b> Establishing local community champions to support communities to map out relevant water management assets.	Potentially incorporated in LRF Stronger Community Resilience pilot. LRF to work with NALC, Community Resilience, PH etc to help identify local champions.	NRF Strategic Support Officer	
19		<b>5.3</b> Develop and then monitor the concerns of Norfolk communities affected by flood and drought risks and realities – a form of persistent audience sentiment and analysis.	<p>The development of a prioritised list is based upon inputs from local communities and historic data. It is addressed by the Local Issues Working Group. Discussions have taken place with NCC Comms to explore a proactive approach to communications and with sentiment analysis.</p> <p>CPE is holding its first join Suffolk and Norfolk Coastal Community conference this autumn to discuss coastal change. They have held a Suffolk event for several years and invited schools and guest speakers as well as the community leads and partners. It's a very effective event for sharing information, networking and supporting peoples understanding of risks and solutions.</p>	Nick Tupper NSFA	
20		<b>6.1</b> A coordinated effort from all RMAs to ensure that all their assets are regularly and proactively maintained, to lead by example.	EA and Anglian Water have an established, mature risk-based maintenance programme and could support others developing the same.	Anglian Water	

	<b>Task 6.</b> Creation of a sustainable approach to drainage through a coherent county-wide programme of improvements, prioritised maintenance and through the planning of new developments.		CPE conducts regular inspections of all its coastal assets and this informs their annual maintenance programmes. They also have a £150M capital delivery programme for 10 years: they have already delivered the Bacton Landscaping project and are in the process of progressing Lowestoft tidal flood walls and barrier. They will have a capital scheme for Cromer and Mundesley online early next year.	EA	
21		<b>6.2</b> The maintenance regimes of delivery agencies and authorities are shared between NSFA partners to facilitate closer cooperation in areas of mutual interest / responsibility.		Anglian Water EA IDBs	
22		<b>7.1</b> Sharing mobile numbers of all first responders to reduce the time it takes to contact the appropriate person who can make decisions with the skills and knowledge on the ground.	Services with 24hr response - contact should always be through established arrangements - not to individuals - relying on individual contacts more likely to impede and not enhance response - eg leave, change of roles, assigned to other events etc. Item closed – to be transferred to Appendix B.	NRF Chair	
23	<b>Task 7.</b> Effective management of the multi-agency response to improve consistency of delivery across the County to ensure we retain the confidence of Norfolk communities.	<b>7.2</b> Explore the creation of Community Resilience Team at Parish Council level able to respond to flooding events.	Being considered by NRF, NFRS and NALC. To be assisted and enabled by increased situational awareness from data embedded in Norfolk Prepared website.  Norfolk ALC is already doing work in this area to gather names into a 'register'.  Learn from and make links with any COVID support groups set up at county, district or Parish level.	NRF Chair  CFO, NFRS  NALC	

24		<b>7.3</b> Explore potential roles for the NRF and local resilience planners in advising, preparing and supporting mitigation measures (such as education).	Being considered by NRF. Will require identification of risks specific to geographical location. NRF assessing options for education/training of community champions. Norfolk Prepared to be used as a platform to inform public on pre-emptive actions that can improve their resilience to local risks.	NRF Strategic Support Officer	
25		<b>7.4</b> Consider how the NCC Resilience Hub might lead in the setting up of initial coordination function of flooding events (what resources are required to enable this?)	NRF assessing options for an improved cascade call system for setting up initial response groups. Confirmation of Local Coordination Group (LCG) roles and responsibilities being amended in Norfolk Emergency Response Guidance (NERG).	NRF Chair	
26		<b>7.5</b> Consider how regular exercise events might be used to prove and improve NSFA functionality and effectiveness through the use of a series of testing scenarios involving coastal and inland flooding events (and explore how these might mitigate drought risks).	<p>Training and assessment exercises are a key indicator of progress and to drive learning and development.</p> <p>A NSFA Flood exercise planning meeting will take place on 8 Jul (details to follow) to determine scope and objective for the NSFA autumn exercise. It will also explore options for the Norfolk contribution for the National Flood exercise in Oct 22.</p> <p>An exercise is being developed by NRF's multi-agency fusion group (MAFG) that will test our response to inland and coastal flood challenges. Expected to be delivered 26-28 Oct 21.</p>	NRF Chair	

27		<p><b>7.6</b> Ensure the Current Shoreline Management Plans for the County are referenced in relation to the strategic flood ( and erosion) management on the coast. Can be accessed via <a href="https://eur02.safelinks.protection.outlook.com/">https://eur02.safelinks.protection.outlook.com/</a></p>	<p>CPE will be developing this further with EA and our coastal partners and communities through the SMP action plans and via our IRF bid.</p> <p>An education campaign about climate change and SL rise at a regional/county level would help all RMA's in the discussions we have to have with communities.</p>		
28	<p><b>Task 8.</b> Improving the oversight of and managing delivery of riparian responsibilities.</p>	<p><b>8.1</b> An education campaign to educate landowners and homeowners in terms of their responsibilities around keeping ditches and culverts cleared.</p>	<p>The EA are considering developing some guidance on this nationally but some local guidance could perhaps be developed more quickly with a Parish Council as a test area and involving local engagement from riparian owners about what support, knowledge, H&amp;S considerations and equipment a riparian owner needs.</p> <p>Cambridgeshire County Council are developing riparian guidance asap on this so perhaps you could collaborate with them for efficiency and speed?</p> <p>Charles Krolik-Root is the lead on this at CCC.</p>	NCC as LLFA	
29		<p><b>8.2</b> Explore the practicalities and benefits of a single lead organisation for managing all watercourses in the County. How would this be resourced and what authorities would it require (how might these impact on the statutory obligations of other NSFA elements)?</p>			
30		<p><b>8.3</b> The NSFA partners will review existing responsibilities of the EA, LLFA, Broads Authority and IDBs across the County to assess if there is a better balance of those responsibilities in managing and maintaining</p>			



		the County's watercourses alongside riparian owners, and to look at mechanisms for achieving that, including new legislation.			
31	<b>Task 9.</b> Improve understanding of the policy framework across all NSFA members and improve the consistency of its delivery across the County of Norfolk	<b>9.1</b> Need to better understand EA's policy around river dredging and whether this is being undertaken.	<p>EA provides their current policy position:</p> <p>Dredging means removing accumulated material in waterways, such as gravel or soil (often referred to as silt). Dredging in certain locations may improve land drainage by lowering the river level to allow water to flow from the land or from drains, however it may sometimes cause unintentional flooding downstream. Dredging may also be ineffective in reducing flooding, as the natural processes in many rivers can cause silt to build up again quickly. Dredging may also damage wildlife and ecosystems in certain areas. In extreme flooding events, the small increases in width and depth achieved by dredging a waterway do not provide enough capacity to contain the excess flood water. This means dredging is not always the best solution to managing flood risk, and we may suggest other measures instead. When the EA dredges they focus work on locations where the risk of flooding, economic loss and risk to life are the greatest. They may dredge an area if there is evidence that:</p> <ul style="list-style-type: none"> <li>dredging will reduce flood risk to local properties will not increase flooding downstream it is affordable to do so (disposal of silt may be expensive).</li> </ul>	All	Item closed. Will be transferred to the record of completed actions in Jul 21.

			<ul style="list-style-type: none"> <li>it is compatible with restrictions around protected species.</li> </ul>		
32		<b>9.2</b> Need to better understand the Declassification of Infrastructure Programme being undertaken by Anglian Water.	Anglian Water does not have a declassification programme, but they will review assets that are incorrectly classified when they are made aware. Anglian Water to lead this work and communicate it comprehensively with the NSFA.	Anglian Water	

**APPENDIX B – RECORD OF ACHIEVEMENTS**

<b>SER</b>	<b>ACTION</b>	<b>OUTCOME</b>	<b>ACHIEVED</b>
1	Consider the need for a single, centralised flood line number that provides a mechanism through which flooding can be reported, specific triage advice can be provided and generic flood prevention and resilience guidance can be sought.	Single flood line number in place to provide 24/7 hub for flood advice and support. Flyer produced that covers advice and provides details on organisational flood roles and responsibilities. Flyer will be distributed to all properties and business and properties across Norfolk by the end of May 21	27 May 21
2	Production of clear comms tools (leaflet/website) for householders and businesses with emergency contact numbers.	Flyer produced by the NRF (MAFG) and NCC Comms that has been distributed to all addresses across the County. This flyer provided details on the single flood line number, the roles and responsibilities of various agencies and authorities and provided link to other advisory / resilience websites.	27 May 21
3	Develop a prioritised list of flood work that can be used to galvanise a collaborative approach to complex flooding sites	First tranche comprises a list of 16 flood sites that have been identified as complex and requiring multi agency involvement to resolve. Outline costed solutions will be worked up, with a lead agency for each site. These solutions can then be delivered when the necessary funding has been secured.	

**APPENDIX C – NSFA MEMBERSHIP**

<b>SER</b>	<b>ORGANISATION</b>
1	NSFA Executive
2	NSFA Executive
3	NSFA Executive
4	NCC / LLFA
5	NCC / LLFA
6	NCC / LLFA
7	NCC / LLFA
8	NCC / LLFA
9	Inland Flooding Group
10	Coastal Flooding Group
11	Breckland District Council
12	Breckland District Council
13	Broadlands District Council
14	Borough of Gt Yarmouth Council
15	Borough of Kings Lynn & West Norfolk Council
16	Borough of Kings Lynn & West Norfolk Council
17	North Norfolk District Council
18	North Norfolk District Council
19	Norwich City Council
20	Norwich City Council
21	South Norfolk District Council
22	Anglian (Great Ouse) Regional Flood and Coastal Committee (ARFCC)
23	Anglian Eastern Regional Flood and Coastal Committee (AERFCC)
24	Association of Drainage Authorities (ADA)
25	Anglia Water (AW)
26	Broads Authority (BA)
27	Coastal Partnership East (CPE)
28	Environment Agency (EA)
29	Highways Agency (HA)
30	National Farmers Union (NFU)
31	Norfolk Resilience Forum (NRF)
32	Norfolk Association of Local Councils (NALC)
33	Water Resources East (WRE)
34	Water Management Alliance (WMA)

## Appendix B: Norfolk Strategic Flooding Alliance- First tranche of sites to be taken forward

### Updates for July 2021 Board Meeting

Location	Issue	Lead	Key support organisations	Progress in previous period	Plans for next period	Project cost estimate	Funding source
Burgh Road / Beccles Road, Gorleston	Since 2014 we have received 32 reports of flooding at this location, that involve 18 properties of which 9 report internal flooding. Anecdotal reports of flooding go back to at least 2007. Flooding occurs when the sewer systems are overloaded by heavy rainfall. Parts of Beccles Road act as a conveyance for the water. The area is also subject to high groundwater and flooding from the ditch network. Potential schemes have been assessed by Anglian Water and NCC, but no major works have been carried out due to the	AW	NCC LLFA	<p>The scheme has taken several years to design and plan.</p> <p>We are currently finalising plans for a £4.1 million scheme to enhance their sewer network around Burgh Road and Beccles Road in Gorleston.</p> <p>This work is aimed specifically at reducing flood risk for the local community and will include substantial new sewers, a pumping station, sewer diversions and improvements to the existing network.</p>	<p>The works are currently planned for September 2021 to May 2022 (avoiding the summer season to help with the recovery post Covid).</p> <p>(Further discussion between NCC &amp; AW to confirm size and timing of NCC contribution to enable an enhanced</p>	£4.1m plus NCC funding tbc	AW  (NCC Highways Capital programme +/- or NCC Flood Reserve)

	cost and limited impact of the proposed solutions.			<p>We are working with Norfolk Highways and the LLFA team to ensure any residual highway flooding can also be dealt with.</p> <p>(Norfolk CC met AW 5 July 2021. Have discussed the option to provide a contribution to allow additional road gullies to be added to any new/replacement system that AW builds. This will improve surface water drainage &amp; minimise disruption for local residents. AW determining cost of this. Once provided NCC to review and approve)</p>	surface water management system to be installed)		
Ferry Road, Horning	Longstanding issues of high-water levels, private road flooding and surface water ingress into foul sewers. The working group has looked at various options and is currently assessing the viability of	NCC LLFA	MPs working group / Parish Council	Draft NCC report looking at adaptation options to be reviewed before next MPs working group.	AW continuing to assess pump option	Not yet known	Not known

	installing a pumped solution.						
A1101 Welney Wash	The A road crossing the Ouse Washes (part of a flood defence system and a Site of Special Scientific Interest) regularly floods, resulting in closure of the road and 20-mile diversion for up to 1/3 of the year. Potential schemes have been considered over the last 30 years but not progressed due to cost and complexity.	NCC Highways	EA	<p>May 2021 – meeting held with Liz Truss MP, NCC &amp; EA etc. Options discussed including 2016 feasibility study.</p> <p>Following MP meeting, NCC have reviewed and updated feasibility study. Completed in July 2021. This included consideration of a new option (suggested by Cllr Dawson) for embankment construction. Seven options in total.</p>	<p>Agree date with Liz Truss MP to discuss findings of updated feasibility study (late summer).</p> <p>Agree the preferred option balancing cost, deliverability, environmental factors etc</p> <p>Develop costs in more detail and indicative delivery timescale</p> <p>Identify/agree funding</p> <p>.</p>	£4m to £58m+ depending on option and desired level of resilience	<p>TBC.</p> <p>Possible NCC / NSFA contribution, but given size of likely project, government support will be essential</p>
Necton	Extremely high groundwater levels caused issues for residents inc issues with septic tanks. Surface water infiltration into AW	NCC LLFA	Mid Norfolk Flood Partnership	Currently consulting stakeholders on draft Flood Investigation Report before publication.	Follow up site visit with Parish and AW after FIR publication.	Not yet known	Not known

	foul sewers causing flooding as well.				Identify and remove surface water infiltration into foul sewers		
Burnham Market & North/South Creake	Extremely high groundwater levels, field run off and watercourses over topped River Burn, caused issues for Anglian Water as water ingress into their system overwhelming their pumping stations, Highway flooded in various locations for several weeks causing structural damage to highway, many properties were flooded and/or facilities impacted.	NCC LLFA	AW / EA	<p>Burnham Market – IDB &amp; NCC Highways worked closely to run 2no. 6” pumps, 700m of pipe to outfall bypassing existing underground pipe, 24/7 for 4 weeks (in early 2021) to reduce water levels in village centre, to stop households/doctor’s surgery/businesses flooding. Roads in area were closed for several weeks. EA subsequently completed maintenance works and facilitated a flood plain area to be used to reduce River Burn water levels.</p> <p>Groundwater flood risk study proposal submitted to EA for future funding</p>	<p>Funding for Groundwater flood risk study</p>	£425k	Multiple but not confirmed:



					available in April 2022		EA, NCC, AW, District, Landowners will be contacted
Tunstead	Significant field run off and properties with surface water connections which both led to the foul sewer network becoming inundated. Parish Council are interested in working together to remove the surface water connections.	AW	Parish Council	<p>Investigation has taken place in conjunction with the local flood committee/Parish Council.</p> <p>Local landowners have been encouraged to do ditch clearance to stop field runoff which has been largely successful with a few outstanding.</p> <p>At least 2 private SW culverts have been identified as collapsed and assistance is required for repair and possibly LLFA advice.</p> <p>The sewer system has been inspected and work to repair some leaking sewers and seal manhole lids from pooling surface water is been promoted.</p>	Ditch clearance  Sewer system repair.	Between £10k and £50k	AW  local landowners

A140 Long Stratton	<p>The main issue affecting the A140 is a poorly maintained riparian owned ditch system behind the residential properties in the Western side of the A140. The Highway drainage system will not function properly until urgent routine maintenance work is carried out to the riparian owned ditch system, flooding is likely to occur on the A140, and could potentially threaten residential properties.</p>	NCC LLFA	Town Council / AW	<p>Flooding first occurred on 23/12/20 at The Street etc. Highways/LLFA&amp; NFRS attended. Flooding repeated in January &amp; March on The Street. Highways/LLFA/NFRS/AW worked together to resolve flooding from riparian owned ditch.</p> <p>Further works undertaken by NCC to repair damaged (by a utility) surface water drain.</p> <p>Currently consulting stakeholders on draft Flood Investigation Report before publication.</p> <p>Working with NCC Major Projects on flood mitigation measures in the Strategic Urban Extension area.</p> <p>Submitted Flood Risk Study proposal to EA for funding</p>	<p>EA funding for Flood Risk Study will be available in April 2022</p> <p>Riparian ditch owner to continue to be encouraged to undertake essential maintenance works</p>	£400k	Multiple but not confirmed: EA, NCC, AW, District, Landowners will be contacted
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Norwich Road, Strumpshaw	Huntsman PH – frequent highway flooding and foul sewer surcharging onto Norwich Road due to capacity issues in both systems. Combined NCC/Anglian Water solution currently being developed following feasibility study	NCC Highways	AW EA	<p>AW/NCC continuing work to identify causes of surface water infiltration into foul sewer. This involves sealing manhole covers, cleansing and repairs (Multiple tanker visits to remove floodwater since January 2021, cleansing of local ditches, pipe systems, gullies and soakaways since May). Further NCC work planned on Post Office Road to reduce inflows in August / September 2021.</p> <p>Once surface water infiltration of foul system minimised and forward flow from upstream pumping stations reduced, AW will progress Phase 2 comprising installation of a real time control/smart network to balances flows in the catchment. This to be completed by April 2022, and should allow EA to agree in principle the NCC scheme to capture</p>	<p>NCC to complete works on Post Office Road in August / September 2021.</p> <p>AW investigation on property level infiltration points due to complete end of the summer 2021.</p> <p>NCC scheme detailed design continuing and land purchase negotiations commencing in August 2021.</p>	<p>NCC scheme: £600k</p> <p>AW scheme: £180k max</p>	<p>AW and NCC to fully fund their respective schemes.</p> <p>NCC funding is from NCC Highways Capital programme +/-or NCC Flood Reserve</p>
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				<p>highways run-off from Norwich Road through infiltration basins.</p> <p>The NCC scheme depends on securing land. Current plans (subject to completing land negotiations) would see scheme implemented by Summer 2022.</p>			
Gayton	Extremely high groundwater levels caused issues for Anglian Water as water ingress into their system overwhelming their sewers and pumping station.	AW	NCC LLFA	<p>Ground investigation is largely done and the work is being written up and promoted for sewer rehab and manhole sealing.</p> <p>Some further work still needs to be completed on the ditch network and the interaction with local field runoff.</p>		Approx. £40k	AW  Local landowners
Watton / Saham Toney	In June 2016, Watton experienced wide scale surface water flooding due to an intense rainfall event. 72 properties were flooded internally in the catchment, principally in Saham Toney, Watton	NCC LLFA	AW Town / Parish Councils	<p>Localised surface water system maintenance, repairs, and minor improvements funded and completed by NCC Highways teams.</p> <p>Currently progressing Flood Risk Study in</p>	Working with local stakeholders in Saham Toney to locate and design Natural Flood Management features. We will submit a funding	£730k	Multiple but not all confirmed: EA, NCC, AW, District, Landowners will be contacted

	Green and along Brandon and Saham Roads in Watton. Repeat flooding was experienced in August 2020.			Watton to identify mitigation options.	bid for implementation work in Autumn 2021		
Mattishall	Ongoing surface water flooding issues which led to widespread external flooding and inundation of the sewer network. This is an opportunity for partnership funded and parish solution to reduce surface water entering the foul network.	NCC LLFA	AW Parish Council	Currently consulting stakeholders on draft Flood Investigation Report before publication.  Follow up site visit with Parish and AW after FIR publication	Follow up site visit with Parish and AW after FIR publication  AW survey work to start on the 20 <sup>th</sup> of July	AW £1k approx.	AW
A143 Redenhall	Flood water capacity under existing bridge. Recent storms led to property flooding upstream of bridge. River and surrounding ditch network is within the Waveney, Lower Yare and Lothingland IDB area.	NCC Highways	EA / IDB	The NCC Bridges team have recently carried out urgent repairs to the damaged bridge on the A143. Funded by the NCC Highways Capital Programme.  Currently consulting stakeholders on draft Flood Investigation Report before publication.	To engage WSP (via NCC) to assess flow capacity of the A143 bridge in relation to upstream and downstream structures and to develop costed solutions that will form the basis of any necessary	TBC although a new bridge would be £10m-£15m+	Not yet known

					future funding bids.		
Yaxham	Field runoff issues. AW happy to lead due to the relationship with Victory Housing	AW	NCC LLFA	<p>Investigation done. Ditch at the side of St Peters Close has been identified as a contributing factor to the flooding. We are currently awaiting clearance of this ditch by the landowner. Pumping station upgrades have been completed, including new pumps and valves and an inhibit to balance pumped flows within the sewer network.</p> <p>The sewer network has been surveyed and found to be structurally sound. Some leakage of SW through manholes has been identified and has been promoted for sealing.</p>		£10k +	AW  Local landowners
Kenninghall	Most flooding to properties caused by beck bursting its banks. Bottleneck caused through sheer volume of water and lack of maintenance to the	NCC LLFA	Parish Council	Localised surface water system maintenance, repairs, and minor improvements funded and completed by NCC Highways teams.	Funding for NFM scheme available in April 2022, but in year opportunities will be sought	£130k	Multiple but not confirmed: EA, NCC, District, Landowners

	watercourse. Many properties suffered internal flooding. Stakeholders involvement include Local Member, parish council, residents.			Currently consulting stakeholders on draft Flood Investigation Report before publication.  Submitted Natural Flood Management scheme proposal to EA for funding			will be contacted
Cranworth	Surface water flooding issue which led to inundation of the sewer network. Opportunity for partnership funded solution.	AW		Small area served by a small Water Recycling Centre. It was found that the ditch had got so high it was running back into the water recycling centre and inundating the sewer network.  A bung was fitted and flows, with tanker assistance, were brought back under control.  Some landowner ditch clearance required.		Max £10k	AW  Local Landowners
Newport Road / Yarmouth Road, Hemsby	Since 2014 the village has recorded 40 instances of surface water and foul flooding, of which 30 have been internal to property. The	NCC LLFA	AW	A feasibility study identified no cost-effective solutions and there was little landowner appetite for Natural Flood Management measures.	To engage WSP to review previous feasibility study and to develop costed solution	Not yet known	Multiple but not confirmed: EA, NCC, AW, District,

	village also suffered from flooding in 2006 and has been hit by coastal erosion particularly in 2013.			However, this village may be considered in our Innovation Resilience Fund project.	that will form the basis of any necessary future funding bids		Landowners will be contacted
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<b>Appendix C- NCC Flood Reserve Fund Allocation</b>	
	<b>2021/22</b>
<b>Budget</b>	<b>£ 1,500,000</b>
<b>Description</b>	
Additional resources for NCC, Norfolk Fire & Rescue Service, Support for Norfolk Strategic Flood Alliance work and staff for NALC	£ 288,879
Produce, issue and maintain a shared surface water flood risk mapping resource and asset register. Provide districts with access to the LLFA's GIS system	£ 35,492
One Number for Norfolk	£ 75,000
Leaflet production, publication and distribution	£ 40,629
	<b>£ 440,000</b>
<b>Improved Maintenance</b>	
Additional Highway Routine Maintenance Works - North	£ 190,000
Additional Highway Routine Maintenance Works - South	£ 190,000
Additional Highway Routine Maintenance Works - West	£ 110,000
Additional Highway Routine Maintenance Works - City	£ 80,000
Additional NCC-owned ditch maintenance - West	£ 125,000
	<b>£ 695,000</b>
<b>Drainage Asset Improvements</b>	
New drainage improvement feasibility studies (£20k each)	£ 40,000
Match funding for NSFA priority schemes	£ 150,000
Match funding for external funding bids	£ 135,000
New NCC Capital Drainage schemes & Digital Innovation	£ 40,000
	<b>£ 365,000</b>
<b>Total:</b>	<b>£ 1,500,000</b>

# Cabinet

Item No: 13

<b>Report title:</b>	<b>Corporately Significant Vital Signs</b>
<b>Date of meeting:</b>	<b>6 September 2021</b>
<b>Responsible Cabinet Member</b>	<b>Cllr FitzPatrick, Cabinet Member for Innovation, Transformation and Performance</b>
<b>Responsible Director:</b>	<b>Paul Cracknell, Executive Director of Strategy &amp; Transformation</b>
<b>Is this a key decision?</b>	<b>No</b>

## Executive Summary/Introduction from Cabinet Member

The purpose of this new style of report is to provide the Cabinet with an update on the Council's performance towards achieving its strategic outcomes set out in Together, For Norfolk.

Each quarterly performance report provides the opportunity to review current performance, validate the actions being taken to address performance deviation and identify further opportunities for improvement.


Norfolk County Council sets itself ambitious targets which can often exceed those required nationally. However, this can result in the impact of events such as Covid-19 having a correspondingly greater apparent impact.

This paper outlines the actual performance of the Council against its targeted performance for quarter one of 2021/22. The quarter one performance report spans a period in which further restrictions were imposed during the Covid-19 pandemic and which has influenced some of the performance results.

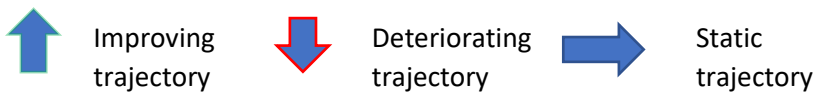
As part of the refresh of our Corporately Significant Vital Signs, the 2021/22 quarter one report, is presented in the previously agreed new format alongside the new digital reporting dashboards. The report utilises the Corporately Significant Vital Signs that underpin portfolio outcomes using a traffic light visual rating.

## A Performance Summary

Performance is now measured using Red, Amber and Green (RAG) ratings based on the current level of performance against target. The table below shows the proportion of corporately significant vital signs at each RAG rating at the end of quarter One. The ratings continue to be affected by Covid-19 restrictions.

	<b>Totals</b>
<b>Green</b>	25 vital signs met or exceeded the target. (16 last quarter +9)
<b>Amber</b>	4 vital signs are within the accepted tolerance of the set target (as last quarter)
<b>Red</b>	14 vital signs are below or behind the target set. (9 last quarter +5)

In the review of performance, in addition to the “RAG” ratings, arrows as follows are used to define the trajectory of performance against target. –



### Cabinet are asked to:

1. Review and comment on the end of quarter performance data.
2. Review the considerations and next steps.
3. Agree the planned actions as set out.

## 1. Background and Purpose

- 1.1 Vital signs provide measurements of operational processes (internal) and strategic outcomes (external). Poor performance represents a risk to the organisation in terms of our ability to meet legal responsibilities, maintain financial health and meet the needs of our citizens.
- 1.2 The Corporately Significant Vital Signs are closely aligned to the four principles underpinning our Council Plan - Together, For Norfolk:
  - Offering our help early to **prevent and reduce** demand for specialist services
  - **Joining up** our work so that similar activities and services are easily accessible, **done well and done once**
  - Being **business-like** and making best use of **digital technology** to ensure value for money
  - Using evidence and data to **target our work** where it can make the most difference.
- 1.3 The ambitious targets which have been set, can often exceed those required nationally. As such, events such as Covid-19 have a greater apparent impact.
- 1.4 Each vital sign has a target which has been set based on the performance required for us to work within a balanced budget and meet statutory requirements. Where the measure relates to the delivery of services, benchmarking data has also been used to assess our performance against that of our statistical neighbours.
- 1.5 **COVID-19 and Corporately Significant Vital Signs**
- 1.6 COVID-19 has had a significant impact on our residents, communities, businesses and council operations. Service demands have changed, resulting in a temporary shift in priorities. With the ongoing of COVID-19 restrictions, some performance deviates from expected plans and trajectories.
- 1.7 We have seen an ongoing impact of COVID-19 on several of our Corporately Significant Vital Signs for example, within Adult Social Services, the % of Learning Disability service

users who are in employment is 4.48% against a target of 5.9% due to the availability of employment opportunities and the number of service users shielding.

- 1.8 We've seen the Rate of Looked After Children increase again above target this quarter, from 1086 to 1090 children looked after. Delays due to Court capacity have impacted and increased the ongoing number of children classified as Looked After Children adversely and has affected the timescale for completing adoption hearings and in scheduling final hearings. Although this is not meeting the target, we have seen improvement in this area already, and are now performing significantly better than national average which is benchmarked at 67 per 10,000 children.
- 1.9 When looking at the impact of COVID-19 on our workforce indicators we can see sickness absence remains below the target indicator at 3% against the target of 3.5%. COVID-19 has also led to stability within our workforce with a consistent retention rate over 24 months of 67% against the target set of 70%. The above should both be viewed with caution and may not be reflected in future trends.
- 1.10 We anticipate that we will continue to see the effects of COVID-19 on our results in the next quarter performance report. Although, performance for 2021/22 will account for this where possible, through adjusted targets and the agreed set of vital signs.




## 2. Introduction

- 2.1 This report uses data from the recently completed quarter, during which lockdown measures in England were eased following a further extension.
- 2.2 As such, national measures have impacted Norfolk during this time. However, as can be seen from the report, there has been some significant success during this time, with performance plans in place to address areas of concern, which will see improvements in the forthcoming quarters.
- 2.3 In addition, NCC has been shortlisted in a number of categories in the 2021 Local Government Awards, these celebrate excellence in local government and recognise outstanding practice.

## 3. Highlights for the quarter (shows the total of indicators RAG by portfolio)

- 3.1 Throughout this report, the Red, Amber, Green "RAG" traffic light system of reporting is used, whereby red indicates below target and a potential cause for concern, however, although below target this measure could be an improving trajectory. Amber is close to target, but dependant on the trajectory trend, may become a cause for concern and green positively indicates on or above target.




### Adult Social Services

Total			
6	5	0	1

Key strengths:

- **85.13% of Reablement cases where the outcome is recorded as not requiring any ongoing social care support (target 68%)**

### Children's Services




Total			
6	1	1	4

Key strengths:

- **10.1% of family support referrals who have had a**

referral in the last twelve months (Target 15%)




#### Community and Environmental Services

Total			
13	4	0	9

Key strengths:

- 99% % of planning applications determined within statutory or agreed timescales. (target 90.00%)
- 82% % of emergency response within 10 minutes to fire incidents where life may be at risk. (target 80.00%)
- 41% of learning delivered to the most deprived wards in Norfolk. (target 40.00%)




#### Finance and Commercial Services

Total			
7	1	0	6

Key strengths:

- Property Savings delivered £162,500
- 98.5% of invoices paid within 30 days (target 85%)
- FES debt recovery 89% (85%)









#### Strategy and Transformation


Total			
11	3	3	5

Data subject to clarification moving forward.

## 4. Vital Signs overview by portfolio outcome

### 4.1 Adults Services

Adult Services				TARGET	TRACKER
% of providers judged good or outstanding by Care Quality Commission	73.4%			78%	
% of Learning Disability service users who are in employment	4.48%			5.9%	
% of Mental Health service users who are in employment	2.4%			5%	
% of Reablement cases where the outcome is recorded as not requiring any ongoing social care support			85.13%	68%	
Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years)	24.15%			16.9%	

Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years)	611.23			551.1	
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Five of the six performance measures are below target and “red” flagged. These are as follows, and with the following plans in place for corrective action. At least two of these will be the economic effects of the pandemic and lockdown measures of the past 18 months. Therefore, these performance measures and results need to be monitored against the next quarter information, now measures are lifted, and the effects felt, to ensure that the results are improving.

**101: % of providers judged good or outstanding by Care Quality Commission. Target 78%. Current performance 73.4% with a deteriorating trajectory.**

Norfolk has had a historically lower proportion of care homes rated as good and or outstanding and there are many elements that contribute to this and actions to see improvement will take time. The Norfolk care market is challenged due to lack of choice for enhanced and specialised care in particular, which can limit options for both individuals and commissioners to use good and outstanding provision as a matter of course. Workforce issues including staff shortages, lack of staff retention, and lower level of skills and qualifications are a factor for quality provision and can also prevent more providers expanding their offer to meet more complex needs. An enhanced quality assurance team had been put in place to complement the CQC programme of work and support quality improvement. During 2020-21 the team has been supporting providers through the pandemic, including outbreak management support, this has delayed the planned quality assurance programme of work.

Onsite quality assurance audits recommenced April 2021 and the team has been further strengthened to enable some catch up of work delayed during 2021-22. 24 onsite audits had been completed by the end of June. A review of contract management has identified improvement areas, including the need for a technology solution to support contract management across the £340m annual NCC spend with the adult care market and proactive and timely performance management discussions. The Developing Skills in Health and Social Care ESF project commenced training in January and this will help encourage and support wider skills and qualifications across the adult social care workforce. The Norfolk and Waveney Adult Social Care Workforce Strategy has been published and a three-year implementation plan is being actioned.

**102: % of Learning Disability service users who are in employment. Target 5.9%. Current performance 4.48% with an improving trajectory.**

Covid-19 has impacted on the availability of employment opportunities and the number of service users shielding. Also, as there has been an increase in the overall Adult Social Services cohort of people with learning disabilities, this impacts on the percentage employment figures. Norfolk Employment Service (NES) were working at reduced capacity throughout Covid-19. The team were only undertaking one day per week on employment work, now increased to two days per week. There was also a delay in roll out of the new day service “Life Opportunities Pathway” model due to Covid-19 with a pilot originally scheduled for 2020, which will now take place in 2021, prior to formally introducing the model.

There will be a return to NES working full time on employment from August 2021. Norfolk Employment Service and Skills Employment Team managers will closely monitor employment performance data for Learning Disabilities (paid and voluntary and geographical spread) against targets on a monthly basis and put in place remedial actions where necessary and NES staff have individual targets to increase employment outcomes and regular caseload monitoring meetings in place to maximise outcomes.

There is a wide range of partnership development activities in place/planned to include, working with the Chances for Work scheme, Dept of Work and Pensions, the Kickstart initiative, Shaw Trust and the Apprenticeships programme.

The Skills Employment Team (SET) is actively working to increase the number of employer contacts and opportunities generated over the next year to enable the overall employment target to be achieved and is promoting the Norfolk Employment Service resource database across Adult Social Services. This gives information on the range of services across Norfolk and nationally that are available to help with employment related issues. This is now available on Mynet.

In order to improve this key performance area, the Skills Employment Team are working with employers to generate vacancies, promoting the Disability Confident scheme, Access to Work and finding work placements for referrals from both Norfolk Employment Service and day services. As well as developing and promoting the Skills Employment Team employer resource web page to potential employers. The Skills Employment Team is currently looking at replicating the Inside Business virtual work experience programme developed by Children's Services for day services/Adult Social services users, as well as working with Adult Learning to put on bespoke employability courses.

Norfolk Employment Service is developing closer links with the local Preparing for Adult Life and Learning disability teams to ensure appropriate referrals and promote the employment pathway. The Preparing for Adult Life team and Employment Service Manager are supporting activities around increasing employment pathways as part of the Special Educational Needs and Disability, Written Statement of Action and Special Educational Needs and Disability Strategy. There is ongoing utilisation of the new employment data dashboard with a further version planned which also reports on Norfolk Employment Service specific data.

**106: % of Mental Health service users who are in employment. Target 5%. Current performance 2.4%. Deteriorating trajectory.**

The impact of Covid-19 has impacted on the availability of employment opportunities and number of service users shielding. Also as there has been an increase in the overall Adult Social Services cohort of people with mental health issues, this impacts on the percentage employment figures. A further impact on the mental health of those in this cohort is due to the pressures and related constraints of the pandemic.

Norfolk Employment Service (NES) were working at reduced capacity throughout Covid-19. The team were only undertaking one day per week on employment work, now increased to two days per week. There was also a delay in roll out of the new day service "Life Opportunities Pathway" model due to Covid-19 with a pilot originally scheduled for 2020, which will now take place in 2021 prior to formally introducing the model.

The action plan and corrective action is as the previous performance measure.

**203: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (18-64 years) Target 16.9. Current performance 24.15. Deteriorating trajectory.**

Historic admissions to residential care for people aged 18-64 were very high in Norfolk at nearly three times the national family group average. Our priority focus has been to transform services for people with learning disabilities. This should see fewer people with learning disabilities in permanent residential and nursing care, because of wider choices of accommodation.

Analysis shows that there has historically been a 'data lag' for this indicator, meaning that some admissions do not make it onto our system immediately, artificially reducing the rate for most recent months. However, work with practitioners has improved data compliance to give improved reporting.

Analysis of choices for younger people with disabilities highlighted shortcomings in options for people, with a lack of 'step-down' or step-up facilities for people as an alternative to permanent accommodation. In response, we have developed three accommodation-based enablement schemes and we will be increasing housing and independent living options for younger adults.

Approximately 120-150 very accessible housing units are needed over the next five to ten years across the county, with particular pressure in the East and West of the county

The reporting period here is pre-COVID-19, following which fewer people we support have been able to change their accommodation, but work continues to develop alternatives to residential accommodation and there has been a reduction in people with learning disabilities in residential accommodation

The new Preparing for Adult Life Service which works across adults, children's, education and health to support and improve transitions between children's and adults' services has been operational for a year, with early indications showing positive outcomes.

Development of two further accommodation-based enablement schemes in Learning Disability services is in progress. Carrying out an options appraisal to inform the recommissioning of our shared lives provision which will result in an increased capacity of the service.

Actions to increase the take up of direct payments so more people can manage and arrange their own bespoke care. Development of a three-year accommodation plan that identifies that 181 unit need to be developed across the working age adult's cohort.

Agreement of a capital development programme for working age adults, with a funding resource of up to £18m agreed by NCC. We also recruited a team of reviewers to review residential settings to ensure that they are of high quality, meet the needs of residents and deliver great outcomes.

Review of the use of Housing with Care within Learning Disability and Mental Health to ensure accessibility to these schemes. LD have a focused project to review all Out of County Placements to ensure they continue to be appropriate and support outcomes for individuals.

**204: Decreasing the rate of admissions of people to residential and nursing care per 100,000 population (65+ years) Target 551.1. Current performance 611.23. Deteriorating trajectory.**

Historically admissions to residential care have been higher than Norfolk's statistical National family group average. However, over the past three years significant improvement has seen the rate of admissions in Norfolk decreased to the point that, recent benchmarking data shows that Norfolk's rates of admission for older people are now just below the England average and 'family group' average.

In the last year reductions have been driven by a focus on preventing older people requiring permanent residential care. Whereas people would previously often be admitted to residential care indefinitely (or "permanently"), there has been a much greater focus on reablement and rehabilitation. This has seen a positive reduction in the rate of permanent admissions, as overall numbers of people in long term residential care has reduced slightly in the last year. As overall numbers of people aged 65+ within all residential care settings has not reduced by the same amount, it is likely that reductions in permanent admissions are offset by increases in short-term placements, which has resulted in a deteriorating position against the current target.

Analysis of the impact of COVID to date highlights that Adult Social Services is supporting more people than anticipated. However, further work needs to happen to understand if this will have a significant impact on the rate of permanent admissions. The most recent wave has seen increasing pressure on hospitals, and on social care teams to support smooth flow.













Additional short-term beds have been commissioned to support this, as a result we have seen an increase in short-term placements and more of these converting to long term placements than pre-Covid-19.

In order to work towards a greater number of people to remain in their own homes and move towards meeting the target, commissioning activity in line with the agreed plan to focus on effective interventions such as reablement, sustainable domiciliary care provision, crisis management and extra care accommodation is underway. Adult Social Services are following up with people who were discharged from hospital between March and September to ensure their needs are reviewed and their care plans are robust.

Adult Social Services are reviewing with NHS partners, how out of hospital services are best organised, ensuring a balance between reablement, rehabilitation, and other community-based support. Alongside this there is a review of the short term out of hospital offer, to encompass the provision of flexible short-term beds, reablement and domiciliary care to support the home first model and reduce reliance on permanent bedded facilities.

Daily activity reporting is available to track discharges from hospitals, with a systematic approach underway to review people already discharged. There is a focus on assessing and reviewing people in the community – rather than in hospital – to support maximum return to independent living. Reablement activity is returning closer to pre-COVID levels which will contribute to enabling people to return to live in their homes. This will see a move to the performance more aligned to the target.

## 4.2 Children's Services

Children's services				TARGET	TRACKER
% of schools judged good or outstanding by OFSTED		83%		86%	
% of Care Leavers who are EET (19 - 21)			53%	52%	
% of family support referrals who have had a referral in the previous 12 months			10.1%	15%	
Decreasing the rate of Looked-After Children per 10,000 of the overall 0-17 population	63.5			60	
% of Referrals into social care who have had a referral to social care in the previous 12 months			19%	20%	
% of children starting a Child Protection Plan who have previously been subject to a Child Protection Plan (in the last 2 years)			11%	11%	
% of Looked After Children with up to date Personal Education Plan		96%		100%	

Of the seven performance measures, two are “amber” and one measure is “red” These are as below, with the appropriate plan in place.

**301: % of schools judged good or outstanding by OFSTED. Target 86%. Current performance 83% (Amber warning) Static trajectory.**

Government policy is that inadequate schools are sponsored as an academy and is given a fresh start as a new school. The new sponsored academy is not inspected until its third year of opening. Eighteen academies are awaiting that first inspection but are statistically counted as inadequate (8) or requiring improvement (10) schools. Seven academies have Serious Weaknesses, meaning while they are inadequate leadership and management is not.

There are no schools in Norfolk in Special Measures. Forty-four schools are currently judged as Requires Improvement, including nine local authority-maintained schools.

Ofsted paused graded inspection activity from April 2020 due to the Covid-19 pandemic until June 2021. The proportion of schools in Norfolk judged Good or Outstanding had been on an upward trajectory for many years and the restart of inspection has been positive. We are not in control of the timescale for this measure reaching the national average, but within two years all inspections will have taken place for this to make this possible.

We will continue and build on our pre-pandemic strategies, with a strong offer of support for schools and Multi Academy Trusts. There is proactive work with Local Authority maintained schools through the early identification of concerns through support and intervention. Monitoring and challenge to Multi Academy Trusts with support for the development of strong Multi Academy Trusts and other partnerships. Issues are raised with the Regional School's Commissioner where appropriate.

**317: % of Looked After Children with up to date Personal Education Plan. Target 100%. Current Performance 96%. (amber) Static trajectory.**

There is currently no action plan in place for this performance indicator. The Current performance has increased by 3% closer to target in this quarter due to an increase in April, although this shows as a static position due to the average increase over the quarter.

**309: "Decreasing the rate of Looked-After Children per 10,000 of the overall 0-17 population". Target 60.00. Current performance 63.5. Deteriorating trajectory.**

There has been an increase in the quarter from 1086 to 1090 Children Looked After, the overall rate has shown a slight increase by 0.2. There has been a decrease in the quarter of admissions to care including the number of unaccompanied asylum seeker children being accommodated. The number of children and young people ceasing to be Looked After has increased in the quarter.

Covid-19 has reduced our ability to provide intensive interventions to support children safely at home. Delays due to Court capacity has also impacted on the Looked after Children number due to delay in completing adoption hearings and long delays in scheduling final hearings. Although this is not meeting our target, we have seen improvement in this area already, and we are now performing significantly better than national average (67%)

We still have an ambitious target of reaching 60% and we are making steady progress in this respect, however we are again supporting the National need for unaccompanied asylum seeker children beds and this will impact on our Children Looked After % as a whole.

Meeting with the Local Families Justice Board Lead Judge to explore Court performance further, this is particularly relevant to children with a plan of adoption, where we are seeking to discharge a Care Order or where we are seeking a family placement for a child who is currently classed as "Children Looked After" July 2021















The Support for Success Service programme is now embedding, with performance data collection to begin in Sept 2021. This will give a greater understanding of the efficacy of return homework

and the number of long-term Looked After Children being supported through Family Networking and Support for Success Practitioners to return to their family

Ongoing work to is continuing to implement/embed “New Roads” to prevent “Children Looked After starts and improve the return home for young people facing family relationship breakdowns.

There will be a monitoring/review of the new Crisis Response service to ensure sufficient edge of care crisis support is available to prevent unnecessary new accommodation.

### 4.3 Community and Environmental Services

Community and Environmental Services				TARGET	TRACKER
% of bus services on time			80%	75%	
% of planning applications determined within statutory or agreed timescales			99%	90%	
% of businesses brought to compliance			96.33%	90%	
% of emergency response within 10 minutes to fire incidents where life may be at risk (and 13 minutes to other incidents where life may be at risk)			82%	80%	
Number of museum visits			11931	2406	
Participation of Early Years Foundation Stage activity in libraries	11409			27944	
% of learning delivered to the most deprived wards in Norfolk			41%	40%	
% waste recycled at Recycling Centres	61.43%			70%	
% of highways capital programme funded by external sources			83%	80%	
% of defects dealt with within timescales			98.8%	92.5%	
Customer satisfaction (with council services)			90%	90%	

Of the thirteen performance measures, nine are currently on target and four are measured “red”. These areas and the associated responses and corrective measures are as below –

#### 205: % of high-risk fire safety audits completed. Target 100%.

Norfolk Fire and Rescue Service is currently providing a COVID-19 safe service, and face-to-face audits and visits are restricted to those premises where there is deemed to be an immediate risk. Performance reporting will resume at such time that face-to-face audits and visits can resume, following a NFRS COVID-19 Risk Review.

#### 207: % of high-risk home fire safety visits carried out.

Explanation as above.

**209: Participation of Early Years Foundation Stage activity in libraries. Target 27844. Current Performance 11409**

Covid-19 restrictions impacted due to library closures during period.

Early Years activity is being reintroduced into libraries on a phased return, with very limited capacity possible throughout May – July due to Covid-19 restrictions.

Bounce and Rhyme is now available in 22 libraries and will return to all libraries in due course. Baby weigh is back in all libraries from June 21. Online activity will remain in place.











**212 “% waste recycled at Recycling Centres” Target 70%. Current performance 61.43%. Improving trajectory.**

High monthly service tonnage with significant increase in green waste, wood and other recyclable materials. Residual waste was also high but proportionally lower than other materials. Continued increase in reuse performance, month on month.

Prepare for updating restrictions on vehicle numbers on site in July, continue to promote reuse activities. Prepare for site opening for Norwich North in September 2021.

Low performance in earlier months of the year will continue to impact throughout the year as the vital signs measure is cumulative.

#### 4.4 Finance and Commercial Services

Finance and Commercial Services				TARGET	TRACKER
Property - Savings target delivered			£162,500	£162,500	
Capital receipts for land sold, that will be counted as part of overall capital receipts	£816,150			£5,000,000	
Savings targets delivered			£41,719,000	£41,719,000	
FES - Debt recovery			89%	85%	
Payment performance - % of invoices paid within 30 days of receipt			98.5%	98%	
Level of borrowing / debt			£778,091,112	£855,401,000	
Reserves forecasts (Annual)			£83,717,000	£74,181,000	

Of the finance targets, the measures are –

Capital receipts for land sold, that will be counted as part of overall capital receipts calculation - Cumulative

Revenue monitoring by organisation calculation – Cumulative

FES - Debt recovery calculation – In-month

Payment performance - % of invoices paid within 30 days of receipt calculation – in-month

Level of borrowing / debt calculation – Cumulative











Capital monitoring - Profiled projected annual spend vs actual to date calculation – Cumulative

Only one measure is currently “red” flagged –

**401: “Capital receipts for land sold, that will be counted as part of overall capital receipts”**  
**Target £5,000,000.00. Current Performance £816,150.00. Improving trajectory.**

There is a timing variance in the disposal of the assets, whereby the plan is flat phased, but actual disposals will occur. These are 2 large land disposals planned for July 2021, which will address the performance variation to date.

## 4.5 Strategy and Transformation

Strategy and Transformation				TARGET	TRACKER
New employee retention (24+ months)		67%		70%	
% of employees with written and agreed goals	78%			95%	
Sickness absences - % lost time			3%	3.5%	
Adults Social Worker Vacancies - % establishment filled (Grade I – L)			93%	90%	
Employee Engagement - a 2-point improvement in our employer contribution score			66	64	n/a
Improvement in “My manager encourages me and my colleagues to be flexible about when and where we work and to use space and technology creatively.”		77		80	n/a
Improvement in “I am making Smarter Working work well for me and my customers”		77		80	n/a
Voluntary turnover rate			8.3%	10%	
Absence due to mental health as a % of all absence	37%			30%	
Employee Engagement - A 2-point improvement in our satisfaction score			66	66	n/a
Children's Social Worker Vacancies - % establishment filled (Grade I - L)	81%			90%	

Four measures are annually calculated, however three “red” causes for concern that are highlighted are –

**501: % of employees with written and agreed goals. Target 95%. Current performance 78%. Improving Trajectory**

Performance this year so far ranges between directorates from 55.5% completion to 87.6% completion, so no directorate has reached the target yet, but within that there is still a significant range of completion. The 'window' to complete performance development conversations and agree goals runs from 1 April to 30 June annually. 30 June is when we would like to achieve the 95% target. We measure again at 30 September to check that all outstanding conversations have taken place and been recorded. This year there will be a variety of reasons for not achieving 95% by the

end of June, with the ongoing pandemic and associated staffing challenges being a key one for many services. There will also be a number of instances where the conversation and goals are in place but the recording of this on Oracle has not yet been done.

Regular communications with employees and managers to help them understand the importance of and to encourage them to complete any outstanding performance development conversations and record them on Oracle.

The new MyOracle system will include a section that supports and records performance development conversations and this will make the April 2022 round of performance development conversations much easier to plan, record, and monitor.

**511: Absence due to mental health as a % of all absence. Target 30%. Current performance 37%. Static trajectory.**

It is recognised nationally that the pandemic has impacted significantly on people's mental health and this is likely to continue to be the case for some time to come. Whilst for some moving to step 4 will help improve their mental health particularly where they have suffered from isolation and loneliness, for others it will exacerbate anxieties and where families health, financial stability and work pressures are a concern, mental health may continue to be affected.

In addition, as this measure looks at mental health absence as a percentage of all absence its relative size will be impacted by the overall absence picture. The overall absence rate is currently within target range and therefore with an increase in mental health absence the percentage of overall absence becomes greater.

Department employee survey results have been shared. Analysis and action planning will help identify any areas of work where improvements in management support or wellbeing support would help in relation to work related issues including work pressures.

HR continue to provide focussed support to departments and managers relating to absence management and well-being to ensure a support plan is in place for employees and appropriate services are offered in a timely way e.g. seeking advice from occupational health, psychological assessments, access to wellbeing officers or Norfolk Support Line.

HR have launched Time to Recover which offers additional support including Counsellor led Time to Breathe sessions for employees.

Mental Health First Aid training for managers was necessarily suspended through the pandemic as it needed in person delivery. This is recommencing over the summer

**513: Children's Social Worker Vacancies - % establishment filled (Grade I - L), Target 90%. Current performance 81%. Deteriorating trend.**

Social Work is a national skills shortage occupation and is highly competitive in both the permanent and temporary labour market, increasing the challenge to reach the targeted establishment level.

Working in partnership with HR, the service is pursuing a number of techniques including a refreshed recruitment campaign, targeting all routes of entry into Social Work (e.g. apprenticeship, newly qualified to 'grow our own' etc) and sourcing temporary cover where possible in a challenging market.

**Officer Contact**

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

<b>Officer Name</b>	<b>Paul Van der Hulks, Organisational Performance Lead</b>
<b>Tel No</b>	07857 051875
<b>Email address</b>	<a href="mailto:paul.vanderhulks@norfolk.gov.uk">paul.vanderhulks@norfolk.gov.uk</a>

# Cabinet

Item No. 14

<b>Decision making report title:</b>	<b>Risk Management</b>
<b>Date of meeting:</b>	<b>6<sup>th</sup> September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Cllr. Andrew Proctor, Cabinet Member for Governance and Strategy</b>
<b>Responsible Director:</b>	<b>Simon George, Executive Director of Finance and Commercial Services</b>
<b>Is this a key decision?</b>	<b>No</b>

## **Introduction from Cabinet Member**

Risk management is required by regulations and as part of the Council's Constitution. It contributes to achieving corporate objectives, the Council's key priorities and Business Plan and is a key part of the performance management framework. The responsibility for an adequate and effective risk management function rests with the Cabinet, supported by portfolio holders and delivered by the risk owners as part of the risk management framework. This report sets out the key messages and the latest corporate risks.

## **Executive Summary**

The Council continues to work through the implications of the COVID-19 pandemic, with an ongoing commitment to safe and sustainable service delivery for its' citizens. The Council continues to follow the government's recovery roadmap.

Corporate risks continue to be monitored and treated appropriately in line with the Council's risk management framework, with risk-based decisions supporting the Council's recovery.

The recent independent risk management health check generated practical recommendations, which have been noted and factored into a refreshed risk management strategy detailing how and when these recommendations are going to be delivered. This can be viewed at Appendix D.

## **Recommendations**

- 1. To consider and agree the key messages in paragraph 2.1 and Appendix of Key Changes (Appendix A) to corporate risks since the last risk management report in July 2021.**
- 2. To consider and agree the corporate risks as at September 2021 (Appendix C).**

**3. To note the refreshed risk management strategy in Appendix D, incorporating the recommendations from the recent routine independent risk management health check.**

## **1. Background and Purpose**

- 1.1. With Cabinet's ownership of the corporate risk register, the purpose of this report is to set out the latest corporate risks for the Cabinet to consider and agree. **Appendix A** provides a summary of the latest proposed changes to corporate risks since July 2021, with the current corporate risk register scores visually summarised on the corporate risk heat map in **Appendix B**. Details of all risks on the corporate risk register are located in **Appendix C**. The refreshed risk management strategy incorporating recommendations from the recent risk management health check is included in the report to keep Cabinet sighted on how and when the recommendations are set to be implemented and delivered on.

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.

## **2. Proposals**

- 2.1 The key general risk messages are as follows:

- That corporate risk management continues to be sound and effective, working to best practice, and continues to support the Council's overall recovery from the pandemic.
- The review of corporate risks has taken place with risk owners, and reviewers, and Corporate Board as a group.
- This corporate risk management report should be read in conjunction with the performance and finance reports.

Specific corporate risk messages are as follows;

- To reduce the risk score of RM010 - The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.from 4 to 3 (impact lowered from 4 to 3);
- To close risk **RM028 - Risk of any failure to monitor and manage health and safety standards of third party providers of services;**



- To open a new corporate risk **RM033 - Failure to receive the necessary funding or statutory approvals to enable the Norwich Western Link (NWL) project (at £198m) to be delivered to the agreed timescales (target opening by late 2025)**

Further details of proposed risk changes can be viewed at **Appendix A**.

### **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 (amended 2020). 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.
- 3.2 Details of the proposals above in 2.1 can be viewed in Appendix A, offering further rationale and impact of the proposals.

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

- 4.1. Not applicable as no decision is being made.

### **5. Alternative Options**

- 5.1. There are no alternatives identified.

### **6. Financial Implications**

- 6.1. There are financial implications to consider, which are set out within the risks at **Appendix C**. The budget for this financial year was set and agreed in February 2021. Mitigations supporting the controlled treatment of the risk of the potential risk of failure to manage significant reductions in local and national income streams are set out in risk RM002.

### **7. Resource Implications**

- 7.1. **Staff:** The risk of COVID-19 negatively impacting on staff can be seen within risk **RM032a - Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)**. There are also staffing resource implications to consider as part of risk **RM029 - NCC may not have the employees (or a sufficient number of employees) with critical skills that**

**will be required for the organisation to operate effectively in the next 2-5 years and longer term.**

7.2. **Property:** Risk assessments have been carried out by the Health, Safety, and Wellbeing team at sites where services previously paused have restarted. This is to ensure that appropriately adapted measures are in place, and that the Council continues to follow the latest advice with regards to social distancing. The Health, Safety and Wellbeing team continue to work closely with services that would normally deliver a face to face offering to the public.

7.3. **IT:** The Council's Information Management Technology team are continuing to closely monitor cyber security threat levels, and continue to roll out the technology advances that are helping Members and officers to carry out their duties effectively.

## **8. Other Implications**

### **8.1. Legal Implications**

There are no current 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)**

Face to face services continue to operate in a safe and sustainable manner factoring in the current adapted service measures required to minimise the risk of infection from Covid-19.

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

There are no specific sustainability implications to consider within this report. Any sustainability risks identified as part of the Council's [Environmental Policy](#) (page 58) will be recorded and reported appropriately.

**8.6. Any other implications**

There are no other risk implications to consider within this report.

**9. Risk Implications/Assessment**

- 9.1. The risk implications are set out in the report above, and within the risks themselves at **Appendix C**.

**10. Select Committee comments**

- 10.1. There are no recent Select Committee comments to note within this report.

**11. Recommendations**

- 11.1.
- To consider and agree the key messages in paragraph 2.1 and Appendix of Key Changes (Appendix A) to corporate risks since the last risk management report in July 2021.
  - To consider and agree the corporate risks as at September 2021 (Appendix C).
  - To note the refreshed risk management strategy in Appendix D, incorporating the recommendations from the recent routine independent risk management health check.

**12. Background Papers**

There are no further background papers to note.

**Officer Contact**

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

**Officer name:**

**Adrian Thompson**

**Thomas Osborne**

**Email address:**

[adrian.thompson@norfolk.gov.uk](mailto:adrian.thompson@norfolk.gov.uk)

[thomas.osborne@norfolk.gov.uk](mailto:thomas.osborne@norfolk.gov.uk)

**Tel No.:**

**01603 303395**

**01603 222780**



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### Key Changes to Corporate Risks

The quarterly review of the corporate risk register has generated the following proposed changes;

#### Proposed Risk Closure

It is proposed to close risk **RM028 - Risk of any failure to monitor and manage health and safety standards of third party providers of services**. All mitigations have been implemented for this risk. Services have greatly improved their approach to managing and monitoring H&S standards of 3<sup>rd</sup> party providers. We have seen through the pandemic that the departments with large third party providers have taken this responsibility seriously and have put in place means to be assured these providers are meeting appropriate standards.

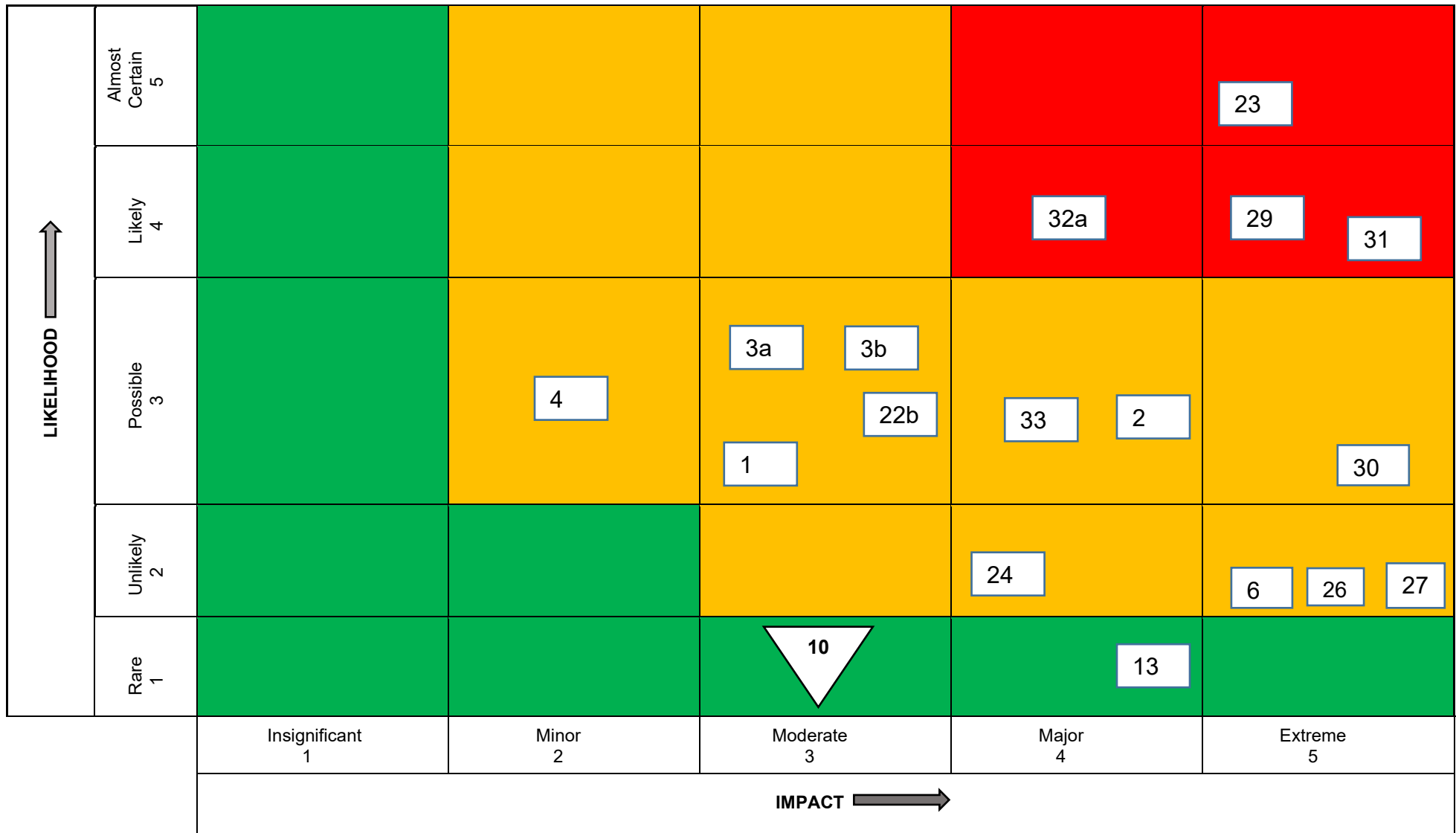
#### Proposed Risk Score Change

**RM010 - The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms**. Further progress has been made to mitigating actions to have met the target risk score of 3, reduced from 4. The risk will continue to be reported as an ongoing open risk but will now move from being treated to tolerated.

#### Proposed New Risk

It is proposed to open a new corporate risk relating to the Norwich Western Link; **RM033 - Failure to receive the necessary funding or statutory approvals to enable the Norwich Western Link (NWL) project (at £198m) to be delivered to the agreed timescales (target opening by late 2025)**. This follows the agreement at Cabinet in June 2021 to undertake a programme of capital works for which Council has agreed a budget, as further set out in the paper Capital strategy and programme 2021- 22.

# Corporate Risks - Heat Map



**Key** = Risk score increase = no score change = risk score decrease

No.	Risk description	No.	Risk Description
RM001	Not realising infrastructure funding requirements to achieve the infrastructure ambition of the Business Plan.	RM022b	Implications of Brexit for a) external funding and b) Norfolk businesses
RM002	The potential risk of failure to manage significant reductions in local and national income streams.	RM023	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.
RM003a	Potential for failure to comply with statutory information compliance requirements.	RM024	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).
RM003b	Potential for failure to comply with relevant information security requirements	RM026	Legal challenge to procurement exercise.
RM004	The potential risk of failure to deliver effective and robust contract management for commissioned services.	RM027	Risk of failure of new Human Resources and Finance system implementation (myOracle).
RM006	The potential risk of failure to deliver our services within the resources available for the period 2018/19 to the end of 2020/21.	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.
RM010	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.	RM030	Non-realisation of Children's Services Transformation change and expected benefits.
RM013	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	RM031	NCC Funded Children's Services Overspend
		RM032a	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)
		RM033	Failure to receive the necessary funding or statutory approvals to enable the Norwich Western Link (NWL) project (at £198m) to be delivered to the agreed timescales (target opening by late 2025).

Risk Number	RM001					Date of update		26 July 2021		
Risk Name	Not 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-22	Amber
Tasks to mitigate the risk										
1.1) Work with other county council officers and partners including government, local enterprise partnerships and district councils to compile evidence and the case for investment into infrastructure in order to achieve success through bidding rounds for capital investment. 1.2) Identify and secure funding including Pooled Business Rates (PBR) to develop projects to a point where successful bids can be made for funding through compiling evidence and cases for investment. 1.3) Engage with providers of national infrastructure – Highways England for strategic (trunk) roads and Network Rail for rail delivery – to ensure timely delivery of infrastructure projects, and work with partners on advocacy and lobbying with government to secure future investment into the networks. 1.4) Review Planning Obligations Standards annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. 1.5) Continue to build the relationship with strategic partners including elected representatives, government departments, local enterprise partnerships, regional bodies such as Transport East (the Sub-National Transport Body) and other local authorities to maximise opportunity and work together in the most effective joined-up manner. 1.6) Periodically review timescales for S106, and other, funding contributions to ensure they are spent before the end date and take action as required. Periodic reviews for transport contributions and an annual review process for library and education contributions.										
Progress update										



## Progress update

Overall: Impact of Covid-19 likely to affect funding streams in both the short and longer-term.

1.1) NWL: Outline Business Case submitted to DfT and Design and Build contractor appointed following Cabinet agreement 7 June. TfN draft Strategy recommended to TfN Joint Committee (29/7) for consultation over the summer, which will help to support future transport delivery in and around Norwich. OBC for Long Stratton Bypass submitted to DfT 15 Jan 2021 and funding confirmed 24 July 2021. West Winch Housing Access Road Strategic OBC submitted to DfT at end of March. Working through queries with DfT. A47/A17 Pullover Junction King's Lynn: Work has identified three options for improvement. Preferred Option to be identified and taken through DfT Major Road Network funding stream. Transforming Cities now in delivery phase. Gt Yarmouth Third River Crossing: Works started on 4 January 2021 as planned. Continuing to work with districts and other partners on a range of infrastructure projects.

1.2) Funding secured from PBR for development of Norwich Western Link and West Winch Housing Access Relief Road (see 1.1). Working up bid for next round of DfT Active Travel Fund, closing date 9 August. Work continues on scope of county-led transport levelling-up bid. Community Renewal Fund bids appraised by county council, agreement reached with partners and submitted for closing date 18 June.

1.3) A47 Alliance refreshed advocacy work up to 2021 spending review continues to be developed. Great Eastern Main Line (Norwich to London rail): Review of the programme underway by Network Rail, focusing on performance and journey time improvements, following response to business case from Minister. Continuing to work on Ely Task Force; consultation on minor improvements undertaken in June. Continuing to support East West Rail Consortium; pre-SOBC work on Eastern Section drafted for agreement. Representations to A47 Blofield to Burlingham, Easton to Tuddenham and Thickthorn DCOs submitted to Planning Inspectorate by deadlines. NCC will be represented at Hearings over the summer.

1.4) Officers have updated the County Council's Planning Obligations Standards (2021) and will continue to update annually to ensure the county council is able to seek and secure the maximum possible contribution from developers. Officers are working with the County Council Network and the Regional Planning Obligations Officer Group to lobby the Ministry of Housing Communities and Local Government on proposed reforms to the developer contributions. The review of the CC's Planning Obligations Standards will be carried out later in the year (2021) and reported to Cabinet in Spring 2022 if appropriate.

1.5) Continuing to work with Transport East on transport strategy (consultation planned for autumn); liaising with DfT, Network Rail and Highways England on strategic road and rail schemes; attending wider partnership groups including LEP Transport Board.

1.6) Officers have introduced a new system of monitoring known as the Infrastructure Funding Statement (IFS) to comply with the 2010 Community Infrastructure Levy (CIL) Regulations (as amended in September 2019). This will ensure monitoring is effective, transparent and up to date. The County Council uploaded the first IFS in December 2020 which is available on the NCC website and provided data on developer agreements, agreement contributions and agreement transactions, we will publish the updated IFS later in the year (2021) in line with the above CIL Regulations.

<b>Risk Number</b>	RM002					<b>Date of update</b>		02 August 2021		
<b>Risk Name</b>	The potential risk of failure to manage significant reductions in local and national income streams									
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			31 May 2019		
This may arise from global or local economic circumstances (i.e. Brexit), government policy on public sector budgets and funding. As a result there is a risk that the Medium Term Financial Strategy savings required for 2021/22 - 2024/25 are not delivered because of uncertainty as to the scale of savings resulting in significant budget overspends, unsustainable drawing on reserves, and severe emergency savings measures needing to be taken. The financial implications are set out in the Council's Budget Book, available on the Council's website. Overall risk treatment:Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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-22	Amber
<b>Tasks to mitigate the risk</b>										
Medium Term Financial Strategy and robust budget setting within available resources. No surprises through effective budget management for both revenue and capital. Budget owners accountable for managing within set resources. Determine and prioritise commissioning outcomes against available resources and delivery of value for money. Regular and robust monitoring and tracking of in-year budget savings by Corporate Board and members. Regular finance monitoring reports to Cabinet. Close monitoring of central government grant terms and conditions to ensure that these are met to receive grants. Plans to be adjusted accordingly once the most up to date data has been received.										
<b>Progress update</b>										
County Council on 21.02.21 approved the 2021-22 budget and future Medium Term Financial Strategy 2021-25 taking into account the Final Local Government Finance settlement for 2021-22. The risk target score for 31 March 2021 has been met. The council's external auditors gave an unqualified audit opinion on the 2019-20 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 31.03.2020. The implications of the COVID-19 response, coupled with continued uncertainty and the further delay of the significant planned reforms for local government finance, represents a major challenge for the Council in developing its Medium term Financial Strategy. Cabinet on 5.7.21 consider a strategic and financial planning report for 2022-23 and further reports will be presented to Cabinet during the year incorporating future Government funding announcements and updates on the budget planning process in order that County Council can agree the 2022-23 Budget and level of council tax at its February 2022 meeting.										

<b>Risk Number</b>	RM003a					<b>Date of update</b>		30 July 2021		
<b>Risk Name</b>	Failure to comply with statutory information compliance requirements									
<b>Portfolio lead</b>	Cllr. Andrew Proctor					<b>Risk Owner</b>		Andrew Stewart		
<b>Risk Description</b>					<b>Date entered on risk register</b>			05 June 2019		
There is a risk of failing to comply with statutory information compliance requirements (e.g. under GDPR, FOI, EIR) which could lead to reputational damage and financial impact from any fines or compensation sought.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	3	9	2	3	6	31/09/2021	Green
<b>Tasks to mitigate the risk</b>										
1. Mandatory Information Governance Training for all colleagues 2. Information Governance Group and Steering Group occur bi-monthly 3. Detailed management information in place to monitor performance 4. Two-way relationship with ICO maintained to ensure positive working relationship 5. Focus on resource available / required to ensure consistency of service 6. Ongoing improvements underway to improve efficiency and effectiveness										
<b>Progress update</b>										
Information Governance action plan 2020 has been delivered to ensure a more robust Information Governance culture.										
New mandatory training for Information Governance (Data Protection Essentials) launched in January 2021 which has received positive feedback and completion rate remains at around 95%.										
Information Governance Group and the new escalation Steering Group comprising the SIRO, DPO, Dir IMT, Audit and Caldicott Guardians occurring bi-monthly to deliver a strong focus and accountability on information related matters.										
Management information in place to allow actions to be taken on activity within the team and resource to be appropriately allocated / requested. Significant improvements in many areas including Freedom of Information Requests and Police disclosures. Subject Access Requests are improving and focus remains on these.										
Positive relationship with the ICO in relation to data incidents and responses to subject access requests which helps demonstrate a good culture towards information in NCC.										
Clear focus of activity in 2021/22 to improve efficiency in the team when dealing with requests (online FOI form has already been delivered) which will further improve the resource availability the Information Governance Team can give to support IG queries across NCC.										
These activities will enhance many of the mitigations to a higher standard, reducing the likelihood of occurrence - the impact should anything happen would likely result in local or national media attention, depending on the severity of the issue.										
Risk score of 9 remains until all activity has had time to embed fully into the business - still on course to meet the September 21 deadline for reduction although further actions still required to maintain this position.										

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<b>Risk Number</b>	RM003b					<b>Date of update</b>		23 July 2021		
<b>Risk Name</b>	Failure to comply with relevant information security requirements									
<b>Portfolio lead</b>	Cllr. Tom Fitzpatrick					<b>Risk Owner</b>	Geoff Connell			
<b>Risk Description</b>					<b>Date entered on risk register</b>			05 June 2019		
There is a risk of failing to comply with relevant information security requirements (e.g. NIS, PSN, PCI-DSS) which could lead to reputational damage and financial impact. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
4	3	12	3	3	9	1	3	3	Sep-21	Green
<b>Tasks to mitigate the risk</b>										
1. Mandatory Training in place for all colleagues - ongoing 2. Development and monitoring of MI for breaches - ongoing 3. Implementation of improved security measures - ongoing 4. External networking to ensure best practice - ongoing										
<b>Progress update</b>										
- Rollout of new Mandatory training to all colleagues - Implementation of improved security measures e.g. E5 Licencing - Involvement with National cybersecurity organisation - Extensive communications to NCC staff on remaining vigilant against cyber-attacks - Increased take up of IT training; - A simulated phishing exercise, carried out to understand where weaknesses remain; - Roll-out of Safe Links and Safe Attachments technology, which screens MS Office attachments and links before being opened; - Anti-spoofing technology software being introduced.										
Risk score of 9 at present due to improved measures that have been implemented but acknowledgment that further activities would reduce the risk further, with a number of new challenges in a COVID landscape. The impact should anything happen would likely result in local or national media attention, depending on the severity of the issue.										

<b>Risk Number</b>	RM004					<b>Date of update</b>		05 July 2021		
<b>Risk Name</b>	The potential risk of failure to deliver effective and robust contract management for commissioned services.									
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			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: Tolerate										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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	2	3	6	2	3	6	Mar-22	Met
<b>Tasks to mitigate the risk</b>										
<p>1) By October 2019 implement a proactive system to identify early signs of potential supplier financial failure and respond appropriately.</p> <p>Next steps:</p> <ul style="list-style-type: none"><li>- Develop robust process to respond to CreditSafe alerts</li></ul> <p>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.</p> <p>Next steps:</p> <ul style="list-style-type: none"><li>- Start to discuss the pipeline of expiring contracts with other departmental management teams or individual senior managers</li></ul> <p>3) Through the contract compliance and optimisation workstream of the Smarter Workstream priority under the Norfolk Futures programme, implement measures to ensure that staff who have contract management as part of their job have the relevant skills and support to manage contracts effectively.</p> <p>Next steps:</p> <p>Implement phased plan as agreed at corporate board 3 December 2019</p> <p>4) Develop a standard specification for service transition that can be used as the basis for new sourcing exercises and used to manage transitions effectively by end June 2019</p> <p>5) Internal audit undertaking audits of the contract management control environment in the three service directorates.</p>										
<b>Progress update</b>										
<p>1) Process developed with finance to respond to CreditSafe alerts. Complete</p> <p>2) Pipeline reporting frequency at Corporate Board increased to quarterly and process is in place for monthly review by Director of Procurement and Executive Director of Finance. Procurement staff review monthly and make sure plans are in place with departments. Complete</p> <p>3) Contract compliance and optimisation workstream plan was approved at Corporate Board in December 2019 and phased implementation was under way, prior to COVID-19. Implementation of phased plan paused whilst efforts are focussed on the COVID-19 response.</p> <p>4) Transition/handover checklist developed and in use. Complete.</p> <p>5) Internal Audit have completed an audit of the senior management monitoring of significant contracts. Complete</p>										

<b>Risk Number</b>		RM006		<b>Date of update</b>		05 July 2021				
<b>Risk Name</b>		The potential risk of failure to deliver our services within the resources available for the period 2021/22 to the end of 2023/24.								
<b>Portfolio lead</b>		Cllr. Andrew Proctor			<b>Risk Owner</b>		Tom McCabe			
<b>Risk Description</b>				<b>Date entered on risk register</b>		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										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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-22	Green
<b>Tasks to mitigate the risk</b>										
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.										
<b>Progress update</b>										
Regular budget and performance monitoring reports to Cabinet will continue to demonstrate how the Council is delivering against the 2021/22 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. There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2021-22 spend to be reported to Cabinet on a monthly basis and monitoring of COVID-19 spend reported to Corporate Board regularly. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2021/22. There will be an updated MTFs position reported to Cabinet within the year, savings proposals published for consultation in October, budget setting meeting of Full Council in February 2022, and monitoring reports taken to Cabinet in 2021/22. Work is being carried out by Departmental Leadership Teams, the Recovery Group and the Business Transformation Programme on future savings required. Savings proposals will be presented again for Member review and then taken to Cabinet.										

Risk Number	RM010					Date of update		23 July 2021		
Risk Name	The risk of the loss of key ICT systems including: - internet connection; - telephony; - communications with cloud-provided services; or - the Windows and Solaris hosting platforms.									
Portfolio lead	Cllr. Tom Fitzpatrick					Risk Owner		Simon George		
Risk Description					Date entered on risk register			01 July 2019		
Loss of core / key ICT systems, communications or utilities for a significant period - as a result of a cyber attack, loss of power, physical failure, fire or flood,or supplier failure - would result in a failure to deliver IT based services leading to disruption to critical service delivery, a loss of reputation, and additional costs. Overall risk treatment: Treat.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
2	3	6	1	3	3	1	3	3	Sep-21	Met
Tasks to mitigate the risk										
1) Full power down completed periodically 2) Replace ageing Local Area Network (LAN) equipment 3) Implement Cloud-based business systems with resilient links for key areas 4) Review and Implement suitable arrangements to protect against possible cyber / ransomware attacks including; 5) 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 6) We will hold a number of Business Continuity exercises to understand and reduce the impact of risk scenarios 7) WFH has changed the critical points of infrastructure. Access to cloud services like O365 without reliance on County Hall data centres is critical to ensure service continuity. 8) Keep all software security patched and up to date and supported. Actively and regularly review all software in use at NCC and retire all out of date software that presents a risk to keeping accredited to these standards.										
Progress update										

## Progress update

- 1) Full power down completed as required by Property programme plans.
- 2) County Hall complete we continue to roll out to remaining offices throughout the County slowed due to Covid-19 restrictions.
- 3) We Implement Cloud-based business systems with resilient links for key areas as they are procured, guidance is being refreshed regularly.
- 4) We have now completed the cyber audit actions.
- 5) IMT and the resilience team presented a number of scenarios selected by the business to the Directors Operational Board (Previously Silver group) to test, understand and challenge on a number of key disaster Scenario's. This was to inform the business continuity plans and highlight further improvements we can make. Resilience team are considering dates for our next Business Continuity test which is likely to be in the new year.
- 6) Since COVID-19 has resulted in the majority of the workforce working from home, the network has been able to cope effectively with a vastly increased number of users working remotely.
- 7) Security protections contained within Microsoft E5 licensing have been installed.
- 8) Infrastructure design is evolving to accommodate cloud services and reduce reliance on County Hall infrastructure and our dependance on Solaris will reduce when our new Oracle is delivered.

All relevant teams have been migrated to Contact Centre as a Service.

The score is based upon steady progress mitigating the risks and running exercises to rehearse what we do in the event of a failure.



Risk Number	RM013					Date of update		05 July 2021		
Risk Name	The potential risk of failure of the governance protocols for entities controlled by the Council, either their internal governance or the Council's governance as owner. The failure of entities controlled by the Council to follow relevant guidance or share the Council's ambitions.									
Portfolio lead	Cllr. Greg Peck					Risk Owner		Simon George		
Risk Description					Date entered on risk register			02 July 2019		
The failure of governance leading to controlled entities: Non Compliance with relevant laws (Companies Act or other) Incurring Significant Losses or losing asset value Taking reputational damage from service failures Being mis-aligned with the goals of the Council The financial implications are described in the Council's Annual Statement of Accounts 2019-20. Overall risk treatment: Treat This risk is scored at a likelihood of 1 due to the strong governance in place and an impact score of 4 given the size of the controlled companies.										
Original			Current			Tolerance Target				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
1	4	4	1	4	4	1	4	4	Mar-22	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.

<b>Risk Number</b>	RM022b					<b>Date of update</b>		05 July 2021		
<b>Risk Name</b>	Implications of Brexit for a) external funding and b) Norfolk businesses									
<b>Portfolio lead</b>	Cllr. Graham Plant					<b>Risk Owner</b>		Tom McCabe		
<b>Risk Description</b>					<b>Date entered on risk register</b>			00 January 1900		
a) Departmental Risk RM14429 covers the closedown of the France (Channel) England INTERREG programme, managed by NCC. In terms of future external funding, we need to make a compelling case to Government for investment in Norfolk from the UK Shared Prosperity Fund, which replaces EU funding. b) Now we have left the EU, we need to understand the implications for Norfolk businesses of the Territorial Cooperation Agreement and work with partners to support Norfolk businesses to trade.										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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	Mar-22	Amber
<b>Tasks to mitigate the risk</b>										
a) Development of Norfolk Investment Framework to target the UK Shared Prosperity Fund (replacement for EU funding).										
b) Focussed support for business, in conjunction with LEP and Chamber of Commerce.										
<b>Progress update</b>										
a) Proposal being developed to produce a Norfolk Investment Framework, to draw down the Shared Prosperity Fund - projects would be commissioned against the Framework priorities.										
b) LEP Resilience Manager collates intelligence for Government on issues affecting business. Signposting to support available from Government, Chamber and Growth Hub on NCC and partner websites. CBI scorecard commissioned on 'export intensity' in Norfolk and Suffolk, to help plan support for businesses to export (Government Plan for Growth priority)										

<b>Risk Number</b>	RM023					<b>Date of update</b>		02 August 2021		
<b>Risk Name</b>	Failure to respond to changes to demography, funding, and government policy, with particular regard to Adults Services.									
<b>Portfolio lead</b>	Cllr. Bill Borrett					<b>Risk Owner</b>		James Bullion		
<b>Risk Description</b>					<b>Date entered on risk register</b>			18 August 2017		
Whilst acknowledging the pressures on adult social services, and providing some one-off additional funding, the Government has yet to set out a direction of travel for long-term funding. At the same time, the pressures of demography and complexity of need continue to increase. This makes effective strategic planning highly challenging and there is a risk that short-term reductions in support services have to be made to keep within budget; these changes are likely to be counter to the long-term Promoting Independence strategy. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	5	5	25	2	4	8	Mar-22	Amber
<b>Tasks to mitigate the risk</b>										
<p>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.</p> <p>2) As part of the strategy, a shift of spend towards targeted prevention, reablement services, enablement, and strengthened interim care.</p> <p>3) Implementation of Better Care Fund plans which promote integration with the NHS and protect, sustain and improve the social care system.</p> <p>4) Judicious use of one-off winter and other funding, as announced by Government, including accessing Discharge to Assess funding and other Covid-related funds.</p> <p>5) Close tracking of government policies, demography trends and forecasts.</p> <p>6) Influencing and shaping the development and governance of the new Integrated Care System to ensure a strong focus on social care</p>										
<b>Progress update</b>										
<p>1) Detailed work to understand the financial and service impact of COVID for the next financial year and for medium term. Main themes for transformation being reviewed, and priorities for department being shaped. Overall strategy remains sound, but further work to identify the highest priority transformation areas and to track the interdependencies of programmes across the department..</p> <p>2) Market shaping and development - strengthened working relationships; significant financial support for the market, now requires on-going work in partnership with care sector to look at future shape and sustainability.</p> <p>3a) Refreshed preventions strategy required, building on the additional understanding and ways of working experienced throughout the pandemic.</p> <p>3b) Workforce – continues to be hugely challenging within Adult Social Services and in the wider care market. On-going recruitment campaign to sustain levels of front line social workers and</p>										

**Progress update**

occupational therapy staff. Joint European funded programme with Suffolk to support workforce in the wider care market

3c) Better Care Fund targeted towards supporting people to stay independent, promoting and enabling closer integration and collaboration across health and social care. Better Care Fund currently under review to reflect closer joint aims and objectives between health and social care

4) Close joint working with NHS, through the STP and interim Integrated Care System, to shape and influence future integration of health and social care

5) White Paper on Health and Social Care integration published in February 2021. Next steps on reform of funding for social care anticipated as part of the spending review in Autumn

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		28 July 2021		
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										
<p>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:</p> <p>1) Project Board and associated governance to be further developed to ensure clear focus on monitoring cost and programme at monthly meetings.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>5) All opportunities to be explored through board meetings to reduce risk and programme duration.</p> <p>6) An internal audit has been carried out to provide the Audit Committee and management with independent assurance that the controls in place, to mitigate, or minimise risks relating to pricing in stage 2 of the project to an acceptable level, are adequate and effective and operating in practice.</p> <p>Overall risk treatment: Reduce, with a focus on maintaining or reducing project costs and timescales</p>										
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. 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. A gateway review was completed to coincide with the award of contract decision making - the findings have been reported to the project board (there were no significant concerns identified that impact project delivery). Internal audit on governance report finalised 14 August 2019 and findings were rated green. Further gateway review completed summer 2020 ahead of progressing to next stage of contract (construction). 2) Specialist cost and commercial consultants appointed and continue to review project costs. The Commercial Manager will continue to assess the project forecast on a quarterly basis, with monthly interim reporting also provided to the board. No issues highlighted to date and budget remains sufficient. A further budget review was completed following appointment of the contractor. The full business case was developed and submitted to DfT at end of September 2020 - the project is still at agreed budget. 3) An overall project programme has been developed and is owned and managed by the dedicated project manager.

Any issues are highlighted to the board as the project is delivered. The start of DCO examination was 24 September 2019, with a finish date on 24 March 2020. The approval of the DCO was confirmed on 24 September 2020 (no legal challenge). Construction started on 4 January 2021 as planned. The bridge completion and opening date remains early 2023. 4) Learning from the NDR the experience of commercial specialist support was utilised to develop contract details ahead of the formal commencement of the procurement process. Further work 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) and continue in this role to manage contract administration. 5) The project board receives 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. The project currently remains on budget and the programme to complete the works and open the scheme in early 2023 is still on track.

6) The further internal audit has been concluded and a report circulated. Findings were green with only one minor observation (already actioned).

<b>Risk Number</b>	RM026					<b>Date of update</b>			28 July 2021		
<b>Risk Name</b>	Legal challenge to procurement exercise										
<b>Portfolio lead</b>	Cllr. Andrew Jamieson					<b>Risk Owner</b>		Simon George			
<b>Risk Description</b>					<b>Date entered on risk register</b>				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											
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>					
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	Dec-21	Green	
<b>Tasks to mitigate the risk</b>											
Review processes and practice in light of recent caselaw, in particular Amey Highways Ltd v West Sussex County Council [2019] EWHC 1291 (TCC) and Lancashire Care NHS Foundation Trust & Anor v Lancashire County Council [2018] EWHC 200 (TCC).											
1) At team meeting w/c 10 June 2019, remind procurement staff of need to escalate any proposal to run a procurement exercise in an unreasonably short timescale											
2) Take pipeline to corporate board every six months and to directorate management teams quarterly to minimise risk of rushed procurement exercises.											
3) Seek corporate board sign-off for new approach with consistently adequate timelines,fewer evaluators and greater control over choice of evaluator											
4) Review scale of procurement exercises, avoid unnecessarily large exercises that increase risk and complexity and the scale of any damages claim.											
5) Make incremental change to instructions to evaluators and approach to scoring and documenting rationale, and test on tender NCCT41801 in w/c 3 June 2019											
6) Review standard scoring grid and test 'offline' on tender NCCT41830 w/c 10 June 2019											
7) Review template provisional award letter w/c 17 June											
8) Develop standard report to decision-maker w/c 17 June											
9) Make more significant changes to instructions to evaluators and pilot new approach on a future tender.											
10) Pilot new scoring grid in a future tender											
11) Institute formal annual review of sourcing processes in light of developments in case law. Review each December; add to senior staff objectives.											
Additional tasks identified February 2020:											
12) Update HotDocs to include definitive versions of new templates - by 31 March 2020											
13) Formal sign-off of updated process by Nplaw- by 31 March 2020											
14) Further formal training for procurement officers - by 30 April 2020											
<b>Progress update</b>											



## Progress update

- 1) Reminder given at team meeting - complete
- 2) Pipeline report frequency now quarterly. Pipeline being discussed with EDs or senior commissioners before each board - complete
- 3) Corporate board has signed off the new approach - complete
- 4) Ongoing as need to consider each procurement on a case by case basis.
- 5) Evaluator guidance was updated immediately. More significant changes have also now been implemented - see 9. Complete.
- 6) Scoring grid was updated as planned. Complete.
- 7) Template provisional award letter has been reviewed and updated. Complete
- 8) Existing reports have been reviewed and new report is being developed. Complete.
- 9) Evaluator guidance updated and in use as standard. Feedback from evaluators is positive. A new mechanism for capturing feedback on tenders is now in use after extensive piloting.
- 10) Scoring grid has now been updated and is in use as standard. - Complete
- 11) Added to senior staff objectives. Reviewed January 2020; no new issues identified beyond those in this risk 26
- 12) HotDocs templates have been updated. Complete.
- 14) All procurement staff in Sourcing have been trained in the new process and are adhering to it. Complete.

Additional task 13 was paused in the wake of managing the COVID-19 response. However, the Government's Procurement Green Paper is proposing a number of changes to the Public Contract Regulations, which would affect the process. Any changes are likely to be implemented in late 2021 and therefore this task will be put on hold until the impact on the process is understood.

<b>Risk Number</b>	RM027					<b>Date of update</b>		16 August 2021		
<b>Risk Name</b>	Risk of failure of new Human Resources and Finance system implementation (myOracle)									
<b>Portfolio lead</b>	Cllr. Tom FitzPatrick					<b>Risk Owner</b>		Simon George		
<b>Risk Description</b>					<b>Date entered on risk register</b>			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										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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
<b>Tasks to mitigate the risk</b>										
1) Strong subject expert engagement in the system configuration to ensure that myOracle meets the needs of the organisation 2) Rigorous testing of the system and data validation prior to go-live. 3) Strong business change plans and establishment of a wide network of business representatives to ensure that the business is ready for myOracle and that there is good adoption of the system. 4) Robust governance through operational boards and Programme Steering Committee and sponsorship by Exec Director Finance and Commercial Services. Regular review of risks and escalation where necessary and management of contractual milestones within the steering committee. Sign off on contractual changes by the Cabinet Member and Leader where required. 5) Member oversight of the programme through Corporate Select Committee.										
<b>Progress update</b>										
1)The myOracle programme is currently on track and in the implementation phase. We are working with subject matter experts on the final configuration and systems integration testing has commenced. 2)Ensuring continuity of business over the transition to the new system will be critical and is being managed by Systems Integration Testing taking place in June and Validation testing taking place in August. In addition to this there will be a 3-month parallel pay run prior to go-live to ensure that the new system is ready to take over the pay runs. 3)We are working with Socitm Advisory as our business change partner on the programme. Socitm bring significant local authority expertise and experience in adopting Oracle cloud and supporting business adoption. We have established a myOracle Business Readiness Implementation Group (BRIG) with senior representation from across NCC and are working with them to design the communications, training and readiness plans to take us through go-live and embedding the system. The myOracle intranet site was launched on 1 June and we also have over 150 myOracle Champions from departments across the authority who we will work with to provide communications and support to their departments over the coming months. 4)There is on-going visibility of the plans via Programme Board and Programme Steering Committee. The award of integration services for Enterprise Performance Management module (EPM) was approved by the Leader and Cabinet Member for Innovation, Transformation and Performance in May 2021 and detailed plans are being developed for a November go-live of this module, which will replace Budget Manager. 5)Regular reports have been provided to Corporate Select Committee and the next report will go to the 12th July Committee meeting.										

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<b>Risk Number</b>	RM029		<b>Date of update</b>		28 July 2021					
<b>Risk Name</b>	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									
<b>Portfolio lead</b>	Cllr. Andrew Proctor			<b>Risk Owner</b>	Sarah Shirtcliff					
<b>Risk Description</b>			<b>Date entered on risk register</b>		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 (ageing) 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 9. Uncertainty of covid impact which could increase pool of candidates and simultaneously increase current colleagues' possibilities for new jobs in other locations Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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	4	5	20	2	5	10	Mar-22	Amber
<b>Tasks to mitigate the risk</b>										
<ul style="list-style-type: none"><li>• Identification of what new critical skills are required in services – using new workforce planning process and toolkit. As each directorate makes their changes to make savings / manage demand.</li><li>• 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</li></ul> <p>Creation of career families and professional communities, providing visible and clear career paths for colleagues.</p> <p>Adding a strengths based approach to performance development conversations and development plans - help people to know what their strengths are and the range of jobs where they could use those strengths</p> <p>Recruit for strengths not just qualifications and skills and experience</p> <ul style="list-style-type: none"><li>• Explore further integration with other organisations to fill the gaps in our workforce - ongoing</li><li>• Develop talent pipelines working with schools, colleges and universities</li><li>• Undertake market rate exercises as appropriate and review employment packages</li><li>• Explore / develop the use of apprenticeships and early career schemes; this will help grow talent and act as a retention tool</li><li>• Work with 14 – 19 providers and Higher Education providers to ensure that the GCSE, A level and Degree subjects meets the needs of future workforce requirements</li></ul>										

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## Progress update

1. Working with education providers to ensure subjects meet future workforce requirements – no further update
2. Work has begun to make best use of the 'skills' facility in the new Oracle system. It will take time to understand how best to use the functionality but it is planned to help with finding people within NCC with skills not usually associated with their role, as well as providing easy reporting on professional registrations. This functionality is dependent on completion of career families work which is currently in pilot stage, and is therefore a longer-term plan.
3. Work on how to use the full Talent module in Oracle will commence during optimisation year post November 2021 With focus on how to use functionality for Performance Development Conversations in April 2022
4. An email survey relating to digital skills has been created and piloted, enabling individuals to get instant access to information and learning resources relating to their own particular digital skills competence. This will be rolled out during 2021. Soft launch underway. Draft mandatory training policy has been socialised with DMTs and is ready to be signed off by the NDA board No further update
5. NCC careers website design is underway
6. There is an additional task relating to skills to identify the impact of COVID-19 on the availability of and demand for skills in NCC and Norfolk – this is beyond the remit of this risk but is related and therefore captured here.

Current likelihood score is at 4 and the prospects of meeting target score is at amber in light of challenges for front line workers and early sight of survey reporting workforce pressures.

<b>Risk Number</b>	RM030					<b>Date of update</b>		03 August 2021		
<b>Risk Name</b>	Non-realisation of Children's Services Transformation change and expected benefits									
<b>Portfolio lead</b>	Cllr. John Fisher					<b>Risk Owner</b>		Sara Tough		
<b>Risk Description</b>					<b>Date entered on risk register</b>			08 August 2019		
There is a risk that Children's Services do not experience the expected benefits from the transformation programme. Outcomes for children and their families are not improved, need is not met earlier and the increasing demand for specialist support and intervention is not managed. Statutory duties will not be fully met and the financial position of the department will be unsustainable over time. Overall risk treatment: Treat										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
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
<b>Tasks to mitigate the risk</b>										
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.										
<b>Progress update</b>										
Scoring rationale - Risk impact relates to outcomes for children and families not being met, a key county council objective and financial loss of benefits over £3m therefore scored 5. Risk likelihood has reduced from "probable" prior to programme being initiated to "possible" as the transformation programme is seeing initial success after first 24 months of initial 5 year programme, therefore scored 3.  Aug 2021 update:  - The investment in transformation has proved successful during the last 24 months- have met existing targets for specific schemes albeit in the context of overall dept overspends - A balanced budget outturn position for 2020/21 was acheived, including a contribution to a Children's Services Business Risk Resilience reserve due to one-off Covid-related underspends - Overall programme has broken even and delivering net cash benefits – growing in the coming										

## **Progress update**

years.

- Core indicator of number of Children in Care is broadly stable
- Following first COVID lockdown, resulted in a 6-month delay to existing schemes – so potential shortfall on planned savings as well as delivering new targets are built into forecast for 2021/22
- Still working with considerable uncertainty in terms of demand levels and other factors so will need to keep all modelling under-review. We are seeing increasing pressure for placements for CYP with complex needs
- Transformation programme is shifting focus more to delivering system-wide early help and prevention and responding to the enduring impacts of the pandemic
- Focus on COVID response has reduced, main focuses are balancing transformation with a focus on Ofsted – delivering SEN Written Statement of Action, continuing our social care practice programme and readiness for 2-week social care inspection

<b>Risk Number</b>	RM031					<b>Date of update</b>		03 August 2021		
<b>Risk Name</b>	NCC Funded Children's Services Overspend									
<b>Portfolio lead</b>	Cllr. John Fisher					<b>Risk Owner</b>	Sara Tough			
<b>Risk Description</b>					<b>Date entered on risk register</b>			01 September 2019		
There is a risk that the NCC Funded Children's Services budget results in a significant overspend that will need to be funded from other parts of Norfolk County Council										
<b>Original</b>			<b>Current</b>			<b>Tolerance Target</b>				
Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Likelihood	Impact	Risk score	Target Date	Prospects of meeting Target Risk Score by Target Date
5	5	25	4	5	20	3	5	15	Mar-22	Amber
<b>Tasks to mitigate the risk</b>										
<p>Improved monitoring systems identified and revised CSLT tier 2, 3 &amp; 4 structure proposed. Transformation programme that is targeting improvement to operating model, ways of working, and placement &amp; sufficiency to ensure that intervention is happening at the right time, with the right children and families supported, with the right types of support, intervention &amp; placements. This will result in improved value for money through ensuring that money is spent in the right places, at the right times with the investment in children and families resulting in lower, long-term costs. In turn, this will enable the most expensive areas of NCC funded spend (placement costs and staffing costs) to be well controlled and to remain within budget. Cohorts will be regularly analysed to ensure that all are targeted appropriately.</p> <p>The Functioning Family Therapy service has been launched. Family Group Conferencing is being reintroduced.</p> <p>Recognition of underlying budget pressures within recent NCC budgets and within the MTFS, including for front-line placement and support costs (children looked after, children with disabilities and care leavers), operational staffing, and home to school transport for children with SEND.</p>										
<b>Progress update</b>										
<p>Scoring rationale - Risk impact relates to financial impact of over £3m, therefore scored 5. Risk likelihood has reduced from "almost certain" to probable, due to department currently projecting a balanced budget outturn position for 2020/21, but balanced against considerable financial pressures for 2021/22 and uncertainties due to COVID 19. Risk "Target date" updated to the end of the next financial year</p> <p>Aug 2021 update:</p> <p>Improved monitoring systems in place and becoming embedded: Assistant Director financial monitoring meetings, LAC tracker, Permanency Planning Meetings, DCS Quarterly Performance meetings, weekly "Time for Outstanding Outcomes" Meetings and Transformation and Benefits Realisation Board chaired by Cabinet Member CS and attended by Members and CSLT.</p> <p>Multiple Transformation projects under-way and delivered, for example the new Social Care delivery model, Fostering Recruitment Transformation and use of an enhanced fostering model have been delivered. Our remodelled LAC and LC Service went live on schedule in April 2021 as well as our</p>										

**Progress update**

Targeted Youth Support Service in February 2021. Norfolk has been successful in being awarded DfE funding to introduce the No Wrong Door model in partnership N. Yorks, which will be called New Roads. This is a proven model at working with adolescents differently improving outcomes and reducing costs. This successfully went live in June 2021.

Children Looked After numbers have now been in steady sustained decline for a since January 2019, which has resulted in reduced overall placement costs. The rate of reduction has slowed during COVID, and is broadly stable. Where numbers have reduced, overall unit costs have not decreased. We are currently seeing increasing pressure for placements for CYP with complex needs. A number of existing transformation projects are in train to support these young people more effectively and reduce unit costs over the medium term.

Over the course of this year and beyond a core focus of our transformation will be to reshape the system of preventative and early help services in Norfolk, further reducing demand for specialist services.



Risk Number	RM032a					Date of update			05/07/2021 (options for this risk to be considered)		
Risk Name	Effect of COVID-19 on NCC business continuity (staff, service users, and service delivery)										
Portfolio lead	Cllr. Andrew Proctor					Risk Owner	Tom McCabe				
Risk Description					Date entered on risk register			27 February 2020			
There is a risk of disruption to service delivery if there are widespread cases of COVID-19 in Norfolk affecting the health, safety and wellbeing of Norfolk County Council and contracted partner employees. This could impact on Norfolk County Council financially and reputationally. Cause: Not effectively containing COVID-19. Event: Widespread positive cases of COVID-19 across Norfolk, affecting NCC staff, partners, and service users. Effect: There are potential effects on staff, partner organisations, and service user's health, safety and wellbeing if there is widespread exposure to COVID-19 within Norfolk. 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	4	4	16	3	2	6	30.09.2021	Green	
Tasks to mitigate the risk											
1) Coordination of communications to make staff, service users, and contracted third parties aware of the latest guidance from Public Health England to help to contain cases of COVID-19, provide reassurance of the Council's response to COVID-19, contribute to the support structure, and demonstrate leadership. Action owner: James Dunne											
2) Ensuring staff continue to be provided with information on safe working, particularly for those working in the community. To continue to ensure that measures to support mental health are available. Action owner: Derryth Wright											
3) Modelling to be carried out to give best estimates on the prevalence of COVID-19 in Norfolk. Action Owner: Tim Winters											
4) Adaptation of Business Continuity arrangements to meet service demands. Business Continuity Plan owners will need to review BCP's with their management teams to ensure that they reflect changes since COVID-19 which could affect current plans around such events as a loss of ICT, loss of a key system, shortage of key personnel, recognising other current priorities of services. Action Owner: Heads of Service											
5) Assessment of financial impact. Action Owner: Harvey Bullen											
6) Continued monitoring of risk mitigation progress for recovery risks. Action Owner: Programme Board and Risk Management Officer											
7) Identifying nuanced implications of pupils back at school and working to ensure that all aspects of this are managed. Action Owner: Chris Snudden											
8) To ensure that children with disabilities (CWD) and their families are able to access short breaks to prevent family breakdown or potential harm to vulnerable children.											
Progress update											

## Progress update

- 1) Communications continue to go out to all staff advising on how to seek further guidance issued by Public Health England. External communications to third parties are reviewed to ensure that external communications as well as internal communications are consistent. Communications are providing reassurance of the Council's response to COVID-19, contributing to the support structure, and demonstrating leadership. Members are receiving a Members Briefing document. In line with cases rising nationally and a subsequent second national lockdown, communications have been launched to further help to stop the spread of COVID-19 in Norfolk, encouraging people to stay at home as much as possible to protect ourselves, protect others and protect Norfolk.
- 2) NCC approach from 19th July (national roadmap stage 4) has been agreed by Exec Directors and Directors Ops groups. A cautious approach will continue with office-based staff continue to work at home wherever possible and public facing services only opening up where necessary for business, financial, education, wellbeing and safeguarding reasons. Risk assessments for these services will be reviewed with core requirements of ventilation, cleaning, personal hygiene and face coverings remaining. A respectful approach to distancing will continue where possible. All staff continue to receive guidance on safe working that follow this approach, including the use of personal protective equipment provided for staff delivering face to face services. The Health and Safety team continue to issue regular communications and provide wellbeing support to ensure people have access to any mental health support they may need including Norfolk Support Line, Mental Health First Aid Champions, wellbeing officers, and online e-Learning on personal resilience, all of which are available to staff. Support channels continue to be widely communicated to staff. This is important to help to mitigate the risk of staff feeling isolated from prolonged home working or from the impacts of continuing to work under the pressure of the pandemic. The employee survey and team based wellbeing risk assessments provides greater insight to the wellbeing of the workforce during COVID-19. The surveys are showing an increased level of pressure being felt by staff in some teams, strategic discussions about how these can be managed and incorporated into action planning are taking place. The provision of additional well-being support has been launched through Time to Recover, an organisational wellbeing approach that draws together the organisational support available and provides additional support in 4 key areas: Time to Recognise, Time to Breathe, Time to Support and Time to Grow. This includes group sessions led by a counsellor and provision of a day of appreciation to enable staff to take a day of wellbeing for themselves without needing to use their leave to do so.
- 3) Modelling has been carried out to provide further understanding of the numbers of expected cases in Norfolk. We have also modelled to align numbers of resources to how many we think we need e.g. for social care discharges, community food distribution, and projected mortality rates. The COVID-19 epidemic curve forecasts produced at a national and regional level for mortality, hospital admissions and infection prevalence are being applied to our local population as we have done previously. This gives us scenarios around which to estimate system capacity required for testing, hospital admissions, hospital discharges and mortality. The Head of Public Health Information is reviewing the implications for Norfolk of the potential national scenarios as and when they are published.

## Progress update

4) Service delivery is being modified to adapt to the everchanging demands on services, including through online channels for those services where it is appropriate to do so. Significant work on winter planning has been carried out, including putting in place contingency plans with key providers. In relation to care homes, the Health Protection Care Provider delivery group continues to support collaboration between NCC and Norfolk & Waveney CCG and has been developed to both prevent new outbreaks in care homes and support those currently experiencing an outbreak. The Care Provider Incident Room (managed by N&W CCG) is the single point of contact for care homes to access support and advice and to report outbreaks. The Outbreak Management Team (managed by NCC) includes a Multi-disciplinary team with the ASSD Quality team working with PH consultants to manage outbreaks and to offer wrap around support to care homes. Enhanced arrangements continue to be in place for governance & oversight, infection control, testing, PPE & clinical equipment, workforce support and financial support. Business Continuity Plans across the Council continue to be reviewed to ensure they incorporate changes to service delivery. Consideration is being given to looking at how to gauge any potential capacity issues. Our critical services list is being reviewed, so we are clear about where we need to put our efforts in the event of a reduction in capacity. Key areas have recruited additional resource, including Public Health and Resilience. We continue to work as part of the Norfolk Resilience Forum (NRF), so that capacity across all agencies can be assessed (this is reviewed regularly as part of the NRF dashboard). A separate risk (RM14447) is being managed at departmental level (CES) on concurrent major disruptions to business.

5) There is financial monitoring of in-year cost to address the impact of COVID-19 within departments, with monitoring of 2020-21 spend reported to Cabinet on a monthly basis. Financial forecasting is taking place to further understand where there are likely to be areas of greater financial challenges as a result of COVID-19 beyond 2020-21. The Strategic and Financial Planning report was taken to Cabinet in October highlighting the latest assessment of significant areas of risk and uncertainty around emerging budget pressures for the 2021-22 Budget and Medium Term Financial Strategy. This paper also asked Members to consider and agree proposed savings. Public consultation will be undertaken on the 2021-22 Budget and saving proposals ahead of the budget setting meeting of Full Council in February 2021. The October paper also proposed next steps in the Budget planning process for 2021-22, including the actions required to develop further saving proposals in light of the significant uncertainty about the overall financial position. Monitoring reports will be taken to Cabinet in 2021-22.

6) Ongoing monitoring of risk mitigation progress on a weekly review through Recovery Group, with support from the Risk Management Officer.

7) Staff with children continue to show great flexibility around family needs. The Health and Safety team are working with Children's Services (CS) on the general monitoring programme, with Children's Services identifying which schools require additional support. Health and Safety are providing feedback to CS with common themes needing to be addressed.

8) CWD short breaks is one of the prioritised areas under Theme G, with additional support provided in response to growing evidence of fatigue and strain amongst families.

NB: Options are currently being developed for the re-scoping of this risk. This will be carried out in conjunction with the Resilience Policy and Framework refresh.

Risk Number	RM033					Date of update		09 August 2021		
Risk Name	Failure to receive the necessary funding or statutory approvals to enable the Norwich Western Link (NWL) project (at £198m) to be delivered to the agreed timescales (target opening by late 2025).									
Portfolio lead	Cllr. Martin Wilby					Risk Owner		Tom McCabe		
Risk Description					Date entered on risk register			21 July 2021		
<p>There is a risk that the NWL project could fail to receive funding approvals from the Department for Transport (DfT), and/or statutory approvals necessary within the necessary timescales to achieve the Orders to construct the project (related to planning consent, land acquisition, highway orders). Cause: Objection to the project (particularly related to environmental impacts) that results in either DfT or Secretary of State failing to provide the necessary approvals for the funding/Orders. Event: The scale of the project and the funding requirement from DfT (at 85%) is such that without their funding contribution, it will not be possible to deliver the project. Without the necessary Orders in place, it will not be possible to deliver the project. Effect: The benefits that the project would bring in terms of traffic relief, accommodating growth in housing and employment, economic recovery and journey time savings would not be achieved. If ultimately the project does not get constructed there is the possibility that any funding already provided by DfT would need to be repaid and that the capital expenditure up to that stage could need to be repaid from revenue funds (as there would be no capital asset to justify the use of capital funding).</p> <p>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	2	4	Sep-23	Amber
Tasks to mitigate the risk										
<p>1. Work closely with DfT to resolve any queries related to the OBC approval.</p> <p>2. Ensure programme dates for statutory approvals are achieved and submission details are legally checked.</p> <p>3. Develop strong team resource to ensure well developed submissions for statutory processes (including public inquiry) are provided.</p> <p>4. Provide regular updates to the project board to ensure any issues related to programme, cost and risk are reported.</p> <p>5. Work with Finance business partner to ensure contingency planning for costs is in place.</p>										
Progress update										
<p>1. OBC submitted to DfT for approval at end of June 2021.</p> <p>2. Programme being reviewed to ensure realistic timescales for submissions are in place (to be agreed by the project board).</p> <p>3. Resource review in progress to ensure the team structure is suited to the next phases of the project.</p> <p>4. Project board meetings in place and risk, programme, cost regularly reported.</p> <p>5. Ongoing discussions with Finance to ensure contingency planning in place.</p>										

## Risk Management Strategy

The vision for the Council's Risk Management Function is set out in the Risk Management Policy. The policy aims to inspire and focus colleagues, to unify the activity and ensure risks to the Council's objectives, 'Together, for Norfolk', are managed efficiently and effectively. Focus areas are:

- Trusted Advice
- A competent and resilient function
- Effective outcomes

The risk management values are to have, 'timely, accurate and relevant risk information to report to risk owners, portfolio holders and stakeholders to inform decision making, mitigation of risks and the residual risk appetite'.

The Executive Director of Finance and Commercial Services has responsibility for a sound risk management framework, as set out in the Constitution and relevant regulations. The Executive Director has delegated management of risk to the Assistant Director of Finance (Audit). The day-to-day management of the function rests with the Risk Management Officer. Portfolio holders and risk owners are accountable for individual risks.

The strategy will be delivered using an agile approach, supporting smarter working, remote working and office based as appropriate.

The outcomes from this strategy are framed by the themes described in our recent independent review. In June 2021, the commissioned risk management health check report was delivered. The report contains thirty recommendations, which have been categorised into operational and strategic recommendations as per the tables below for each category assessed. These have been used to help shape this risk management strategy, setting out by when we are aiming to implement each recommendation over the remainder of this financial year 2021/22.

The recommendations have been broken down to their respective categories as shown in the six tables below.

Progress against delivering each of the recommendations will be detailed in future risk management reports.

## 1. Leadership and Management

Operational Recommendations	Strategic Recommendations
1. Ensure the risk management function is adequately resourced and supported. Timeframe for implementation: ongoing	2. Consider extending role of risk coordinators to risk champions, who have a more active role in horizon scanning and holding risk owners to account. Timeframe for implementation: By end of August 2021
3. Ensure that officers who are subject-matter experts are given full management support and a voice in meetings and committees. Timeframe for implementation: ongoing	4. Risk management is a dynamic, ongoing process not a linear one which can be ended when a certain level of maturity, or success, is reached. It requires continual commitment at all levels. Timeframe for implementation: ongoing

## 2. Strategy and Policy

Operational Recommendations	Strategic Recommendations
5. Apply more information to Strategy performance measures – how are they recorded, checked and challenged? Timeframe for implementation: By end of December 2021	7. Define a clearer process for challenging or escalating risks which fall outside the current tolerance. Timeframe for implementation: By end of September 2021
6. Include risk matrix in the Appetite and Tolerance Procedure. Timeframe for implementation: By end of August 2021	
8. Undertake risk appetite awareness exercise with Members and officers to identify any major differences and enable constructive discussion Timeframe for implementation: By end of September 2021	

## 3. Processes and Tools

Operational Recommendations	Strategic Recommendations
9. Explore possibilities to make the supporting documentation more accessible and interactive. Timeframe for implementation: By end of December 2021	
10. Monitor risk rating and identify and challenge any trends of 3x3 scoring Timeframe for implementation: Ongoing	

11. Undertake regular reviews of the risk matrix and scoring criteria. Timeframe for implementation: Ongoing	
12. Use consistent terminology throughout documentation. Timeframe for implementation: By end of September 2021	
13. Raise awareness of information available and ensure people have adequate access to Teams channels, Sharepoint etc. Timeframe for implementation: By end of November 2021	
14. Review and support the roll-out of new risk register format as appropriate. Timeframe for implementation: By end of January 2022	

#### 4. Risk Handling and Assurance

Operational Recommendations	Strategic Recommendations
	15. Reinforce the need to request evidence and assurance. Delegate to risk coordinators or risk owners? Timeframe for implementation: By end of September 2021
	16. Break larger risks into themes with risk strands or risks by impact Timeframe for implementation: By end of November 2021
17. Make risk titles shorter, to highlight the theme of the risk and avoid duplication Timeframe for implementation: For existing risks: By end of September 2021. For new risks: Ongoing	
18. Ensure scores and treatments are updated when targets are changed or met Timeframe for implementation: Ongoing	
	19. Consider a Risk Forum/Group Timeframe for implementation: End of August with a view to first meeting by end of September
	20. Risk Management Officer could be invited to the Norfolk Resilience Forum.

	Timeframe for implementation: By end of July 2021 (implemented)
21. More visibility across departmental risk registers Timeframe for implementation: Ongoing	
	22. Risk owners held more accountable for updating and presenting on risks Timeframe for implementation: Ongoing

## 5. People and Training

Operational Recommendations	Strategic Recommendations
23. Update and publish risk management training when capacity allows Timeframe for implementation: By end of December 2021	
	24. Make risk training mandatory to relevant levels and/or roles Timeframe for implementation: From January 2022
	25. Introduce risk management as part of induction process Timeframe for implementation: Ongoing for new starters where risk management is a key element of their role
26. Update Training and Development Procedure to include the updated risk management training available Timeframe for implementation: By end of January 2022	
27. Wider Member training revisited Timeframe for implementation: By end of December 2021	

## 6. Partnerships, Shared Risks, and Projects

Operational Recommendations	Strategic Recommendations
28. Continue to apply lessons learnt to commercial ventures, projects, programmes Timeframe for implementation: Ongoing	



29. Conduct resilience and risk management checks of key contracts Timeframe for implementation: Ongoing	
	30. Ensure Internal Audit oversight of projects and programmes where necessary Timeframe for implementation: Ongoing

### Timetable for recommendation implementation

Month	Recommendation to be Implemented
August 2021	2, 6,
September	7, 8, 12, 15, 19
October	
November	13, 16,
December	5, 9, 23, 27,
January 2022	14, 24, 26,
February	
March	
Ongoing	1, 3, 4, 10, 11, 17, 18, 21, 22, 25, 28, 29, 30
Already Implemented	20

The key performance indicators for the service are:

Output	Measure	Frequency
Trusted advice	Stakeholders report that the service is meeting their expectations and needs.	Annual to the Cabinet
A competent and resilient function	Members and officers have appropriate risk management training and knowledge.  There are documented procedures. Any potential single points of failure are mitigated.	Quarterly reporting to the Audit Committee
Effective outcomes	Risk Management reports and advice are timely.	Quarterly to Cabinet and as required.

	Periodic independent reviews are completed.	
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# Report to Cabinet

Item No. 15

<b>Report title</b>	<b>Finance Monitoring Report 2021-22 P4: July 2021</b>
<b>Date of meeting</b>	<b>6 September 2021</b>
<b>Responsible Cabinet Member</b>	<b>Cllr Andrew Jamieson (Cabinet Member for Finance)</b>
<b>Responsible Director</b>	<b>Simon George (Executive Director of Finance and Commercial Services)</b>
<b>Is this a key decision?</b>	<b>No</b>

## Introduction from Cabinet Member

This report gives a summary of the forecast financial position for the 2021-22 Revenue and Capital Budgets, General Balances, and the Council's Reserves at 31 March 2022, together with related financial information.

## Executive Summary

Subject to mitigating actions, on a net budget of £439.094m, the forecast revenue outturn for 2021-22 at the end of period 4 (July) is **a balanced position** after taking into account use of £19.274m Covid reserves brought forward from 2020-21 to meet Covid pressures in 2021-22.

General Balances are **£23.763m** following transfers of £4.056m from non-Covid related savings and Finance General underspends at the end of 2020-21. Service reserves and provisions are forecast to total **£133.8m**.

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

## Recommendations

1. To recommend to County Council the addition of **£4.521m** to the capital programme to address capital funding requirements as set out in detail in capital Appendix 3, paragraph 4.2 as follows:
  - £2.173m for the 2021-22 Highways project for the Foundry Bridge junction funded by the Department for Transport
  - £2.348m for the 2021-22 Highways project for the St. Stephens-Red Lion-Castle Meadow funded by the Department for Transport
2. Subject to County Council approval of recommendation 1 above, to delegate:
  - 2.1) To the Director of Procurement authority to undertake the necessary procurement processes including the determination of the minimum standards and selection criteria (if any) and the award criteria; to shortlist bidders; to make provisional award decisions (in consultation with the Chief Officer responsible for each scheme); to award contracts; to

- negotiate where the procurement procedure so permits; and to terminate award procedures if necessary;
- 2.2) To the Director of Property authority (notwithstanding the limits set out at 5.13.6 and 5.13.7 of Financial Regulations) to negotiate or tender for or otherwise acquire the required land to deliver the schemes (including temporary land required for delivery of the works) and to dispose of land so acquired that is no longer required upon completion of the scheme;
- 2.3) To each responsible chief officer authority to:
- (in the case of two-stage design and build contracts) agree the price for the works upon completion of the design stage and direct that the works proceed; or alternatively direct that the works be recompeted
  - approve purchase orders, employer's instructions, compensation events or other contractual instructions necessary to effect changes in contracts that are necessitated by discoveries, unexpected ground conditions, planning conditions, requirements arising from detailed design or minor changes in scope
  - subject always to the forecast cost including works, land, fees and disbursements remaining within the agreed scheme or programme budget.
  - That the officers exercising the delegated authorities set out above shall do so in accordance with the council's Policy Framework, with the approach to Social Value in Procurement endorsed by Cabinet at its meeting of 6 July 2020, and with the approach set out in the paper entitled "Sourcing strategy for council services" approved by Policy & Resources Committee at its meeting of 16 July 2018.
3. To approve the allocation of capital receipts from the sale of Carrow House for the Norwich Western Link capital reserve. (Appendix 3 paragraph 3.6).
4. To approve the delegation of authority to the Executive Director of Adult Social Services to approve the utilisation Provider Risk and Resilience Fund (as described in Appendix 1, note 5.13) to support Adult Social Care (ASC) providers when the situation arises and in line with the criteria established for this fund.
5. To approve the delegation of the authority to the Director of Community Information and Learning in consultation with the Leader to approve the utilisation of the Council's Hardship Board fund which was set up to address the unexpected consequences of the pandemic (as described in Appendix 1, note 5.11)
6. To note the period 4 general fund forecast revenue **balanced position**, noting also that Executive Directors will continue to take measures to reduce or eliminate potential over-spends where these occur within services;
7. To note the COVID-19 funding available of **£71.280m**, including £19.274m brought forward from 2020-21;
8. To note the period 4 forecast 100% savings delivery in 2021-22, noting also that Executive Directors will continue to take measures to mitigate potential savings shortfalls through alternative savings or underspends;
9. To note the forecast General Balances at 31 March 2022 of **£23.763m**.

## **1. Background and Purpose**

- 1.1. This report and associated annexes summarise the forecast financial outturn position for 2021-22, to assist members to maintain an overview of the overall financial position of the Council.

## **2. Proposals**

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

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

- 3.1. The impact of this report is primarily to demonstrate where the Council is anticipating financial pressures not forecast at the time of budget setting, including the implications of the Covid-19 pandemic, together with a number of other key financial measures.

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

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

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

- Forecast over and under spends
- Covid-19 grant income
- Changes to the approved budget
- Reserves
- Savings

**Appendix 2** summarises the key working capital position, including:

- Treasury management
- Payment performance and debt recovery.

**Appendix 3** summarises the capital outturn position, and includes:

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

- 4.2. Additional capital funds will enable services to invest in assets and infrastructure as described in Appendix 3 section 4.

- 4.3. The use of capital receipts for the creation of a capital receipts reserve to partially fund the Norwich Western Link will reduce the borrowing need and will consequently reduce the revenue costs associated with funding the project.

## **5. Alternative Options**

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

proposed capital expenditure, no further grant or revenue funding has been identified to fund the expenditure, apart from the funding noted in Appendix 2.

## **6. Financial Implications**

- 6.1. As stated above, the forecast revenue outturn for 2021-22 at the end of P3 was a **balanced position** linked to a forecast 100% savings delivery. Forecast outturn for service reserves and provisions is **£133.8m**, and the general balances forecast remains at **£23.763m**. Funding of **£52.006m** is forecast to be received in the year to off-set additional expenditure occurred as a result of the Covid-19 pandemic. When added to £19.274m Covid reserves brought forward the total Covid funding available is **£71.280m**.
- 6.2. Overall, service net pressures have been offset by underspends and a balanced position is anticipated. A narrative by service is given in Appendix 1.
- 6.3. The Council's capital programme is based on schemes approved by County Council on February 2021, including previously approved schemes brought forward and new schemes subsequently approved.

## **7. Resource Implications**

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

## **8. Other Implications**

### **8.1. Legal Implications**

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

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

None identified.

### **8.3. Equality Impact Assessment**

In setting the 2021-22 budget, the council has undertaken public consultation and produced equality and rural impact assessments in relation to the 2021-22 Budget. An overall summary Equality and rural impact assessment report is included on page 284 of the Monday 22 February 2021 Norfolk County Council agenda. [CMIS > Meetings](#)

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

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

### **8.4 Data Protection Impact Assessments (DPIA)**

DPIA is not required as the data reported in this paper does not drill down to the personal data level.

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

- 9.1. Corporate risks continue to be assessed and reported on a quarterly basis to both Cabinet and the Audit Committee. The Council's key financial based corporate risk (RM002 - The potential risk of failure to manage significant reductions in local and national income streams) has been reviewed and refreshed in February 2021 to incorporate the 2021/22 budget and medium term financial strategy 2021/22 - 2024/25 being set. Key risk mitigations include amongst others regular (monthly) financial reporting to Cabinet, working to the Medium Term Financial Strategy and setting robust budgets within available resources.
- 9.2. Unlike many other parts of the public sector such as the NHS, local authorities are required by law to set a balanced budget. As part of their duties, the Executive Director of Finance and Commercial Services has a responsibility to report to members if it appears to him that the authority will not have sufficient resources to finance its expenditure for the financial year. While not underestimating the continued severity of the current crisis on Council's finances, the Executive Director of Finance and Commercial Services believes a balanced budget will be achieved in 2021-22.

## **10. Select Committee comments**

- 10.1. None

## **11. Recommendation**

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

## **12. Background Papers**

- 12.1. Summary Equality and rural impact assessment [CMIS > Meetings](#) page 284

## **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.

## Appendix 1: 2021-22 Revenue Finance Monitoring Report Month 4

Report by the Executive Director of Finance and Commercial Services

### 1 Introduction

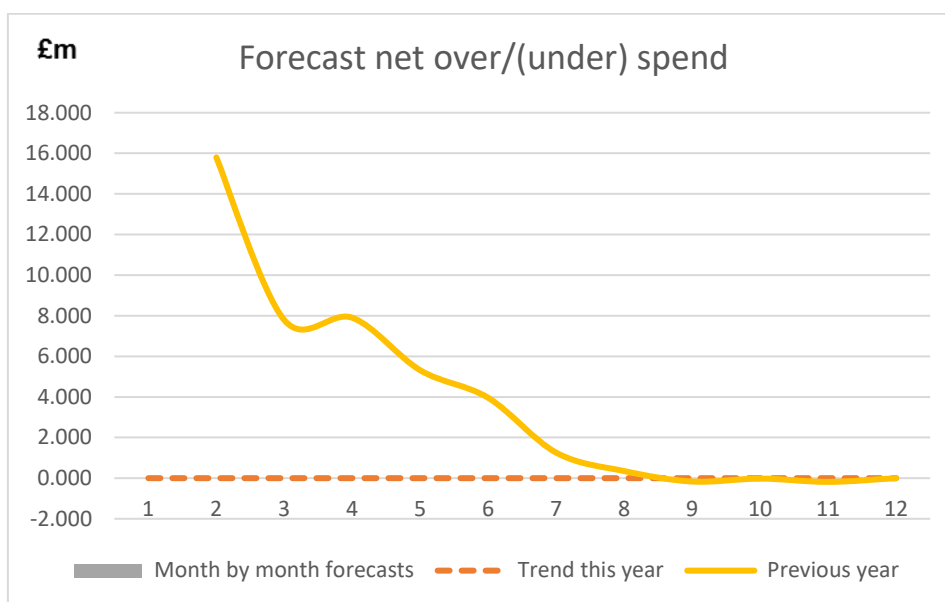
1.1 This report gives details of:

- the P4 monitoring position for the 2021-22 Revenue Budget
- additional financial information relating to the Covid-19 pandemic
- forecast General Balances and Reserves at 31 March 2022 and
- other key information relating to the overall financial position of the Council.

### 2 Revenue outturn – over/(under)spends

2.1 **At the end of July 2021**, a balanced position is forecast on a net budget of £439.094m.

Chart 1: forecast /actual revenue outturn 2021-22, month by month trend:



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



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

**Table 1: 2021-22 forecast (under)/overspends by service**

Service	Revised Budget	Cost Pressures	(Under spends/ Savings)	Earmarked Reserves & Provisions Utilised	Net (under)/ overspend	%	RAG
	£m		£m		£m		
Adult Social Care	252.550	24.901	0.000	(24.901)	0	0%	G
Children's Services	178.886	5.285	0.000	(5.285)	0	0%	G
Community and Environmental Services	158.290	1.307	0.000	(1.307)	0	0%	G
Strategy and Transformation	8.439	0.283	0.000	(0.283)	0	0%	G
Governance Department	1.887	0.000	0.000	0.000	0	0%	G
Finance and Commercial Services	32.335	0.439	0.000	(0.439)	0	0%	G
Finance General	-193.293	1.902	(0.511)	(1.391)	0	0%	G
<b>Total</b>	<b>439.094</b>	<b>34.117</b>	<b>(0.511)</b>	<b>(33.606)</b>	<b>0</b>	<b>0%</b>	<b>G</b>

Notes:

- 1) the RAG ratings are subjective and account for the risk and both the relative (%) and absolute (£m) impact of overspends.
- 2) Earmarked reserves and provisions were set aside in 2020-21 in order to meet and fund additional pressures in 2021-22.

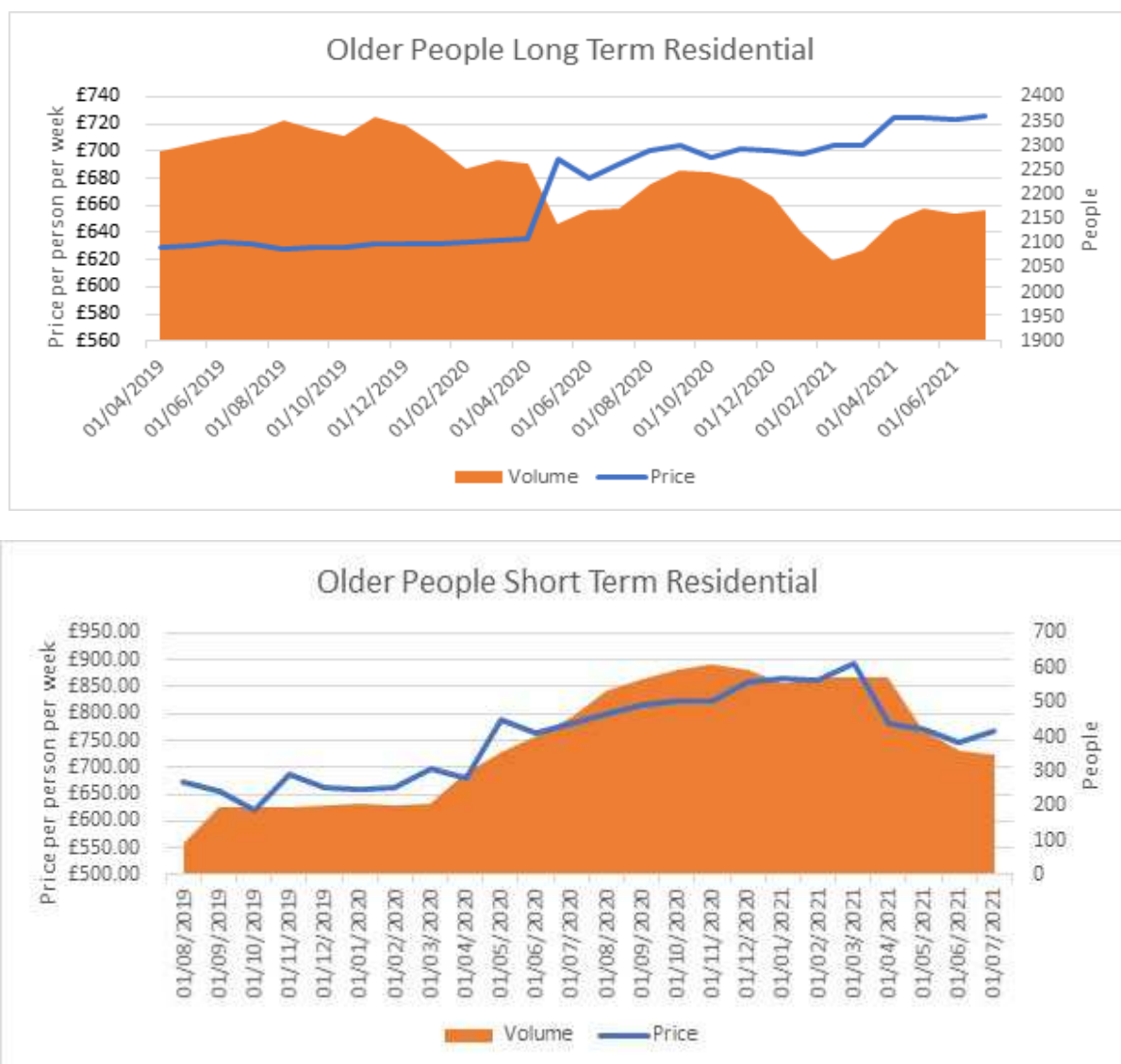
- 2.4 **Children's Services:** The forecast outturn as at Period 4 (end of July 2021) is an overspend of £5.285m, particularly in demand-led budgets, offset by use of reserves, resulting in an overall breakeven position. Having completed a third of the financial year, pressures are beginning to crystallise though significant uncertainty remains, which is compounded by the unknown ongoing impact of the pandemic.
- 2.5 The demand-led budgets under greatest concern are the external residential social care placements and home to school transport.
- 2.6 As previously reported, the former is under pressure due to a combination of the number of places required, the rising complexity of need for vulnerable adolescents, and market forces favouring suppliers of provision. The number of places required since the start of the financial year is because of both the level of need and the availability of foster carers, which has been impacted by the pandemic. Additionally, there has been increasing pressure on the leaving care budget, including where post-18s continue to need to be supported due to needs and/or the challenge of securing suitable housing exacerbated by the pandemic. At this stage, the forecast overspend is expected to be met through a corresponding contribution from Children's Services Business Risk Reserve.
- 2.7 The transport budget pressure is particularly due to the number of children and young people with high special educational needs and disabilities that need individual and/or high-cost assistance to travel to and from school. Since schools returned in April, NCC has seen a significant increase in demand for Education, Health and Care Plans and for specialist school provision; this results in increasing demand for transport.

The forecast is in line with the pressure anticipated for this year when contributions were made to the Transport Equalisation Reserves at the end of the 2020-21 financial year; the use of these reserves has forecast to mitigate this overspend at this stage.

- 2.8 Management action is being taken within the department to reduce these risks, wherever possible. Any impact upon future years' budgets is being kept under close review ahead of the 2022-23 Budget Planning process. The service also continues to presume the use of reserves to cover committed expenditure that slipped from 2020-21 due to the pandemic.
- 2.9 Given the current national context, there continues to be significant influences beyond the Council's control that make delivery of the transformation programme (and, therefore, savings) difficult in light of the ongoing recovery work, ongoing Covid-related impacts including self-isolation of staff, surges in demands and any further Covid waves that may bring further restrictions and / or new scenarios to manage. These risks are continuing to be kept under close review.
- 2.10 **Adult Social Services:** The forecast outturn as at Period 4 (end of July 2021) is a balanced position after one-off reserve utilisation. With Adult Social Care (ASC) being a demand led service, the budget to provide it always operates under a degree of uncertainty. This has never been more apparent than in the last 12 months and is likely to continue for at least the remainder of this financial year. As reported throughout 2020/21, Covid-19 had a detrimental effect on the pace and scale of the ASC transformation programme. This therefore resulted in a shortfall in savings delivery which is still creating a legacy pressure against the department budget. At this time there is a risk that ASC will not be able to catch-up on the 2020/21 savings whilst also delivering against the new 2021/22 savings. During 2020/21 the department recognised the risk to 2021/22 budgets and built up a level of reserves in order to mitigate the risk.
- 2.11 The ASC service continues to be under immense pressure, with demands for services creating particular system and capacity constraints. We have seen a substantial increase in weekly referrals during the last quarter. Whilst over the last 2 years we had successfully reduced holding lists, the recent volume increases during the last 12 months has meant a 33% increase in our holding lists – now at 1900 people. These lists are constantly monitored and prioritised to enable risk to be managed. Furthermore, since November 2020 we have seen a significant rise in the level of completed S42 (Care Act 2014) safeguarding enquiries. Equally, the pressure facing our partners in the health system has meant discharge referrals from hospital into the Home First Hubs have increased by over 100% more than the staffing and commissioning capacity. We continue to work with members of Norfolk's Health and Care system to manage this demand. At the same time, the pressure on hospital discharge is felt by our care market. Intelligence provided by the market indicates that the level of acuity upon discharge is higher than previously experienced. Moreover, our care providers ability to recruit and retain staff, especially in services such as home support, is under strain at this time and will clearly limit capacity. For Home Support, since July 2020, we have seen a 35% increase in care vacancies, and in our care homes, a 14% increase in the last 3 months alone. As a result, during the last 18 months we've experienced a significant increase in care prices, with this peaking during the height of the pandemic at a near 25% unit price increase, alongside a 400% rise in our usage of short term residential care. Internally our own provider, Norfolk First Response, have also experienced a near doubling of requests for Reablement support directly from a hospital discharge.

- 2.12 What the preceding paragraph means is our ASC budget, in particular the Older People Purchase of Care budget, continues to be under pressure. For our care purchasing budgets, whilst the pandemic has, in the short term, resulted in some reduced demand for services such as long term residential care (see Graph 1), overall we have still seen a 3% rise in demand for long term care, within which is a 13% rise in older people needing to access these services. We continue to give focus to our utilisation of short-term residential care beds and are seeing some positive results in reducing our dependence upon them. However, a high proportion of those previously in receipt of short term bedded care have converted into long term need. Of course, for the Health and Care system, the winter seasonal peak in demand will soon be upon us, and capacity planning is underway to manage this in the most cost-effective way possible.

Graph 1 & 2: Example of Older People care volume and price spikes over last 18 months.



- 2.13 In order to meet current demand levels and balance both Covid recovery and service transformation, the department has needed to continue with both its recruitment drive and focus on staff retention. This means that some of our staff budgets that have historically underspent (due to vacancies) may well be under pressure. We recognised that 2021/22 would likely be a difficult financial year and built an adequate reserve balance to manage any presenting risk. Whilst still relatively early in the financial year, as at period 4, the ASC department is forecasting an underlying overspend of £1m, mitigated by one-off utilisation of Business Risk reserves. The

ASC reserve forecast (Table 3, section 4.3) therefore reflects this planned reserve utilisation. The department recognises the one-off nature of reserve utilisation and therefore for both ASC, and the wider Council, it will be critical that the service is supported to manage the presenting risks before heading into the 2022-26 Medium Term Financial Strategy (MTFS) cycle.

- 2.14 **CES:** we are currently forecasting a balanced outturn position after the use of the business risk reserve, historically CES budgets have been fairly stable throughout the year, however the impact of the pandemic has added a degree of uncertainty to the budgets, specifically around income generation.
- 2.15 There is a significant uncertainty in relation to the impacts on income. We are currently forecasting pressures around income within Museums, libraries and On-street parking. Overall, the position will be mitigated through the Local government income compensation scheme for lost sales, fees and charges and the use of the business risk reserve.
- 2.16 The department is also reviewing the additional costs of reopening services to ensure that they are available to the public and operating within the government guidelines.
- 2.17 **Corporate services:** The Strategy and Transformation, Governance and Finance and Commercial Services directorates are forecasting a balanced position, making use of Covid reserves brought forward from 2021-22 where appropriate.
- 2.18 **Finance General:** A balanced budget is forecast in Finance General at Period 4 (end of July 2021). The forecast overspend of £1.902m resulting from on-going Covid related PPE, staff and premises costs are balanced by forecast underspends in interest payable costs £0.312 being less than budgeted due to the timing of borrowing and sustained low interest rates on new borrowing. Other forecast underspends include £0.1m reduction in member travel and allowances, and the £0.1m Council's pension AVC salary sacrifice scheme. The remaining £1.391m overspend is being mitigated by COVID reserves as set out in Appendix 1: Revenue Annex 1
- 2.19 The forecast assumes use of £19.274m Covid reserves brought forward from 2020-21 to mitigate Covid related expenditure where appropriate and necessary to maintain a balanced budget. We are assuming that the combination of Covid grants and reserves will be sufficient to cover additional cost pressures, but at this early stage of the year the extent of cost pressures may still change.
- 2.20 Further details are given in Appendix 1: Revenue Annex 1.

### 3 Approved budget, changes and variations

- 3.1 The 2021-22 budget was agreed by Council on 22 February 2021 and is summarised by service in the Council's Budget Book 2021-22 (page 17) as follows:

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

Service	Approved net base budget	Revised budget P4
	£m	£m
Adult Social Care	252.550	252.550
Children's Services	178.886	178.886
Community and Environmental Services	158.307	158.290
Strategy and Transformation	8.422	8.439
Governance Department	1.904	1.887
Finance and Commercial Services	32.235	32.335
Finance General	-193.210	-193.293
<b>Total</b>	<b>439.094</b>	<b>439.094</b>

Note: this table may contain rounding differences.

- 3.2 In July 21, there were some minor budget transfers between services, however the Council's net budget for 2021-22 remains unchanged.

### 4 General balances and reserves

#### General balances

- 4.1 At its meeting on 22 February 2021, the County Council agreed a minimum level of general balances of £19.706m in 2021-22. The balance at 1 April 2021 was **£23.763m** following transfers of £4.056m from non-Covid related savings and Finance General underspends at the end of 2020-21. The forecast for 31 March 2022 is unchanged, before any over/(under)spends.

#### Reserves and provisions 2021-22

- 4.2 The use of reserves anticipated at the time of budget setting was based on reserves balances anticipated in January 2021. Actual balances at the end of March 2021 were higher than planned, mainly as a result of grants being carried forward, including Covid-19 support grants, and reserves use being deferred.
- 4.3 The 2021-22 budget was approved based on a closing reserves and provisions (excluding DSG reserves) of £111.8m at 31 March 2022. This, and the latest forecasts are as follows.

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

Reserves and provisions by service	Actual balances 1 April 2021(1)	Increase in March 2021 balances after budget setting	2021-22 Budget book forecast March 2022	Latest forecast balances 31 March 2022
	£m	£m	£m	£m
Adult Social Services	38.611	16.836	14.102	13.129
Children's Services (inc schools, excl LMS/DSG)	17.412	8.953	5.832	8.410
Community and Environmental Services	54.223	12.274	49.780	55.841
Strategy and Transformation	1.892	0.529	1.265	1.349
Governance	2.119	0.236	0.908	1.129
Finance & Commercial Services	4.628	1.340	1.872	1.915
Finance General	39.255	6.172	30.739	37.863
Schools LMS balances	17.018	4.204	7.308	14.183
<b>Reserves and Provisions including LMS</b>	<b>175.158</b>	<b>50.544</b>	<b>111.806</b>	<b>133.819</b>
<b>DSG Reserve (negative)</b>	<b>-31.797</b>	<b>-0.834</b>	<b>-34.355</b>	<b>-45.297</b>

- 4.4 Covid grants and other grants and contributions brought forward as at 31 March 2021 resulted in reserves and provisions being £50.5m higher than had been assumed at the time of budget setting. However, it is assumed that the majority of these reserves will be used for service provision during 2021-22. As a result, the latest forecast net total for reserves and provisions at 31 March 2022 is approximately £22m higher than was assumed at the time of budget setting.
- 4.5 **Dedicated Schools Grant (DSG):** The latest forecast DSG Reserve is based on the latest modelling of the Dedicated Schools Grant (DSG) Recovery Plan after the 2020-21 outturn. The forecast is for an in-year deficit of £13.5 m overspend as at the end of March 2022 which increases the DSG Reserve to £45.3m as at 31 March 2022. The forecast overspend is due to the High Needs Block, with all other Blocks forecast to break-even at this early stage. This compares to a budgeted deficit of £8.635m.
- 4.6 The areas of significant cost pressure are independent school placements, post-16 provision and maintained special school placements. There has been further increase in demand coupled with an uplift in the price of independent special school provision placements. At this stage it is anticipated that this increased demand will exceed the growth built into the budget. This contributes to the £13.5m overspend forecast for the 2021-22 financial year. These budgets will continue to be kept under close review given the demand-led nature of these budgets and the statutory duties of the local authority to meet the education needs of the children and young people with high special educational needs.
- 4.7 In addition, a thorough review is underway of the demand upon the 'invest-to-save' support for Early Intervention Special Educational Needs (SEN) Funding. This funding is specified to support individual children, to enable needs to be met and to prevent the escalation of needs (and subsequent potential move to more costly, specialist places). As the pandemic restrictions ease, there has been a significant increase in applications for this support and this could result in increased spend in future months. This will be kept under close review, but it should be noted that

additional spend on these budgets should mitigate pressures on maintained special school and independent school placements.

- 4.8 Despite the pandemic, significant work by the NCC, Norfolk Schools Forum and the wider system continues to take place as part of the Children's Services Transformation Programme both to ensure that the right specialist provision is in the right place to meet needs (i.e. the capital investment), whilst also progressing work to transform how the whole system supports additional needs within mainstream provision
- 4.9 The previous forecast position was shared with Norfolk Schools Forum at their May meeting, in line with DfE expectations and feedback from the Forum continues to be sought. Additionally, that position was shared with the DfE in July in line with their requests for periodic update. As part of the DfE's ongoing monitoring where a local authority is carrying a cumulative deficit, it is anticipated that there will be a follow up meeting with representatives from the DfE early in the Autumn term.
- 4.10 Sustainable funding for the HNB continues to be pursued and NCC recently responded to a DfE consultation regarding revising the historical basis for the national funding formula for HNB; this consultation suggested that Norfolk has been under-funded for a number of years and, even if the proposals are implemented, will continue to be under funded due to a capping system. We have now received the provisional DSG allocations for 2022-23 that includes the outcome of this consultation; unfortunately, for Norfolk the final historical adjustment has been capped at a lower level than the consultation, meaning that level of under-funding for Norfolk continues and is exacerbated.

**4.11 Provisions included in the table above**

The table above includes forecast provisions of £30.999m comprising

- £10.0m insurance provision,
- £12.6m landfill provision (this provision is not cash backed),
- £5.389m provisions for bad debts,
- £2.996m business rates appeals provision, and
- a small number of payroll related provisions.

## 5 Covid-19 financial implications

5.1 Details of central government funding announcements and forecast Covid-19 pressures are set out below.

5.2 Covid-19 funding forecasted to date is as follows:

**Table 4a: Covid-19 funding**

<b>Funding</b>	<b>Actual/forecast 2021-22 £m</b>
<b>Covid reserves brought forward</b>	
Home to School and College Transport Funding carried forward	0.598
Local Outbreak Control: test and trace service support grant carried forward	1.271
Contain Outbreak Management Fund carried forward	14.389
Community Testing Funding carried forward	0.050
Clinically Extremely Vulnerable Funding carried forward	2.420
Wellbeing for Education Recovery Grant carried forward	0.037
Holiday Activity Fund Grant carried forward	0.018
Norfolk Assistance Scheme Reserve	0.491
<b>Use of funding brought forward from 2020-21</b>	<b>19.274</b>
COVID-19 MHCLG Grant Tranche 5	18.892
Infection Control Fund	3.860
Infection Control and Testing Fund	4.755
Home to School and College Transport Funding	0.245
Contain Outbreak Management Fund	4.859
Wellbeing for Education Recovery Grant	0.125
Covid Winter Grant Scheme	0.644
COVID Local Support Grant	2.579
Adult Social Care Rapid Testing Fund	2.535
Holiday Activity Fund Grant	2.389
Covid-19 Bus Services Support Grant	1.521
Funding for Travel Demand Management	0.117
Fire Home Office Grant	0.192
Hospital Discharge funding	6.210
Sales, fees and charges compensation	1.687
Furlough Income (non-schools)	0.197
Practical Support for Self-Isolation Grant	1.200
<b>Funding forecast in 2021-22</b>	<b>52.006</b>
<b>Funding for 2021-22</b>	<b>71.280</b>

### ***New / confirmed funding***

5.3 The majority of funding above is a continuation of funding streams first received in 2020-21. New funding sources include:

5.4 **Hospital Discharge Funding:** £6.210m agreed funding from Norfolk & Waveney CCG to cover the hospital discharge costs incurred by NCC for Adult Social Care up until 30 September 2021. We still do not have any notification of the potential funding available to all Integrated Care Systems to fund Discharge to Assess beyond September 2021. We have in the latest period, with our N&W CCG, submitted an



economic case to NHS England and Improvement (NHSEI) for additional funding to cover the discharge costs for the up to 4 week period that may occur in October 2021 relating to discharges to 30<sup>th</sup> September.

- 5.5 **Wellbeing for education recovery:** on 10 June 2021 the Department for Education (DfE) has published the 2021-22 grant determination on the wellbeing for education recovery grant. The wellbeing for education recovery project will provide additional support to state-funded schools and colleges to enable education staff to support the wellbeing and mental health of pupils and students during the COVID-19 recovery period. Norfolk's 2021-22 allocation is £0.125m.
- 5.6 An additional element of cost mitigation included in forecast over and underspends is the Government's **Coronavirus Job Retention Scheme**. While the scheme has not been used to duplicate other sources of public funding, such as the Covid-19 support grants, the government has recognised that there are exceptional cases where, for example, Local Authorities have needed to close venues such as museums and registry offices. Claims for the period from April 2021 to the end of July 2021 totalled £0.218m, including £0.021m in respect of schools.
- 5.7 **Funding for bus services:** on 6 July 2021 the Transport Secretary announced new funding of £226.5m for bus operators to ensure they continue to run services as COVID-19 restrictions are lifted and passenger numbers begin to return in higher numbers. This funding covers the period September 21 to April 22 and replaces the COVID-19 Bus Service Support Grant which ends on 31 August 2021. Norfolk's 2021-22 allocation will be announced in due course.
- 5.8 **Infection Control and Testing Fund:** on 1 July 2021 the Department of Health and Social Care (DHSC) published guidance on the extension to the Infection Control and Testing Fund until September 2021. This fund is aimed at supporting care providers to reduce the rate of transmission of COVID-19 within and between care settings and to re-enable close contact visiting for adults in care settings. Norfolk's allocation is £4.755m
- 5.9 **Covid local support grant (CLSG):** On 21 June 2021 the Council received notification from the DWP that COVID grant support for vulnerable families is to continue until 30 September 2021. The grant is to provide support to upper tier local authorities in England to provide support to children and households who are experiencing, or at risk of experiencing, poverty, where they are impacted by the ongoing public health emergency and where alternative sources of assistance may be unavailable. Of the additional £160m made available nationally, Norfolk's allocation is £2.579m.
- 5.10 **Practical Support for Self-Isolation Grant:** The Council is expecting six months funding from the DHSC to provide practical support for those self-isolating. Funding received for April to June totals £0.598m, with a July allocation of £0.241m confirmed for Norfolk.

### **Other funding**

- 5.11 The Council's Hardship Board has been in place since December 2020 and has dealt with previous allocations of this grant. The Hardship Board includes officers from all service departments, it was set up to address the unexpected consequences of the

pandemic. Due to the short notice around the latest grant announcement, and the limited timeframe covered by the grant, the Hardship Board will continue deal with this allocation and a recommendation is made in this report to delegate future decisions relating to the use of this grant to the Director of Community Information and Learning, in consultation with the Leader.

- 5.12 **Local government income compensation scheme for lost sales, fees and charges:** MHCLG have confirmed the extension to the Sales, Fees and Charges Scheme, into the first three months of 2021/22. The compensation is expected to be subject to the same deductions as 2020-21 based on a 5% budget absorption and the 75 pence in every pound of loss thereafter) and be based on profiled budgets to reflect seasonality of income. The council will submit a claim for this period after MHCLG issue guidance around the extended scheme, this is expected to be published in early September 2021. Early forecast indicates the council can expect to receive grant of £1.687m from government to compensate for lost income. Updates to this forecast will be included in future period monitoring when the amount claimed is known.
- 5.13 **Support to the Care Market:** Within the Finance reports to Cabinet in June 2020 and October 2020, it was described how Adult Social Services and Children's Services were utilising some of the Covid grant provided to the Council in order to support their respective Care Provider markets. For Adult Social Services, delegated authority was afforded to the Cabinet Member for Adult Social Services, Prevention and Public Health to approve any subsequent payments to the end of the financial year. Within the October 2020 Cabinet Report, we described how automatic premium covid payments to Care Providers would cease, and we were to take a more proactive approach using intelligence we would gather about our providers. In doing this we would be more targeted in our support of Care Providers experiencing financial risk as a result of the pandemic. We have now formalised this process and ringfenced funding within the existing Covid funding already allocated to Adult Social Services. In creating the "Provider Risk and Resilience Fund" we seek Cabinet approval for delegation to the Executive Director of Adult Social Services to enable us to utilise this limited funding when the situation arises and when the Care Provider meets the criteria established for this fund.

### **Covid-19 related cost pressures**

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

**Table 4b: Covid-19 cost pressures**

<b>Table 4b: Covid-19 cost pressures</b>	<b>Adult Social Services</b>	<b>Children's Services</b>	<b>Community and Environmental Services</b>	<b>Strategy and Transformation</b>	<b>Governance</b>	<b>Finance and Commercial Services</b>	<b>Finance General</b>	<b>Total</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
<b>2021-22 Covid-19 cost pressures</b>	<b>40.051</b>	<b>5.899</b>	<b>29.091</b>	<b>0.000</b>	<b>0.942</b>	<b>0.499</b>	<b>5.658</b>	<b>82.140</b>
Use of funding brought forward from 2020-21	0.000	-0.653	-18.130	0.000	0.000	0.000	-0.491	<b>-19.274</b>
2021-22 Grants and funding	-17.613	-3.636	-8.410	0.000	-0.020	-0.174	-22.153	<b>-52.006</b>
2021-22 Covid-19 Funding	<b>-17.613</b>	<b>-4.289</b>	<b>-26.540</b>	<b>0.000</b>	<b>-0.020</b>	<b>-0.174</b>	<b>-22.644</b>	<b>-71.280</b>
<b>Net pressure</b>	<b>22.438</b>	<b>1.610</b>	<b>2.551</b>	<b>0.000</b>	<b>0.922</b>	<b>0.325</b>	<b>-16.986</b>	<b>10.860</b>

5.15 The forecast net Covid cost pressure position reflects ongoing pressures and costs throughout 2021-22 in areas such as testing, infection control and the hospital discharge programme. Funding allocations for infection control and testing, and hospital discharge funding have only been confirmed to the end of September, resulting in a net forecast Covid cost pressure of £10.860m. If additional income is received for the period October 21 to March 22, the net cost pressure will reduce. If additional income is not received consideration will need to be given to the approach taken allowing for the impact on market sustainability and the health and care system.

### **Other pressures**

5.16 A particular risk relates to Business Rates and Council Tax income. This has been taken into account during 2021-22 budget setting. To assist future budgeting, the government has allowed Council's to spread their tax deficits over 3 years rather than the usual one year

5.17 The costs and income pressure relating to Covid-19 vary from the overall Council forecast balanced budget position shown in this report. This is due to non-Covid-19 related actions put in place by Chief Officers to mitigate the financial impacts of the pandemic.

## 6 Budget savings 2021-22 summary

- 6.1 In setting its 2021-22 Budget, the County Council agreed net savings of £41.179m. Details of all budgeted savings can be found in the 2021-22 Budget Book. A summary of the total savings forecast to be delivered is provided in this section.
- 6.2 The latest monitoring reflects total forecast full savings delivery of £41.179m at year end.
- 6.3 The forecast savings delivery is anticipated as shown in the table below:

Table 5: Analysis of 2021-22 savings forecast

	Adult Social Services	Children's Services	Community and Environmental Services	Strategy and Transformation	Governance	Finance and Commercial Services	Finance General	Total
	£m	£m	£m	£m	£m	£m	£m	£m
Budget savings	17.858	11.300	8.288	0.553	0.353	1.927	0.900	<b>41.179</b>
Period 4 forecast savings	17.858	11.300	8.288	0.553	0.353	1.927	0.900	<b>41.179</b>
Savings shortfall (net)	0.000	0.000	0.000	0.000	0.000	0.000	0.000	<b>0.000</b>

### Commentary on savings risk areas

- 6.4 All departments are currently forecasting no variance on the delivery of planned 2021-22 budget savings. Some saving programmes have highlighted risk areas which will need to be kept under review. Any updates to the forecast delivery of savings will be included in future monitoring to Cabinet.

### Adult Social Services

- 6.5 Adult Social Services are presently forecasting to deliver all 2021/22 savings, but significant risks exist. This may well mean in future periods some of the following savings need to have adverse forecasts applied to them, in particular ASS015, should future Hospital Discharge Funding from government not present itself. As conveyed in the revenue section of this report, Adult Social Services will likely struggle to deliver the previous year's (2020/21) savings shortfall whilst also delivering the present year savings.
- 6.6 ASC036 Maximising potential through digital solutions £2.000m: Elements which are uncertain are those relating to flexible and mobile working - in response to Covid-19 teams are now operating differently and benefits previously identified are not likely to be realised, and the Ebrokerage system - has not progressed due to Covid-19. These items may be mitigated by other digital savings including contract management which are currently being investigated.
- 6.7 ASS015 Revising the short term out of hospital offer £3.670m: Covid-19 impact and the demand for short term residential care has resulted in higher volumes. The length

of stay in short-term beds has also increased. The uncertainty around the hospital discharge funding for the second half of the financial year is also a risk to saving delivery. Further work is to be undertaken to better understand the flow through each of the hospital discharge pathways of the Discharge to Assess process and the impact that will have on social care costs.

- 6.8 ASS024 Contract renegotiation - Ensuring the requirements of commissioners are reflected in the Norsecare contract £2.000m: Level of risk associated with this saving until the outcome of the transformation plans are known and upcoming risk conversations have been held.

### **Children's Services**

- 6.9 At this stage it is anticipated that all budgeted savings within Children's Services will be delivered in 2021-22, although it should be noted that there are significant stresses within the system due to the ongoing impact of the pandemic that are diverting resources away from the transformation programme. These significant influences are beyond the Council's control and continue to make delivery of the transformation programme (and, therefore, savings) difficult considering the ongoing recovery work, ongoing direct Covid-related impacts including self-isolation of staff, potential surge in demand and further waves. Therefore, expected delivery of savings will continue to be kept under close review.

### **2022-23 to 2024-25 savings**

- 6.10 Budget setting in 2021-22 saw the approval of £2.245m savings for 2022-23, £1.600m for 2023-24 and £2.500m savings for 2024-25. Any impact on the deliverability of these savings, including any 2021-22 savings that are permanently undeliverable, will be considered as part of the budget setting process for 2022-26.

## Forecast revenue outturn

## Revenue outturn by service

The forecast net balanced budget 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	Revised Budget	Overspend	Under spend	Forecast net spend
		£m	£m	
Purchase of Care		12.365		
Commissioned Services		0.605		
Community Social Work		0.075		
Business Development		0.172		
Early Help & Prevention		0.006		
Community Health & Social Care		0.235		
Management, Finance & HR			-3.720	
Use of Business Risk Reserve			-9.738	
<b>Forecast over / (under) spends</b>		<b>13.458</b>	<b>-13.458</b>	
<b>Net total</b>	<b>252.550</b>		<b>0</b>	<b>252.550</b>
<i>The underlying over and underspends above excludes the planned use of ASC reserves built into the 2021-22 budget</i>				
<b>Children's Services</b>				
Social Care		4.000		
Learning and Inclusion		1.285		
Use of Children's Services Business Risk Reserves			-4.000	
Use of Transport Equalisation Risk Reserves			-1.285	
<b>Forecast over / (under) spends</b>		<b>5.285</b>	<b>-5.285</b>	
<b>Net total</b>	<b>178.886</b>		<b>0</b>	<b>178.886</b>
<b>Dedicated schools grant</b>				
High Needs Block		13.500		
Increase in net deficit to be carried forward			-13.500	
<b>Forecast over / (under) spend</b>		<b>13.500</b>	<b>-13.500</b>	
<b>Net total (DSG Reserve)</b>	<b>-31.797</b>		<b>-13.500</b>	<b>-45.297</b>

	Revised Budget	Overspend	Under spend	Forecast net spend
<b>Community and Environmental Services</b>				
Museums – Forecast Loss of income		0.699		
Libraries Loss of income		0.208		
On-street Parking income		0.400		
Use of Business risk reserve			-1.307	
<b>Forecast over / (Under) spend</b>		<b>1.307</b>	<b>-1.307</b>	
<b>Net total</b>	<b>158.290</b>		<b>0</b>	<b>158.290</b>
<b>Strategy and Transformation</b>	<b>8.422</b>			<b>8.422</b>
<i>No forecast net service over / (under) spends</i>				
<b>Governance</b>				
Election costs		0.975		
Use of Election Costs reserves			-0.975	
<b>Forecast over / (under) spend</b>		<b>0.975</b>	<b>-0.975</b>	
<b>Net Total</b>	<b>1.904</b>		<b>0</b>	<b>1.904</b>
<b>Finance and Commercial Services</b>	<b>32.235</b>			<b>32.235</b>
<i>No forecast net service over / (under) spends</i>				
<b>Finance General (see below for narrative)</b>				
Covid-19 additional costs		1.902		
Members travel and allowances			-0.098	
Pension AVC Salary Sacrifice scheme			-0.101	
Interest on balances – <i>updated interest payable forecasts for external borrowing taken earlier in the year to secure lower fixed interest rates</i>			-0.312	
Use of COVID reserves			-1.391	
<b>Forecast over / (under) spend</b>		<b>1.902</b>	<b>-1.902</b>	
<b>Net total</b>	<b>-193.210</b>			<b>193.210</b>
<b>TOTAL</b>	<b>439.094</b>			<b>439.094</b>

## Revenue Annex 2

### Impact of Covid-19 – forecast cost pressures

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

	<b>2021-22 Forecast £m</b>
<b><u>Identified / forecast costs</u></b>	
<b>Adult Social Care</b>	
Support for people experiencing domestic abuse	0.050
Provider support payments to cover liquidity/sustainability issues and any additional costs where not specifically related to a person's changing care needs	2.770
Savings Risk Mitigation and Covid Recovery	0.750
Weekend or Overtime staff costs	0.196
Additional Capacity	1.814
Adult Social Care remote working costs	0.075
Adult Social Care Voluntary Sector	0.016
Hospital Discharge Programme	16.807
Full use of Infection Control funding	10.421
Full use of Adult Social Care Rapid Testing Fund	7.113
Full use of Workforce Capacity Fund for Adult Social Care	0.040
<b>Adult Social Care Total</b>	<b>40.051</b>
<b>Children's Services</b>	
Loss of income - Children's Services	1.093
Loss of income - Maintaining Early Year's Provision	0.075
Safeguarding campaign	0.030
Additional placement costs for over-18s	0.125
Additional placement costs for under-18s	0.125
Additional costs of contracted delivery	0.300
Sustainability grants and support to the market	0.125
Additional frontline agency costs	0.500
Children's Services remote working costs	0.008
Additional staff costs	0.017
Additional social worker training	0.075
Holiday Activity Fund	2.421
Full use of Home to School and College Transport Funding	0.843
Full use of Wellbeing for Education Return Grant	0.162
<b>Children's Services Total</b>	<b>5.899</b>
<b>Community and Environmental Services</b>	
Customer Services additional Covid expenditure	0.002
Additional Resilience costs	0.235
Highways additional COVID costs from 3rd party contractor work	0.054
Public Transport - Covid Bus Services Support Grant	1.521
Public Transport – Funding for Travel Demand Management	0.117
Loss of income: CES Libraries	0.362
Loss of income: CES Museums	1.176
Loss of income: CES Recreation and Sport	0.024



**2021-22  
Forecast  
£m**

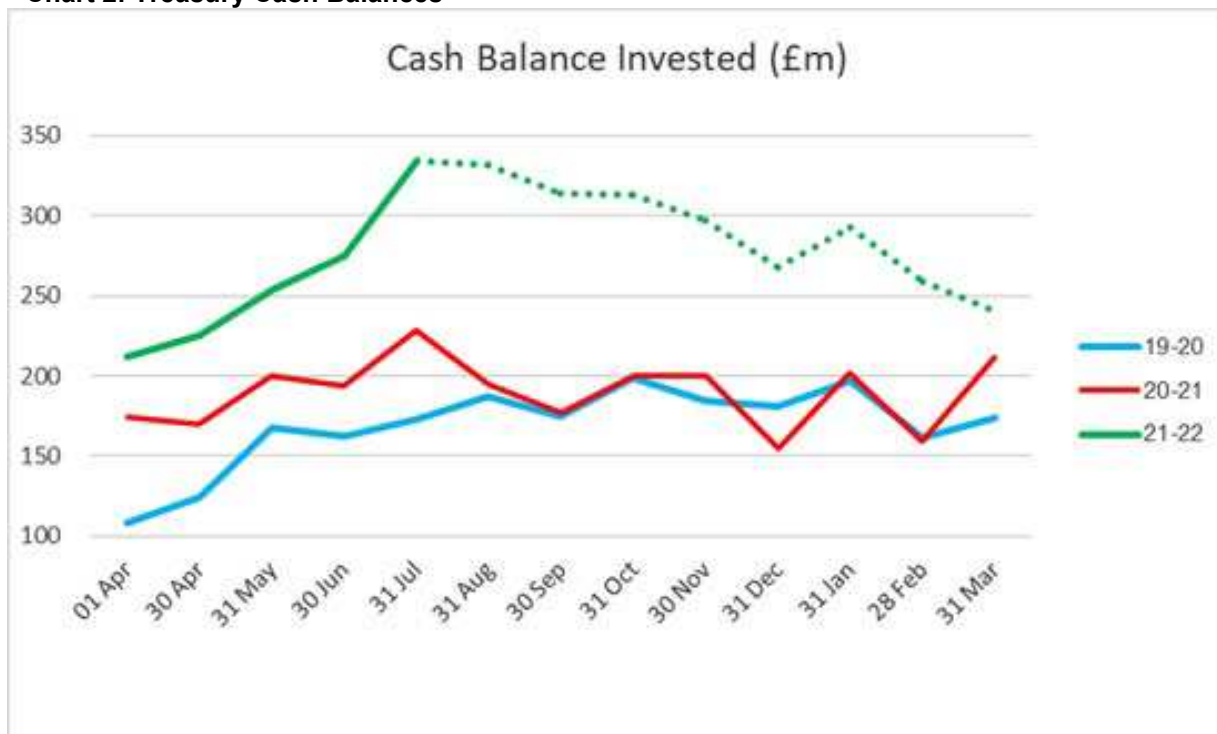
Loss of income: Parking Services	0.188
Loss of income: CES including On-street Parking	0.750
Additional / redeployed Libraries staff	0.005
Additional / redeployed Museums staff	0.128
Additional / redeployed Records Office staff	0.008
CES remote working costs	0.014
CES property costs	0.011
Public Health expenditure	0.114
Full use of Fire Home Office Grant	0.192
Full use of Local Outbreak Control: Test and Trace service support grant	1.271
Full use of Contain Outbreak Management Fund grant	19.248
Full use of Community Testing funding	0.051
Full use of Clinically Extremely Vulnerable funding	3.620
<b>Community and Environmental Services Total</b>	<b>29.091</b>
<b>Governance</b>	
Additional cost of Elections	0.650
Additional / redeployed Registrars staff	0.228
Additional / redeployed Coroners staff	0.032
Additional / redeployed Governance staff	0.032
<b>Governance Total</b>	<b>0.942</b>
<b>Finance and Commercial Services</b>	
Homeworking equipment	0.084
Loss of income across Finance and Commercial Services including IMT	0.323
Services to Schools, Property and Car Park income	
Additional / redeployed IMT staff	0.025
IMT - Infrastructure - Extra Telephony costs associated with WFH	0.068
<b>Finance and Commercial Services Total</b>	<b>0.499</b>
<b>Finance General</b>	
Covid response costs - redeployed staff, property costs	1.006
Temporary mortuary costs	0.169
Corporate procurement of PPE	0.149
Distribution hub - Site costs	0.259
Extension of Norfolk Assistance Scheme (NAS)	0.491
Kit for digitally disadvantaged children	0.184
IMT Guided Learning	0.176
Use of COVID Local Support Grant	2.579
Use of COVID Winter Grant Scheme funding	0.644
<b>Finance General Total</b>	<b>5.658</b>
<b>Covid-19 financial pressures Norfolk County Council total</b>	<b>82.140</b>

## Appendix 2: 2021-22 Balance Sheet Finance Monitoring Report Month 4

### 1 Treasury management summary

- 1.1 The corporate treasury management function ensures the efficient management of all the authority's cash balances. The graph below shows the level of cash balances over the last two financial years to March 2021, and projections to March 2022.

Chart 2: Treasury Cash Balances

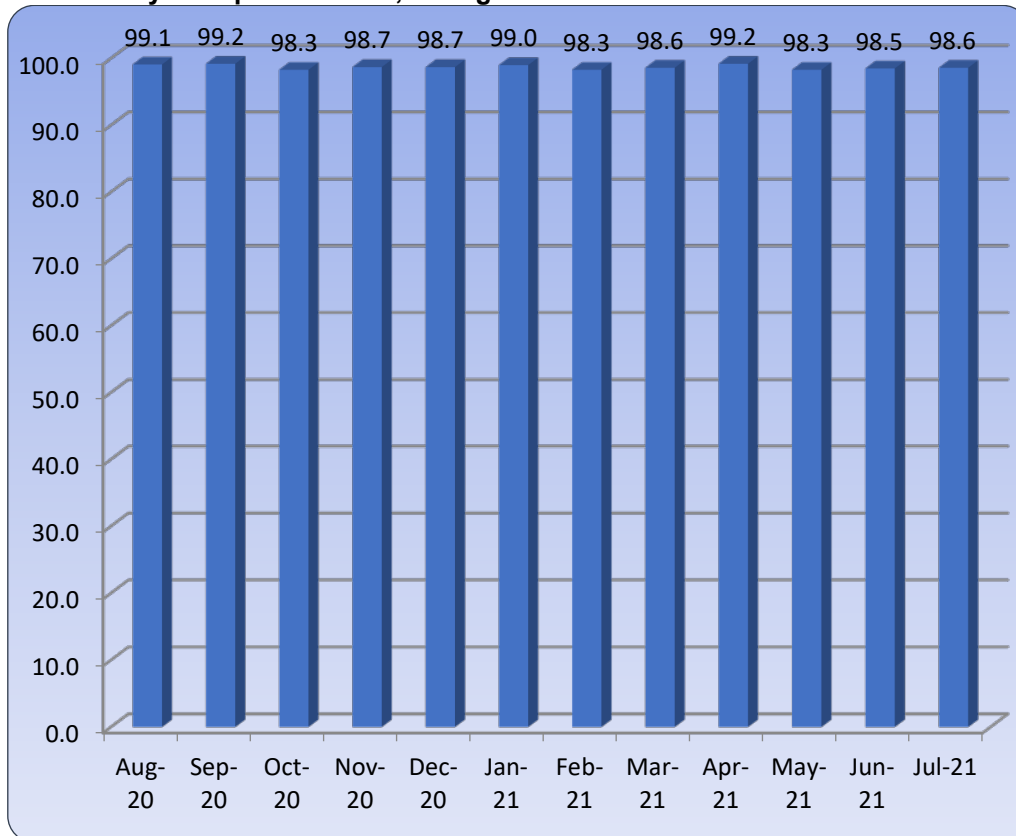


- 1.2 The Council has not borrowed any additional loans in August (as at 20 August 2021)
- 1.3 Although the Council has healthy cash balances for the immediate future, the year to date borrowing of £60m has reduced the Council's exposure to potential future interest rate rises.
- 1.4 The Council's Treasury Strategy assumes as much as £80m may be borrowed in 2021-22, plus £30m deferred from 2020-21. The forecast cash flows above assume that this amount will be borrowed over the course of the year resulting in a closing cash balance of approximately £230m. If, in order to minimise the cost of carrying unnecessary borrowing, no further borrowing takes place before 31 March 2022, then the projected year-end cash balances will be approximately £180m.
- 1.5 PWLB and commercial borrowing for capital purposes was £808.1m at the end of July 2021. The associated annual interest payable on existing borrowing is £30.67m.

### 2 Payment performance

- 2.1 This chart shows the percentage of invoices that were paid by the authority within 30 days of such invoices being received. Some 470,000 invoices are paid annually. 98.6% were paid on time in July 21 against a target of 98%. The percentage has remained above the target of 98% in the last 12 months.

**Chart 3: Payment performance, rolling 12 months**



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

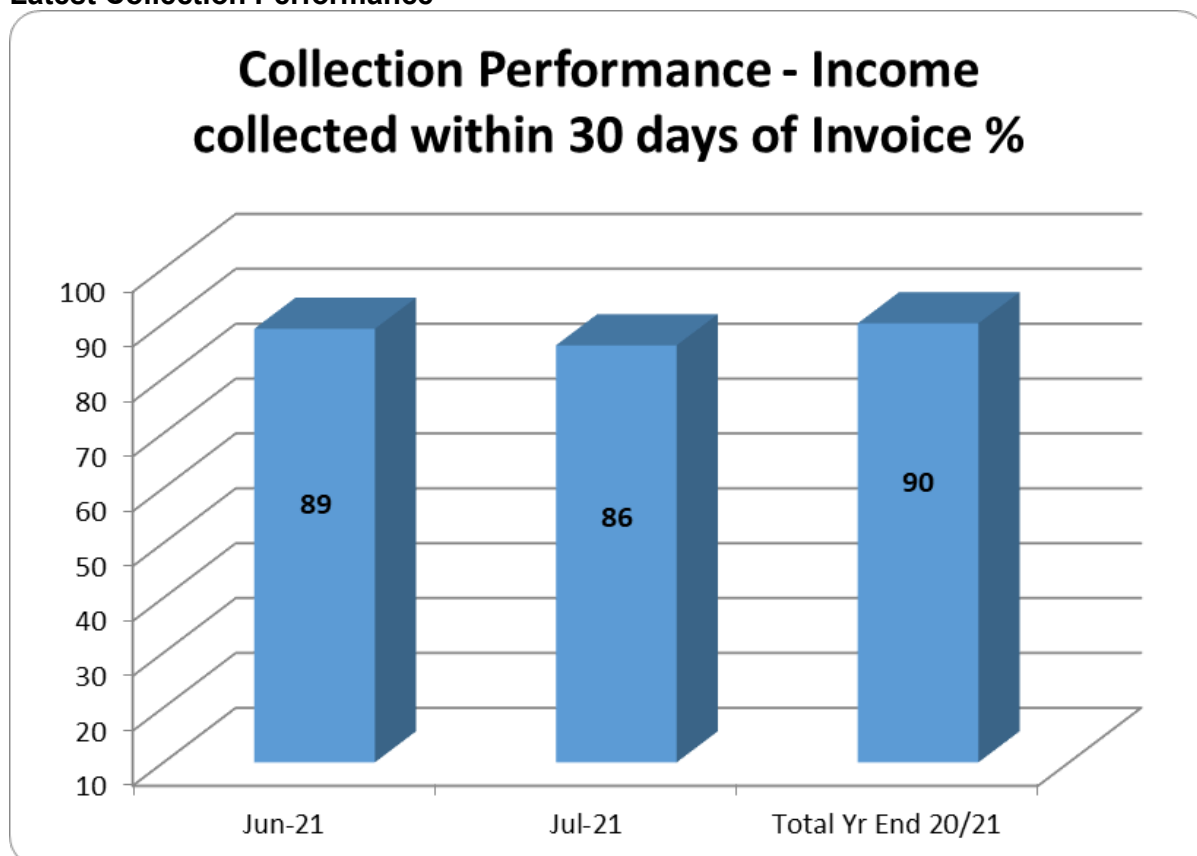
### 3 Debt recovery

- 3.1 **Introduction:** In 2020-21 the County Council raised over 135,101 invoices for statutory and non-statutory services. These invoices totalled in excess of £1.7bn. Through 2020-21 90.1% of all invoiced income was collected within 30 days of issuing an invoice, with 97.5% collected within 180 days.

#### Debt collection performance measures – latest available data

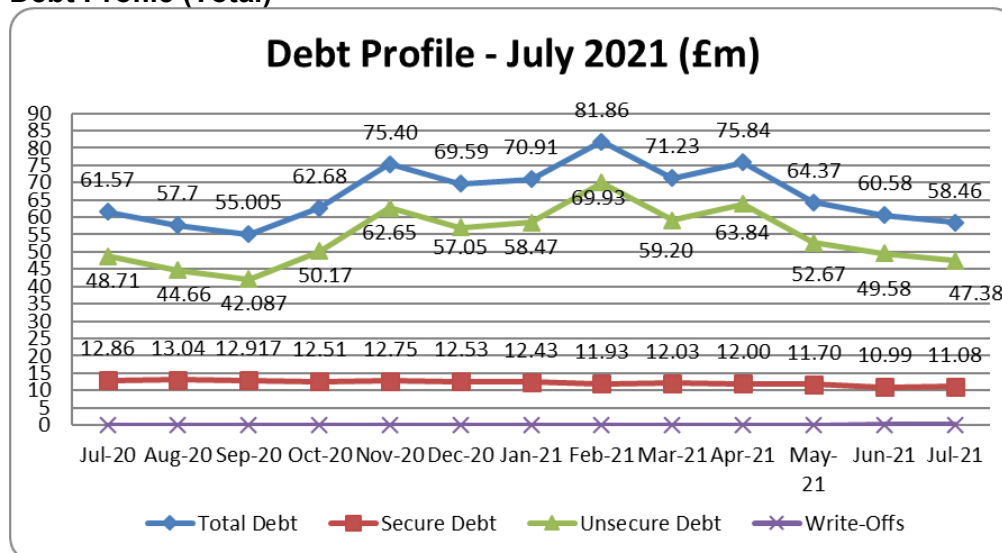
- 3.2 The proportion of invoiced income collected within 30 days for invoices raised in the previous month – measured by value – was 86% in July 2021.

#### Latest Collection Performance



- 3.3 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)



- 3.4 The overall level of unsecure debt continues to decrease, by a further £2.2m in P4. Of the £47.38m unsecure debt at the end of July 21; £10.75m is under 30 days. The largest area of unsecure debt relates to charges for social care, £39.06m, of which £8.46m is under 30 days and £17.4m is debt with the CCG's for shared care, Better Care Pooled Fund, continuing care and free nursing care.
- 3.5 Secured debts amount to £11.08m as at 31 July 21. Within this total £4.05m relates to estate finalisation where the client has died, and the estate is in the hands of the executors.
- 3.6 **Debt write-offs:** In accordance with Financial Regulations and Financial Procedures, Cabinet is required to approve the write-off of debts over £10,000. The Executive Director of Finance and Commercial Services approves the write-off of all debts up to £10,000.
- 3.7 Service departments are responsible for funding their debt write-offs. Before writing off any debt all appropriate credit control procedures are followed.
- 3.8 For the period 1 April 2021 to the end of July 2021, 108 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 £133,591.96.
- 3.9 No debts over £10,000 have been approved for write-off since the 2020-21 Finance Outturn Report for the financial year 2020-21.

## Appendix 3: 2021-22 Capital Finance Monitoring Report

### Report by the Executive Director of Finance and Commercial Services

#### 1 Capital Programme 2021-25

- 1.1 On 22 February 2021, the County Council agreed a 2021-22 capital programme of £281.594m with a further £256.066m allocated to future years', giving a total of £537.660m.
- 1.2 Additional re-profiling from 2020-21 resulted in an overall capital programme at 1 April 2021 of £661m. Further in-year adjustments have resulted in the capital programme shown below:

**Table 1: Capital Programme budget**

	<b>2021-22 budget</b>	<b>Future years</b>
	<b>£m</b>	<b>£m</b>
New schemes approved February 2021	33.687	68.781
Previously approved schemes brought forward	247.907	187.285
<b>Totals in 2021-25+ Budget Book (total £537.660m)</b>	<b>281.594</b>	<b>256.066</b>
Schemes re-profiled after budget setting	95.379	
New schemes approved after budget setting	1.249	
Other adjustments after budget setting including new grants	20.489	6.363
<b>Revised opening capital programme (total £661.140m)</b>	<b>398.711</b>	<b>262.429</b>
Re-profiling since start of year	-101.680	101.680
Norwich Western Link (approved 7 <sup>th</sup> June 21)	12.296	174.543
Other movements including new grants and approved schemes	75.809	17.000
<b>Total capital programme budgets (total £935.074m)</b>	<b>390.164</b>	<b>544.910</b>

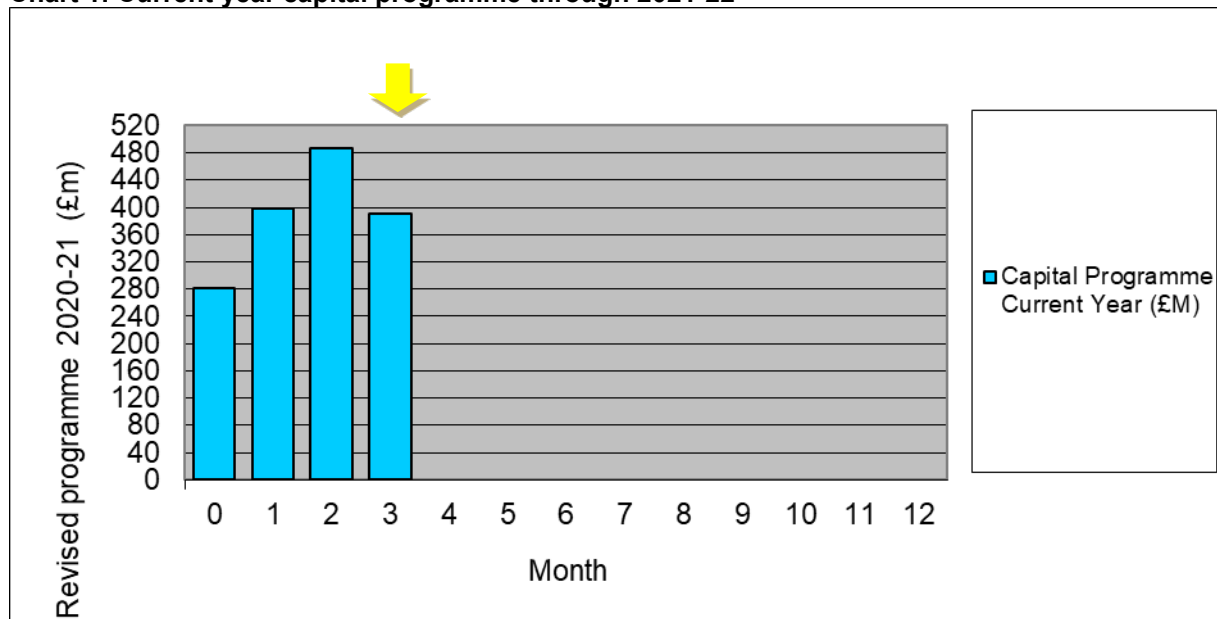
*Note: this table and the tables below contain rounding differences*

- 1.3 The total capital programme budget has reduced by £5.711m compared to P3 (£940.785m) due to:
- a reduction in Highways budget of £6.444m following the Q1 capital programme forecasting exercise, offset by
  - An uplift in Fire Services budget for the replacement of emergency response vehicles £0.3m and the Dereham Fire Station Phase 2 improvements. Both schemes are awaiting funding approval at the NCC Council in September 2021.
- 1.4 £101.68m of 2021-22 budget has been reprofiled to future years following the Q1 forecast exercise. The majority of the reprofiling relates to the Highways 3<sup>rd</sup> River Crossing Project and the Schools Capital Programme. A full breakdown of these movements in capital budget are available in Capital Annex 1 below.
- 1.5 At the 5 July 2021 Cabinet meeting a further increase in the capital programme of £6.788m was recommended, including £5m for the Older People Estate Transformation. This recommendation will go to the September Council and if approved, will be included in the P6 report.

## Changes to the Capital Programme

- 1.6 The following chart shows changes to the 2021-22 capital programme through the year.

**Chart 1: Current year capital programme through 2021-22**



- 1.7 Month "0" shows the 2021-22 capital programme at the time of budget approval, with schemes reprofiled after budget setting shown in month 1, followed by the most up to date programme. The current year programme will change as additional funding is secured, and when schemes are re-profiled to future years as timing becomes more certain.

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

**Table 2: Service capital budgets and movements 2021-22**

Service	Opening program me	Previous report	Reprofil ing since previous report	Other Changes since previous report	2021-22 latest Capital Budget
	£m	£m	£m	£m	£m
Children's Services	133.879	0.146	-39.991	0.000	94.034
Adult Social Care	14.888	9.158	-8.872	0.000	15.174
Community & Environmental Services	162.948	77.018	-50.745	5.029	194.250
Finance & Commercial Services	86.914	1.247	-1.536	0.000	86.624
Governance	0.082	0.000	0.000	0.000	0.082
<b>Total</b>	<b>398.711</b>	<b>87.568</b>	<b>-101.143</b>	<b>5.029</b>	<b>390.164</b>
		<b>486.279</b>		<b>-96.114</b>	

*Note: this table may contain rounding differences.*

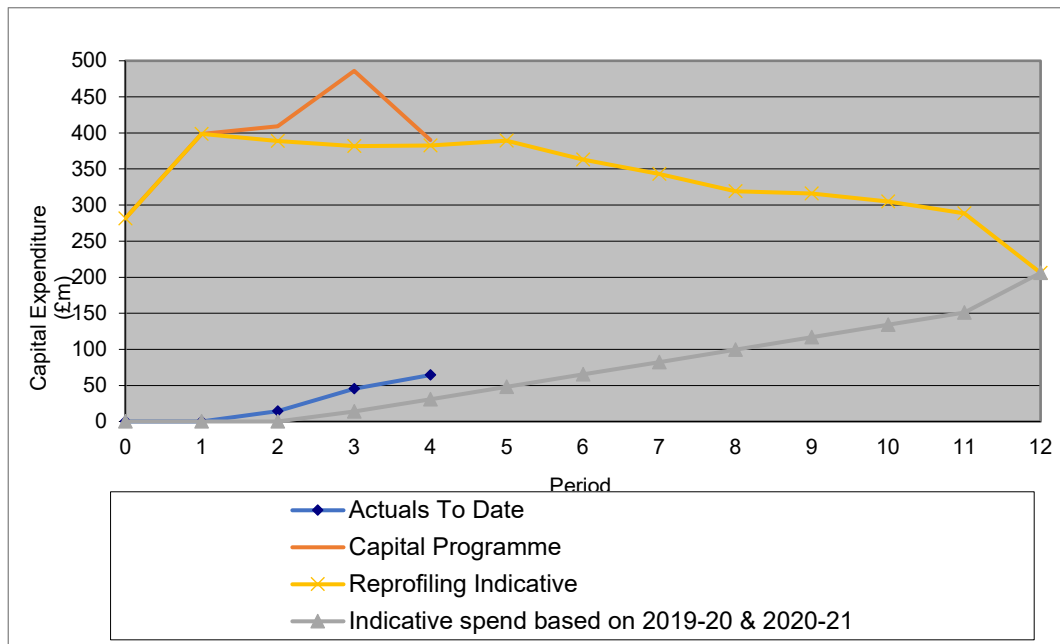
- 1.9 The revised programme for future years (2022-23 to 2024-25 and beyond) is as follows:

**Table 3: Capital programme future years 2022+**

Service	Previously reported future programme	Reprofil ng since previous report	Other Changes since previous report	2022+ Future Capital Budget
	£m	£m	£m	£m
Children's Services	119.021	39.991	0.000	159.012
Adult Social Care	42.723	8.872	0.000	51.595
Community & Environmental Services	258.561	50.745	-10.739	298.567
Finance & Commercial Services	33.851	1.536	0.000	35.387
Governance	0.350	0.000	0.000	0.350
<b>Total</b>	<b>454.506</b>	<b>101.143</b>	<b>-10.739</b>	<b>544.910</b>
			<b>90.404</b>	

*Note: this table contains rounding differences*

- 1.10 The graph below shows the movement on the current year capital budget and year to date capital expenditure:



The graph shows that actual year to date capital spend is ahead of the opening forecast, which was based on the opening capital programme and an indicative calculation based on previous years' expenditure. It also shows that budgets are being re-profiled to future years as the progress on projects becomes clearer. As a result, capital expenditure of approximately £206m is expected to take place in 2021-22.



## 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**

<b>Funding stream</b>	<b>2021-22 Programme</b>	<b>Future Years Forecast</b>
	<b>£m</b>	<b>£m</b>
Prudential Borrowing	197.294	332.060
Use of Capital Receipts		
Revenue & Reserves	-	-
<i>Grants and Contributions:</i>		
DfE	32.552	33.211
DfT	116.809	161.886
DoH	9.438	0.086
MHCLG	0.139	-
DCMS	1.213	-
DEFRA	2.000	-
Developer Contributions	20.371	13.613
Other Local Authorities	0.409	-
Local Enterprise Partnership	1.132	
Community Infrastructure Levy	3.622	2.000
National Lottery	4.407	2.033
Commercial Contributions	-	-
Business rates pool fund	-	-
Other	0.778	0.021
<b>Total capital programme</b>	<b>390.164</b>	<b>544.910</b>

*Note: this table may contain rounding differences*

- 2.2 For the purposes of the table above, it is assumed that all capital receipts will be applied directly to the re-payment of debt and transformation projects, rather than being applied to fund capital expenditure. Any proposals to utilise capital receipts to fund in-year capital expenditure are recommended to Cabinet for approval (see section 3 below)
- 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 2021, gave the best estimate at that time of the value of properties available for disposal in the four years to 2024-25, totalling £20.4m.

**Table 5a: Disposals capital programme forecast**

Financial Year	Property sales forecast £m
2021-22	10.6
2022-23	5.7
2023-24	3.9
2024-25	0.2
	<b>20.4</b>

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

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

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

Capital receipts 2021-22	£m
Capital receipts reserve brought forward	6.449
Loan repayments – subsidiaries forecast for year	0.787
Loan repayments – LIF loan repayments to date	0.358
<b>Capital receipts to date</b>	
Sale of Hopton Land to Repton	2.861
Other Capital receipts in year	0.585
Capital Receipts forecasted for asset disposals subject to contract	4.211
<b>Secured capital receipts to date</b>	<b>15.251</b>
Potential current year farms sales	1.469
Potential current year non-farms sales	1.239
Potential development property sales	2.030
<b>Potential capital receipts</b>	<b>4.738</b>
<b>Forecast available capital receipts</b>	<b>19.989</b>
<b>Forecast use of capital receipts</b>	
Budget 2021-22 to repay debt	2.000
Maximum flexible use of capital receipts to support transformation costs	3.000
Norwich Western Link Reserve (subject to Cabinet Approval)	5.061
<b>Total forecast use of capital receipts</b>	<b>10.061</b>

- 3.4 As can be seen from this table, enough capital receipts have been secured to support the approved 2021-22 revenue budget. Further sales will contribute to the capital receipts reserve which can be used to fund debt repayments, flexible use of capital receipts or capital investment.

- 3.5 2021-22 is the final year when capital receipts can be utilised to support transformation costs. Table 5b includes £3m earmarked for this - £1m to ASC and £2m to Children's Services.
- 3.6 This month's monitoring paper includes a proposal to set aside the capital receipts from the sale of Carrow House for £2.2m to add to the Norwich Western Link Reserve.
- 3.7 The capital receipts forecast above excludes any receipts anticipated from the sale of the surplus land and buildings on the Norwich airport estate. The recommendation to declare them as surplus assets will go to the September Council meeting and the forecast will be updated in due course.

#### **4 New capital budget proposals**

- 4.1 The additions to the capital budget for July 2021 are primarily funded from DfT grants.
- 4.2 Highways Budget 2021-22 has been increased by £2.173m for the Foundry Bridge/Train Station Mobility Hub project and by £2.348m for the St Stephens/Red Lion Street/Castle Meadow projects. Both projects are funded by the Department for Transport. The breakdown of the sources of funding is set out below in Capital Annex 1.
- 4.3 Highways Budgets for future years has reduced by £10.739m following a review of current budgets and prioritisation of works.

## Capital Annex 1 - changes to capital programme since last Cabinet

			2021-22	2021-22	22-23+	22-23+	
Service	Project	Funding Type	Change (£m)	REPROFILE	Change (£m)	REPROFILE	Reason
<b>Adult Social Care</b>							
SC8156	Living Well - Homes for Norfolk	NCC Borrowing		-2.372		2.372	Reprofiled in line with current expectations
SC8170	Supported Housing Development Young Adults	NCC Borrowing		-6.500		6.500	Reprofiled in line with current expectations
<b>Total Adult Social Care</b>			<b>0.000</b>	<b>-8.872</b>	<b>0.000</b>	<b>8.872</b>	
<b>Children's Services</b>							
EC4893	CM - Holt Primary	DfE Capital Maintenance		-3.566		3.566	Site is still in hands of the land developer and is unlikely to be transferred over to NCC for at least 18 months
		S106 Developer Contributions		-0.911		0.911	
		DfE Basic Need		-3.564		3.564	
EC4349	CM - Blofield Primary Masterplan	DfE Basic Need		0.050		-0.050	Funds moved back to cover in year expenditure
EC4882	CM - Silfield New Primary	S106 Developer Contributions		-1.753		1.753	Children's Services have decided to delay the opening of the new school until Sept 24 to allow sufficient time to consult surrounding schools.
EC4911	VC - Bradwell New Primary	DfE Basic Need		-0.041		0.041	Children's Services have decided to delay the opening of the new school until Sept 24 to allow sufficient time to consult surrounding schools.
		S106 Developer Contributions		-1.606		1.606	
EC4935	Attleborough High Masterplan review	S106 Developer Contributions		-0.600		0.600	Plans are not sufficiently developed at this stage to commit to the next stage of expansion.
EC4996	Underwrite Schools Capital programme	NCC Borrowing		-20.000		20.000	The current programme is fully funded and we are unlikely to have many major projects requiring significant funding beyond design development until 22/23.
EC3814	Wymondham S106 pot	S106 Developer Contributions		-4.000		4.000	Reprofiled for allocation in future years
EC4822	Capital Maintenance pot	DfE Capital Maintenance		-4.000		4.000	Reprofiled for allocation in future years
<b>Total Children's Services</b>			<b>0.000</b>	<b>-39.991</b>	<b>0.000</b>	<b>39.991</b>	

<b>Fire</b>							
CF0397	Emergency response Vehicles- Replacing Lease Vehs	NCC Borrowing	0.300				Additional funding agreed by cabinet to be approved by council 27 Sept
CF0399	Dereham Fs Phase 2 improvements	NCC Borrowing	0.434				New project funding to be approved by council 27 Sept approved in May by cabinet
CF0503	NCC swipe card access Fire premises	NCC Borrowing		-0.142		0.142	Reprofile whole project to 22/23 as no resource working on this P4
CF0393	Sproston FS - Accessibility	NCC Borrowing		-0.125		0.125	Reprofile 50% to 22/23 project now live P4
CF0387	Thetford FS maintenance	NCC Borrowing		-0.304		0.304	Reprofile £304k to 22/23 as only in initial phases at P4
CF0386	NFRS Compressor Room maintenance	NCC Borrowing		-0.150		0.150	Reprofile whole project to 22/23 as no resource working on this P4
CF0506	Fire vehicle replacement program.	NCC Borrowing		0.920		-0.920	Reprofile back to 21/22 to cover estimated delivery schedule in 21/22.
LL0763	S106 Land at Sillfield (Pelham application)	S106 Developer Contributions		0.015		-0.015	Reprofiled to match current forecast
LL1037	Library Book Stock	NCC Borrowing		-0.317		0.317	Reprofiled to match current forecast
LL1040	Library Building Improvements	External Funding		-0.008		0.008	Reprofiled to match current forecast
		NCC Borrowing		-0.571		0.571	Reprofiled to match current forecast
LL0798	S106 London Rd/Hillsend Rd, Attleborough	NCC Borrowing		-0.129		0.129	Reprofiled to match current forecast
	Various smaller projects reprofiled	S106 Developer Contributions		-0.116		0.116	Reprofiled to match current forecast
Highways	Various projects reprofiled	NCC Borrowing		-49.818		49.818	Allocating/Reprofiling borrowing available as per latest forecast
	Nch, Foundry Br junc/Train Station Mobility Hub	DfT Block	2.173		-0.985		Updated budget forecast
	Nch, St Stephens St/Red Lion St/Castle Meadow	DfT Block	2.348				Updated budget forecast
	Various adj to budgets based on updated forecast	External	-0.226		-9.754		Updated budget forecast
<b>Total CES</b>			<b>5.029</b>	<b>-50.745</b>	<b>-10.739</b>	<b>50.745</b>	
CA2295	CPT - NFRS Fire Station Kitchen Replacement	NCC Borrowing		-0.042		0.042	Reprofiled to match current forecast
CA2294	CPT - NFRS Drill Yard Capital Maintenance	NCC Borrowing		-1.384		1.384	Reprofiled to match current forecast
CA2293	CPT - NFRS Hethersett Drill Tower	NCC Borrowing		-0.110		0.110	Reprofiled to match current forecast
<b>Total Finance</b>			<b>0.000</b>	<b>-1.536</b>	<b>0.000</b>	<b>1.536</b>	
<b>Total</b>			<b>5.029</b>	<b>-101.143</b>	<b>-10.739</b>	<b>101.143</b>	

# Cabinet

Item No: 16

<b>Decision making report title:</b>	<b>Disposal, acquisition and exploitation of property</b>
<b>Date of meeting:</b>	<b>6 September 2021</b>
<b>Responsible Cabinet Member:</b>	<b>Councillor Greg Peck Cabinet Member for Commercial Services and Asset Management.</b>
<b>Responsible Director:</b>	<b>Simon George Executive Director for Finance and Commercial Services.</b>
<b>Is this a key decision?</b>	<b>No</b>
<b>If this is a key decision, date added to the Forward Plan of Key Decisions.</b>	<b>8/6/2021</b>
<p><b>Executive Summary/Introduction from Cabinet Member</b></p> <p>Proposals in this report are aimed at supporting Norfolk County Council (NCC) priorities by exploiting properties surplus to operational requirements, pro-actively releasing property assets with latent value where the operational needs can be met from elsewhere and strategically acquiring property to drive economic growth and wellbeing in the County.</p> <p>One of the key strategic actions within the Asset Management Plan is a sharp focus on maximising income through adoption of a more commercial approach to property.</p> <p>As part of corporate management of property and a systematic approach to reviewing the use and future needs of property assets for service delivery there is a continued emphasis on minimising the extent of the property estate retained for operational purpose. However, on occasion there will be the requirement to acquire or reuse an individual property to support a service to delivers its aims.</p> <p>By adopting a “single estate” approach within the County Council and sharing property assets with public sector partners through the One Public Estate programme, the Council is aiming to reduce net annual property expenditure by £1million over the next two years (2021/22 to 2022/23).</p> <p>Consideration is also given to the suitability of surplus property assets for reuse or redevelopment to meet specific service needs that could improve the quality of services for users, address other policy areas and/or improve financial efficiency for the County Council, for example, facilitating the supply of assisted living accommodation and other housing solutions for people requiring care, or undertaking re-development to support jobs and growth.</p>	

This means that as well as continuing with the rationalisation of the operational property estate to reduce the number of buildings used by the County Council, a more commercial approach is being adopted over the sale or redeployment of surplus property assets.

## **Recommendations**

**Councillor Andrew Jamieson, Cabinet Member for Finance, will move the following three recommendations:**

### **Cabinet is asked:**

- 1. To instruct the Director of Property to dispose of the Former John Grant Playing Field, St Nicholas Drive, Caister on Sea NR30 5QW (6005/020C) to Repton Property Developments Ltd subject to the agreement of the value in consultation with the Executive Director of Finance and Commercial Services. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**
- 2. To instruct the Director of Property to dispose of the Former Infant School, James Street, Hunstanton PE36 5HE (2043/016) to Repton Property Developments Ltd subject to the agreement of the value in consultation with the Executive Director of Finance and Commercial Services. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**
- 3. Cabinet is asked to formally declare the Land East of Station Road, Lingwood & Burlingham (5014/111 (part)) surplus to County Council requirements and instruct the Director of Property to dispose of the Land to Repton Property Developments Ltd subject to the agreement of the value in consultation with the Executive Director of Finance and Commercial Services. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director of Property in consultation with the Executive Director of Finance and Commercial Services and Cabinet Member for Commercial Services and Asset Management is authorised to accept the most advantageous offer.**

## **1.0 Background and Purpose**

- 1.1.** The County Council actively manages its property portfolio in accordance with the Asset Management Plan. Property is held principally to support direct service delivery, support policy objectives, held for administrative purposes or to generate income. Property is acquired or disposed of as a reaction to changing service requirements, changing council policies or to improve the efficiency of the overall portfolio.

- 1.2. The County Council challenges the use of its property on an ongoing basis. In the event of a property asset becoming surplus to an individual service need there are internal officer led processes to ascertain whether other service areas have an unmet need that could be addressed by re-using the property asset for that service. This may lead to a change of use of individual properties, for example, an office building may be adapted and reused for operational service delivery. Any proposals for retention are only agreed if supported by a robust business case showing the benefits to the County Council and are funded from approved budgets. This assessment will also consider whether a property could be offered at best consideration to public sector or third sector partners.
- 1.3. The above assessments are carried out by the Corporate Property Officer (the Director of Property) in consultation with the Corporate Property Strategy Group (CPSG). Once it is confirmed there is no further County Council requirement, Cabinet is asked to formally declare property assets surplus or re-designate for alternative purposes.
- 1.4. The Corporate Property Officer reviews options for maximising income from surplus properties usually by open market sale to obtain the best consideration possible. These will range from selling immediately on the open market (to the bidder making the best offer overall), enhancing the value prior to sale, strategic retention for a longer-term benefit through to direct development of the land and buildings and selling/letting the completed assets, in the expectation of enhanced income for the Council. Most disposals will be by way of tender or auction. In respect of auctions the contract of sale will be formed at the fall of the hammer and where this approach is selected the Corporate Property Officer will determine a reserve below which the property will not be sold. Most disposals will include overage/clawback provisions to enable the council to collect future uplifts in value created by alternative uses.
- 1.5. For properties to be sold immediately there is sometimes a need to consider selling directly to a specific purchaser instead of going to the open market. This may be justified where the third party is in a special purchaser situation and is willing to offer more than the assessed market value. Conversely this might be to a purchaser who is in a unique position of control for the unlocking of the full latent value of the County Council owned site (ransom situation). A direct sale without going to market can also be justified if there are specific service benefits or a special partnership relationship which is of strategic value with service/community benefits.
- 1.6. In making recommendations for direct sale without going to market, or direct property development, the Corporate Property Officer will consider risks, opportunities, service objectives, financial requirements and community benefits.
- 1.7. The recommendations for all disposals, acquisitions and exploitation of NCC property in this report follow detailed assessment by officers of the range of options available. The recommendation for each property is based on existing policies and strategies and judged to provide the best return to the County Council in financial terms and, where appropriate, taking account of community and economic benefits.



## 2.0 Proposals

### **Caister on Sea – Former John Grant Playing Field, St Nicholas Drive NR30 5QW (6005/020C)**

- 2.1. The land, edged red on plan, amounting to 0.78 Hectares (1.93 acres) was part of the playing field at the John Grant School and has previously been declared surplus by Children's Service. Subsequently Policy & Resources Committee (P&R) at its meeting on 31 May 2016 formally resolved to declare this site surplus to Council requirements and instructed the Head of Property to bring forward proposals for development or disposal to a future P&R meeting.
- 2.2. In the intervening period the County Council successfully obtained planning permission for an alternative residential use (Gt Yarmouth Borough Council planning reference: 06/19/0099/0).
- 2.3. The Director of Property has reviewed options to dispose of the site on the open market or to be developed out by the Council's development company Repton Property Developments Ltd (Repton). Repton have undertaken a comprehensive site assessment and concluded this is a suitable site for them to take forward.
- 2.4. The County Council is therefore proposing to dispose of this land to Repton Property Developments Ltd subject to agreement of the value. The County Council has retained expert valuers to assess the disposal value in accordance with the Royal Institution of Chartered Surveyors Valuation - Global Standards 2020 (a "red book" valuation). It is expected the value will be between the delegated limits (laid out in the Council's financial regulations) for a decision to dispose to be made by the Cabinet Member for Commercial Services and Asset Management. However, the Cabinet Member for Commercial Services and Asset Management is a Repton Property Developments Ltd Board Member and therefore it is appropriate that Cabinet consider this decision and Councillor Andrew Jamieson will move the recommendation to dispose of this property to Repton.

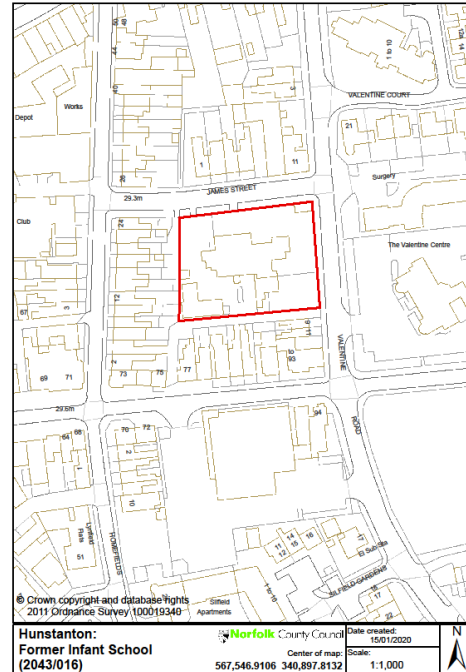


### **Hunstanton – Former Infant School, James Street PE36 5HE (2043/016)**

- 2.5. The site, edged red on plan, amounting to 0.26 Hectares (0.64 acres) became vacant following the infant school merging with the then Redgate Junior School in 2015. Subsequently Policy &

Resources Committee (P&R) at its meeting on 31 May 2016 formally resolved to declare the Former Infant School site surplus to Council requirements and instructed the Head of Property to bring forward proposals for development or disposal to a future P&R meeting.

- 2.6. In the interim the Council has successfully agreed the removal of restrictive covenants that had the potential to limit alternative uses.

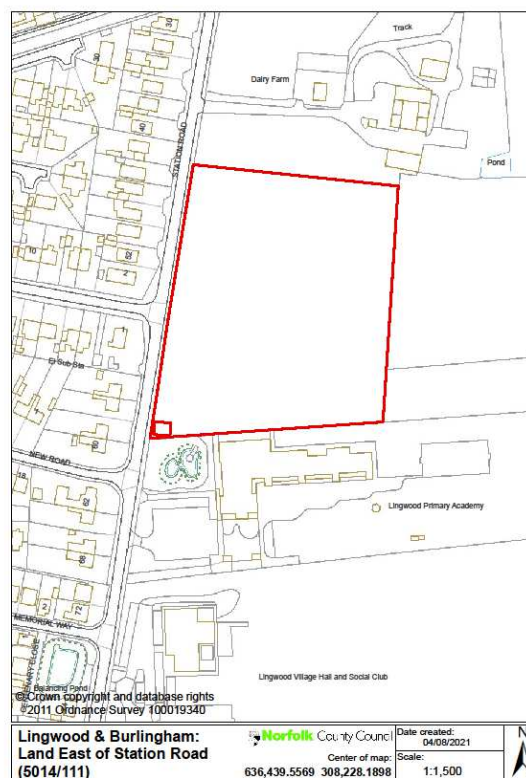


- 2.7. The Director of Property consulted with public sector partners to gauge any possible reuse and has reviewed options to dispose of the site on the open market or to be developed out by the Council's development company Repton Property Developments Ltd. It is confirmed that no public sector interest was forthcoming. Repton have undertaken a comprehensive site assessment and concluded this is a suitable site for them to take forward.
- 2.8. The County Council is therefore proposing to dispose of this site to Repton Property Developments Ltd subject to agreement of the value. The County Council has retained expert valuers to assess the disposal value in accordance with the Royal Institution of Chartered Surveyors Valuation - Global Standards 2020 (a "red book" valuation). It is expected the value will be between the delegated limits (laid out in the Council's financial regulations) for a decision to dispose to be made by the Cabinet Member for Commercial Services and Asset Management. However, the Cabinet Member for Commercial Services and Asset Management is a Repton Property Developments Ltd Board Member and therefore it is appropriate that Cabinet consider this decision and Councillor Andrew Jamieson will move the recommendation to dispose of this property to Repton.

#### **Lingwood & Burlingham – Land East of Station Road (5014/111 (part))**

- 2.9. The land, edged red on plan, is owned freehold and forms part of the County Farms estate and has an area of 1.7 Hectares (4.2 acres).
- 2.10. The County Farms Team have reviewed this site and determined it is not required for operational use. Following a review by the Director of Property in consultation with CPSG it has been confirmed that the site is not required for NCC service use.

- 2.11. The Director of Property has reviewed options to dispose of the site on the open market or to be developed out by the Council's development company Repton Property Developments Ltd. Repton have undertaken a comprehensive site assessment and concluded this is a suitable site for them to take forward.



- 2.12. The County Council is therefore proposing to dispose of this land to Repton Property Developments Ltd subject to agreement of the value. The County Council has retained expert valuers to assess the disposal value in accordance with the Royal Institution of Chartered Surveyors Valuation - Global Standards 2020 (a “red book” valuation). It is expected the value will be between the delegated limits (laid out in the Council’s financial regulations) for a decision to dispose to be made by the Cabinet Member for Commercial Services and Asset Management. However, the Cabinet Member for Commercial Services and Asset Management is a Repton Property Developments Ltd Board Member and therefore it is appropriate that Cabinet consider this decision and Councillor Andrew Jamieson will move the recommendation to dispose of this property to Repton.

### 3.0 Impact of the Proposal

- 3.1. Property disposals will provide capital receipts for the council to support the capital programme and hence service delivery. The County Council will apply the capital receipts to meet its priorities.

### 4.0 Evidence and Reasons for Decision

- 4.1. Declaring the sites and land holdings surplus to County Council use means that the Corporate Property Team can consider options for the disposal and exploitation of these sites.

### 5.0 Alternative Options

- 5.1. Declaring sites and land holdings surplus is a result of the sites no longer being required for service delivery. The alternative would be to retain resulting in incurring holding costs for an asset that is not contributing to service delivery.

## **6.0 Financial Implications**

- 6.1. Disposals outlined in this report will provide the opportunity for capital receipts and savings in holding costs.

## **7.0 Resource Implications**

- 7.1. **Staff:** nil
- 7.2. **Property:** As described in the earlier parts of this report.
- 7.3. **IT:** nil

## **8.0 Other Implications**

- 8.1. **Legal Implications:** For disposals in the usual way the legal implications are around the parties agreeing to the terms of the agreement for each disposal and entering a contract.
- 8.2. **Human Rights implications** - No implications.
- 8.3. **Equality Impact Assessment (EqIA)** - No specific EqIA has been undertaken in respect of the disposal of sites.
- 8.4. **Data Protection Impact Assessments (DPIA)** - No data protection impact implications in respect of the disposal of sites.
- 8.5. **Health and Safety implications** - No implications.
- 8.6. **Sustainability implications** - Future redevelopment of disposed sites would require planning permission and therefore would be mindful of sustainability measures.

## **9.0 Risk Implications/Assessment**

- 9.1. The risks around disposals are around the non-agreement of terms. This risk is mitigated using experienced expert consultants.

## **10.0 Recommendations**

**Councillor Andrew Jamieson, Cabinet Member for Finance, will move the following three recommendations:**

- 10.1. Cabinet is asked to instruct the Director of Property to dispose of the Former John Grant Playing Field, St Nicholas Drive, Caister on Sea NR30 5QW (6005/020C) to Repton Property Developments Ltd subject to the agreement of the value in consultation with the Executive Director of Finance and Commercial Services. In the event of no agreement then the Director of Property is authorised to sell by auction or tender. In the event of the disposal receipt exceeding delegated limits the Director

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## 11.0 Background Papers

**None**

### Officer Contact

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

**Officer name:** Simon Hughes, Director of Property **Tel No:** 01603 222043

**Email address:** [simon.hughes@norfolk.gov.uk](mailto:simon.hughes@norfolk.gov.uk)



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