



CABINET

Date: **Wednesday 25 June 2014**
Time: **5.30 pm**
Venue: **Mancroft room, City Hall**

COMMITTEE MEMBERS:

Councillors:

Arthur (chair)
Waters (vice chair)
Bremner
Driver
Harris
Stonard

FOR FURTHER INFORMATION PLEASE CONTACT -

Committee officer: **Andy Futter**

Tel. No: **(01603) 212029**
e-mail: **andyfutter@norwich.gov.uk**

Democratic services
City Hall
Norwich
NR2 1NH

AGENDA

Page No

1. Apologies

To receive apologies for absence

2. Public questions / petitions

To receive questions / petitions from the public (notice to be given to committee officer by 10.00am on the day before the meeting.)

3. Declarations of interest

(Please note that it is the responsibility of individual members to declare an interest prior to the item if they arrive late for the meeting)

4. Minutes

To agree the accuracy of the minutes of the meetings held on 18 March and 26 March 2014.

Strategy

5. Constitution review

(Report of executive head of strategy, people and democracy)

Purpose - To consider amendments to the council's constitution which have been endorsed by the constitution working party as part of its fundamental review.

6. Business continuity management

(Report of executive head of business relationship management)

Purpose - To consider the business continuity management policy and framework

7. Norwich and Homes and Communities Agency (HCA) Strategic Partnership business plan 2014 - 15 – KEY DECISION

(Report of deputy chief executive (operations))

Purpose - To consider the business plan for the Norwich and Homes and Communities Agency (HCA) Strategic Partnership for 2014-15

8. Business rates reoccupation relief policy – KEY DECISION

(Report of executive head of business relationship management)

Purpose - To consider the implementation of the business rates reoccupation relief policy.

9. Business rates discretionary rate relief for charitable and 'not for profit' organisations policy – KEY DECISION

(Report of executive head of business relationship management)

Purpose - To consider the implementation of the business rates discretionary rate relief for charitable and 'not for profit' organisations policy

10. Update to debt collection policy – KEY DECISION

(Report of executive head business relationship management)

Purpose - To seek approval for an update of the debt collection policy specifically to reflect the Ministry of Justice regulation changes in relation to bailiff terminology and the removal of the historic powers of distress for commercial rent and its replacement with a new regime called Commercial Rent Arrears Recovery (CRAR)

11. Byelaw to manage skateboarding in the city

(Report of head of citywide services)

Purpose - To consider making a byelaw prohibiting skateboarding in a designated area of the city which will assist in preventing damage to historic buildings and preventing nuisance to members of the public using the highway.

12. Asbestos Management Policy

(Report of deputy chief executive (operations))

Purpose - To consider the council's Asbestos Management Policy.

Performance and resources

13. Quarter 4 2013 -14 performance report

(Report of executive head of strategy, people and democracy)

Purpose - To report progress against the delivery of the corporate plan priorities and key performance measures for quarter 4 of 2013 - 14.

14. Appointment of the section 151 officer (chief finance officer)

(Report of the chief executive officer)

Purpose - To consider the appointment of the chief finance officer

15. Treasury Management Full Year Review Report 2013-14

(Report of chief finance officer)

Purpose - To consider the Treasury Management performance for the year to 31 March 2014.

16. Award of Replacement finance system – KEY DECISION

(Report of executive head of business relationship management)

Purpose - To consider the implementation of a new finance system.

17. Provisional Revenue Outturn 2013/14

(Report of chief finance officer)

Purpose - To update Cabinet on the provisional revenue outturn for the year 2013/14, and the consequent provisional General Fund and Housing Revenue Account balances. The provisional revenue outturn does not include accounting adjustments required by International Financial Reporting Standards (IFRS) to be included in the council's statutory financial accounts

18. Provisional Capital Outturn 2013/14

(Report of chief finance officer)

Purpose - To update Cabinet on the financial position of the capital programmes as at 31 March 2014, provisional capital outturns for the year 2013/14, and the estimated carry-forwards to 2014/15.

19. Banking Services Delegation– KEY DECISION

(Report of chief finance officer)

Purpose - To inform members of the progress to date on the tender for the banking services

Housing

**20. Installation of Energy Efficient Panels to Council Housing
– KEY DECISION**

(Report of deputy chief executive (operations))

Purpose - To outline the options for the delivery of a trial “Photovoltaic Panel (PV) For Free” installation project which will include 200 council owned homes and potentially one area office (Lakenham) and to consider the delivery method for this scheme

Development

**21. Norwich Annual Business Plan 2014 – 15 for strategic
infrastructure projects**

Purpose - To consider an annual business plan for 2014-15 for strategic infrastructure projects to support planned growth in Norwich and recommend it to council for approval. Following approval it is recommended that the attached business plan is presented to the Greater Norwich Growth Board for delivery in 2014-15 from pooled funding.

22. EXCLUSION OF THE PUBLIC

Consideration of exclusion of the public.

***23. Award of contract for LetNCC (Private Sector Leasing) small maintenance & repair works – KEY DECISION**
(Report of head of housing)

Purpose - To advise cabinet of the tender process for small maintenance and repair works

This report is not for publication because it would disclose information relating to the financial or business affairs of any particular person (including the authority holding that information) as in para 3 of Schedule 12A to the Local Government Act 1972.

***24.Managing Assets (Housing) 1 – KEY DECISION**
(Report of deputy chief executive (operations))

Purpose - To outline works required at a council owned property and consider the options available for its future within Norwich City Council housing stock.

(This report is not for publication because it would disclose information relating to the financial or business affairs of any particular person (including the authority holding that information) as in paragraph 3 of Schedule 12A to the Local Government Act 1972.)

***25.Managing Assets (Housing) 2 – KEY DECISION**
(Report of deputy chief executive (operations))

Purpose - To outline works required at a council owned property and consider the options available for its future within Norwich City Council housing stock.

(This report is not for publication because it would disclose information relating to the financial or business affairs of any particular person (including the authority holding that information) as in paragraph 3 of Schedule 12A to the Local Government Act 1972.)

***26.Managing assets (General Fund)**
(Report of head of city development services)

Purpose - To consider the disposal of a building and land as identified in this report.

(This report is not for publication because it would disclose information relating to the financial or business affairs of any particular person (including the authority holding that information) as in paragraph 3 of Schedule 12A to the Local Government Act 1972.)

A “key decision” means a decision which is likely to either –

- (a) result in the council incurring expenditure which is, or making savings which are, significant in relation to the council's total budget for the service or function to which the decision relates;
- (b) or be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the Norwich city area.

17 June 2014



If you would like this agenda in large print, audio, Braille, alternative format or in a different language, please call Andy Futter, Senior committee officer on 01603 212029 or email andyfutter@norwich.gov.uk

Access



Ramps and automatic entrance doors are provided for wheelchairs and mobility scooters at the Bethel Street entrance for access to the main reception and lifts to other floors.

There are two lifts available in City Hall giving access to the first floor committee rooms and the council chamber where public meetings are held. The lifts accommodate standard sized wheelchairs and smaller mobility scooters, but some electric wheelchairs and mobility scooters may be too large. There is a wheelchair available if required.



A hearing loop system is available.

Please call Andy Futter, Senior committee officer on 01603 212029 or email andyfutter@norwich.gov.uk in advance of the meeting if you have any queries regarding access requirements.

Report to Cabinet
25 June 2014
Report of Executive head of strategy, people and democracy
Subject Constitution review

Item

5

Purpose

To consider amendments to the council's constitution which have been endorsed by the constitution working party as part of its fundamental review.

Recommendation

To recommend council to adopt changes to appendix 1 of the council's constitution :-

- (1) to include the protocol on allowing filming at council meetings in exceptional circumstances, as set out in the appendix to this report;
- (2) to include a rule to require that amendments to the policy and budget framework at annual budget council meetings be received by 10am, three clear working days in advance of the meeting.

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services" and the service plan priority.

Financial implications

There are no direct financial implications from this report.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Russell O'Keefe, executive head of strategy, people and democracy 01603 212908

Andy Emms, democratic services manager 01603 212459

Background documents

None

Report

Introduction

1. At its meeting on 22 March 2011, the council considered changes to the council's constitution and agreed to ask the constitution working party to conduct a fundamental review of the constitution.
2. At its meeting on 10 March 2014, the working party considered and endorsed proposed recommendations to the council's constitution in relation to the adoption of a protocol on filming council or committee meetings and to formalise the arrangements for the submission of amendments to the policy and budgetary framework at the budget council.

Filming protocol

3. The working party first considered on 9 September 2013, when it confirmed that the current arrangements for filming at council meetings should continue, whereby the presumption is not to allow filming of council meetings other than in exceptional circumstances at the discretion of the chair. It asked for a protocol to be prepared on how, in exceptional circumstances, filming might be undertaken. Also, it asked for the current options and costs for the council undertaking webcasting of its own meetings
4. The issues were considered by the working party on 18 November, 2013 when members deferred consideration for clarification on the period of notice being required in the draft protocol and the role of the chair.
5. At its next meeting on 18 March, 2014 the working party accepted that a notice period of three days is required to ensure that there is sufficient time to make the decision to assess the "exceptional circumstances" to allow filming.
6. It is helpful both to the applicant and the council to ensure that there is sufficient time to make the correct decision and to give an appropriate response. Three days is a reasonable period to allow the chair to be contacted to evaluate the exceptional circumstances; for us to liaise with other departments if required and to consider other matters relating the meeting/relevant item in question that might affect the decision. It is a period accepted by council as reasonable in its decision in November 2013 to set the notice period for public questions at council meetings as three days.
7. The protocol also suggests that requests should not be made more than two weeks in advance. It is not sensible to evaluate applications too far in advance as there could be issues that come to light nearer the meeting that might affect the chair's decision and the matter may not even be on the final agenda.
8. The role of the chair in deciding whether to permit filming was consistent with local government practice. The chair is responsible for ruling on matters of procedure and his/her decision is final. Decisions, of course, must be made taking into account the legal and constitutional framework.
9. The working party agreed to recommend council to adopt the draft protocol for allowing filming at council meetings in exceptional circumstances as part of

appendix 1 of the council's constitution which is attached as appendix a of this report.

10. It decided that the costs associated with webcasting council meetings could not be justified and did not recommend any action. However, it did ask the democratic services manager to report back to a future meeting on the provision of audio recordings of council meetings.

Amendments to policy and budget framework

11. Councillors have a statutory duty to set a budget which is done annually at the budget meeting in February. As part of this process budget council must decide the level of council tax to be set for band D properties in the city. Also, it needs to make a statutory determination of how the precept of the collection fund for the forthcoming year is to be calculated in accordance with sections 32-36 of the Local Government Finance Act 1992 as amended by the Localism Act 2011.
12. If amendments to the draft budget are received, officers need to investigate the implications of these to ensure that there would not be any "knock on" implications for other parts of the budget; that they would still result in a balanced viable budget and to enable the above statutory determinations to be re-calculated.
13. Although constitutionally, amendments can be moved at any time, group leaders have informally recognised that it is helpful to all councillors and officers if amendments are submitted as early as possible the week before full council meetings. This informal arrangement has worked well and helped the smooth and efficient running of the meetings.
14. Recognising the particular importance of this in respect of the budget, group leaders informally agreed to follow these arrangements at budget council on 18 February 2014.
15. In view of the importance of ensuring that the budget is set according to the statutory requirements, the working party considered a suggestion that these arrangements be formalised rather than relying on informal agreements.
16. During discussion it was pointed out that members needed the support of officers when proposing budget amendments and that it would be necessary to ensure that the chief finance officer and her team were available so that amendments could be submitted in time. The amount of work required by the finance team to check through the implications to changes to the proposed policy and budget framework was recognised. Members were advised that the budget process was carried out throughout the year and this rolling process enabled greater opportunity to fund items of expenditure or services which required a longer term preparation. Budget proposals were discussed with cabinet and group leaders in October or November and were presented to scrutiny committee before consideration at cabinet.
17. The working party recommended that appendix 1 of the council's constitution be changed to require amendments to the policy and budget framework at the annual budget council meetings to be received by 10am three clear working days in advance of the meeting (ie by 10am the Wednesday before the meeting).

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Executive head of strategy, people and democracy
Report subject:	Constitution review
Date assessed:	10 April 2014
Description:	Proposed changes to the council's committee and procedure rules (appendix 1)

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014
Report of Executive head of business relationship management
Subject Business continuity management

Item

6

Purpose

To consider the business continuity management policy and framework

Recommendation

To approve the business continuity management policy and framework

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services".

Financial implications

There are no direct financial implications from this report.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Anton Bull 01603 212326

Teresa Cannon 01603 212427

Background documents

None

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Report

Background

1. The Civil Contingencies Act 2004 specifies duties which must be carried out by local authorities in order to contribute to an integrated emergency response to major incidents. One section of these duties is that local authorities must have adequate measures in place to maintain essential services and subsequently recover from the effects of any significant disruption to normal working. This process of increasing local authority resilience is known as Business Continuity Management (BCM).
2. BCM is a management led process that helps identify and prepare for potential disruptions to the smooth running of the council's objectives. BCM is not a one-off project, it is an ongoing area of work, the principles of which should be embedded into the core of the organisation.
3. The short-term objective of BCM is to ensure that during disruption critical services may continue uninterrupted. The longer-term objective of BCM is to ensure that the authority can resume normal services as quickly as possible in the aftermath of any disruption/ emergency event. BCM follows a simple process:
 - **Mitigation of existing risks** – Management and reduction of existing risks in order to prevent potential disruptions as best as possible
 - **Readiness** – All measures which are in place to alert the Authority to a business disruption as quickly as possible, and have them ready to effectively respond to it
 - **Response** – The immediate management of the emergency or crisis situation to maintain all of the Authority's critical functions
 - **Recovery** – All remaining steps required to return all areas of the Authority to a normal level of operation

Policy and framework

4. The document at Appendix 1 sets out the council's policy and framework
5. The policy and framework sets out six clear steps in the BCM lifecycle which will form the basis for implementation.

Implementation of the policy and framework

6. The policy and framework will be implemented through a steering group chaired by the executive head of business relationship management. The key first steps will be to
 - i. programme management
 - ii. understand the organisation
 - iii. determine the strategy

- iv. develop and implement a response
- v. exercise and maintain – keeping the plan up to date and reviewed.
- vi. embed into culture, monitor, raise awareness with staff.

These steps will be followed to ensure that the policy and framework is implemented and maintained.

7. Cabinet approval for the policy and framework will ensure that there is a mandate for its implementation.

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Business continuity management
Date assessed:	9 June 2014
Description:	Business continuity management

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The policy and framework aims to create an environment where service interruption is minimised
Other departments and services e.g. office facilities, customer contact	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The process will identify action points for development, mitigation and contingencies across all service areas to develop greater resilience
ICT services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The process will identify business applications that support our critical activities and inform the Disaster Recovery Plan
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The policy aims to reduce the risks associated with interruptions to service and where those risks cannot be eliminated to have in place plans to effectively manage the response and ensure recovery of our critical activities.

Recommendations from impact assessment

Positive

The BCM programme management will ensure compliance with our duties under the Civil Contingencies Act 2004. It will enable the council to develop strategies to support its critical activities, improve awareness of business continuity and risk management amongst staff (and members), and minimise the chance of service disruption. Our organisational reputation will potentially be enhanced by a prompt, considered and professional response to any major service disruption.

Negative

Neutral

Issues



NORWICH
City Council

Business Continuity Management

Policy and Framework

Document Owner: Emergency Planning Manager

Version: Draft v.2

Date: 6 March 2014

Foreword

Many of the services Norwich City Council provide are vital to our residents and communities. We need to ensure we are able to continue to provide essential services, whatever disruption or emergency might affect the council.

This document outlines the council's vision and the framework adopted for effective Business Continuity Management and improving our resilience to ensure we are able to continue to provide business critical functions and essential services.

It is the intention of the council to meet its statutory obligations as a Category 1 Responder under the Civil Contingencies Act 2004 and also to continue to develop and improve this approach as part of its wider corporate commitment to social responsibility. By developing and maintaining effective Business Continuity Management the normal operations of the council are less likely to be disrupted following the occurrence of a significant incident.

All services have a role and every member of staff has a responsibility to make sure the council can continue to service our communities. In the event of a disruption, Norwich City Council will aim to continue to provide high levels of service to members of the public and users of our services.

Laura McGillivray
Chief Executive

Brenda Arthur
Leader of the Council

1. Background

The Civil Contingencies Act 2004 specifies duties which must be carried out by local authorities in order to contribute to an integrated emergency response to major incidents. One section of these duties is that local authorities must have adequate measures in place to maintain essential services and subsequently recover from the effects of any significant disruption to normal working. This process of increasing local authority resilience is known as **Business Continuity Management (BCM)**.

BCM is a management led process that helps identify and prepare for potential disruptions to the smooth running of the council's objectives. BCM is not a one off project, it is an ongoing area of work, the principles of which should be embedded into the core of the organisation.

The short-term objective of BCM is to ensure that during disruption critical services may continue uninterrupted. The longer-term objective of BCM is to ensure that the authority can resume normal services as quickly as possible in the aftermath of any disruption/ emergency event. BCM follows a simple process:

- **Mitigation of existing risks** – Management and reduction of existing risks in order to prevent potential disruptions as best as possible
- **Readiness** – All measures which are in place to alert the Authority to a business disruption as quickly as possible, and have them ready to effectively respond to it
- **Response** – The immediate management of the emergency or crisis situation to maintain all of the Authority's critical functions
- **Recovery** – All remaining steps required to return all areas of the Authority to a normal level of operation

The Civil Contingencies Act 2004 and its accompanying guidance highlights that local authorities should not only undertake and develop business continuity plans, but should maintain regulatory compliance by undertaking the following:

- Risk assessment through the understanding of each service area (Business Impact Assessment)
- Identifying mitigation measures and linking into the corporate risk register
- Reviewing and maintaining business continuity plans
- Identifying core management recovery and operational teams
- Training of key staff (especially those with business continuity roles)
- Maintaining a contacts directory of key staff
- Exercising of business continuity plans

2. Policy Statement

- 2.1. The council is committed to ensuring robust and effective Business Continuity Management (BCM) as a key mechanism to restore and

deliver continuity of key services in the event of a disruption or emergency.

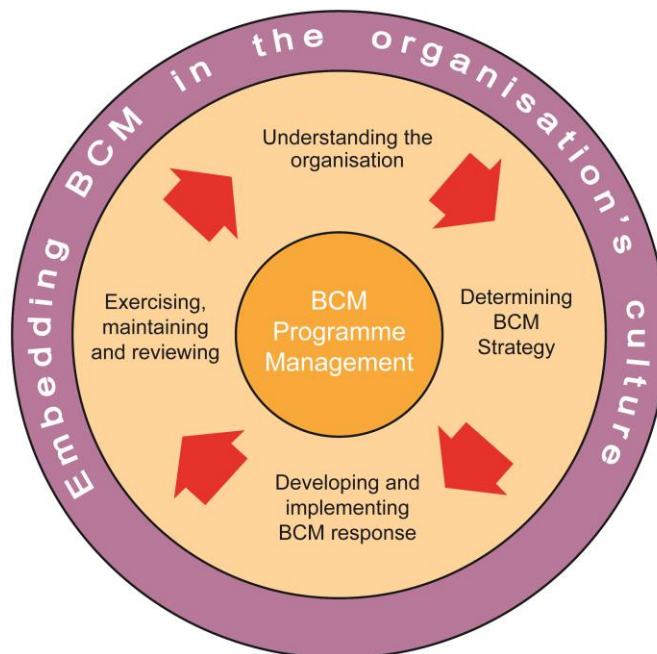
- 2.2. The council's BCM arrangements will meet the statutory requirements within the Civil Contingencies Act 2004 and will follow best practice guidelines.
- 2.3. The council will determine its main critical activities and identify the main threats at a corporate level. This analysis will be conducted every two years and will determine the scope around which business continuity planning will be undertaken.
- 2.4. The Corporate Leadership Team will have overall strategic responsibility for BCM and will ensure implementation of the main strategies.
- 2.5. Contracts for services deemed critical to the Council will include a requirement for each nominated supplier to provide a business continuity plan for evaluation. Every tender will include business continuity as an element of the tender evaluation model.
- 2.6. All council staff will be made aware of the plans that affect their service delivery areas and their role following invocation of any business continuity plan.

3. Objectives

- To ensure the council can continue to deliver its services in the event of a situation disrupting 'business as usual' where reasonably practicable.
- To identify and prioritise functions and responsibilities which are essential to the council.
- To identify the potential areas of vulnerability in council services in order to determine overall priorities for recovery of functions if disruption takes place.
- To identify and implement contingency arrangements to respond to serious disruption, allocating accommodation/resources and priorities for action to recover critical functions and prepare for return to normal working as quickly as possible.
- To describe the communication strategy to ensure information is disseminated effectively during a service disruption.
- To ensure all service areas are involved in the preparation of Business Continuity Plans, ensuring an effective and consistent response.
- To develop a process to review and update the plans.
- To carry out regular tests of plans to validate and develop the arrangements.

4. Delivering the Framework

There are six steps that make up the BCM lifecycle as set out in the Business Continuity Management Standard:



Step One: BCM Programme Management

Effective programme management will ensure that BCM capability is established and maintained within the authority. The Business Continuity Management Policy and Framework forms part of the council's compliance with the Civil Contingencies Act 2004 and follows best practice guidance.

The Corporate Leadership Team will:

- Have overall strategic responsibility for BCM
- Promote and embed principles throughout the organisation
- Receive progress reports from the Business Continuity Steering Group

Step Two: Understanding the Organisation

The aim of this element of the BCM lifecycle is to assist the understanding of the organisation through the identification of its key products and services and the critical activities and resources that support them. Each service area will complete a Business Impact Analysis (BIA) to identify critical activities and the resources required to deliver those activities.

Functions which have a direct impact on public safety will be the highest priority within the BCM work ('critical activities') and all reasonable risk mitigation efforts will be made to minimise any disruption to these functions. It is also assumed that any endangerment of public safety on the part of the authority would, by consequence, have a damaging impact upon reputation and possibly finances of the authority.

Step Three: Determining BCM Strategy

Identifying strategies and plans to ensure the maintenance of critical activities that underpin the functions and services of the council. The BCM strategies should seek to build on the detailed analysis and objectives defined in the BIA process and support the council's objectives, obligations and statutory duties in a cost effective manner.

Services provided by the authority could be disrupted by a range of incidents. It is important to ensure that the risks that could adversely affect the organisation and its facilities are identified, evaluated and that appropriate control measures are put in place to mitigate the risks. For example:

- Loss of Premises (including denial of access to contents);
- Loss of Key Infrastructure (Telecoms, IT, Water, Power, Fuel);
- Loss of Key Staff;
- Supplier Failure, failure of supply chain.

Step Four: Developing and Implementing a BCM Response

Developing appropriate plans and procedures to effectively manage and respond to any disruption to ensure service continuity and recovery of critical activities and the management of an incident. The work will be carried out across two levels:

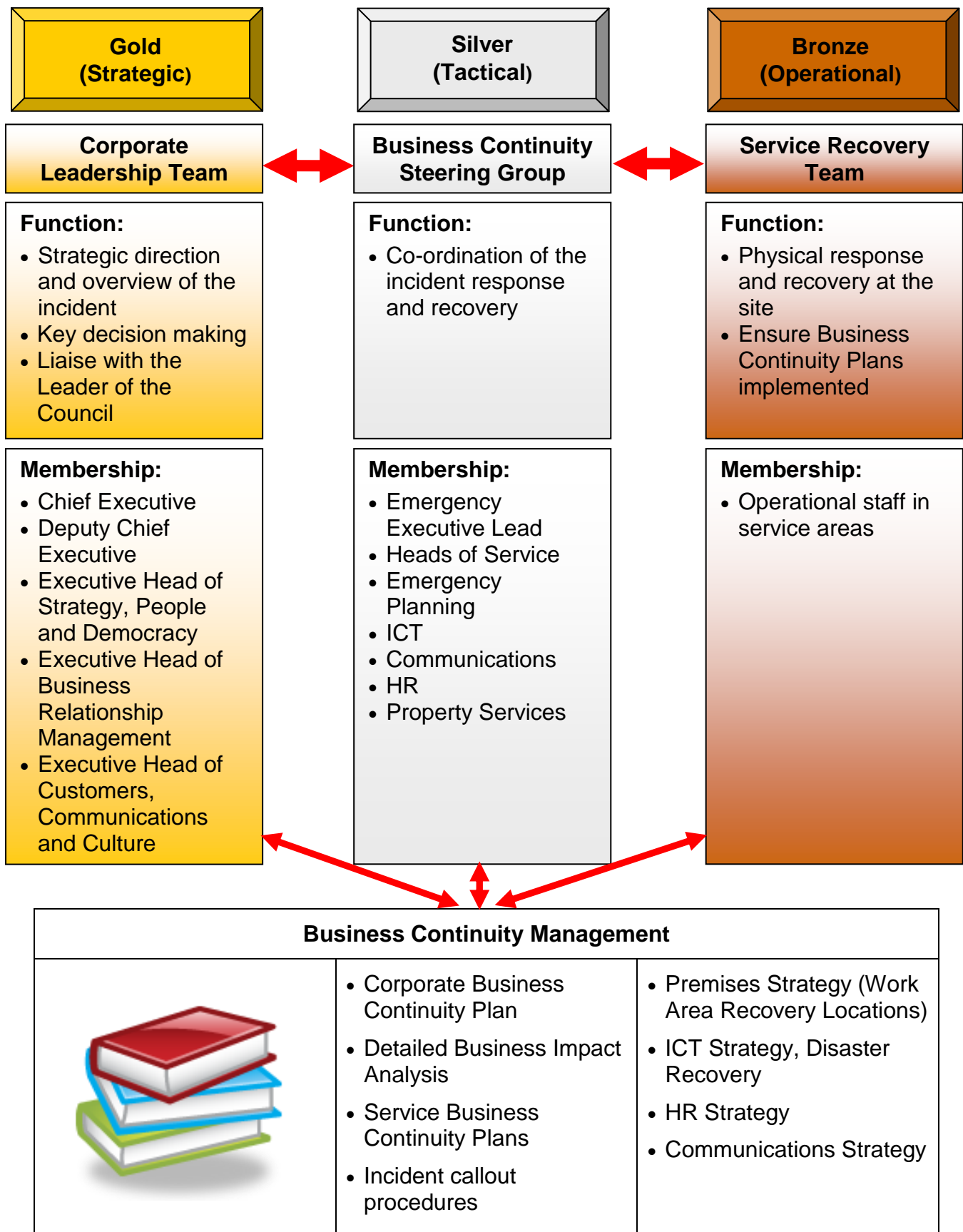
Corporate:

- There will be one overarching Corporate Business Continuity Plan covering the full range of functions and services (with reference to the BIA's / Service BC Plans)
- The Business Continuity Steering Group will undertake a proactive role and will meet as appropriate (at a minimum quarterly) to implement BCM, discuss any significant developments, identify training needs, analyse incidents and near misses and add any learning points to the overall project objectives.
- This group will also have a reactive responsibility during a significant business disruption to handle tactical decisions in order to maintain and restore the Council's critical services.

Service Area:

- All functions will be assessed through the BIA process across all services
- A Business Impact Analysis / Service BC Plan has been developed to score functions fairly across all service areas against a set of clear impact descriptors. This process will be undertaken every two years.
- Heads of Service will be responsible for service level risk mitigation actions, subject to financial constraints that result in the need for a corporate decision on expenditure (e.g. additional capital expenditure).

BCM Management Structure



Step Five: Exercising, Maintaining and Reviewing BCM Arrangements

BCM arrangements are validated by exercise, reviewed regularly and kept up to date. The plans will be controlled circulation documents (copies will be provided on encrypted memory sticks) and will be reviewed regularly:

- The Corporate Business Continuity Plan will be reviewed annually by consultation with all members of the Business Continuity Steering Group or sooner following any significant structural re-organisation
- A Business Impact Analysis review will take place every two years and the Service Business Continuity Plan updated accordingly
- The Corporate Business Continuity Plan will be exercised periodically as determined by the Business Continuity Steering Group
- Service Business Continuity Plans will be exercised annually (these can be in the form of a team discussion exercise)
- All plan tests will be followed by a debrief session in order to capture any learning points and future actions for plan development

Step Six: Embedding BCM in the Organisation's Culture

In order to be successful, BCM has to become part of the way that an organisation is managed. At each stage of the BCM process opportunities exist to introduce and enhance an organisation's BCM culture. All staff need to be aware of the importance of BCM and the role they are expected to play.

BCM will be embedded into the authority through a variety of methods, including the following:

- Regular inclusion of BC on CLT agendas
- Business Continuity Steering Group
- Awareness raising sessions for staff
- BC related articles within internal staff magazine or intranet as appropriate

5. Benefits

- Minimise chance of service disruption to critical functions - fewer surprises.
- Minimise impact on community if services are disrupted. Compliance with 2004 Civil Contingencies Act.
- Structured and co-ordinated recovery to any severe service disruptions.
- Improved awareness of business continuity and risk management amongst staff.
- Morale and confidence in the organisational culture is improved and professional status enhanced.
- Builds confidence amongst partners and stakeholders.
- Organisational reputation and public confidence are protected and potentially enhanced by a prompt, considered and professional response.
- Risk of litigation and corporate liability are reduced.

6. Key Outcomes

- Clear direction/focus in terms of work effort for BCM
- Clearly defined reporting/BCM structure
- Identify which critical functions are corporate and the Corporate Leadership Team consider to be the most important using risk management process

7. Evaluation

Assurance on the effectiveness of BCM can be gained from a variety of different sources including:

- Internal audit reviews
- External audit
- Management assessment
- Exercises
- Peer reviews
- Debriefs from incidents and 'near miss' incidents
- Risk register assessment and reporting
- Monitoring

Report to	Cabinet	Item
	25 June 2014	
Report of	Deputy chief executive (operations)	7
Subject	Norwich and Homes and Communities Agency (HCA) Strategic Partnership business plan 2014-15	

KEY DECISION

Purpose

To consider the business plan for the Norwich and Homes and Communities Agency (HCA) Strategic Partnership for 2014-15

Recommendation

To approve the Business Plan for the Norwich and Homes and Communities Agency (HCA) Strategic Partnership 2014-15

Corporate and service priorities

The report helps to meet the corporate priority “A prosperous city” and “Decent Housing for all”.

Financial implications

The business plan allocates £2,193,430 partnership funds in 2014-15, leaving £66,455 unallocated for expenditure in future years.

Ward/s: All wards

Cabinet member: Councillor Arthur - Leader

Contact officers

Gwyn Jones

01603 212364

Background documents

None

Report

Background

1. The Norwich and Homes and Communities Agency Strategic Partnership was formed in September 2009 following signing of a Collaboration and Investment Agreement (CIA) between Norwich City Council and the Homes and Communities Agency (HCA). The partnership is based on over £8M investment from HCA and city council assets and is intended to create a self perpetuating finance arrangement through the reinvestment of the proceeds from development in future projects which meet the partnership objectives. The objectives are:
 - a) To accelerate the delivery of affordable homes
 - b) To increase the supply of private homes
 - c) To improve the quality of existing homes
 - d) To maximise the opportunities for local employment
 - e) To deliver early outputs
 - f) To create sustainable communities
 - g) To deliver strategic regeneration projects within Norwich such as eco- retrofit programme or estate renewal.
2. Since the partnership was established some considerable achievements have been made:
 - a) Memorial gardens project;
 - b) 108 new affordable homes on small sites owned by the Council;
 - c) The 'eco-retrofit' of over 800 Council homes;
 - d) New skate park at Eaton Park;
 - e) Grants for the Open 24/7 Youth venue and the Narthex projects;
 - f) Establishment of the "Building Futures in Norwich" project to help ensure that local people can take up job and training opportunities created through construction projects;
 - g) Completion of a "Vision and Investment Plan" for the South City Centre.
 - h) Ground investigation work on Mountergate West to enable this site to be brought forward as a mixed development involving housing, offices and car parking
 - i) Securing outline planning permission for the Threescore site at Bowthorpe for 1000 homes, including a care home, open space and other community facilities;

- j) Considerable site preparation work including ecology, archaeology, site clearance, arboricultural assessments at Threescore;
 - k) Detailed design work required for road and drainage infrastructure and associated landscaping at Threescore;
 - l) Negotiating an agreement with UK Power Networks to secure the undergrounding of high voltage lines crossing the Threescore site by 2016 at no cost to the Council.
 - m) Securing funding and preparations for land transfer to enable the development of a new Housing with Care and Dementia Care facility at Threescore;
3. The CIA requires that an annual business plan is approved for the Partnership.

Priorities for the Business Plan for 2014-15

- 4. The main priorities for the partnership now relate to the development of the Threescore site. The majority of the remaining partnership funds (£1,835,353) are proposed to be allocated for the construction of the road and infrastructure to serve the whole of the Threescore development. The Council has agreed to fund the remaining cost of the infrastructure (up to £1,864,835). A tender process via a mini competition through the Eastern Highways Alliance is due to start later this month with a start on site anticipated in September 2014. Construction of the road/ infrastructure is expected to be a maximum of a 12 month construction programme. (This timetable will be confirmed via the tender process and is subject to all necessary planning approvals being secured).
- 5. Development of the 172 unit housing with care and dementia care facility will form phase 1 of the Threescore development and is due start by the end of July 2014. Completion should be by January 2016.
- 6. Preliminary work on feasibility and market testing of phase 2 of the development is already underway. Subject to Cabinet approval, further design work will be carried out to secure planning permission for this phase so that construction can start in 2015. A 2 year construction programme is envisaged for this phase.
- 7. Development of the Threescore site will be underpinned by the “Building Futures in Norwich” project which guarantees employment and training opportunities for local people as part of the construction contracts
- 8. The Business plan proposes that a sum of £67,250 be allocated for programme management of the partnership. The majority of these funds will be fees related to the Threescore development with a small element of funding to manage the Partnership as a whole. This leaves a balance of £66,455 in the programme management budget for 2015-16. (This was a £500K budget originally earmarked for early partnership projects completed by March 2011 but through careful management has helped to support programme management for a longer period). The intention has always been to top this budget up once proceeds from the development at Threescore start to come on stream.

Conclusion and next steps.

9. Having achieved early successes through the early regeneration projects, the Partnership will now focus its attention on the development of Threescore which forms the core of the Partnership agreement. In future business plans, consideration will need to be given to how to invest the proceeds from the development of Threescore, based on the principle of the revolving fund.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet			
Committee date:	09 October 2013			
Head of service:	Andy Watt			
Report subject:	Norwich and HCA Strategic Partnership Business Plan 2013/14			
Date assessed:	17 September 2013			
Description:	To seek approval for the Norwich and HCA Strategic Partnership business Plan for 2013/14			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

S17 crime and disorder act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The development of the Threescore site will involve development and therefore use of resources. New residents will generate waste- however the planning permission requires homes to be delivered to at least Code 4 and ensure sustainable construction and waste minimisation.
Pollution	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Inevitably new development will result in some pollution
Sustainable procurement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Development will impact on energy use however the housing will be to a minimum of Code 4 and sustainable construction techniques will be used
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Recommendations from impact assessment				
Positive				
The Threescore development will deliver 1000 new homes and new jobs for local people. It will provide for new open space, and new community facilities as well as a housing with care facility				
Negative				
Inevitably new development will have some negative consequences however these matters have already been taken into account through the planning process so are not an issue for Cabinet				
Neutral				
Issues				

Business plan for the Norwich City Council and Homes and Communities Agency strategic partnership

April 2014 to March 2015

DRAFT

DRAFT

Table of Contents

1. Overview

In September 2009, Norwich City Council (NCC) and the Homes and Communities Agency (HCA) entered into a collaboration and investment agreement (CIA), which established the Norwich and HCA strategic partnership (NAHCASP). The CIA sets out the formal legal basis for the partnership and the objectives that would be achieved over its 10 year life. The original business plan forms part of the CIA and sets out the short-term outputs and outcomes that were to be achieved. The CIA requires the business plan to be updated at least annually and that any variation to the business plan requires the prior consent of NAHCASP strategic board.

This business plan covers the financial year 2014/15.

The NAHCASP is based on the combination of assets from NCC and investment from the HCA. It is intended to create a self-perpetuating finance arrangement, through the reinvestment of the proceeds from development in future projects, which meet agreed objectives.

This business plan commits expenditure for 2014/15 and sets out how this committed investment will be monitored and controlled, to ensure outcomes are achieved; how projects for future investment will be developed; and decisions on future funding allocations will be made. The initial £8M investment from HCA is now almost fully committed so the plan also needs to consider how decisions on returns from investment will be made.

2. Partnership vision

The partnership's vision and overarching objective is to deliver and strengthen sustainable communities through innovative approaches to joint working.

The partnership will develop the assets (including those identified initially and any others ring-fenced for partnership investment in the future) in order to satisfy the objectives listed below and ultimately deliver the outcomes determined by the NAHCASP strategic board.

3. Strategic objectives

The strategic objectives for the partnership are to:

- accelerate the delivery of affordable homes
- increase the supply of private homes
- improve the quality of existing homes
- maximise the opportunities for local employment
- deliver early outputs
- create sustainable communities deliver strategic regeneration projects within Norwich such as eco retrofit programme or estate renewal.

4. Quality standards

All affordable housing developments will be delivered to the HCA design standards (currently under review) as a minimum requirement, or other such standards as agreed by the strategic board. In respect of Threescore, which will be developed in phases, the partnership will ensure the development is constructed to the standards agreed by the strategic board.

5. Performance management

The performance of projects is managed at a number of levels.

- Project briefs, which set out the outputs and outcomes to be achieved at a project level, are approved by the strategic board.
- All projects are managed in accordance with the city council's agreed project management framework.
- Monthly highlight reports are considered in detail by the implementation board in order to monitor progress against agreed project milestones.
- Performance is monitored on a quarterly basis by the strategic board.

6. Risk management

Individual project risk and issues registers are maintained by the individual project managers. An overall partnership risk register and issues log is maintained. Risks are reported to the implementation board and strategic board on a regular basis so that appropriate steps can be taken to manage and mitigate these.

Key strategic risks at this stage relate to the development of the Threescore site.

- *Timing of infrastructure provision and undergrounding, upgrading and diverting services and utilities to serve the whole development linked to the delivery of the first phase of development and housing with care facility.*
- *Timing of phase 2 in order to secure a return following investment in infrastructure*

7. Partnership governance

The partnership governance structure is established through the CIA and shown in appendix one. The strategic board and implementation board are now well established and effectively managing and overseeing the progress of the partnership and its activities.

8. Cost control and reporting

Any expenditure on projects will require approval from the strategic board. The strategic board has agreed expenditure delegation levels for the implementation board, which are set out in a separate delegation schedule for the implementation board.

In order to secure consent to any expenditure, a proposal will be prepared and submitted for approval. This will include the reason for expenditure, amount, and value for money, together with a recommendation.

The following are the only ways in which expenditure can be committed on an agreed and identified project.

i) Implementation Board

The implementation board will be responsible for committing all expenditure by the partnership provided it is within the parameters of the delegation levels agreed by the strategic board.

ii) Project team/s

The project team/s will not be allowed to commit any expenditure unless permission has been delegated by the implementation board. If this occurs, then the strategic board shall be notified of the level of delegation prior to the commitment being made. In any event, the implementation board may only delegate permission to a project team to the extent it is consistent with the permission delegated to it by the strategic board.

9. Procurement of goods, works, services or equipment

The procurement of any goods, works, services or equipment by NCC in relation to joint venture activities shall be in accordance with clause 7 of the CIA.

It should be noted that a public procurement threshold exists and if it is exceeded then the full **Official Journal of the European Union (OJEU)** process must be followed. The head of procurement at NCC or HCA should advise on this process. Use of the HCA panels may be made by the partnership in order to simplify the procurement process through use of mini tenders.

Delivery in 2013/14

10. Budget and expenditure in 2013/14

The following table shows the total allocation of funds for 2013/2014 along with the actual year-end expenditure.

2013/14 Expenditure

	NAHCASP budget	Allocations for 2013/14	Unallocated	Actual spend 2013/14	Variance
Programme management	202,794	87,750	115,044	69,089	18,661
Strategic priorities funding	2,382,746	547,393	1,835,353	256,566	290,827
TOTAL	2,585,540	487,258	2,098,282	325,655	309488

The following table shows a breakdown of allocations from the programme management budget together with year- end expenditure.

2013/14 Programme Management Expenditure

	Allocations for 2013/14	Actual spend 2013/14	Variance
Project director role	18,750	15,714	3,036
Project director contingency	3,000	8	2,992
Bowthorpe Programme Management	30,000	26,576	3,424
Bowthorpe transportation advice	7,500	4,638	2,862
Bowthorpe community engagement advice	500	84	416
Bowthorpe Residual Property Advice	25,500	20,325	5,175
South City Centre Project Management	2,500	1,742	758
TOTAL	87,750	69,089	18,663

The following table shows a breakdown of allocations from the strategic priorities funding and the year-end expenditure.

Strategic priorities budget (as agreed in 2013/14 Business plan)	Budget allocation	Actual spend 2013/14	Variance /c/f
Bowthorpe Infrastructure Strategy and Brief	16,730	16,030	700
Bowthorpe Ecology and Related Advice	29,490	29,490	0
Bowthorpe Overhead Lines	47,500	47,500	0
Bowthorpe Surface Water Drainage	9,859	9,859	0
South City Centre Vision and Investment Plan	46,761	46,761	0
South City Centre- Mountergate West Investigations	25,000	26,345	-1,345
Employment and Skills- "Building Futures In Norwich"	8,878	8,878	0
Second Payment for Overhead Lines (held for 2016/17)	47,500	0	47,500
Contingency Payment	15,675	0	15,675
Allocation for preparatory works for road/ infrastructure made by SB in Dec 2013 and delegated to IB	300,000	73,822	226,178
Unallocated - to be used for road/ infrastructure	1,835,353	0	1,835,353
Memorial Gardens	0	(2,119)	2,119
TOTAL	2,382,746	256,566	2,126,180

11. Progress in 2013/14

The NAHCASP has made considerable progress over the last year. The partnership focused its attention on three main areas:

- a. the employment and skills supply side package
- b. the Three Score development
- c. Mountergate West

a. Employment and skills supply side package. The project has been successful in securing new contracts via Norwich City Council and the partnership. Further work will be secured following the letting of the design and build contracts for the housing with care scheme and the strategic infrastructure and spine road works.

b. Three Score development. The main elements of progress during the year were as follows:

Outline planning consent for the overall development. The outline planning permission for 1,000 homes was secured in July 2013. This included the detail of the main road infrastructure to serve the whole development. In order to ensure that the works to deliver the infrastructure and spine road are not delayed, several pre-commencement planning conditions were submitted for discharging.

Surface water drainage design and costing. Further design works were commissioned which will be included in the tender pack for the infrastructure and spine road works.

Housing with care and dementia care facility. Funding for the scheme was agreed by the HCA in June 2013. A reserved matters application was submitted in December 2013 and was approved by the Council's planning committee in March 2014.. The tender for the design and build contract has been issued and the contractor has been appointed

Overhead electricity lines and other utilities. The deed is near to completion for the 132kv line to be undergrounded by December 2016. The next steps are to secure the undergrounding of the 11kv lines crossing the site.

Infrastructure Strategy Report. An infrastructure strategy report was produced to identify how the site could be serviced and the associated costs for any works. This was to ensure that a fully serviced site is available for future phases of development.

Future phases. Work was carried out to determine the next phase of development. In February 2014, the Council's Cabinet agreed to take forward a phase of development adjacent to the housing with care scheme. A brief has been prepared to commission initial feasibility, market testing and design works for this phase prior to detailed design and submission of a planning application.

c. Mountergate West. Following delivery of the South City Investment Plan (David Lock Associates) in June 2013, the strategic board funded some ground investigation works for the Mountergate West site in order to establish the optimum locations for the proposed housing and car park.

The results of the investigations showed no significant issues. In September 2013, the Council's Cabinet agreed to take forward the development of the car park as phase 1 of the development of Mountergate West and in October 2013, Cabinet agreed to take forward the housing element as phase 2. It was agreed that there was no further need for partnership funds to be invested in this development.

12. Priorities for April 2014 to March 2015

The main priorities for the coming year relate to the development of the Three Score site:

- a) Infrastructure to serve the whole development
- b) Housing with care and dementia care facility
- c) Phase 2 housing

The employment and skills supply side package, "Building Futures in Norwich", will form an integral part of all these projects.

a) Infrastructure to serve the whole development

The construction of the road and infrastructure will commence in 2014/15 following the appointment of a design and build contractor. This is likely to be a 12 month construction contract. The main constraint is to ensure that the permanent access arrangements and drainage are available for the housing with care facility by their target completion date of January 2016.

The most optimistic timetable is likely to be:

- Completion of further design work- drainage and landscaping- May 2014
- Start of procurement process for design and build contract for road and infrastructure- June 2014
- Completion of procurement process- August 2014
- Start constructing the road – Autumn 2014
- Completion of road infrastructure – Autumn 2015

The partnership has committed the balance of Strategic Priorities funding to deliver the road and infrastructure (£1,835,353 remains at the start of 2014/15). The Council has agreed to fund the balance of the costs (up to a total of £4M) with the partnership funding being used to cover any interest charges. More detailed cost estimates will be available following the tender process for the design and build contract.

The strategic priorities funding budget for 2014/15 is allocated as follows:

Strategic Priorities Funding for 2014-15	£
Second Payment for Overhead Lines (held for 2016/17)	47,500
Outstanding payment for infrastructure strategy and brief	700
Contingency	14,330
Commitment made by SB in Dec 2013 and delegated to IB - carried forward to 2014 -15	226,178
Remaining balance for construction of road/ infrastructure	1,835,353
Memorial gardens	2,119
TOTAL	2,126,180

Housing with care and dementia care facility

The partnership will continue to work with NPS, Norse Care and Norfolk County Council to deliver the dementia care and housing with care facility. HCA funding through the “Care and Support Fund” currently requires a start on site before the end of quarter 2 in 2014/15. This involves a transfer of land by the City council to Norsecare at nil value but no partnership funding is required.

Phase 2 housing

The Council has agreed to take forward phase 2 acting as direct developer. The blocks of housing to be included in this phase are shown on Plan 1 and the phase is likely to consist of around 142 dwellings of which 33% will be affordable. The Council has made an allocation in its Capital plan and

Programme to fund this development. The initial work which will be taken forward will be part of an iterative process in order to test the design and feasibility for this phase:

- Market testing the demand for private rented housing to inform the mix of the private sector element
- Assessing the demand for units of different sizes and types e.g. 1,2,3 etc bed houses or flats
- To produce initial sketch designs for the development
- To produce detailed financial appraisals
- Producing a community engagement strategy
- Design of scheme and submission of reserved matters planning application
- Consideration of a community trust for the management of open space in this and future phases.

A brief for commissioning this work has been prepared.

c) The employment and skills supply side package, Building Futures in Norwich. This project will be contractually linked with any construction contracts taken forward by the partnership. The project should be able to sustain itself without any further funding from the partnership.

d) Sites for future investment. The partnership will continue to investigate options for future investment by the partnership, although immediate opportunities will be limited as future investment will be dependent on achieving receipts from the Threescore development which are unlikely to start to be delivered until 2016/17.

13. Other resources for delivery

Programme management

The £500,000 programme management budget, which was established in the original business plan in 2009 to cover the costs of project management relating to the original regeneration projects to be delivered by March 2011, has been drawn down very sparingly. The fund has a balance of £133,705 at the start of 2014/15. The strategic board has agreed that a revolving fund be

established to cover future programme and project management costs incurred by the partnership. This will allow this budget to be topped up through the receipts from the development of land at Threescore.

Norwich City Council will continue to provide the project director role to March 2015 at a maximum cost to the Partnership of £18,750 (including support from the HCA project assistant and LGSS finance) with the Council bearing the remainder of the costs. This will be the only revenue funding from the partnership funds and represents around 1% of the total partnership budget for the year.

The following staff time for City Council fee based staff, will also be funded from Programme management budget. (All other staff resources will be covered by the Council). These are capital costs as they are fees directly related to the development of the Threescore site

- £37,500 to provide overall programme management for the Bowthorpe project - coordinating the different work streams - including infrastructure, housing with care and phase 2, plus looking ahead to future phases
- £7,500 is allocated to provide transportation advice at Bowthorpe.
- £500 is allocated for community engagement advice.

14. Budget for 2014-15

The tables below summarise the proposed budget for 2014/15.

Programme Management Budget 2014/15	133,705
Project Director *	18,750
Project Director Contingency *	3,000
Bowthorpe overall programme management	37,500
Bowthorpe Transportation advice	7,500
Bowthorpe Community Engagement advice	500
Total Committed	67,250
Unallocated	66,455

* revenue funding.

	NAHCASP Budget	Allocations for 2014-15	Unallocated
Strategic Priorities Funding	2,126,180	2,126,180	0
Programme Management	133,705	67,250	66,455
Total	2,259,885	2,193,430	66,455

Delegation of budgets and responsibilities

1. To expedite project delivery, the following delegation levels are proposed:

Strategic Board responsibilities:

- Agreeing the form of contract for the design and/ or construction of the road/ infrastructure.
- Agreeing the design of drainage for the road/ infrastructure contract.
- Recommending to the Council (delegated to the deputy chief executive in consultation with the portfolio holder for resources) the appointment of contractor for the design/ build contract for the road/ drainage/ infrastructure.
- Recommending to the Council the preferred mix of housing (size, type and tenure) for phase 2 and the quality standards to be achieved (for inclusion within the reserved matters planning application for phase 2.
- Recommending to the Council the route to development for phase 2, including funding requirements and the selection of a development contractor/partner.
- Agreeing the future housing outcomes and the Threescore project plan.

The Strategic Board delegates to the Implementation Board:

- The delivery of the Threescore project plan for 2013/14 (appendix 1) including the procurement of services and overall management of individual contracts (up to the value of £75K) including the following:
 - Pre - commencement works necessary for the road/ drainage/ infrastructure to serve the whole site- including archaeology, site clearance, reptile relocation, arboricultural method statement and tree protection plan
 - Works (including design work) related to pre-commencement planning conditions and reserved matters consent required for the road/ drainage/ infrastructure
 - Any further design work required for the contract for the road/ infrastructure.
 - Procurement of property and planning advice related to the above
 - The procurement of a project manager/ CDM coordinator for the road/ infrastructure project (pre and post-construction)
 - Initial design work for phase 2 to determine the location of the service wayleaves.
- Approval of tender documentation for the development agent for phase 2, including as stage 1, the design, feasibility and further market testing.
- Overall management of development agent, for phase 2, once appointed
- Approval of tender documentation (including any necessary survey work and further design needed) required to procure a contractor to construct the road and infrastructure.
- Overall management of the contractor to construct the road/ infrastructure, once appointed.

The Implementation Board delegates to the Threescore project team:

- Delivery of the project work streams including procurement of any individual contracts up to the value of £10K.
- Day- to- day management of consultants and contractors working on the project.

Advice will be procured in line with the Council's procurement standing orders and target operating model, which includes working with partners NPS Norwich, NPLaw and LGSS. All projects will be managed in line with the Council's approved project management procedures.

15. Communications plan and activities

The CIA requires a communications plan to be developed for the partnership. This was approved initially by the strategic board in November 2009. The document is a living document and is updated regularly to respond to changing circumstances and specific communications activities. The strategic board will approve any budgets for any future communications activity as required.

A communications protocol has also been agreed which ensures that there is an agreed process (between HCA and NCC) for agreeing press releases and handling media enquiries.

Community engagement will continue to be a vital part of the partnership work especially in relation to Threescore as it moves forward to delivery.

Case studies and awards

The HCA has developed a case study about the partnership for its website and its skills and knowledge directorate has developed a case study on the learning aspects of the partnership's activity. There is a general presumption that the partnership welcomes showcasing activity where there is no cost to the partnership.

The partnership will continue to promote its achievements through future awards.

16. Further development of the partnership

The CIA allows for further sites to be brought into the partnership. It does not preclude further investment by the HCA, although none is specifically committed. It is important that the partnership has a process for bringing forward new sites and project ideas for consideration and develops emerging priorities to take advantage of future funding which will come through the partnership or direct from the HCA or other sources. This could include opportunities for shared expertise as well as spend on capital projects. The partnership will use the HCA “enabling” support to provide expertise where appropriate. The following approach is proposed.

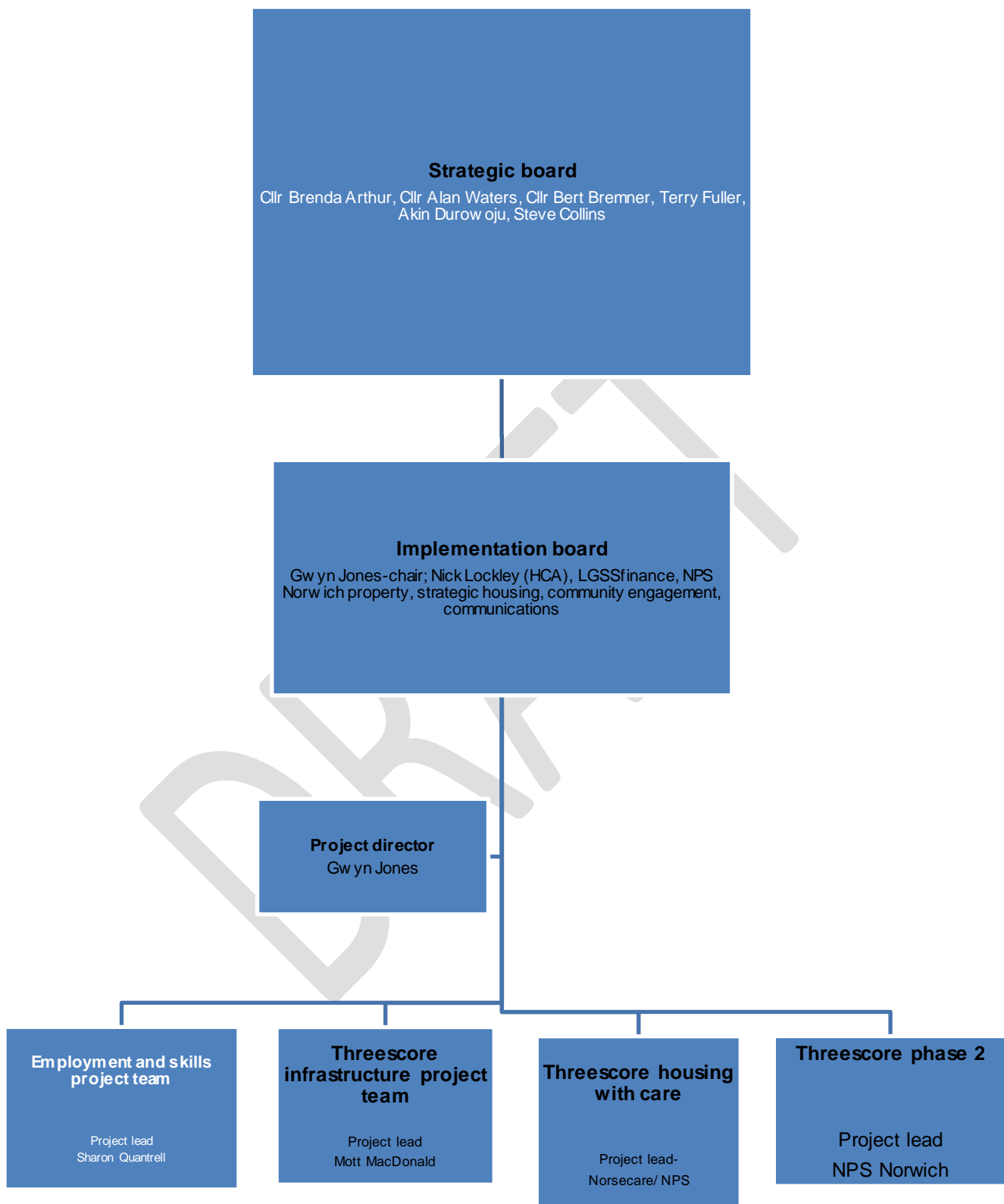
- The implementation board considers any new sites or project ideas on a quarterly basis.
- The implementation board makes an assessment of how the project idea meets the partnership objectives.
- Any project ideas that have merit are reported to the strategic board as part of the project director’s report.
- Any proposed amendments to the business plan to be reported for approval by the respective partners.

17. Further funding

The partnership will continue to look for opportunities for further external funding and pursue relevant bids or agreements.

The Greater Norwich City Deal (signed December 2013) may provide further opportunities for funding for the partnership e.g. for infrastructure.

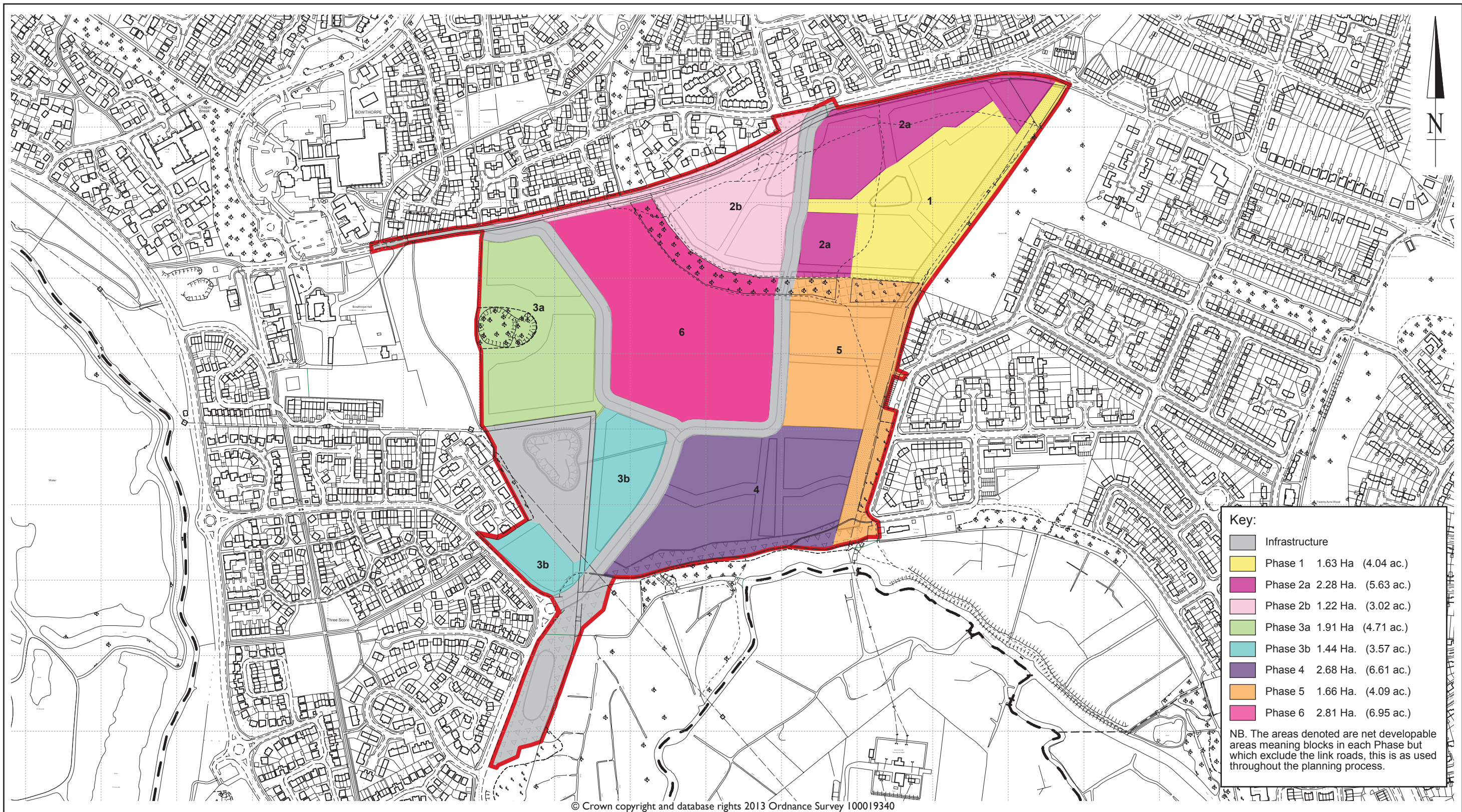
Appendix 1- Governance structure – June 2014



Appendix 2 - Project outputs, outcomes, milestones etc

Project	Outputs/ Outcomes	Key milestones 2014-15
c) Threescore	<p>Commencement of construction for road/ infrastructure to serve whole development (completion will be Autumn 2015)</p> <p>Commencement of construction for HWC/ Dementia care facility (completion will be Dec 2015)</p> <p>Secure reserved matters planning consent for Phase 2</p> <p>Agree method of procuring contractor for phase 2 (development likely to start 2015-16)</p>	<p>Commence procurement process- June 2014.</p> <p>Appoint contractor- August 2014.</p> <p>Secure remaining planning consents to enable road/ drainage to start- September 2014</p> <p>Commence construction- Autumn 2014.</p> <p>HCA funding contract signed- June 2014.</p> <p>Land disposal contract agreed- June 2014.</p> <p>RP appointed- June 2014.</p> <p>Appoint consultant to carry out market testing, feasibility and design work- April 2014</p> <p>Business case agreed- September 2014</p> <p>Commence work on planning application- Autumn 2014.</p> <p>Submit planning application- January 2015</p> <p>Secure planning consent April 2015.</p> <p>Agree method of procuring contractor to construct phase 2- March 2015.</p>

DRAFT



Scale: 1:5000 at A3

Date: DECEMBER 2013

THIS MAP IS TAKEN FROM ORDNANCE
SURVEY DIGITAL DATA. NATIONAL GRID
REFERENCE: TG. 1827 0899



Norfolk County Council

NPS Property Consultants Ltd,
on behalf of Norfolk County Council,
County Hall, Martineau Lane,
Norwich, NR1 2SF.

NPS Property Consultants Ltd,
Lancaster House, 16 Central Avenue,
St Andrews Business Park,
Norwich, NR7 0HR.

Plan No.
NCC-0464A-3

NORWICH - Bowthorpe, Three Score



Report to Cabinet
25 June 2014
Report of Executive head of business relationship management
Subject Business rates reoccupation relief policy

Item

8

KEY DECISION

Purpose

To consider the implementation of the business rates reoccupation relief policy

Recommendation

To approve the new business rates reoccupation relief policy

Corporate priorities

The report helps to meet the corporate priority “A prosperous city”.

Financial implications

Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003).

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Anton Bull Executive head for business relationship management 01603 212326

Tracy Woods Business relationship manager 01603 212140

Background documents

None

Report

1. The government has issued guidance on a new business rates relief; the reoccupation relief following their announcement in the autumn statement dated 5 December 2013.
2. As this relief is temporary the government will not be changing the legislation and the power to award will fall under section 47 of the Local Government Finance Act 1988
3. It will be for individual local billing authorities to decide to grant the relief under section 47 however central government will fully reimburse local authorities for the local share of the discretionary relief, using a grant under s31 of the Local Government Act 2003
4. Each local authority shall adopt a local scheme and make decisions in each individual case. As the relief is discretionary authorities may choose not to grant the relief if they consider that appropriate, for example where granting the relief would go against the authority's wider objectives for the local area.
5. **Reoccupation Relief**
 - a) Full details of which properties will benefit, definitions, calculations and the length of the award is to be found in the policy. However key points are;
 - i) Properties to benefit will be occupied business premises; and
 - ii) Were empty for 12 months or more prior to them becoming occupied; and
 - iii) Were wholly or mainly used for retail
 - iv) The first day of reoccupation must be between 1 April 2014 and 31 March 2016.
 - v) Are being used for any use except betting shops, payday loan shops or pawn brokers
 - b) The relief is 50% of the business rates liability.
6. A draft Norwich city council policy is at appendix A
7. **State Aid**
 - a) The European Union regulates state aided funding. Support to businesses and providing discretionary rate relief is likely to amount to state aid.
 - b) The EU law on State Aid has a 'de minimis' value of €200,000 within a current financial year or the previous two financial years
 - c) Rate payers will be required, when making an application for relief, to complete a 'de minimis' declaration.

8. Administration and publication of these reliefs will be undertaken by LGSS. Ratepayers will be required to complete an application form in each case.
9. Claims will be determined by the executive head of business relationship management, taking into consideration the guidance and policy.
10. Reviews will be undertaken by the section151 officer.

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Business rates reoccupation relief policy
Date assessed:	7 April 2014
Description:	Approval of implementation of the business rates reoccupation relief policy

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Government reimburses local spend in full
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Northgate software can be enabled to deal with this relief with no additional purchase
Economic development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Reducing empty business premises encourage a thriving and diverse town centre positively impact all business in the area. Assists the individual businesses to getting the relief to establish profitability for their initial period of occupation.
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	This relief should help reduce the number of empty business premises thereby enhancing the local environment
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to	Cabinet	Item
	25 June 2014	
Report of	Executive head of business relationship management	9
Subject	Business rates discretionary rate relief for charitable and 'not for profit' organisations policy	

KEY DECISION

Purpose

To consider the implementation of the business rates discretionary rate relief for charitable and 'not for profit' organisations policy

Recommendation

To approve the business rates discretionary rate relief for charitable and 'not for profit' organisations policy

Corporate priorities

The report helps to meet the corporate priority 'A prosperous city'.

Financial implications

There are no direct financial implications arising from this report as there is adequate budget in place for 2014/15.

Ward/s: All wards

Cabinet member: Councillor Waters- deputy leader and resources

Contact officers

Anton Bull - executive head for business relationship management	01603 212326
Tracy Woods - business relationship manager	01603 212140

Background documents

None

Report

1. The council is required to grant mandatory business rate relief where the ratepayer is a charity or trustees for a charity and the property is being wholly or mainly used for charitable purposes. This relief is 80% of the rates liability.
2. The council also has discretionary powers to award business rate relief to charities and not for profit organisations.
3. This report seeks approval for the draft policy for awards of discretionary relief in these circumstances.
4. This policy enables the council to demonstrate that it is consistent and transparent in its approach, giving due consideration to the interests of local council taxpayers, but sufficiently flexible to consider individual circumstances.
5. In exercising a discretionary power the council is required to act in a reasonable manner and a decision under these powers may be challenged under a judicial review. This policy will help in minimising the risk of a decision found to be unreasonable in these circumstances however the policy does build in a review process for dissatisfied ratepayers.
6. The draft Norwich city council policy is at appendix A

7. State Aid

- a) The European Union regulates state aided funding. Support to businesses and providing discretionary rate relief is likely to amount to state aid.
 - b) The EU law on State Aid has a 'de minimis' value of €200,000 within a current financial year or the previous two financial years
 - c) Rate payers will be required, when making an application for either relief, to complete a 'de minimis' declaration.
8. Administration and publication of these reliefs will be undertaken by LGSS. Ratepayers will be required to complete an application form in each case.
 9. Claims will be determined by the executive head of business relationship management, taking into consideration the guidance and policy.
 10. Reviews will be undertaken by the section151 officer

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Business rates discretionary rate relief for charitable and 'not for profit' organisations policy
Date assessed:	7 April 2014
Description:	Approval of the implementation of the business rates discretionary rate relief for charitable and 'not for profit' organisations policy

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Relief assists business to remain profitable and in business
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Relief assists business to remain profitable and in business
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	If businesses are assisted to remain in business reduces possibility of empty business premises
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	



NORWICH
City Council

Norwich City Council Business Rates Discretionary Rate Relief For Charitable and 'Not For Profit' Organisations Policy

Version 1.0 9 June 2014

Norwich City Council business rates discretionary rate relief for charitable and 'not for profit' organisations policy

Introduction

The Local Government Finance Act 1988, as amended, gives the council mandatory powers to award rate relief.

- (i) Section 43 of the Local Government Finance Act 1988 relates to mandatory rate relief where the ratepayer is a charity or trustees for a charity and the property is being wholly or mainly used for charitable purposes. Section 43(6) as amended by section 64 of the Local Government Act 2003 allows registered community amateur sports clubs to be treated as charities. This relief is 80% of the rates liability.

The Local Government Finance Act 1988, as amended, also gives the council discretionary powers to award rate relief in certain circumstances. This policy relates to the exercise of these discretionary powers in accordance with

- (ii) Section 47 of the Local Government Finance Act 1988 which allows the council to award discretionary rate relief to charities and 'not for profit' bodies.

Norwich City Council has the power to either 'top up' with discretionary relief if mandatory relief has been awarded, up to max of 20%, or award up to a max of 100% if mandatory relief is not applicable.

This policy enables the council to demonstrate that it is consistent in its approach but sufficiently flexible to consider individual circumstances

Empty properties

This policy only refers to occupied premises. From 1 April 2008 the new Section 45A of the Local Government Finance Act 1988 exempted charities from empty rates under the zero rating provisions provided that the ratepayer is a charity or trustees for a charity and the property when next in use will be used wholly or mainly for charitable purposes.

Charity Shops

Under section 64 (10) Local Government Finance Act 1988 Charity shops will only be treated as being used wholly or mainly for charitable purposes if it is solely and mainly used for the sale of goods donated and the proceeds are applied for the purposes of the charity.

The policy

1. General principles

1.1. Applications

The council shall publicise these reliefs on literature it sends to ratepayers and on the council's website.

Ratepayers shall be required to make a claim for the relief, in respect of each property, by completing a claim form and a 'de minimis' declaration.

The council shall request supporting evidence it considers necessary to assess the merits of the application. Ratepayers should, as part of the application, state how they believe the council tax payers of Norwich would benefit if discretionary relief were to be granted.

State Aid

European Union competition rules prohibit government subsidies to businesses. This means that where an organisation (regardless of type) is engaged in commercial activities which put them in direct competition with other organisations, they cannot be given the advantage of favourable treatment by being selected for financial aid by a local authority. Discretionary rate relief is included in this definition, as are grants and loans.

There are a limited number of exceptions, the most relevant in respect of this relief will be the 'de minimis' rules, which is up to €200,000 over a period of three years.

1.2. Decisions and reviews

Each application will be decided on its individual merits however in determining relief Norwich will take into consideration

- This policy,
- Relevant legislation and guidance documents
- The interests of the council tax payers
- If the organisation mainly serves the residents of Norwich
- The impact of granting a relief if it was to go against the authority's wider objectives for the local area
- Other reliefs / grants awarded to the ratepayer
- If the organisation can meet the costs of rates in the absence of rate relief
- How the activities of the business contribute to the corporate plan priorities
 - Safe and clean city
 - Prosperous city
 - Decent housing for all
 - City of character and culture
 - Value for money services

Those considerations exclusive to Community Amateur Sports Clubs

- If the organisation has charges in place that these are at a reasonable level and offer concessionary rates to low-income residents
- Is the membership open to all sections of the community?
- Does the organisation actively encourage membership from particular groups in the community?
- Are the facilities made available to people other than members e.g schools, casual public sessions
- If the organisation is providing a service which supplements or replaces a service that Norwich City Council or any other local authority will normally provide

Claims will be determined by the executive head of business relationship management.

The council will aim to make a decision within 4 weeks of receiving the application with all supporting evidence.

Asking for a review

Any ratepayer may make a request for a review only where there

- is additional information not available at the time of the original decision or
- are good grounds to believe the application or supporting information was not interpreted correctly at the time the decision was taken

A request for a review should be made in writing to the council within 4 weeks of notification of the original decision supplying the additional supporting information.

Reviews will be considered by the Council's s151 officer

1.3. Requirements to make payment of amounts falling due

Ratepayers must continue to pay any amount of rates that fall due whilst an application is pending. In the event that payments are not received as due the Council may continue with its normal enforcement procedures

1.4. Awards for retrospective periods

Applications for backdating will only be considered where

- The ratepayer can demonstrate good reason for not submitting their application earlier and
- The council can verify that the circumstances giving rise to the application were in existence during the period claimed
- Back dated applications must be received by 31 August after the end of the financial year it relates to

Norwich City council must make a decision to award discretionary rate relief by 30 September after the end of the financial year it relates to, otherwise it will be an invalid decision as per the legislation.

2. Discretionary rate relief

2.1. Which properties will benefit from the relief?

- a. Those occupied by a charity or trustees or trustees of a charity

Or

- b. Those occupied in whole or part by organisations not established for profit and whose main objectives are
 - I. Charitable or
 - II. Otherwise philanthropic or
 - III. Religious or
 - IV. Concerned with education, social welfare, science, literature or fine art

Or

- c. Those wholly or mainly used for recreation and all or part is occupied by a club, society or other not established for profit

There are exceptions for b and c if the property is occupied by a billing authority or precepting authority, further guidance should be sort from Norwich City Council in these circumstances.

2.2. Length of award

- Discretionary Rate Relief will be awarded for up to three years financial years
- Except if a ratepayer is a

- Community association or
 - Scout or guide association

These awards shall be for a period up to five financial years.

- There is a duty on the ratepayer to advise the Council of any changes of circumstances that they consider will affect their entitlement to relief. Removal of the relief will be backdated to the date of the relevant change in circumstances.

2.3. Financial impact to Norwich City Council

The cost of any relief granted under s47 is borne in relation to the business rates retention ratio. That is 50% from central government, 40% from Norwich City Council and 10% from Norfolk County Council.

3. Future amendments to this policy

Where minor amendments need to be made to ensure the continued effectiveness of this policy such amendments will be made after consultation with the deputy leader and resources portfolio holder.

Report to Cabinet
25 June 2014
Report of Executive head of business relationship management
Subject Update to debt collection policy

Item

10

KEY DECISION

Purpose

To seek approval for an update of the debt collection policy specifically to reflect the Ministry of Justice regulation changes in relation to bailiff terminology and the removal of the historic powers of distress for commercial rent and its replacement with a new regime called Commercial Rent Arrears Recovery (CRAR)

Recommendation

To approve the updated debt collection policy

Corporate priorities

The report helps to meet the corporate priority “value for money services”.

Financial implications

No direct financial implications

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Anton Bull Executive head for business relationship management 01603 212326

Tracy Woods Business relationship manager 01603 212140

Background documents

None

Report

The revised Ministry of Justice regulations came into force on 6 April 2014 this brought in, amongst other things

1. Changes in terminology
 - a) A bailiff *will now be* an enforcement agent (EA)
 - b) Distress/Levy *will now be* taking control of goods (TCOG)
 - c) A Walking Possession Order *will now be* a Controlled Goods Agreement
2. Removal of a landlord's right to use distress to recover arrears of commercial rent. This has been replaced by a new statutory regime for Commercial Rent Arrears Recovery called CRAR
3. An updated policy is attached which reflects these changes
4. For ease of reading the amendments to the policy have been highlighted using light shading.



NORWICH
City Council

Norwich City Council Debt Collection Policy

Version 1.2 – 28 April 2014 draft

Norwich City Council debt collection policy

Introduction

Norwich City Council is required to collect monies from both individuals and businesses for a variety of reasons and has a legal duty to recover all sums due to it efficiently and effectively. This policy reflects the legal requirements the council must meet for safeguarding public money.

In collecting these funds it is inevitable that the council will be required to pursue the recovery of arrears from persons and or businesses that do not pay such accounts. However, in accordance with the council's charging policy, wherever possible up front or point of activity charges will be collected so the council neither encourages nor incurs debt.

An agreed policy of how the council manages and collects debts is required to ensure consistency of practice across council services.

This policy covers all debts owed to the council including:

- council tax
- rents, both housing and others, e.g. garages and commercial
- service charges / rechargeable repairs
- benefit overpayments
- business rates or national non domestic rates (NNDR)
- general debtors, e.g. unpaid fees and charges
- legal / court costs
- penalty charge notices (parking contraventions).

This policy will apply to all council services. Some individuals and businesses may have multiple debts to the council. The policy does not prejudice any legal action that the council take.

It seeks to be "fair but firm" and the full range of collection and recovery methods will be used as appropriate if debts are not paid. The policy works within and takes account of relevant legislation e.g. data protection, human rights, equalities etc.

The policy

The council will try to collect all monies owed to it in a timely manner and will endeavour to remind people quickly if they do not pay.

The council will

- Send bills out in good time and, in addition to detailing the amount payable and a description of the charge, the council will include the following information on all accounts:
 - the payment options available and encouragement to debtors to pay through the automated telephone payment line or the website
 - the councils contact number for queries in relation to the accuracy of the account
 - where appropriate the councils contact number for discussing payment arrangements where the customer has difficulty in paying the amount requested on the account.
- Where requested provide information to meet specific communication needs in the following formats: braille; large print; audio tape / disc; community languages. In meeting individual needs the council will record individual preferences so that on going and future correspondence can be delivered in the preferred format. The council will use accredited language translators/interpreters to assist persons whose first language is not English and BSL interpreters for those who are deaf.
- Remind people quickly if they do not pay.
- Encourage people who have difficulty in paying to contact the council to reach an agreed way forward as soon as possible.
- Take enforcement action if an arrangement can not be agreed, against deliberate non-payers or those who delay payment.

We will encourage people who have difficulty in paying to contact the council to reach an agreed way forward as soon as possible.

Council staff will always seek to make realistic arrangements to clear outstanding amounts by regular payments, in preference to taking legal or other action for recovery. If an arrangement cannot be agreed however, enforcement action may be taken.

Where legislation or other provisions exist that allow the council to take action to recover debts without the need for court action, the council will make use of those provisions. For example the Social Security (Overpayments and Recovery) Regulations 2013 allow the council to recover housing benefit payments from

earnings using a notice to an employer to deduct sums and pay them to the council.

If the council finds it necessary to take court action against a debtor and that action is successful, the council will then be empowered to enforce payment through a number of statutory remedies, including powers which impact on a person's possessions or liberty e.g. taking control of goods, have an attachment to earnings order, to evict a tenant, to request imprisonment etc and will apply the most appropriate remedy.

One of the remedies is to 'take control of goods', which Norwich City Council exercises through the use of external enforcement agencies. To ensure effective, consistent and appropriate application of this, Norwich City Council's appointment of enforcement agency services is through contractual agreement which details the standards the enforcement agents must adhere to.

The council will ensure that these more 'severe' powers, for example, removal of goods will only be used when all other reasonable methods have failed and where all appropriate internal and statutory processes have been properly followed.

Irrecoverable debts

The council recognises that not all debts are collectable and therefore in the last resort it may be appropriate in certain circumstances to classify debts as irrecoverable. The council will ensure that there are guidelines and policies in place which detail the action to be taken prior to an account being written-off.

The council reserves the right to reinstate, within statutory deadlines any debt where it becomes apparent the circumstances for write off are no longer applicable. i.e. a debtor is traced / funds become available.

Credits

Norwich City Council and its services will adopt a corporate approach to refunding credits, in that, wherever possible, checks will be made for other outstanding debts to the customer, prior to a refund being made. Where other debts are identified, it may be necessary to obtain the customer's permission, prior to a credit transfer. Other credit refunds, for example compulsory purchase compensation and home loss payments will be included in this procedure approach.

Costs

Where the council incurs additional costs as a result of non-payment, e.g., court costs, these will be added to the outstanding debt and (where allowed under statute) recovered from customers.

Where the council employs third party collection agencies, these agencies may apply their own costs to the amount to be recovered.

Appendix A - Principles supporting the debt collection policy

1) Priority debt

There are many types of debt, but those considered as “priority” debts are those debts owed to creditors who can take the strongest legal action against an individual who does not pay.

It isn't the size of a debt that makes it priority but what creditors can do to recover their money.

Individuals are often but not always aware of the consequences of failure to pay and frequently pay to whoever shouts the loudest.

The actions supporting this procedure should ensure customer awareness of what priority debts are.

The Procedure identifies the following as equal priority debts:

- commercial rent arrears – as it can result in forfeiture, Commercial Rent Arrears Recovery (CRAR), attachment of earnings, bankruptcy, county court judgements, charging orders
- residential rent arrears – as it can result in eviction
- mortgage arrears – as they can result in repossession
- council tax – as it can result in enforcement agent action, attachment of earnings / benefits, bankruptcy or imprisonment
- other secured loans – as they can result in loss of home
- income tax and VAT – as they can result in bankruptcy or imprisonment .

Other priority debts:

- fuel debts – as they can result in disconnection
- Income tax and VAT – as they can result in bankruptcy or imprisonment
- county court judgements - can result in enforcement agent action, attachment of earnings or bankruptcy
- fines or compensation / costs orders – as they can result in imprisonment
- maintenance / child support – as it can result in repossession of goods or even imprisonment
- hire purchase – will be considered essential if, for example it is for the purchase of a car needed to get the owner to work.
- water rates – as it can result in enforcement agent action and water companies can reduce supply to a trickle.
- business rates – as it can result in enforcement agent action, bankruptcy or imprisonment
- benefit overpayments – as it can result in deductions from on-going rent / benefits / earnings
- maintenance or child support – as it can result in enforcement agent action or imprisonment
- penalty charge notices (parking contraventions)- can result in enforcement agent action.

The following are considered non priority debts:

- credit / store cards
- unsecured personal loans
- bank overdrafts
- credit / interest free / hire purchase agreements
- catalogue debts
- money borrowed from family and friends
- mobile telephone and TV subscriptions.

2) Customer standards and support

The council's customer standards apply when implementing this policy.

Integral to the policy is the provision of support mechanisms and arrangements to all customers. It details the approach to collecting debt in Norwich and also provides practical help, advice and support in the management of multiple debts.

The council will maintain a consistent and sensitive approach to collecting debt whilst, at the same time, ensuring that the council continues to maximise collection performance. For commercial debt recovery it may be necessary to take a more business like approach to reflect any contractual obligations that may exist.

When people do not pay

When people in debt make contact with the council they should, where possible, identify all debts they have with the council. This will allow the council to take a holistic approach to debt recovery and avoid duplication.

Where it is apparent that a customer is unable to pay an account, or a number of like accounts as requested, then the aim will be to agree an arrangement to pay which takes into consideration the specific circumstances of the customer.

Ability to pay will be assessed on the customer's disposable income in proportion to the level of debt, the extent of debts owing to the council and that council tax and rent arrears are equal priority debts. The initial aims of arrangements to pay will be to clear the debt(s) as soon as possible but as a minimum will ensure that the person's indebtedness to the council does not worsen.

In practice this may mean ensuring that the current or most recent account is cleared, while making the maximum contribution to clearing other debts.

A financial statement may be required to support a request for an arrangement. This will be a list of the customers' household income and expenditure. Documents to support the information contained in the financial statement may be required

before an arrangement can be agreed. A financial statement can be completed with the help of an independent agency such as the Citizens Advice Bureau (CAB).

The council's website also contains various details to help with managing money and who to contact. Visit www.norwich.gov.uk and use the search to find information on "money advice" or "debt".

Commercial tenants will not generally have access to CAB services but they may be able to get assistance from Business Link and the Consumer Credit Counselling Service (CCCS). These organisations may be able to offer some guidance on the provision of financial statements etc.

Penalty charge notices (parking contraventions)

Penalty charge notices, prior to county court charge registration, are excluded from the arrangement process in the policy. Only post charge registration cases may be considered in any arrangement process, provided that severe financial hardship is identified as a result of the parking debt adding to other council debts. Such consideration would normally be through partner advice agencies or the multiple debt referral process. The council's parking services team must be contacted directly to make such arrangements.

Commercial debt recovery

A separate debt procedure has been developed to help maximise debt recovery with regard to the council's commercial property portfolio. The procedure will operate in parallel to Norwich City Council's debt policy and will provide a consistent and business like approach, whilst reflecting the council's "fair but firm" policy. There will be occasions however, when it becomes necessary to pursue commercial tenants as per the terms of their lease agreement. This action may vary from the Council's debt policy, but it will reflect the tenant's contractual obligations.

Continued effectiveness of this policy

Where minor amendments need to be made to ensure the continued effectiveness of this policy such amendments will be made after consultation with the deputy leader and resources portfolio holder.

The IIA should assess **the impact of the recommendation** being made by the report
 Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Update to debt collection policy
Date assessed:	30 April 2014
Description:	Approval of implementation of updated debt collection policy

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Managed debt collection ensures the council recovers money that is owed to it
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	A debt collection policy helps to manage the risk of not being able to collect debts.

Recommendations from impact assessment
Positive
Negative
Neutral
Issues

Report to Cabinet
25 June 2014
Report of Head of citywide services
Subject Byelaw to manage skateboarding in the city

Item

11

Purpose

To consider making a byelaw prohibiting skateboarding in a designated area of the city which will assist in preventing damage to historic buildings and preventing nuisance to members of the public using the highway.

Recommendation

To recommend council to make a byelaw to manage skateboarding in the city centre.

Corporate and service priorities

The report helps to meet the corporate priority “A safe and clean city” and the service plan priority of “tackling and preventing anti-social behaviour”.

Financial implications

Funded from existing budget.

Ward: Mancroft

Cabinet member: Councillor Keith Driver – neighbourhoods and community safety.

Contact officers

Michael Stephenson 01603 212283

Adrian Akester 01603 2123331

Background documents

Nil

Report

Background

In May 2010 the council opened a national standard skate park in Eaton Park. This was funded by the agreement between Norwich City Council and the Homes and Communities Agency (HCA) and has proved to be extremely well used and very popular.

It cost £300,000 and was built to the city council's specifications by Freestyle Skateparks. It also had design input by the Norwich skate park consultation group. It is located near the community centre and sports ground in Eaton Park and covers approximately 1,000 square metres.

The skate park is an ideal place for skateboarders, BMXers and inline skaters of all abilities to improve their skills. It is also of a standard to accommodate demonstrations and national level events. The skate park is free to use and there are floodlights operating until 10pm on a push button system allowing the park to be used all year round.

The development of the skatepark was designed to co-incide with the renovation and restoration of the city's war memorial which had long been attractive to skateboarders. It was clear at that time that the council, having worked to secure a significant skatepark for Norwich, would not look kindly on damage being done to the memorial or other historic buildings in the city from on-street skateboarding.

Action taken to resolve the issue

Despite the development of the skate park, skateboarders remain attracted to the following areas in the city centre:

- i. The newly renovated Grade II listed war memorial and memorial gardens.
- ii. The area of public land immediately in front of St Peter Mancroft Church and The Forum.
- iii. The front of the Grade II* listed City Hall at the north end by the ground floor clock tower entrance.
- iv. Gaol Hill leading to London Street.
- v. Hay Hill.

Council officers and members have spoken to the skateboarders in the city centre on many occasions, and put up notices asking people not to skate, but without any legal powers to move them on this has had little success. The council has carried out some joint work with the police (PCSOs) but this was equally unsuccessful due to the transient nature of the skateboarders.

Summary of the damage to the War Memorial and City Hall

Skateboarders use the edged areas on the structures to carry out manoeuvres which has resulted in damage to stonework on the war memorial, City Hall, and other buildings.

Damage is being caused within the War Memorial Gardens, in particular to the steps within the gardens but also to those at the base of the memorial and the raised beds. Further damage to City Hall is particularly evident on the step/ramp outside the clock tower and along the raised bed that sits along the front of City Hall. Damage is also now being caused to the plinth at the base of the tower on St Giles Street. In each of the above areas, the damage consists of deep incisions in the stonework, in some cases with fairly large 'chips' being taken out of it and edges being eroded.

At present, the areas of damage would not be considered bad enough to warrant the repair/replacement of the stone, as this could potentially have a more damaging visual effect and would also lead to the loss of historic fabric. However, should the damage continue at its current rate it is likely that methods of repair or renewal would need to be considered in conjunction with the council's conservation and design officers and English Heritage.

Proposal

To make a byelaw under section 235 Local Government Act 1972 that would prohibit skateboarding in a designated area of the city.

The byelaw is effectively a local law with limited application to deal with a specific issue. The non-compliance with the byelaw is a criminal offence which can be addressed by legal action through the courts or by giving a formal caution. There is also the provision for the court to make a post-conviction anti-social behaviour order.

The statutory procedure to make a byelaw requires a full council resolution, and advertising for four weeks before being submitted to the Secretary of State for confirmation.

In accordance with the required application to the Secretary of State, the council is satisfied that the byelaw is necessary in the local context and that the application is reasonable and that other means of addressing the situation at which the byelaws are directed are inappropriate or insufficient.

Examples of other council's which have made byelaws to manage skateboarding include Northampton, Exeter, Wolverhampton, Bournemouth and Hastings.

Area covered by byelaw

The proposed area of the city to which the byelaw would apply is shown on the plan in Appendix 1.

In determination of this area the council had regard to the areas of the city where there are currently issues as well as other locations that may potentially be used.

The proposal is to designate the central area as no skateboarding other than on private land with the express consent of the owner and the remainder of the city outside of this area to allow skateboarding but not in a manner to cause danger or give reasonable grounds for annoyance to other person using the footway or carriageway. This is the approach taken by other local authorities across the country to deal with this problem.

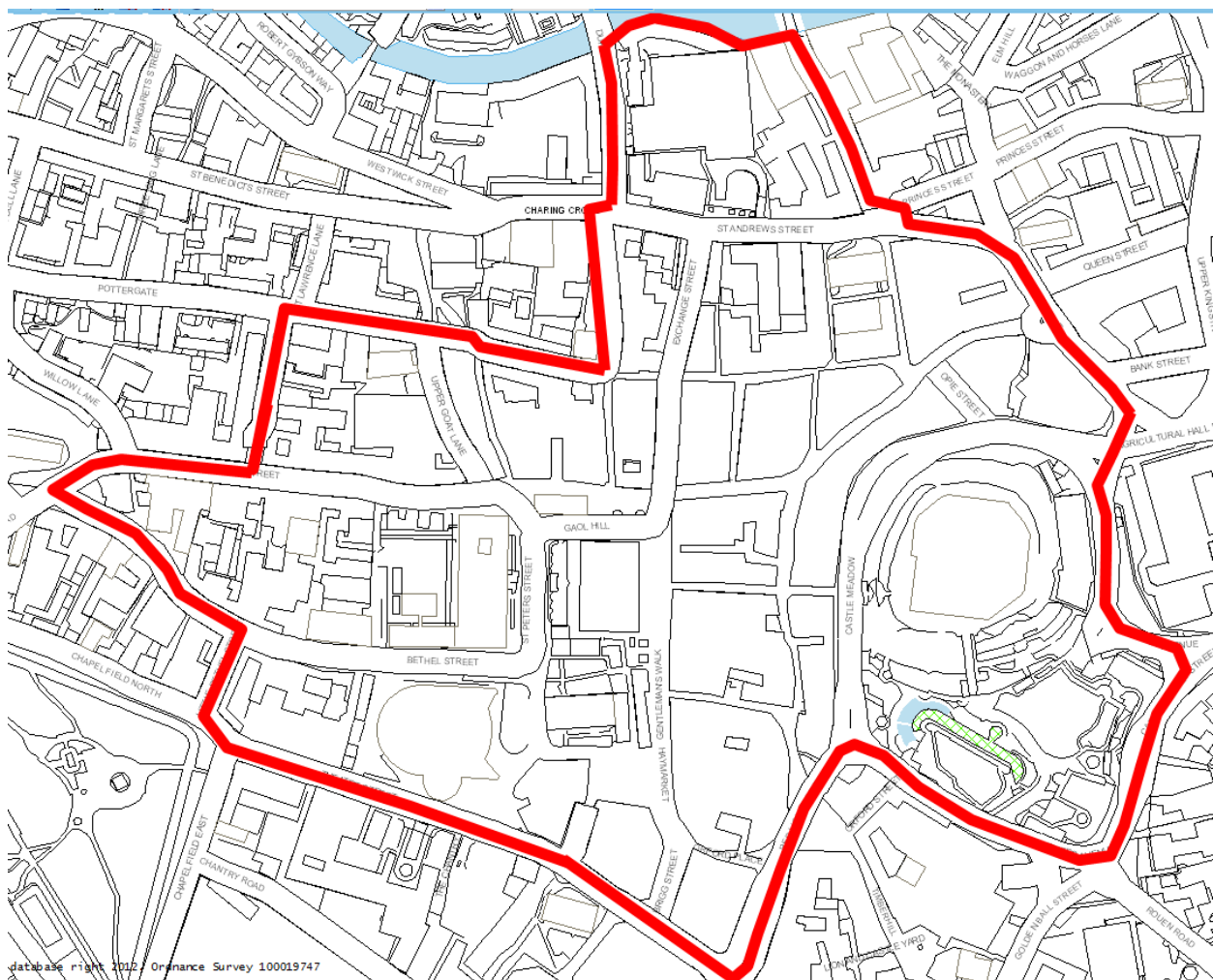
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Implementation

Once the byelaw is introduced we will seek to advise and inform those not complying before we take enforcement action.

The byelaw will be enforced using existing council enforcement procedures and protocols as well as working with the police.

Appendix 1



Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Adrian Akester
Report subject:	Making of a skateboarding byelaw
Date assessed:	May 2014
Description:	

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Will support the managemnt of disorder in the city centre
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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	Impact			
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014

Item

Report of Deputy Chief executive (operations)

12

Subject Asbestos Management Policy

Purpose

To consider the council's Asbestos Management Policy.

Recommendation

To approve the Asbestos Management Policy for the Council's property portfolio.

Corporate and service priorities

The report helps to meet the corporate priority "Decent housing for all".

Financial implications

The Asbestos Management Policy will, to a large extent, determine expenditure for asbestos management for this financial year and future years within the current investment plans.

Ward/s: All wards

Cabinet member: Councillor Bremner - Housing

Contact officers

Chris Rayner, Head of Property Service (NPS Norwich)	01603 227902
Neil Belson, Senior Risk Surveyor (NPS Norwich)	01603 227906

Background documents

None

Report

Background

1. The Council has legal obligations under a number of statutes and regulations including:
 - The Control of Asbestos Regulations 2012 (CAR) Health and Safety at Work Act 1974
 - The Management of Health and Safety at Work Regulations 1999
 - The Workplace (Health Safety & Welfare) Regulations 1992
 - The Housing Health and Safety Rating System (2006)
 - The Landlord and Tenant Act 1985.
2. It is a legislative requirement that the Council has a working asbestos management plan that includes all housing stock, communal areas and non-housing stock that are controlled by the Council.
3. The asbestos management policy specifically relates to the management of the risks associated with asbestos containing materials that may be found within the Council's property portfolio. All references within the policy document referring to tenants or customers are council housing tenants, and all references to council are referring to the council in its landlord capacity.

Funding

4. The Council is committed to its duty to managing asbestos and its duty to prevent or release the spread of asbestos and as such will ensure that it highlights the responsibilities for the safe management of asbestos containing materials to its employees, leaseholders and tenants.
5. Any works will be funded for the financial year 2014-15 from existing revenue or capital budgets.

Policy

6. The policy aims to:
 - a) Set out how the Council manages the risks from asbestos containing materials (ACMs) within the council's property portfolio.
 - b) Ensure that the Council meets all its statutory and regulatory obligations in respect of asbestos management.
 - c) Highlight the responsibilities of employees, leaseholders and tenants in managing asbestos.
 - d) Provide a methodology for the implementation of the asbestos management plan.

- e) Set out procedures for planned major refurbishment or demolition.
- f) Provide emergency procedures for the uncontrolled release of asbestos.
- g) Name overseers/controllers of the asbestos management plan.
- h) Provide a review procedure and timetable for the asbestos management plan.

Consultation

- 7. The policy has been developed in conjunction with the following stakeholders:
 - a) NPS Norwich (formerly Property Services).
 - b) Tenant representatives.
 - c) Other relevant Council officers.

Equality

- 8. The impact assessment did not highlight any equality implications.

POLICY	Asbestos Management Plan	
DATE ISSUED: June 2014	REVIEW DATE: June 2015	
ISSUED BY: NPS Norwich (property services)		
<p>PURPOSE OF POLICY</p> <p>The purpose of the policy and associated appendices is to set out how Norwich City Council (NCC) manages the risks from asbestos containing materials (ACMs) within the council's property portfolio.</p> <p>It is designed to effectively manage and minimise asbestos related health risks to personnel working in or occupying its housing stock.</p> <p>The policy should be read in conjunction with the overarching Asset Management Strategy.</p>		
<p>AUTHORISATION</p> <p>It is anticipated that this policy will be approved by Cabinet in June 2014. It delegates the authority to assess individual cases to the operations director (NPS Norwich), and where appropriate, and reasonable to do so, agree exceptions to the policy.</p> <p>The policy will be reviewed on an annual basis and the authority to agree revisions will be delegated to the deputy chief executive (operations).</p>		
<p>RELEVANT LEGISLATION INFORMING THIS POLICY</p> <ol style="list-style-type: none"> 1. The Control of Asbestos Regulations 2012 (CAR) 2. Health and Safety at Work Act 1974 3. Management of Health and Safety at Work Regulations 1999 4. Workplace (Health, Safety and Welfare) Regulations 1992 5. Housing Health and Safety Rating System 2006 		
<p>CONTRIBUTES TO CORPRATE PRIORITIES</p> <p>The policy helps to meet the corporate priorities 'to make Norwich a city with decent housing for all' and 'to provide value for money services'.</p>		

CONTENTS

1. Introduction
2. Organisation and responsibilities
3. Asbestos register
4. Identification & risk assessments of ACM's
5. Management of ACM's
6. Project management procedures
7. Information and training
8. Review of asbestos management plan
9. Guidance to contractors
10. Information for tenants
11. Emergency procedures
12. Complaints
13. Monitoring and review

1. INTRODUCTION

1.0 Introduction

The plan will set out how Norwich City Council manages the risk from asbestos containing materials, and shall also include the following:

- Highlight responsibilities of employees, leaseholders and tenants in managing asbestos in a good condition and the duty to prevent or release the spread of asbestos
- Training/awareness arrangements and programme
- Methodology for the implementation of the management plan
- Mechanism for passing on information to interested parties
- Procedures for planned major refurbishment or demolition
- Emergency procedures for uncontrolled release of asbestos
- Liaison mechanism with emergency services
- Named overseers/controllers of management plan
- Review procedure and time table for the management plan

1.1 Policy summary

- It is a legislative requirement that Norwich City Council has a working asbestos management plan.
- The management plan shall include all housing stock, not just 'communal areas', and non-housing properties controlled by NCC.
- A management plan is dependant on an active up-to-date asbestos register.
- On-going surveys and inspections will add to the asbestos register.
- The people involved in surveying and inspecting shall be suitably qualified and

competent.

- The Control of Asbestos Regulations 2006 allowed for work on asbestos contained within a firmly linked matrix without notification or licensing. Such work is still subject to the Control of Asbestos Regulations.
- The Control of Asbestos Regulations 2012 created a third category of work with asbestos containing material, Notifiable non-licensed work, see Appendix A
- Most asbestos containing materials can be managed in place, subject to the management plan.
- Random air monitoring will take place to build a body of evidence to complement the management plan.
- Staff and contractors will have the necessary training suitable and sufficient to conduct their work safely.

1.2 Regulatory requirements

The Control of Asbestos Regulations 2012 (CAR) highlights a duty to manage asbestos in non-domestic premises.

From the perspective of NCC the interpretation of non-domestic premises are the commercial, operational and heritage buildings, and communal areas and stairwells to flats, foyers and vestibules of the domestic housing stock.

However, when responsive or planned repairs are carried out within a house/flat then that area becomes a place of work and is also covered by CAR, and general Health and Safety at Work Act requirements, including Management of Health and Safety at Work Regulations (1999), Workplace (Health, Safety and Welfare) Regulations (1992) which impose a duty upon the employer to protect workers and occupants from uncontrolled risks and hazards.

Also, from the perspective of Norwich City Council (NCC) as a landlord, the Housing Health and Safety Rating System (2006) requires that any dwelling to be free from 'any deficiency that can give rise to a hazard which interferes with, or puts at risk, the health and safety , or even the lives, of the occupants.'¹

It goes on to recommend the assessment of asbestos for repair, sealing, enclosure or removal. It advises that existing asbestos in good condition can be managed in-situ if unlikely to be disturbed and a record kept.

1.3 Asbestos register

1 The management plan needs an up-to-date asbestos register to work from.

¹ Housing Health and Safety Rating System, May 2006, page 5

NCC utilises an online asbestos register database, AI Toolkit solutions, which stakeholders can log on to. It is managed by NPS Norwich Ltd.

The register of asbestos containing materials (ACMs) needs to list location, extent, condition, product type and asbestos type. The asbestos register is a continuous live document.

Asbestos information is collated from programmed management surveys undertaken to increase knowledge of the council's asbestos liability, and also from targeted sampling and surveying commissioned by contractors to help plan their specific work streams.

Every identified or suspected ACM will have a material assessment based upon the product type, condition, surface treatment and asbestos type. Utilising the algorithm matrix described in HSG264², an assessment for the ACM can be categorised numerically.

A priority assessment, using a similar algorithm³, taking consideration of the hazard of asbestos disturbance can then be made. The assessment will take into account maintenance activities, likelihood of disturbance, human exposure potential and occupant activity.

The material (bulk) assessment and priority assessment can be added together to form a risk assessment.

1.4 Management action plan

The object of the management plan is to reduce the risk of exposure to airborne asbestos fibre.

The presence of an ACM does not in itself constitute a danger. However, the ACM may become hazardous when disturbed or damaged and must be treated accordingly. Activities which give rise to airborne dust, e.g. breaking, sawing, cutting, drilling etc. are most likely to present risks.

The management plan will utilise the risk assessments from the asbestos register to create a priority table for remedial work.

From this an action timetable will be developed to target which ACMs need immediate action (removal, encapsulation or enclosure).

The action timetable will highlight areas that need monitoring on a more than yearly basis pending further action.

² Asbestos: The survey guide, HSG264

³ HSG227, A Comprehensive Guide to Managing Asbestos in Premises.

The rationale for any management decisions must be part of the plan.

The plan shall also include monitoring arrangements, normally on a yearly basis. Removals tend to be responsive to other planned works or in response to individual survey or inspection results or reported queries.

An asbestos removal plan and budget is yet to be set, pending information gathered from the survey/inspection regime.

The collation of known data and rolling out of planned management surveys is expected to take a minimum of 5 years, but will always be a 'live' process with constant monitoring and regular updating.

Consideration of a timetable for remedial works will take account of several factors including:

- ACM risk assessment score
- Building occupation constraints
- Financial resources
- Other planned building works.

The Property Services Managers will review the Action Plan.

Action Plans will be included within the AMP Review, and later retained as archive documents, kept by the Risk Surveyor.

1.5 Management options

- Communicate findings and instigate safe working systems;
- Monitor ACMs for damage/deterioration;
- Label/colour code ACMs;
- Protect/enclose ACMs;
- Seal/encapsulate ACMs;
- Repair ACMs;
- Remove ACMs;

The management rationale has the long term goal of reducing the asbestos liability to a minimum, with a short term goal of ensuring ACMs are in a safe condition.

1.6 Survey/inspection strategy

An asbestos survey is not an asbestos register or an asbestos management plan. CAR does not require surveys to be carried out; it requires an asbestos management plan to be put in place.

An asbestos survey is not a finished stand alone product; it is the start of a process leading to the enablement of the asbestos management plan.

Asbestos surveys shall be conducted by individuals with a minimum P402 BOHS qualification and any company engaged shall be UKAS compliant with ISO 17020 and ISO 17025.⁴

Historic information regarding non-domestic premises has been uploaded to the AI database. Communal area information regarding the housing stock is currently held electronically and is in the process of being uploaded to the AI database.

1.7 Non domestic premises

Premises under direct control of NCC will be subject to regular monitoring inspections of its asbestos liability by competent persons, who will report back any change or deterioration in the condition of ACMs.

NCC still has a duty of care for premises it leases out on full repair and maintenance tenancy agreements. As such it will require tenants and leaseholders to submit their own asbestos management plans for review.

These plans need not be an onerous exercise for tenants and leaseholders so long as they are suitable and sufficient.

NCC will still be responsible for any communal areas of leased properties.

When a leased property becomes vacant it will come back into NCC's maintenance remit. The AMP for that property will be reviewed and if necessary the property will be surveyed if information is felt to be incomplete.

1.8 Domestic housing

15% of the housing stock has been surveyed, prioritising properties built in the 1960s and 70s

Subsequent to the findings of the management survey reports, properties of a similar build type will be inspected. Any person conducting the inspections must be qualified to P402 BOHS and can demonstrate competence in the ability to recognise, and work safely with, asbestos.

Inspections will only use information gathered from a management type asbestos survey report with dwellings of the same build type and in the same block.

⁴ HSG227, A Comprehensive Guide to Managing Asbestos in Premises.

Any anomaly or difference from the survey report will be marked down as suspect ACM unless samples are taken for further analysis.

Likewise, any non-homogenous material (e.g. vinyl floor tile, textured coating) which may have been sampled as negative in the surveyed dwelling must be reported as suspect ACM in the inspected dwelling, unless sampled, or a cogent argument can be made as to why the material shouldn't be classed as suspect ACM (e.g. documentary evidence that the material was from the same batch and installed at the same time as the non-ACM in the surveyed dwelling).

1.9 Survey/inspection prioritisation

- Communal areas
- Survey/inspect dwellings built between 1960 – 1979
- Survey/inspect dwellings built after 1979
- Survey/inspect dwellings built between 1945 - 1959
- Survey/inspect dwellings built before 1945

1.10 Going forward

It is reiterated that asbestos will be left in place if in good condition and unlikely to be disturbed.

It is reiterated that exposure of airborne asbestos fibre release to tenants, repair and maintenance staff, NCC employees and the general public, is not to be tolerated and the management options previously mentioned will be utilised.

A departure from previous historic practice will be the repair of textured coatings containing asbestos. If a ceiling can be repaired and made good and left in a safe condition then this shall be a maintenance option to be considered before total removal. Also, dry lining a ceiling or wall containing textured coating is an acceptable management option.

Also, skimming over with plaster or ACM textured coating is an acceptable management option.

Likewise floor tiles may be left in place, with loose debris collected and bare areas made good.

To help NCC in the execution of their duty to manage, contractors and partners are reminded of their own duty of care and the need to be pro-active in the assessment of suspect ACMs, their condition and location.

Any unknown material is presumed to be asbestos. Sampling of suspect ACM is to prove a material doesn't contain asbestos or to solve an uncertainty.

Where a material is suspected or proven to contain asbestos an assessment must be made of its condition and its ability to release fibres if disturbed. A further assessment of the number and frequency of people at risk from exposure is made. This will help guide the measures needed to be taken to maintain asbestos in good condition and prioritise actions in order of potential risk.⁵

2. ORGANISATION AND RESPONSIBILITIES

Whilst responsibility for all Health and Safety matters rests ultimately with the Chief Executive Officer of Norwich City Council, the structure for ensuring compliance with the Regulations is illustrated below:

Deputy Chief Executive Officer is the nominated **Duty Holder** and is responsible for ensuring that:

- The Asbestos Management Plan is implemented.
- Adequate resources are provided and allocated to carry out the Plan.
- The Council employs contractors for work with ACMs in accordance with procedures within the Plan and NCC corporate procedures.
- The necessary requirements for the safe management of ACMs are fully identified and incorporated into any design or specification.
- The implementation of the AMP is monitored to ensure that working arrangements and provision of financial, technical, human and other resources are suitable and sufficient to meet its requirement.
- Project Managers are aware of the Plan, and have the necessary skills to implement their responsibilities under the Plan.
- Ensuring any breaches of compliance with the AMP are fully investigated.

The Duty Holder has delegated the execution of these tasks (but not the responsibility) to **NPS Norwich Ltd.**

The Operational Director and the **Strategic and Operational Heads of Service** of NPS Norwich Ltd. decide the overall strategy and direction of repairs, maintenance and programmed works on behalf of NCC. They are responsible for allocation of budget and resources, ensuring staff are competent and suitably qualified to their allocated roles.

NPS Norwich Ltd. have appointed a **Senior Risk Surveyor** (Risk Surveyor) to ensure that:

- Information on ACMs is appropriately stored and is made available to all interested Parties.

⁵ Refer to HSG264; L127 Management of Asbestos in Non-Domestic Premises; DETR, Asbestos and Man-made Fibres in Buildings

- Appropriate records of asbestos works are properly kept.
- The Asbestos Register is maintained and regular audits of the Asbestos Register are undertaken.
- Re-inspections of all ACMs are carried out on a regular basis.
- Following risk assessment ACMs are assigned appropriate management options and priority actions are timetabled.
- Arrangements are made so that Council employees have the necessary facilities, training and allied competencies to discharge the duties assigned to them under the Plan.
- Arrangements are made so that all relevant personnel and organisations receive appropriate information, instruction and training related to ACMs and the existence and use of the Asbestos Register.
- The performance of the Plan is annually reviewed and amended as necessary.
- Emergency procedures are established.
- Arrangements are made to ensure we have a competent Licensed Asbestos Removal Contractor and Analytical Company approved for use on sites.
- General ACM Management.
- Procuring appropriate level of investigation or similar in response to an enquiry and providing a documented report.
- Identifying ACMs as required, undertaking formal risk assessment and updating the Asbestos Register.
- Ensuring that, where ACMs are removed, or remain in-situ under a monitoring regime, the Asbestos Register is updated.
- Assessing, reviewing and recommending management actions in light of inspection findings and changes in Regulations or current good practice.
- Reviewing and amending where necessary standards of works detailed in the Council general specification for works with ACMs.
- Organising and undertaking a regular inspection of ACMs.
- Recommending and specifying programmes of work for asbestos management specific projects.
- Reacting to and managing any asbestos incidents and then reporting incidents to the Senior Health & Safety Officer and completing Dangerous Occurrences forms as necessary. Advising on management of remedial works.
- Advising on specification for asbestos remedial works and issuing to the Project Manager.
- Assessing Asbestos Contractor's Plan of Works and recommending selection where applicable.
- Informing the Project Manager of asbestos remedial works implications.
- Assessing the appropriate level of analytical support and attendance.
- Informing appropriate staff of asbestos related works in good time.
- Organising where appropriate an asbestos contract pre-start meeting to agree the Plan of Works, attended generally by the Risk Surveyor, Contractor and Analyst.
- Monitoring Asbestos Contractors to assess their compliance with statutory

- requirements, reporting and discussing deficiencies with the Project Manager.
- Stopping work where an Asbestos Contractor does not perform to the required health and safety standards.
- Reviewing reports by the Analyst.
- General and financial administration tasks.
- Providing cost estimates for asbestos works.
- Assessing invoices prior to authorisation by the Project Manager.
- Information, liaison and education:
- Reviewing with the Senior Health & Safety Officer and Team Leaders (Property Services) proposed regulatory changes and current standards of good practice.
- Providing expert advice on ACMs and their treatment to those with responsibility under this AMP.
- Participating in the organisation and delivery of asbestos awareness seminars.
- Attending Progress Meetings where required.
- Providing the HSE and similar bodies with details of asbestos management procedures and projects where relevant.
- Record keeping: Updating the Asbestos Register.
- Auditing contractors and consultants in relation to asbestos works.
- Ensuring that all statutory documents generated by the works are properly completed and a record kept.
- Keeping detailed project records relating to asbestos remedial or investigative works.
- Providing the Project Manager with an Asbestos Works Completion statement when appropriate.

Project Managers For the purpose of this document a Project Manager is defined as any person co-ordinating works on behalf of NCC. The Project Manager is responsible for ensuring that:

- Areas are assessed for ACMs at the feasibility stage of a project. Guidance on the assessment required is given in HSG264.
- All appropriate actions within the AMP are implemented.
- All project personnel are informed of the location of any known ACMs affecting the project.
- Local arrangements are made with building users and service providers to facilitate asbestos works.
- Works are halted if suspect ACMs are discovered during the course of work and further information is sought from the Risk Surveyor or independent professional advisor.
- Informing the Risk Surveyor of any changes or removals of ACMs so the asbestos register can be updated.

Contract Administrator has overall control of a specific contract and:

- Overseeing and ensuring work is carried out and completed in accordance with contract specification and terms and conditions.
- Often performs same role as Project Manager overseeing project within a contract.

Asbestos Contractors are responsible for:

- Complying with current legislation, associated Approved Codes of Practice and Guidance and the AMP and Project Procedures.
- Attending site to assess and prepare quotations against asbestos remedial work specifications, the Asbestos Contractor to raise any issues relating to the health and safety aspects or potential costs of a project.
- Providing a Plan of Work to the Project Manager (and the HSE or local enforcement authority if appropriate). This to include details of project resources and timetable and an emergency procedure discussed and agreed with the Project Manager.
- Providing Statutory Notice to the Statutory Authority prior to commencing asbestos works, or, by agreement and at the request of the Project Manager, applying for a waiver from the minimum notice.
- Attending the asbestos contract pre-start meeting, Progress Meetings, and handover Meeting as required.
- Carrying out regular inspections of the work environment, any defects found by or reported to the Project Manager or Analyst being rectified by the Contractor immediately.
- Complying with all reasonable requests from the Project Manager.
- Complying with Permits to Work.
- Liaising with the Analyst to ensure the satisfactory progress of the works.
- Providing copies of notification and consignment notes and other relevant documentation with final account to the Project Manager.

Analysts are responsible for:

- Maintaining UKAS accreditation relevant to instructed tasks.
- Providing pro-active support to the Project Manager, but to a level which would not fall within the HSE requirement for a supervisory License when requested by the Project Manager.
- Reviewing and commenting on asbestos works specifications and, prior to start of the works, on the Contractors Plan of Work.
- Providing quotations which reflect the anticipated project site and analytical requirements.
- Attending meetings, including but not restricted to, pre-start, Project Progress and Handover Meetings.
- Completing check lists, warning and advisory signs etc. as supplied by the

Project Manager.

- Assisting with the application and completion of Council specified permits and warning signs etc., relevant to the asbestos remedial project, including hot works permits etc.
- Carrying out analytical works and inspections as agreed with the Project Manager.
- Where site conditions alter, and the Project Manager is not immediately available, the Analyst should adjust the level of testing and inspection to ensure that all information relevant to the continued health and safety of the Contractor and building occupants is obtained.
- Reporting to the Project Manager any defects or non-compliances relating to the Contractors performance, including suitability of the work areas, adherence to the Plan of Work, Statutory Instruments and AMP. Where the Project Manager is not immediately available the Analyst to take any measures necessary to ensure the health and safety of the Contractor and building occupants.
- Checking areas on completion of asbestos remedial works to ensure that the Contractor has completed his scope of works and all affected areas have been left in a satisfactory condition.
- Maintaining regular contact, as minimum at start and at end of each site day, with the Project Manager, regarding progress of site works.
- Reporting to the Project Manager any aspects of asbestos management encountered on site which could give rise to health risks.
- Providing daily written reports on project progress to the Project Manager; the reports to include such information, in excess of accreditation requirements, as requested by the Project Manager.
- Issuing formal Reports, including 4 Stage Clearance and Certificate of Re-Occupation, to the Project Manager on completion of site works.
- Completing the log sheet within paper copy of the asbestos register extract kept at each property.

Heads of Service, within NCC and NPS Norwich Ltd. are responsible for ensuring that:

- All staff and visitors are aware of their individual responsibilities regarding this AMP.
- The service implements any measures deemed necessary by the Risk Surveyor.

Staff are responsible for:

- Reporting to Property services any known ACMs which are damaged or disturbed or any suspect ACMs of any condition and any defects or concerns they may have related to asbestos issues or remedial works
- Attending asbestos awareness training when so requested.
- Working in a safe manner that does not expose themselves, colleagues or

members of the public to harm.

General Contractors are responsible for:

- Ensuring that they respond to, and maintain, all communications with Project Managers.
- Compliance with the AMP and relevant procedures, and where acting as sole, main or principal contractor to have a thorough understanding of these procedures.
- Ensuring that contractors' employees and all sub contractors are informed of the AMP and relevant procedures, and are aware of the location of ACMs within the project area.
- Ensuring that contractors' employees and all sub contractors have adequate asbestos awareness training.
- Co-operating with any Licensed Asbestos Removal Contractors or associated contractors working within or adjacent the known or intended project area.
- Ensuring that emergency measures are in place for exposure to any suspected or known ACMs and that these are in line with procedures.
- Ensuring that safe systems of work are in place for possible disturbance of non-licensed ACM.
- Ensuring that contractors' employees and all sub contractors work in a safe manner that does not expose themselves, colleagues or members of the public to harm.

The Senior Health & Safety Officer is responsible for:

- Reporting all incidents to the Health and Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR).
- Collating Dangerous Occurrence Forms.
- Undertaking an auditing role on representative projects – including aspects of Asbestos Manager, Asbestos Contractor and Analyst performance.

The CDM Co-ordinator is responsible for:

- Notifying Projects which last more than 30 working days, or involve more than 500 person days, for example 50 people working for over 10 days.
- Giving suitable and sufficient advice and assistance to clients in order to help them comply with their duties.
- Providing the principle contractor with pre-construction information to enable the principle contractor to develop the Construction Phase Plan.
- Advising the client on the suitability of the principle contractor and contractors who will be working on the project.
- Advising the client the Construction Phase Plan is suitable and sufficient to proceed with the construction phase.
- Ensuring the construction phase plan is adequate for construction projects.

- Providing statutory notice to the relevant statutory licensing authority.

3. ASBESTOS REGISTER

3.0 Purpose of register

The Register records known and suspected ACMs in NCC's property portfolio where NCC has a maintenance and repairing liability.

It contains information on their:

- Location
- Type of ACM
- Level of Identification
- Extent
- Condition

The Register is aligned with the requirements of the Control of Asbestos Regulations, 2012. Information recorded allows objective risk assessments to be carried out.

The Register also provides some detail on:

- Non ACMs where, in the normal course of the building operation, they may be confused with ACMs, for example artex, gaskets, fibre cement boards.
- Areas which have not been surveyed.
- The presumption must be made that ACMs may be present in all un-surveyed areas and for all surveyed areas where the location would not have fallen within the scope of the original survey inspection.

3.1 Drawings

Drawings may be used to illustrate the Register information; these will be colour marked up and subject to update procedures. Drawings are not currently part of the formal issued Register.

3.2 Storage

The Register is stored electronically, including archive.

3.3 Availability

The Asbestos Register is available to all who may reasonably require such information via the intranet for internal staff and internet for others. Other enquirers should go through NPS Norwich Ltd.

Paper copies of the relevant extract for a property will be deposited at the property for easy access by contractors or any other person requiring information about ACMs in the building.

In the absence of a paper copy enquirers should be referred to NPS Norwich Ltd.

3.4 Updates

The responsibility for updating the register is the Risk Surveyor's. It is the duty of individuals, departments or organisations who affect data in the Register to supply relevant information to the Risk Surveyor.

Update may be required after:

- Identification of further ACMs
- Surveys
- Removal of ACMs – consignment notes must be provided to the Risk Surveyor, or encapsulation/over boarding
- Inspection/monitoring exercises
- Changes in building layout or area use

It is the duty of the surveyor to record that an inspection has been made on the paper copy of the register at each individual property. Paper copies will be changed only if a material change is recorded to the ACM contained within the building.

At the AMP review the Operational Director will assess the range and quantity of amendments received.

3.5 Audit

Regular Register audits will be conducted on a regular basis by the Senior Risk Surveyor. This will include comparison of representative Asbestos Register entries against site inspections and records of asbestos remedial works.

The audit report will be made available to all relevant parties and will form part of the AMP Review.

4. IDENTIFICATION AND RISK ASSESSMENT OF ACM'S

4.0 Requirement

Surveys and re-inspections are carried out to comply with HSE guidance, HSG264, 'Asbestos: The survey guide.' An appropriately accredited surveying company carries out surveys with the works managed by the appropriate Project Manager.

Survey types are detailed in HSG264 and HSG 227 'Managing asbestos in premises', a summary is given below:

4.1 Management surveys (previously known as type 1 or 2)

The entire building or area is inspected, as far as reasonably practicable. Any materials found, which can be reasonably expected to contain asbestos, are presumed to contain asbestos and are subject to risk assessment. Samples of material can be taken for analysis.

The survey attempts to inspect all normally accessible areas or, where not accessed, the area is presumed to contain asbestos. Representative samples of suspect materials are collected, analysed and assessed. Building services, such as pipework, ductwork, are inspected where accessible. Typically a management survey is chosen prior to redecoration or minor projects where only the surface of the building fabric will be affected by the project.

4.2 Refurbishment/demolition surveys (previously known as type 3)

The aim is to locate and describe, as far as reasonably practicable, all ACMs in an area. This investigation is likely to result in at least decorative damage to areas, and where relevant opening up of bulkheads, full depth investigation of partition walls etc. Making good after survey works is minimal unless requested otherwise.

Materials are sampled to identify their asbestos content, and the surveyor will estimate the extent of the material. The condition of the ACMs is generally not reported except where materials are damaged or if areas of asbestos debris may be expected.

For a refurbishment/demolition survey to be successfully completed at least the following criteria must be met:

- area is unoccupied.
- area is fully accessible – with fixings, furnishings, and heavy equipment removed, or at least easily movable
- area is fully accessible in terms of decontamination sign-offs and other relevant Authorisations. If these conditions are not met it is probable that the survey carried out will be of management level, with detail to refurbishment level given only to fully accessed areas. Further survey work, to refurbishment level, would then be required when suitable site conditions are available.

A refurbishment/demolition survey is required where demolition or penetration of building fabric or services is anticipated. During demolition it is possible for further ACMs to be identified and further survey works to demolition would be required.

4.3 ACM's in equipment

ACMs have frequently been used in scientific or technical equipment. Asbestos fibres have a range of properties - insulating, non-electrical conductive, resistance to acid – which made them suitable for many uses including flash guards in electrical distribution boxes, heating panels in some heaters and gaskets, acoustic sink pads.

It is the responsibility of the Head of Service to have asbestos containing service equipment, materials and apparatus, appropriately recorded and managed.

4.4 Risk assessment of ACM's

It is a requirement of the Health and Safety at Work Act 1974 that work must be carried out in a safe manner (whether notifiable or not). To this end it is always necessary to conduct an assessment of works prior to commencement.

With regard to general responsive operations or programmed work an assessment must be made as to whether asbestos will be disturbed and if this disturbance will be likely to release airborne fibre in concentrations greater than 0.01f/ml.

Unless there is evidence to the contrary a material is always presumed to contain asbestos.

Procedures and policies must be put in place that enables correct assessments of a material to be made, including risk assessments of the potential hazard the material might cause.

'Bulk' sampling of a material to send to a laboratory is to confirm that a material contains asbestos; until the results come back it is presumed the material contains asbestos.

Only competent persons should take a 'bulk' sample, to ensure the sample is taken safely and correctly.

4.5 initial assessment

Any operative or tenant who discovers a material of unknown provenance must assume it is asbestos and react accordingly.

Issues of health and safety are *not* put on hold until laboratory analysis confirms or denies the presence of asbestos. If a material assessment indicates that minor disturbance could release airborne asbestos fibre then make safe procedures should be put in place immediately.

Contractors need not refer back to Norwich City Council to put temporary make-safe procedures in place.

If no information is available about the suspect material on the Asbestos Register, then the Contractor can arrange for bulk sampling to be conducted without referring in the first instance to Norwich City Council.

4.6 Material assessment

To make a correct assessment of a material's ability to release fibres it is necessary to take into consideration certain characteristics of the material, other than just whether it contains asbestos or not.

The first consideration is the product type;

- Is it a product that contains asbestos in a well bonded matrix such as plastics, vinyl floor tiles, textured coating or cement sheet?
- Is it an insulation board or mill board or gasket or paper, where fibre can be released quite easily if disturbed?
- Or thermal insulation such as pipe lagging which readily releases fibre if disturbed?

The 2nd consideration is the condition of the material;

- It can be judged as good, low damage, medium damage or high damage (including visible debris).

The 3rd consideration is the surface treatment of the material;

- A well bonded material such as a plastic or textured coating will not really have any benefit from a surface treatment.
- Insulation board is more protected if it is encapsulated, sprayed and laggings if they are physically enclosed.
- Unsealed/unpainted insulation board and encapsulated lagging or spray is a greater risk.

The greatest risk is raw, unsealed lagging or sprayed asbestos ('limpet')

Although control limits are the same for all asbestos types it is tacitly recognised that chrysotile (white) poses a potentially lower health risk than amosite (brown) which has a potentially lower risk than crocidolite.

Prior to taking a sample, or just using a visual identification, one should presume asbestos content to be crocidolite, unless a reasoned argument can be made otherwise (e.g. asbestos insulating board is predominantly amosite, as is the asbestos in Shires type toilet cisterns; textured coating contains nearly always chrysotile. Please note the 'predominantly' and 'nearly always').

The 4 factors above can be expressed in a numerical algorithm⁶ as the material assessment score (MAS)

Further guidance on bulk sampling is available from HSG 264⁷ and Appendix D.

4.7 Disturbance or priority assessment

Having conducted a material assessment (all prior to taking a 'bulk' sample) of the potential to release airborne fibre, further assessments can be made to the likelihood of fibre release.

This takes into the consideration the position of the material;

- Is it outdoors?
- In a large well ventilated room?
- Smaller room?
- Confined space?

How accessible is the material?

- Unlikely to be disturbed?
- Occasionally likely to be disturbed?
- Easily disturbed?
- Routinely disturbed?

Final consideration is the amount;

- Small amount such as string, gaskets.
- Less than 10m² or 10 linear metres
- More than 10m² or 10 linear metres
- More than 50m² or 50 linear metres

The 4 factors above can be expressed in a numerical algorithm⁸ as the priority assessment score (PAS)

An assessment should always be made prior to commencing work, including taking a 'bulk' sample for laboratory analysis. It is not always necessary to take a sample to make an assessment on a material.

With regard to general responsive operations or programmed work an assessment must be made as to whether asbestos containing materials will be disturbed and if this

⁶ See HSG248: The Analysts Guide

⁷ HSG264 Asbestos: The Survey Guide

⁸ See HSG227, a comprehensive guide to managing asbestos in premises.

disturbance will be likely to release airborne asbestos fibres in concentrations greater than 0.01f/ml.

If the assessment flags up that there is a potential risk of airborne fibre release if the material is disturbed during normal activities then the correct 'make safe' actions must be implemented immediately, even if subsequent laboratory analysis records a negative result.

Anybody taking a sample to be sent for bulk analysis must be competent to take the sample safely. If they are competent to take the sample they must also, by default, be competent to make the assessment.

Unless there is evidence to the contrary a material is always presumed to contain asbestos.

'Bulk' sampling of a material to send to a laboratory is to confirm (or not) that a material contains asbestos; until the results come back it is presumed the material contains asbestos.

Guidance on bulk sampling procedure is contained in Appendix E.

5. MANAGEMENT OF ACM'S

5.0 Background

The Control of Asbestos at Work Regulations (CAWR) 2002 stipulated that work on asbestos insulating products or coatings required (with minor exceptions) a licence and notification to the HSE. Textured coating ('Artex' type coatings) was notifiable. Non-insulating products such as vinyl floor tiles, asbestos cement, and roofing felt, etc. did not require a licence or notification, but still had to be dealt with in accordance with the regulations.

CAWR was superseded in 2006 by the Control of Asbestos Regulations (CAR). The exceptions to notification and licence requirements are noted in Regulation 3, para.2 i.e.:

- Materials in which the asbestos fibres are firmly linked in a matrix; such as asbestos cement, textured coating, plastics, bitumous products, vinyl tiles etc.;
- An asbestos fibre in air concentration control limit of 0.1fml measured over 4 hours must be met.
- Any work on asbestos containing material (ACM) must be deemed to have an asbestos fibre exposure that is sporadic and of low intensity. Any work on ACM where asbestos fibre in air concentrations will be less than 0.6f/ml measured over a 10 minute period will be deemed to be sporadic and of low intensity.
- Work with asbestos insulation products (with the exception of encapsulation)

can only be classed as non notifiable if the exposure to asbestos fibre is sporadic and of low intensity and of short duration. Short duration is described as work taking less than 1 hour in every 7 day period per person. Total work on the asbestos insulation should not exceed 2 hours.

An update to CAR in 2012 introduced a 3rd category for working with asbestos containing materials, Notifiable non-licensed work, an explanation of which is given in Appendix A.

It is re-iterated that exemption from notification and licensing does not exempt persons from the Control of Asbestos Regulations and its requirements.

5.1 Prioritisation

Reference to the asbestos register and management plan should be used in the allocation of resources, using the risk assessment algorithm.

Debris should always be removed, regardless of the type of ACM.

Any damaged ACM should always be made safe. This does not necessarily mean removal. Repair and encapsulation are valid methods of asbestos management.

Where the ACM has minor damage, simple repair and/or sealing (encapsulation), may be appropriate. The technique and materials used will be dependent on the ACM and may include over-cladding or use of liquid applied encapsulants. These encapsulants are typically polymeric applications which dry to give a robust water resistant surface. Repairs and any encapsulation measures will be undertaken by either a Licensed Asbestos Contractor or suitably qualified unlicensed contractors if the work has been assessed to be non-notifiable and unlikely to result in asbestos exposures of greater concentration of 0.01 f/ml, with the local area being isolated, either by constructing an enclosure, mini-enclosure or using local exclusion techniques.

5.2 Management goals

The long term strategy is to remove the asbestos liability; commencing with the ACMs that have the highest material and priority risk scores.

The short term strategy is to manage asbestos in place safely.

5.3 Maintenance options for ACM's

Bituminous coatings

Roofing felts and DPCs can be left in place and monitored for damage and deterioration.

'Shires' type toilet cisterns

In good condition these can be left in place and monitored for damage and deterioration.

Floor tiles

In good condition these can be left in place and monitored for damage and deterioration. If under another floor covering their presence will be noted in the asbestos register and flagged up for monitoring should they be disturbed.

Floor tiles which have been subject to some damage will have any debris removed. Damaged areas will be made good. The repairing of damaged areas is not to contain loose fibres but evidence that NCC is maintaining and managing ACM.

Textured coatings ('Artex' type coatings)

In good condition this can be left in place and monitored for damage and deterioration. Loose flaky textured coating is unlikely to release asbestos fibre, but left in that state is evidence that NCC is not maintaining or monitoring ACM correctly. With minor damage (such as after a water leak) it is possible to remove the loose coating and reseal without removing the coating from the whole ceiling/wall.⁹

From a management rationale it is quite acceptable to skim over textured coating or cover in plasterboard. The presence of asbestos containing textured coating will be noted on the asbestos register, flagged up for monitoring should it be disturbed.

Asbestos cement

In good condition this can be left in place and monitored for damage and deterioration. It can be painted¹⁰ or plastered over, its presence noted on the asbestos register. Damaged asbestos cement¹¹ must be attended to. Please note that cement board is fragile and susceptible to damage, so removal from inside a dwelling is to be recommended.

Asbestos textiles and gaskets

In good condition these can be left in place and monitored for damage and deterioration; if they are to be disturbed during maintenance it is as well to remove them.¹²

Asbestos insulating board (AIB)

Any AIB within a dwelling should be sealed¹³, enclosed¹⁴ or removed. It is not

⁹ Non-licensed task A28, Asbestos essentials, HSG210

¹⁰ Non-licensed task A16, Asbestos essentials, HSG210

¹¹ Non-licensed task A13, Asbestos essentials, HSG210

¹² Non-licensed task A25, Asbestos essentials, HSG210

acceptable to have raw unpainted board within a dwelling.

Any damaged board must be repaired immediately, utilising a pva spray, 'liquid nails' and/or duct tape.¹⁵ After the repair a review will be conducted whether to monitor, effect a more permanent repair, or removal.

AIB soffit should be monitored for damage and deterioration. It is perfectly acceptable to paint it.

Lagging

If left in place the lagging must be encapsulated or enclosed, labelled and monitored and a permit to work system put in operation.

Debris

All debris will be removed as a matter of priority.

Air monitoring

Air monitoring to measure the asbestos fibre concentration in air is mandatory when licensed removal work has occurred.¹⁶

It is also to be recommended when accidental damage has occurred or non-licensed repairs have taken place.

Air monitoring should only be undertaken by an independent UKAS accredited company.

Testing/Sampling

Bulk samples will only be taken by competent persons with correct PPE, RPE. On taking the sample an assessment will be made as to the material condition and any risk posed¹⁷. The sampled material will always be left in a safe condition (this could mean immediate encapsulation, prior to results being known).

Any material must be assumed to contain asbestos unless there is evidence to the contrary (e.g. glass, wood, metal, a material whose provenance is known not to contain asbestos).

If there is no information in the Norwich City Council database or asbestos register then EITHER:

¹³ Non-licensed task A7, Asbestos essentials, HSG210

¹⁴ Non-licensed task A8, Asbestos essentials, HSG210

¹⁵ Non-licensed task A6, Asbestos essentials, HSG210

¹⁶ HSG248

¹⁷ As described in HSG264, The Surveyors Guide, 'Material Assessment'

Sample analysis must be conducted by a UKAS accredited laboratory prior to the commencement of work which might disturb the material. Results to be transmitted to all interested parties and added to Norwich City Council's asbestos register.

OR:

Work will proceed with the assumption that the material does contain asbestos and a method statement and plan of work are produced prior to commencement of work.

The 2nd option will only be utilised once a risk assessment has been made that work with the suspect asbestos containing material will only create an exposure to asbestos fibre that is sporadic and of low intensity and of short duration.

It is re-iterated that exemption from notification and licensing does not exempt persons from the Control of Asbestos Regulations and its requirements.

Removal Works

Licensed Asbestos Removal Contractors.

Remedial works to ACMs, including encapsulation, will generally be carried out by a contractor holding Licensed Asbestos Removal Contractors.

Audits of contractors undertaking work with ACMs may be carried out by the risk surveyor. Such audits will include assessment of at least:

- Quality of completed work
- Plan of works, method statements and risk assessments.
- Safety issues throughout the remedial works
- Compliance with contractor's own safety management systems
- Feedback and safety etc. information from the UKAS accredited consultancy engaged for the associated inspection and analytical works
- Adherence to programme

Audits of contractors undertaking work with ACMs may be carried out by the risk surveyor. Such audits will include assessment of at least:

- Quality of completed work
- Plan of works, method statements and risk assessments.
- Safety issues throughout the remedial works
- Compliance with contractor's own safety management systems
- Feedback and safety etc. information from the UKAS accredited consultancy engaged for the associated inspection and analytical works
- Adherence to programme

5.4 Use of advisory services

Advice and services may be sought from external specialist organisations.

Only organisations holding the appropriate qualification and UKAS accreditation, for example to ISO 17020 for building surveys for ACMs or to ISO 17025 for analytical services, will be used.

5.5 Completion of asbestos works

Documentary evidence of correct removal and disposal must be provided to the Senior Risk Surveyor who can then ensure the asbestos register is updated. This should consist of:

- A clear summary of what materials have been removed
- Project references
- Contact and documentation details
- Comment on residual asbestos risks.
- Works specification
- Removal method statement
- Air monitoring reports
- Certificate of Re-Occupation with 4 Stage Clearance documentation (where relevant)
- Waste consignment notes

Records will be held for an appropriate period.

5.6 Labelling

Labels will not normally be applied for the following reasons:

- Sticky labels can be deliberately picked up and moved to non-ACMs
- Labelled ACMs are more vulnerable to malicious damage
- Where there is a policy of labelling this can engender complacency – if it is not labelled then it must be safe. It is better to reinforce the practice of always consulting the Asbestos Register.

6. PROJECT MANAGEMENT PROCEDURES

6.0 Background

Under **CDM** ¹⁸regulations Norwich City Council as client has a duty to provide pre-construction information about or affecting the site or the construction work and any information in any existing health & safety file.

If no information is available from Norwich City Council then a management type asbestos survey must be conducted prior to commencement of work. In some cases a fully invasive refurbishment/demolition survey will need to be conducted. Survey results will be transmitted to all interested parties and added to Norwich City Council's asbestos register.

In cases where the programmed works are repeated in similar build types, it may be allowed for representative surveying to be conducted. However, all buildings within the works programme will be subject to inspection by suitably qualified personnel.

Sufficient lead time in the planning of major works must be factored to enable prophylactic or removal work to be carried out upon asbestos containing materials if necessary.

All employees and contractors must be asbestos awareness trained.

Any work that disturbs asbestos containing materials must have a method statement and plan of work

Any asbestos containing material not covered by the exceptions stated in Reg. 3 Para 2 of the CAR 2012 can only be worked upon by licensed contractors and will be notifiable to the HSE.

All works within the Council estate with the potential to alter or damage the fabric of the building, service voids, building services etc., must be reviewed by the Project Manager with regard to:

- Possible presence of ACMs
- Control measures to be taken to avoid damage or exposure
- Any necessary remedial/removal works
- Potential impact on project programme.

This review is to be at a level appropriate for the project in terms of its scale of refurbishment, known asbestos data, and regulatory requirements. The Project Manager is expected to seek guidance from the Risk Surveyor, or CDM co-ordinator, and make use of specialist asbestos consultancy services where relevant.

The review must be carried out by the Project Manager at an early stage of the project to allow sufficient time for project implications of ACMs to be assessed. Discussions on

¹⁸ Construction and Design Regulations, 2007

project design and site inspections may be required dependant on scale of project.

The health and safety file may include:

- Information on known ACMs
- Level of site investigation required, for example any requirement for management or refurbishment/demolition surveys, including their impact on occupants and project timetable
- Requirement for services isolations
- Requirement for space e.g. contractors welfare, decontamination unit, analytical office etc.
- Requirement for additional services e.g. use of a licensed scaffold contractor to provide access.

The final report and content will be dependent on the complexity of the project and may include an asbestos survey report with marked up plans; guidance on remedial measures required, including any control measures, such as protection or labelling of ACMs; and budgets may be included.

This information will be given to the CDM co-ordinator.

Where remedial works are required this may include:

- Remedial/removal works being undertaken to ACMs *not directly* affected by the project scope, but which lie within, or directly adjacent to, the project location. The intention being to use the refurbishment period to improve the Council environment, with minimal disruption to building use. Such remedial works will normally be funded by the project.
- Co-operation with programming of the works, for example, the preference that asbestos remedial works are carried out as a priority activity either prior to the main contractor taking possession of the site or at the start of the possession period.
- Assisting in making space available for asbestos remedial works equipment, such as parking for decontamination units (DCUs), appropriate office space for the analyst.
- Arranging any necessary services isolations or enabling works – such as cutting out of non-asbestos redundant ductwork, removal of fixtures, fittings, furniture or certain building features.

6.1 Informing project personnel

Aspects to be considered include:

- Site handover arrangements comprising documentation such as the risk assessment report, asbestos works completion statements etc.

- Site familiarisation walks with key personnel such as site foreman, CDM co-ordinator et al.
- Particular attention to co-operation and co-ordination where contractors who do not hold an HSE license for asbestos works are used for enabling works prior to asbestos remedial works being undertaken. It is essential that these 'non-asbestos' contractors are
- aware of any risks and related controls
- undertaking only enabling works (e.g. 'soft strip') that are sufficient to provide necessary access etc for the future asbestos licensed contractors works

6.2 Additional or suspect ACM's

Anyone working on a project is responsible for making sure works are halted if suspect ACMs are discovered and that further advice is sought.

In practice, it may be the site manager who takes the first action of stopping works to the affected areas. They should then contact the project manager. Further guidance can be obtained from the risk surveyor whose decision is final.

6.3 Removal/remediation work

It is acknowledged that safe systems of work can be generated to work upon ACMs with low friability by non-licensed contractors, providing competence and adherence to CAR 2012 can be demonstrated. However, generally only licensed asbestos contractors will be used for removal and remedial work.

7. INFORMATION AND TRAINING

7.0 Information

Information on the AMP and the management of ACMs will be available to all relevant personnel and organisations. General and Council specific information may be posted on relevant notice boards or produced for distribution in electronic format.

Where more specialist knowledge is required this may be sourced from specialist consultancies and publications, including HSE documents.

7.1 Enquiries

No advice is given to the public. Enquiries should be related to Council owned property.

In the event of an asbestos enquiry the initial action should be to refer to the Asbestos Register.

If this does not answer the query then NPS Norwich Ltd. should be contacted and they

will defer to the Senior Risk Surveyor or the heads of service.

7.2 Training

It is acknowledged that effective management of ACMs requires knowledge of a specialised area of health, safety and construction works.

The Operational Director will ensure that a suitable level of expertise is available; either by in-house training of employees, by using external training courses or resources, or by establishing a relationship with a specialist external organisation such as a UKAS accredited Consultancy.

The Operational Director and Human Resources assess training requirements and co-ordinate it's provision.

The intention is to provide an open and responsive culture where individuals have an awareness of the risks and an appreciation of the effectiveness and suitability of, and requirement for, management procedures.

The key areas covered by in-house training sessions are:

- AMP - purpose, general arrangements, availability and location, responsibilities of employees and key groups
- Asbestos Register - location, use and availability
- ACMs - health effects and their range and distribution within Council buildings
- Work practice - safe systems and arrangements

It is acknowledged that high risk groups, such as new employees, newly appointed contractors etc., may require asbestos awareness training or similar as part of their initial induction process. It is a legal requirement that employees and contractors have asbestos awareness training

In summary:

- All employees and contractors should have asbestos awareness/training.
- Continuing asbestos awareness/training will be carried out as necessary
- Problems or incidents with ACMs will be investigated and a review of training arrangements carried out if considered appropriate.

Human Resources will keep details of training agenda and dates for Council staff.

Training review

The Operational Director will review the training arrangements annually to assess if:

- All individuals/department/groups requiring training have been identified
- Re-training requirements are adequate
- Council induction arrangements are adequate
- Course content is appropriate.

8. REVIEW OF THE ASBESTOS MANAGEMENT PLAN

The intention of the review will be to assess:

- Management procedures and their effectiveness.
- Effectiveness of the management plan in terms of its integration into all matters relating to the building fabric and use
- Overall progress made against the Action Plan
- Suitability and maintenance of communication, instruction, training of personnel, employees and contractors
- Suitability and success of record keeping tasks

Significant findings and comments will be reported to the Head of Property Services. A record of the Review will be kept by the Risk Surveyor.

Review Timetable: The Heads of Service will set the timetable and date of the next review.

A Review will be:

- Carried out on a 12 monthly basis or
- Considered when significant events occur - for example, following accidental exposure of personnel to significant airborne asbestos fibre levels, transfer or increase of premises, or if arrangements within the AMP are no longer considered to be adequate.
- Following changes in legislation.

Review Attendees: The Heads of Service will invite appropriate representatives.

Review Agenda: The Heads of Service will set the Agenda and will distribute to all relevant personnel in sufficient time for data and feedback to be collated.

The agenda will include some or all of the areas set out below:

- Compliance with HSE and internal procedures
- Management and Organisation structure
- Audits and Reports
- Action Plan
- Remedial Works

- Asbestos Register
- Asbestos awareness/training
- Incidents with ACMs
- HSE reports

9. GUIDANCE TO CONTRACTORS

Refer also to Section 5, 'Management of ACMs', and HSE guides HSG210, HSG 264 et al.)

9.0 Notifiable, non-notifiable work, and notifiable non-licenced work

When a contractor's operative is carrying out responsive or planned repairs in premises in which Norwich City Council is duty holder, then that area becomes a place of work and is covered by the Control of Asbestos Regulations (CAR), 2012, and general Health and Safety at Work Act (1974) requirements, including Management of Health and Safety at Work Regulations (1999), Workplace (Health, Safety and Welfare) Regulations (1992) which impose a duty upon the employer to protect workers and occupants from uncontrolled risks and hazards.

Work with asbestos is defined as any work that consists of the removal, repair or disturbance of asbestos, or work that is ancillary or supervisory to this.¹⁹

Generally most work with asbestos is notifiable to the HSE and would need to be carried out by a licensed contractor.

However, there are exemptions to notification and using licensed contractors²⁰:

Work with asbestos is non-notifiable and does not require a licence if the materials in which the asbestos is contained has the fibres firmly linked in a matrix; such as **asbestos cement, textured coating, plastics, bitumous products, vinyl tiles** etc.; generally products that have a non-insulation purpose.

The work must be of a sporadic and of low intensity nature, and a risk assessment should conclude that the asbestos fibre in air concentration does not exceed the control limit of or 0.6f/cm³ measured over 10 minutes (or 0.1f/cm³ measured over 4 hours), during the disturbance of the asbestos containing material (ACM).

A 3rd category is Notifiable Non-licensed Work, where work is beyond normal maintenance activity. HSE guidance is contained in Appendix A

Exemption from notification and licensing does not exempt persons from the Control of Asbestos Regulations and its requirements. Contractors and employees should have suitable and sufficient training to conduct such work.

¹⁹ Control of Asbestos Regulations, 2006, Reg. 2

²⁰ Control of Asbestos Regulations, 2006, Reg. 3, para 2

9.1 Major works

Under Construction (Design & Management) Regulations (CDM)²¹, Norwich City Council as client has a duty to provide pre-construction information about or affecting the site or the construction work and any information in any existing health & safety file.

Contractors will be aware that if no information has been made available from Norwich City Council then a management type asbestos survey²² should be conducted prior to commencement of work. In some cases a fully invasive refurbishment/pre-demolition type survey²³ will need to be conducted. Survey results will be transmitted to all interested parties and added to Norwich City Council's asbestos register.

Nb. Contractors must be aware that even a Refurbishment and Demolition survey may not discover all asbestos containing materials in an occupied building.

In cases where the programmed works are repeated in similar build types, it may be allowed for representative surveying to be conducted. However, all buildings within the works programme will be subject to inspection by suitably competent personnel.

Sufficient lead time in the planning of major works must be factored to enable prophylactic or removal work to be carried out upon asbestos containing materials if necessary.

All employees, contractors and sub-contractors must be asbestos awareness trained.

Any work that disturbs asbestos containing materials must have a risk assessment and plan of work

Any asbestos containing material not covered by the exceptions stated in Reg. 3 Para 2 of the CAR 2012 can only be worked upon by licensed contractors and will be notifiable to the HSE.

9.2 Initial assessment

Any operative who discovers a material of unknown provenance must assume it is asbestos and react accordingly. This will include any material within the property, not necessarily related to a specified work area.

Issues of health and safety are *not* put on hold until laboratory analysis confirms or denies the presence of asbestos.

If a material assessment indicates that minor disturbance could release airborne

²¹ Construction Design Management Regulations, ACoPs L127, page 21

²² As described in 'Asbestos: the survey guide', HSG264.

²³ As described in 'Asbestos: the survey guide', HSG264.

asbestos fibre then make safe procedures should be put in place immediately. Contractors have a legal duty of care to report back to the contract administrator any perceived hazard that may potentially affect other operatives or tenants.

Contractors need not refer back to Norwich City Council to put temporary make safe procedures in place.

9.3 General work practice

It is a CDM requirement that work must be carried out in a safe manner (whether CDM notifiable or not). To this end it is always necessary to conduct an assessment of works prior to commencement.

With regard to general responsive operations or programmed work an assessment must be made as to whether asbestos will be disturbed and if this disturbance will be likely to release airborne fibre in concentrations greater than 0.6f/cm^3 measured over 10 minutes.

Unless there is evidence to the contrary a material is always presumed to contain asbestos.

Procedures and policies must be put in place that enables correct assessments of a material to be made, including risk assessments of the potential hazard the material might cause.

‘Bulk’ sampling of a material to send to a laboratory is to confirm that a material contains asbestos; until the results come back it is presumed the material contains asbestos.

Only competent persons should take a ‘bulk’ sample, to ensure the sample is taken safely and correctly.

9.4 Sampling and surveying

Norwich City Council will not allow companies to undertake asbestos surveys on their housing unless they hold a UKAS accreditation to ISO 17020²⁴.

Only competent trained personnel should take bulk samples, with a minimum P402 BIOH qualification.

Contractors will be aware of the difference between taking individual bulk samples (not to be confused with air sampling or monitoring) for lab analysis and conducting an asbestos survey.

Bulk sampling will only give the information as to whether a material contains asbestos

²⁴ As recommended in HSG264

or not, and what type of asbestos it contains. It will not report on what the product is, its likelihood to release fibres, its condition, its position or the amount of ACM.

A survey will produce a report containing all the above information and will generally be a more cost effective option if more than 4 samples are needed to be taken from 1 site.

9.5 Material assessment

To make a correct assessment of a material's ability to release asbestos fibres it is necessary to take into consideration certain characteristics of the material, other than just whether it contains asbestos or not. This assessment should include product type, condition, surface treatment, extent, location and likelihood of disturbance.

An assessment should always be made prior to commencing work, including assessment prior to taking a 'bulk' sample for laboratory analysis.

Only UKAS accredited laboratories (ISO 17025) will be used for analysing bulk samples.

It is not always necessary to take a sample to make an assessment on a material.

Contractors will be aware that anybody taking a sample to be sent for bulk analysis must be competent to take the sample safely. If they are competent to take the sample they must also, by default, be competent to make an assessment.

If the assessment flags up that there is a potential risk of airborne fibre release if the material is disturbed during normal activities then the correct 'make safe' actions must be implemented immediately.

Norwich City Council utilise a 'Bulk Sampling Sheet' to help in material assessments. Contractors will be expected to use it or a similar method of recording material assessments.²⁵

9.6 Testing/sampling

Bulk samples will only be taken by competent persons with correct PPE, RPE. On taking the sample an assessment will be made as to the material condition and any risk posed. The sampled material will always be left in a safe condition (this could mean immediate encapsulation, prior to results being known).

If there is no information in the Norwich City Council database or asbestos register then EITHER:

Bulk samples must taken prior to commencement of work, and be analysed by a UKAS

²⁵ Appendix F

accredited laboratory. Results to be transmitted to all interested parties and added to Norwich City Council's asbestos register.

OR

Work will proceed with the assumption that the material does contain asbestos and a method statement and plan of work are produced prior to commencement of work.

The 2nd option will only be utilised once a risk assessment has been made that work with the suspect asbestos containing material will only create an exposure to asbestos fibre that is sporadic and of low intensity and of short duration.

9.7 Safe systems of work

It is a legal requirement that employees receive information, instruction and training suitable and sufficient to carry out their duties. This could be asbestos awareness training or training for non-licensable work.

It is reiterated that work that might disturb asbestos must be subject to a correct risk assessment. Some contractors and insurance companies conduct assessments based solely on asbestos type (e.g. work with chrysotile is allowable, work with amosite or crocidolite is not), Norwich City Council does not feel this is suitable or sufficient.

9.8 The magic bullet

Contractors should be aware that access to an asbestos register or possession of an asbestos report – even a refurbishment survey report is not a magic bullet. It will not on its own protect anybody from exposure to asbestos. Risk assessments and safe systems of work should be in place and an appropriate level of asbestos awareness required. Asbestos surveyors are not infallible, an area might be missed or not accessed and ACM not reported.

Absence Of Evidence Is Not Evidence Of Absence.

An example:

A company has been awarded a contract to upgrade central heating systems in domestic properties, including the removal of gas fires and back boilers.

Being a responsible organisation they engage the services of a UKAS accredited asbestos survey company.

The house is occupied and all services live.

The one place the asbestos surveyor is not going to access is behind the gas fire in an occupied property with live services.

The one place a gas fitter is guaranteed to access during a heating upgrade is behind the gas fire.

It can be guaranteed that ACM of some description will be behind the gas fire if it was fitted between the 1930s and 1980s.

The gas company should have in place already a safe system of work and control systems and assume they will expose asbestos when moving the gas fire.

A risk assessment before commencement of work may lead them to engage the services of a licensed asbestos remover.

9.9 Asbestos containing materials (ACM's)

Any damaged ACM, or suspected ACM, should always be made safe. This does not necessarily mean removal. Repair and encapsulation are valid methods of asbestos management.

Any changes to the condition of an ACM must be reported to Norwich City Council, including removal, encapsulation and repair work.

Method statements, risk assessments, notification documents, clearance certification etc. must be made available to Norwich City Council

9.10 Textured coatings (artex type coatings)

Contractors will make themselves aware of procedures and safe systems of work for drilling through textured coating, inserting and removing screwed fixtures from textured coating, and removing small areas of textured coating, that do not require licensing or notification.²⁶

From a management rationale it is quite acceptable to skim over textured coating or cover in plasterboard. The presence of asbestos containing textured coating will be noted on the asbestos register, flagged up for monitoring should it be disturbed.

9.11 Vinyl floor tiles

Contractors will make themselves aware of procedures and safe systems of work for the removal of loose and broken floor tiles.

²⁶ Non-licensed task A26, A27, A28, Asbestos essentials, HSG210

9.12 Asbestos insulating board (AIB)

Contractors will be aware that any AIB within a dwelling should be sealed²⁷, enclosed²⁸ or removed. It is not acceptable to have raw unpainted board within a dwelling or internal communal area.

Outside of programmed work, it will be expected that a contractor will remove AIB found in a vulnerable position, even in good sealed condition, e.g. the discovery of an AIB backed boiler cupboard door during void refurbishment works ought to be removed prior to re-let.

Work with AIB should normally be carried out by a licensed contractor.

Contractors will be aware that where AIB was used as a fire break or similar, then the replacement material must be of suitable fire retardant qualities.

It is re-iterated that exemption from notification and licensing does not exempt persons from the Control of Asbestos Regulations and its requirements.

10. INFORMATION FOR TENANTS

10.0 Background

Norwich City Council has a legal²⁹ and moral duty to keep tenants free from harm as far as is reasonably practicable. This includes exposure to asbestos.

Asbestos is a metamorphic rock which was mined across the world and was valued for its heat insulation and fire protection characteristics and its resistance to acid and alkali, making it virtually indestructible. As a fibrous material it was also a good bonding agent. These properties meant it was a perfect building material and asbestos was used in over 3000 products.

Asbestos was used in industry, engineering and building for most of the 20th century, peak usage being in the 1960s and 70s.

The three types of asbestos used commercially were Chrysotile (White), Amosite (Brown), and Crocidolite (Blue).

Unfortunately asbestos was also found to cause respiratory illnesses such as lung cancer, asbestosis and mesothelioma, some of which take up to 30 years to develop from initial exposure. This led to a complete ban in the use of asbestos in 1999.

²⁷ Non-licensed task A7, Asbestos essentials, HSG210

²⁸ Non-licensed task A8, Asbestos essentials, HSG210

²⁹ Housing Act 2004

The threat from asbestos is in inhaling airborne fibres. Left undisturbed and in good condition most asbestos containing materials will not constitute a danger. An asbestos containing material will not necessarily be removed just because it contains asbestos. An assessment will be made as to the likelihood of the material to release fibres to the atmosphere under normal domestic disturbance.

All maintenance and renewal work carried out in a property, whether responsive or programmed, is subject to an assessment as to whether or not it will disturb asbestos prior to work commencing.

Norwich City Council currently has a programme of asbestos management surveys underway to locate asbestos containing materials and record their condition.

Commonly found asbestos containing materials in the home are:³⁰

- **Vinyl floor tiles.** Fibre release is unlikely to be a hazard under normal services and conditions. Broken edges are still unlikely to release fibres but should be reported so loose tiles and debris can be collected and uneven surfaces made good. Not all vinyl floor tiles contain asbestos.
- **Decorative textured coatings** ('Artex' type coating). Generally fibres are well contained in the matrix but may be released when old coating is sanded down or scraped off. Not all textured coatings contain asbestos
- **Asbestos cement sheet.** It is not considered to be a problem if sited outside the home, as commonly used in corrugated profile on garage/shed roofs, or in flat profile for soffits. Likely to release increasing levels of fibres if abraded, hand sawn or worked on with power tools. Exposed surfaces and acid conditions will remove cement matrix and concentrate unbound fibres on surface and sheet laps. Cleaning asbestos-containing roofs may also release fibres.
- **Asbestos insulating board (AIB).** AIB can be readily broken, giving significant fibre release. Also significant surface release is possible by abrasion, but surface is usually painted or plastered. Sawing and drilling will also give significant releases. Whilst painted board can remain in place, broken or raw unpainted board should be reported so it can be encapsulated/removed.

It is also possible that you might find asbestos in the following locations:

- Heating appliances such as boilers or storage heaters
- Ceiling and wall board,

³⁰ Information taken from HSE guidance HSG264

- Bath panels
- Window sills
- Old plaited electric cables
- Fire blankets,
- Bakelite fittings
- Garage and shed walls and roof panels
- Roofing felt
- Gutters and downpipes
- Lino
- Mastics, paints and sealants
- Hair dryers
- Ovens
- Fridges
- Ironing boards
- Wall plugging compound
- Cold water tanks in the loft

This is by no means an exhaustive list, but it does highlight the many ways in which asbestos has been used.

Anything that you think might contain asbestos should be checked for damage. If you find damaged or broken material that may contain asbestos then leave it alone, keep away from the area and call the customer contact team for advice (0344 980 33 33).

11. EMERGENCY PROCEDURES

11.0 Purpose

An emergency procedure has been compiled to deal with unplanned asbestos related incidents, however caused, that arise out of activities that could, or have given rise to the release of asbestos fibres in council owned or managed properties.

The actions taken in the first few hours after an incident will dictate how well the situation is managed.

Nothing written in the procedure should override the experience and skills of operatives in fulfilling their duties following an incident. The response of contractors and their operatives must be governed primarily by the need to ensure the safety of themselves, their colleagues and members of the public.

The aim of an emergency procedure is to:

- Mitigate the effects of the event and prevent further exposure
- Restore the situation to normal, and
- Inform any person who may be affected.

Control must be established at the critical early stages following an incident. Building and Premises managers and Contract Administrators must be provided with action lists in the event of the unplanned release of asbestos in the workplace.

Any incident must be managed to ensure the health safety and welfare of employees and the public.

The purpose of the emergency procedure is to minimise the extent of any potential contamination and prevent any further potential exposures to asbestos fibres. A check list of actions is detailed at the end of this procedure and should be followed in the event of a suspected release of asbestos.

Following a decision by contractors to initiate the procedure, NPS Norwich Ltd. should be advised.

- Office hours contact Norwich City Council on 0344 980 3333
- Out of office hours contact NCAS on 01603 496300

11.1 Initial assessment

Persons making the initial assessment should only do so if it is safe and under no circumstances should they put their own personal safety, or that of others, at risk.

The person making the assessment must be competent to assess the hazard. Some products and materials release asbestos more readily than others.

To aid the assessment process, pro-forma check lists have been designed (Appendices B-D).

11.2 Specialist services

A range of specialist companies and suppliers may be required to assist the Council restore its services. A list of such companies/suppliers is maintained by the main partnering contractor.

11.3 Immediate action list

Stop all work in the area.

Without causing alarm, evacuate the immediate area, advising evacuees that material(s) potentially containing asbestos has been damaged in the local vicinity, and that the area is being evacuated as a precaution (Remember, a single exposure is unlikely to contribute significantly to a lifetime risk.)

Remove all persons out of the affected area to a safe location away from the suspect material. Persons directly linked to the incident may need decontamination first (see Appendix D)

Do not remove any equipment, belongings or materials from the potentially contaminated area.

Isolate the area affected; close or seal or lock off the area where practicable.

Prepare and prominently display a warning sign(s) with the following wording 'NO UNAUTHORISED ACCESS – KEEP OUT'.

List all persons affected by the potential exposure by completing Appendix B.

Contact a member of NPS Norwich Ltd.(NPS), who will attend and take control of the incident and give advice to those directly affected by the incident.

Wait on site in the safe area to hand the incident over to a member of NPS and hand them the completed attendance list (Appendix B)

Where the incident is as a result of asbestos remediation works the contractor's own emergency procedure detailed in their own working method statement will be invoked.

Upon notification of an incident of potential asbestos contamination a member of the NPS will attend the site to take charge of the incident, make a risk assessment, investigate the cause and determine corrective action and remediation needed.

The NPS incident officer has responsibility to record the details of the incident and action taken by ensuring that the pro-forma check list is completed and returned to the NPS, with copies to the Senior Health & Safety Officer and appropriate Building Manager.

11.4 Making safe

The incident officer will ensure that the area is left in a safe condition.

In most incidents licensed contractors will be called upon to enviro-vac area, seal exposed surfaces and remove debris. This will be followed up by reassurance air monitoring.

Further assessments will be made as to what further remedial action is necessary, whether the incident is RIDDOR reportable (the final decision resting with the Senior Health and Safety Officer), if it needs 14 day notification to continue remedial work etc.

11.5 Incidents reported by members of the public or tenants

If somebody phones in (or calls in person) to report a suspected breakage or damage to asbestos containing materials or those suspected to contain it, the recipient (member of council or contract staff, call centre operative) should log the following details:

- Date and time.
- Name and contact no. of person reporting incident.
- Address and location of incident.
- Description of incident and time it occurred.
- Are other hazards involved that might need the emergency rescue services?
- Has the area of the incident been isolated (e.g. the closing of a door)?
- Are others involved?

It is important to reassure the caller that, although potentially serious, a single exposure is unlikely to contribute significantly to a lifetime risk.

Instruct the caller not to go back into the vicinity of the incident and to keep others away if possible until somebody from the contractor's emergency response team arrives.

On arrival on site (possibly somebody's home) the incident officer will assess the situation in a similar manner to that of a work related possible exposure.

The immediate area must be made safe and/or isolated.

An assessment must be made as to whether it is safe or practical for the resident to remain in situ pending remedial work, or whether they should be decanted.

A further assessment should be made as to the spread of possible contamination following the incident.

No belongings can be removed from the contaminated area unless cleaned by a licensed asbestos removal contractor. It is extremely difficult to clean soft furnishings and textiles and electrical goods.

12. COMPLAINTS

Any complaints about this policy or its implementation will be addressed through the council's corporate complaints system. Complaints may be made on a standard form, available from the council's reception areas, or online at www.norwich.gov.uk.

Complaints made in person, by letter or by email will be directed into the corporate scheme.

13. MONITORING AND REVIEW

The policy will be monitored in accordance with the council's performance framework. It will be reviewed on an annual basis, and whenever there is a fundamental change of legislative or regulatory provisions. Minor amendments to the policy will be subject to the approval of the Deputy chief executive (operations).



Report author to complete

Committee:	Cabinet
Committee date:	
Head of service:	Chris Rayner
Report subject:	Asbestos Management Policy
Date assessed:	01/06/2014
Description:	<p>The policy is designed to:</p> <ul style="list-style-type: none"> a) Set out how the Council manages the risks from asbestos containing materials (ACMs) within the council's property portfolio. b) Ensure that the Council meets all its statutory and regulatory obligations in respect of asbestos management. c) Highlight the responsibilities of employees, leaseholders and tenants in managing asbestos. d) Provide a methodology for the implementation of the asbestos management plan. e) Set out procedures for planned major refurbishment or demolition. f) Provide emergency procedures for the uncontrolled release of asbestos. g) Name overseers/controllers of the asbestos management plan.

	h) Provide a review procedure and timetable for the asbestos management plan.
--	---

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The policy ensures we are managing the risks that can be associated with asbestos in accordance with all legal requirements, making our homes and buildings safe places to work and live.

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The asbestos management plan effectively ensures that we are managing any risks that may be associated with asbestos related materials, and ensures that all relevant stakeholders are aware of the risks and the safe managements of asbestos.

Recommendations from impact assessment

Positive

The policy ensures that our properties are safe, healthy places for our customers to live and work, and that all asbestos related issues can be identified and managed accordingly.

Negative

N/A

Neutral

N/A

Issues

N/A

POLICY	ASBESTOS MANAGEMENT APPENDIX A NOTIFIABLE NON-LICENCED WORK	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTENTS
<ol style="list-style-type: none"> 1. Notifiable non-licenced work 2. Is my work NNLW? 3. Notification 4. Medical surveillance 5. Record keeping 6. Decision flow chart 7. Illustration of asbestos work categories
1. NPS NORWICH
<p>The following is advise from the HSE on determining whether work is notifiable or non-notifiable when working with asbestos containing materials.</p> <p>Notifiable non-licensed work</p> <p>All non-licensed work needs to be carried out with the appropriate controls in place. But for notifiable non-licensed work (NNLW), employers also have additional requirements to:</p> <ul style="list-style-type: none"> • notify work with asbestos to the relevant enforcing authority; • ensure medical examinations are carried out; and • maintain registers of work (health records).
2. IS MY WORK NNLW?
<p>2.0 Is it NNLW?</p> <p>Whether a type of asbestos work is either licensable, NNLW or non-licensed work has to be determined in each case and will depend on the type of work you are going to carry out, the type of material you are going to work on and its condition. The identification of the type of asbestos-containing material (ACM) to be worked on and an assessment of its condition are important parts of your risk assessment, which needs to be completed before you start work.</p> <p>Firstly decide if the work is exempt from licensing or not.</p> <p>If the work is exempt from the need for a licence, you then need to determine if it is notifiable non-licensed work or non-licensed work. The key factors to consider are:</p> <p>The type of work you are planning to do:</p>

- Maintenance, e.g. drilling holes to attach fittings or pass cables through, painting, cleaning etc. Maintenance includes some removal where it is incidental to the main task, e.g. removing an asbestos ceiling tile to allow inspection; or
- Removal, e.g. as part of a refurbishment or redesign project; or
- Encapsulation, e.g. work to enclose or seal asbestos materials in good condition; or
- Air monitoring and control, and the collection and analysis of samples.

The asbestos type:

- Is it friable? - the more friable a material is, the more likely it will release asbestos fibres when worked on and the greater the risk of exposure. Work which disturbs more friable materials e.g. asbestos insulation will tend to be NNLW and work which disturbs the least friable materials e.g. asbestos cement can normally be treated as non-licensed work; and
- How firmly is the asbestos bonded in a matrix? (For removal work only) – Asbestos containing materials (ACMs) where the asbestos is coated, covered or contained within another material, such as cement, paint or plastic are considered to be firmly bonded in a matrix, ACMs of this type in good condition can usually be treated as non-licensed work but where they are significantly damaged, and so more likely to release fibres, they will need to be treated as NNLW.

The material's condition:

- Has the material been damaged or is it in poor condition? – removal of ACMs in poor condition e.g. due to flood or fire damage, will normally need to be treated as NNLW; and
- Will the materials' matrix be destroyed when worked on? – e.g. deteriorating textured decorative coatings e.g. 'Artex' with gel or steam to remove it, will normally need to be treated as NNLW.

It is the responsibility of the person in charge of the job to assess the ACM to be worked on and decide if the work is NNLW or non-licensed work. This will be a matter of judgement in each case, dependent on consideration of the above factors.

A decision flow chart is available in Asbestos Essentials sheet AO to help you decide how work with asbestos should be categorised.

To help you, examples of NNLW include, (assuming in all cases exposure is sporadic and of low intensity and will not exceed the control limit):

- minor, short duration, maintenance work involving asbestos insulation, e.g. repairing minor damage to a small section of pipe insulation where the exterior coating has been broken or damaged;
- minor removal work involving AIB, when short duration and as part of a refurbishment project, e.g. removing AIB panels fixed with screws following water damage;
- entry into the roof space above an AIB tiled ceiling, when no decontamination or cleaning has taken place;
- removal work involving textured decorative coatings where the method of removal requires deterioration of the material, e.g. where the material is treated by steam, hydrating gel etc. and scraped off the underlying surface,

- or where it is very badly flood-damaged;
- removal of asbestos paper and cardboard products if not firmly bonded in a matrix;
- Removal of asbestos cement (AC) which is substantially degraded e.g. badly fire-damaged or de-laminated material, or where substantial breakage is unavoidable to achieve removal.

NNLW will not normally include the following, which will continue to be categorised as non-licensed work (which is not notifiable), (assuming in all cases exposure is sporadic and of low intensity and will not exceed the control limit):

- short, non-continuous maintenance work involving AIB which is in good condition, e.g. drilling holes in AIB to attach a fitting or pass through a cable or pipe, cleaning light fittings attached to AIB, removing a door with AIB fire-proofing, or lifting ceiling tiles for inspection where there is no full-body entry into the roof space;
- short, non-continuous maintenance work on asbestos cement (AC), e.g. work on weathered AC roof tiles;
- removal of AC, which is kept virtually intact;
- short, non-continuous maintenance work on textured decorative coatings, e.g. drilling holes, inserting screws or painting;
- small-scale maintenance work with textured decorative coatings when this can be achieved without deterioration of the material, e.g. by careful cutting around backing sheets to achieve removal intact;
- removal, for example, of gaskets or asbestos rope cords from heating appliances, which can be left in situ for disposal or can be lifted out virtually intact, without substantial breakage;
- short, non-continuous maintenance work on clutch discs, brakes, friction products etc. unless significant damage is required e.g. by power tools;
- removal of floor tiles or bitumen felt, when done with the appropriate controls, e.g. inline with Asbestos Essentials sheets A21 and A23;
- work to enclose or seal asbestos materials that are in good condition (and that do not require a licence);
- air monitoring and control, and the collection and analysis of samples.

The illustration of asbestos work categories chart gives some examples of what work falls into the categories of licensed, NNLW and non-licensed.

3. NOTIFICATION

3.0 Notification

If you determine that the work you are about to do is NNLW, this is how to comply with the additional requirements.

Employers need to notify the relevant enforcing authority of any NNLW with asbestos:

- To notify you need to go to the online notifications form (via either a computer or Smartphone);
- All three possible regulators can be notified via this database - HSE, Local Authorities and the Office of Rail Regulation;
- Notice is required before the work starts - there is no minimum notice period;

- You do not need to wait for permission from the enforcing authority – the database will provide a PDF copy of your notification;
- If you are doing a project with multiple NNLW jobs you can notify once for the whole project;
- If you are a licensed asbestos contractor carrying out NNLW work, you will still need to notify;
- The online form is the only method of notification - you can't notify by phone or post.

4. MEDICAL SURVEILLANCE

By 30 April 2015, all workers carrying out NNLW will need to have had a medical examination. Examinations will then need to be repeated at least every 3 years, as long as the worker continues to do NNLW. After April 2015, workers carrying out NNLW for the first time will have to have an examination before they can start such work:

- Medical examinations must include an examination of the chest and a lung function test;
- They need to be carried out by a licensed medical practitioner, e.g. a GP;
- Those workers already under surveillance via a licensed contractor and in possession of a valid certificate do not need to have the NNLW medical;
- Medical examinations should be carried out in work time at the employers' expense;
- The fee should be agreed with the doctor before the examination is carried out- HSE can accept no responsibility for remuneration matters;
- The doctor must issue a certificate to confirm the examination has taken place and on what date. The employer needs to keep this certificate for 4 years

5. RECORD KEEPING

Employers need to keep a register (health record) of NNLW with asbestos for each employee exposed to asbestos:

This must include:

- the nature and duration of work with asbestos and estimated exposure for each individual worker; and
- dates of the worker's medical examinations;
- Record keeping may be as simple as writing down the names of workers on the job on your copy of the notification or keeping copies of the notification form for each person carrying out NNLW work, as the notification copy will document the nature of the job and type of asbestos from which likely exposure can be estimated.
- More detailed medical records will be kept by the doctor;
- Registers of work (health records) must be kept for 40 years (and offered to HSE or the individual concerned should the business cease trading);
- The need to record exposure does not mean that every non licensed task must have air sampling. There will often be published exposure figures or knowledge within the industry about exposures found at similar lower risk work done in the past. If a task is unusual sampling may be required.

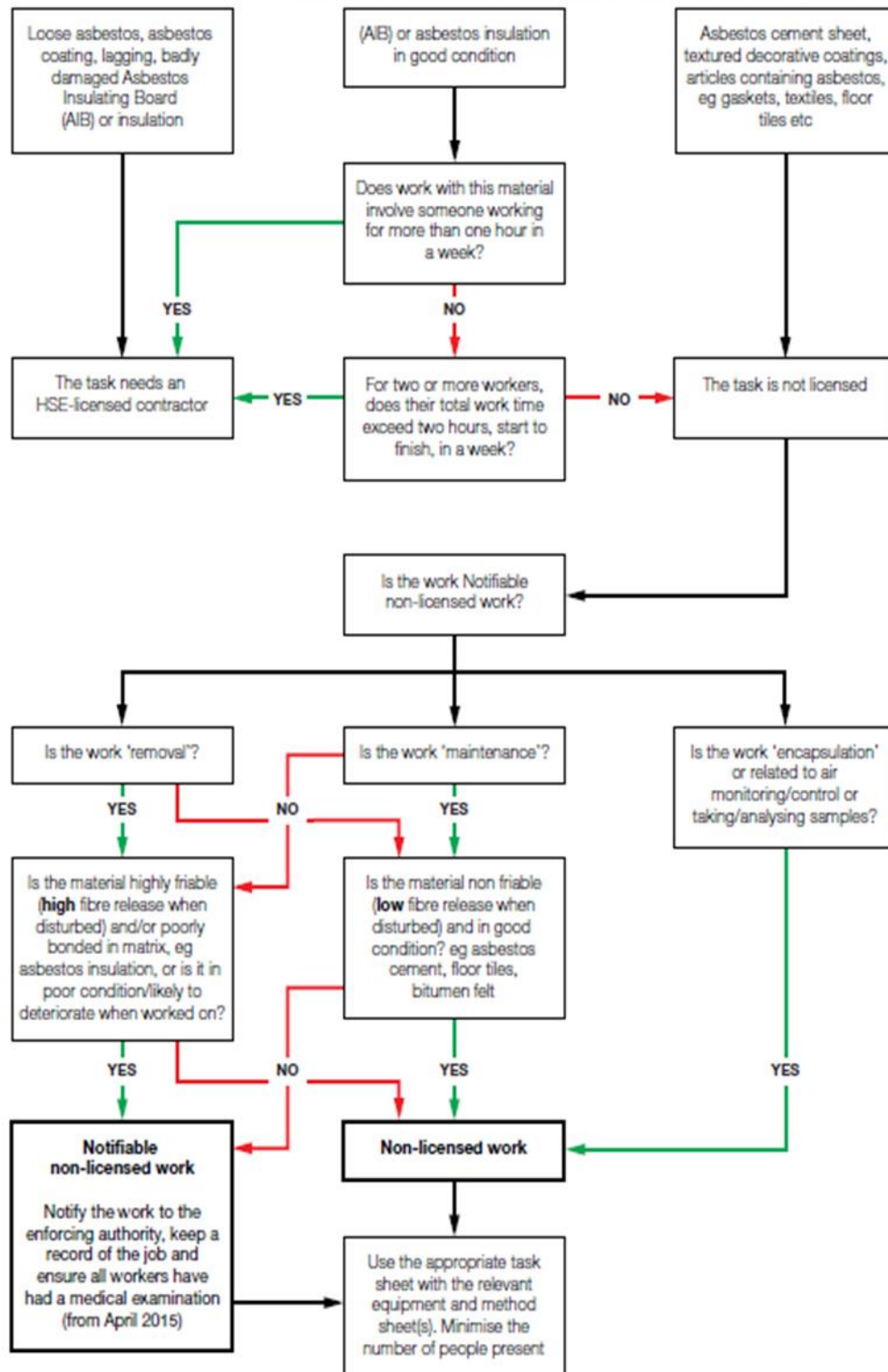
6. DECISION FLOW CHART



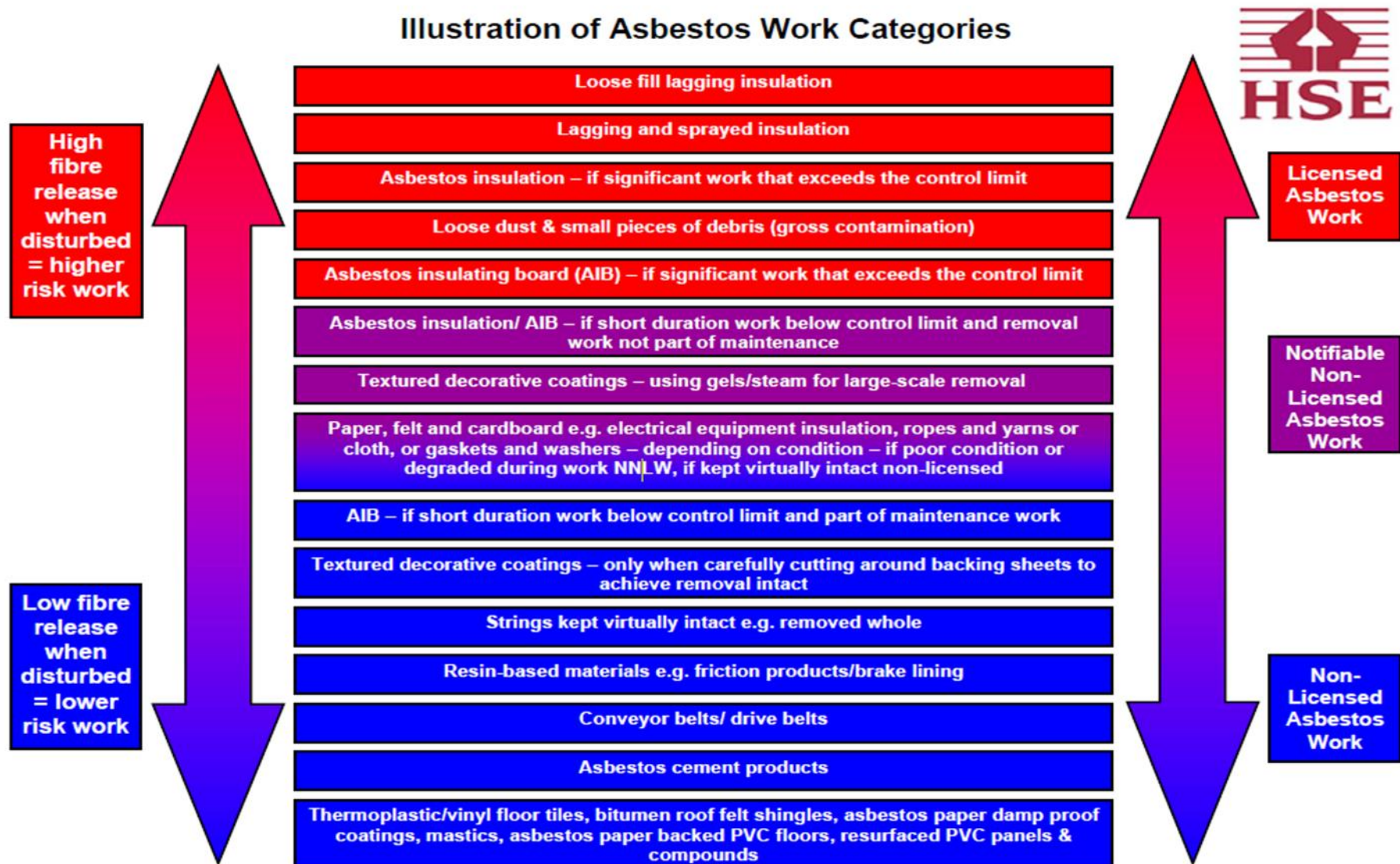
Health and Safety
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Decision flow chart

Use this simple flow chart to help you decide who needs to do the work:



7. ILLUSTRATION OF ASBESTOS WORK CATEGORIES



POLICY	ASBESTOS MANAGEMENT APPENDIX A NOTIFIABLE NON-LICENCED WORK	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTENTS
<ol style="list-style-type: none"> 1. Notifiable non-licenced work 2. Is my work NNLW? 3. Notification 4. Medical surveillance 5. Record keeping 6. Decision flow chart 7. Illustration of asbestos work categories
1. NPS NORWICH
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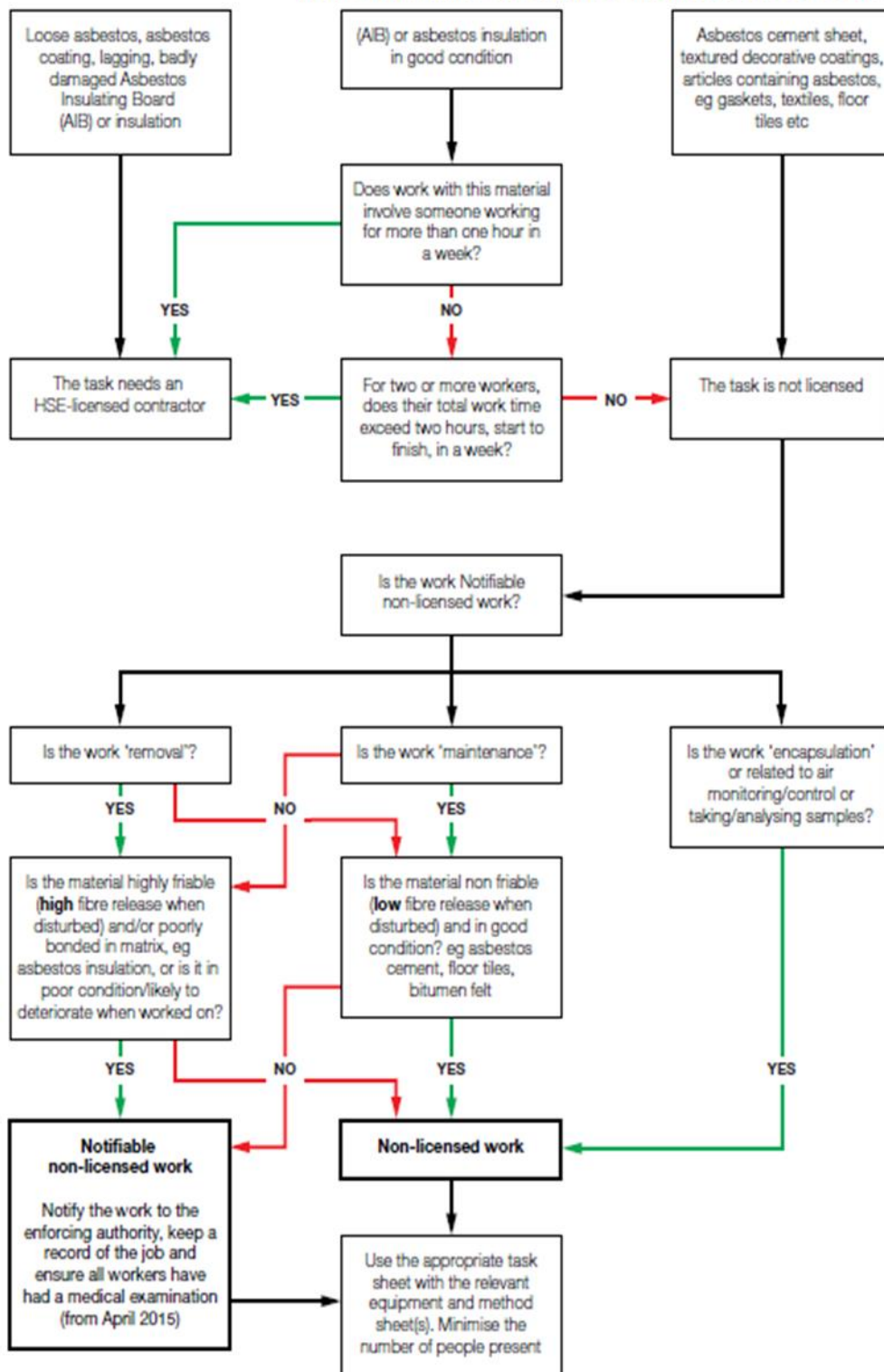
6. DECISION FLOW CHART



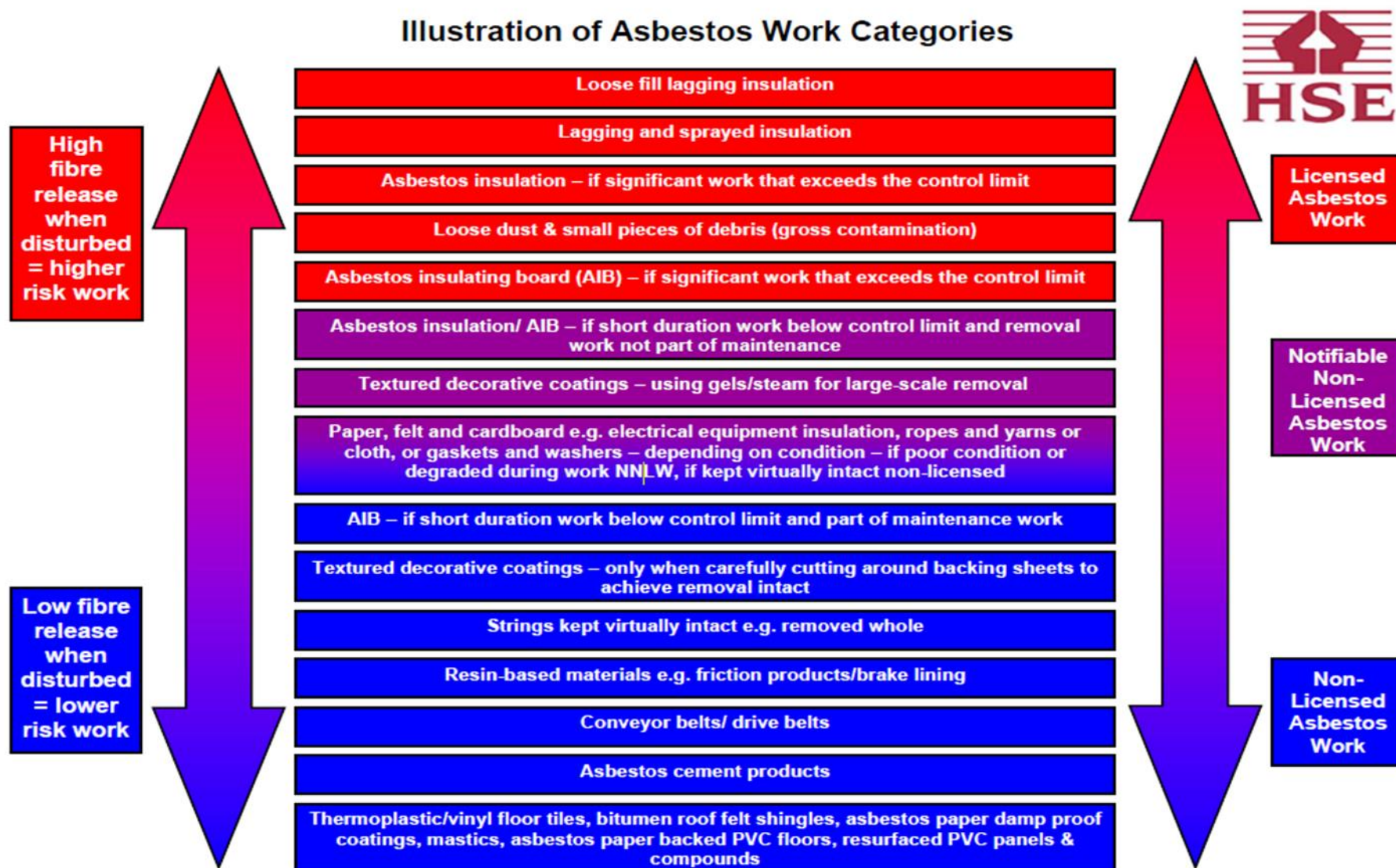
Health and Safety
Executive

Decision flow chart

Use this simple flow chart to help you decide who needs to do the work:



7. ILLUSTRATION OF ASBESTOS WORK CATEGORIES



POLICY		ASBESTOS MANAGEMENT APPENDIX B	
		INCIDENT CHECKLIST	
DATE ISSUED: June 2014		REVIEW DATE: June 2014	
ISSUED BY: NPS Norwich (property services)			
Return completed checklist to NPS Norwich, Townshend House, Norwich NR1 3DT Copy to: Norwich City Council Senior Health & Safety Officer Copy to: Appropriate Building Manager			
Incident number:			
Location/Property Address:			
1.	Location of suspected accidental release		
2.	Circumstances of the suspected release		
3a.	Name of person reporting the suspected release		
3b.	Contact telephone number of the person reporting the suspected release		
4a.	Date and time of suspected release		
4b.	Date and time suspected release reported		
5a.	Were any individuals potentially exposed to asbestos?	Y/N	
5b.	Attendance list completed (Appendix B)	Y/N	
6a.	Has the material been previously identified on the asbestos register	Y/N	
6b.	If NO – is there evidence to suggest the material may contain asbestos?	Y/N	
6c.	Is there any potential for contamination?	Y/N	
7.	List any immediate action taken		
8a.	Service delivery affected?	Y/N	
8b.	Is the area safe/has the asbestos been contained?		
9.	List any remedial action required		
10a.	Has the occurrence or near-miss been notified to Norwich City Council and their health and safety section?	Y/N	
10b.	Is RIDDOR notification required? (if yes, this must be indicated to Norwich City Council)	Y/N	
11a.	Name of person completing the checklist	Y/N	
11b.	Date and time checklist completed		

POLICY		ASBESTOS MANAGEMENT APPENDIX D	
		DAMAGE CHECKLIST	
DATE ISSUED: June 2014		REVIEW DATE: June 2014	
ISSUED BY: NPS Norwich (property services)			
Return completed checklist to NPS Norwich, Townshend House, Norwich NR1 3DT Copy to: Norwich City Council Senior Health & Safety Officer Copy to: Appropriate Building Manager			
Incident number:			
Location/Property Address:			
1.	Location of suspected accidental release		
2.	Number of areas affected		
3.	List any areas isolated		
4.	Is a decant required?		
5.	List any further remedial action required		
6.	Is decontamination of the area necessary?	Y/N	
7.	Have personal belongings been stored and cleared?	Y/N	
8.	List any personal belongings requiring disposal as hazardous waste		
9.	Tenants and residents informed of actions?		
10.	Has the premises manager/housing officer been informed?		
11.	Name of person completing checklist		

POLICY	ASBESTOS MANAGEMENT APPENDIX E HSE GUIDANCE	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTENTS
<ol style="list-style-type: none"> 1. Introduction 2. Asbestos building and safety checklist for every job 3. EM1 asbestos essentials 4. Flow chart for asbestos containing materials 5. EM8 personal decontamination
1. INTRODUCTION
<p>The following documentation has been extracted from HSG210. Please refer to HSE document 'Asbestos Essentials, Task Manual' HSG210 for further guidance and information.</p>

2. ASBESTOS BUILDING AND SAFETY CHECKLIST FOR EVERY JOB

ASBESTOS BUILDING AND SAFETY CHECKLIST FOR EVERY JOB

- ✓ Can you avoid disturbing asbestos by doing the job in some other way?
- ✓ Do you need a license for the work?
- ✓ Always follow all legal requirements.
- ✓ Follow the task guidance sheet.
- ✓ Use an asbestos waste container.
- ✓ Take asbestos waste to a licensed disposal site.

Minimise dust:



Keep materials damp – not too wet



Use hand tools – not power tools



Clean up as you go – use a special vacuum cleaner, (class H) not a brush



Double-bag asbestos waste and label the bags properly

- Caution:
Don't sweep up dust or debris – use a Class H vacuum cleaner or damp rags.
- Don't take used overalls home.
- Don't re-use disposable PPE.
- Don't smoke.
- Don't eat or drink in the work area.

Wear:

Suitable disposable overalls and boots without laces, or disposable boot covers



If you take a break:

Don't smoke, eat or drink in the work area



When you finish work:

Decontaminate yourself – wipe down your overalls with a damp rag and remove them before removing your mask.

See overleaf for Asbestos building showing typical locations for the most common asbestos materials →



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em1 asbestos essentials

Non-licensed tasks

This information will help employers and the self-employed to comply with the Control of Asbestos Regulations 2006.

It is also useful for trade union and employee safety representatives.

Only carry out work if you are properly trained and have the right equipment.

Remember:

- Asbestos fibres can cause lung cancer and lung diseases.
- Check it out before you start work.
- Read the safety checklist on the task sheet.



Don't assume there will always be warning signs. There could be undiscovered asbestos in buildings you work on.



Asbestos lagging on an old tank



Asbestos insulating board (AIB) fire surround



These asbestos cement pipes are labelled, so are the tiles, but you might not know until you start to lift them.



There could be sprayed limpet under this asbestos cement (AC) sheeting

What to do if you uncover or damage materials that may contain asbestos

Equipment and method sheet

What this sheet covers

This sheet shows some examples of where asbestos can be found. A chart describes what to do if you find asbestos materials during a job.

It also applies where asbestos materials get damaged by accident.



There are three 'colours' of asbestos, but you can't tell just by the colour what you have found; it could be mixed with other ingredients which change the appearance.



Asbestos isn't always obvious. Would you spot an asbestos gasket on an old engine, asbestos cement pipes or an asbestos-containing fuse-board? If you're not sure, the premises owner needs to get it checked out!

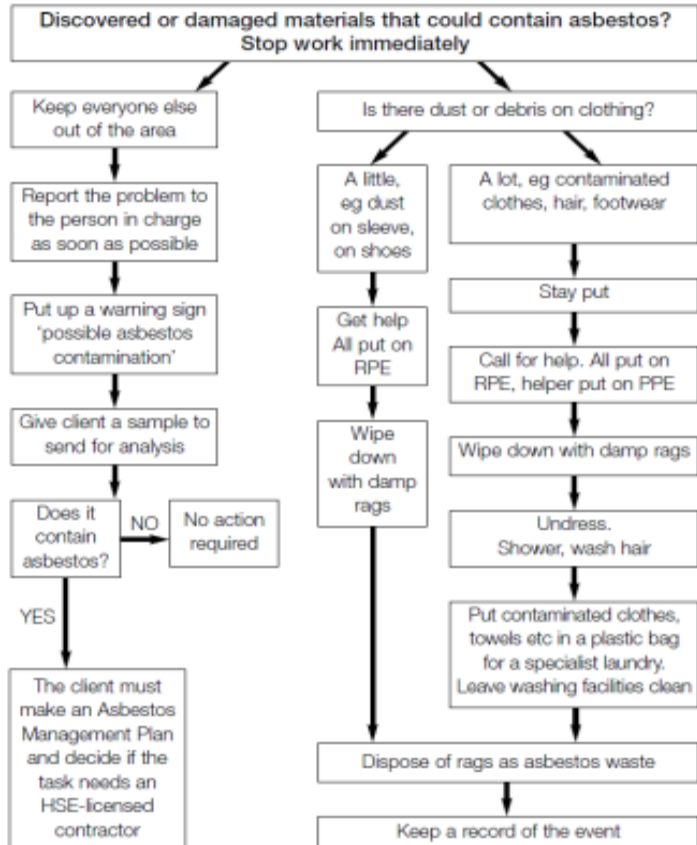
4. FLOW CHART FOR ASBESTOS CONTAINING MATERIALS



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MORE HELP

- Licensed asbestos contractors, and training providers - HSE's Infoline Tel: 0845 345 0055 Textphone: 0845 408 9577 e-mail: hse.infoline@natbrit.com and at www.hse.gov.uk/asbestos/licensing/index.htm
- HSE priced and free publications - HSE Books Tel: 01787 881165 and at www.hsebooks.co.uk
- More asbestos pictures - www.hse.gov.uk/asbestos/gallery.htm
- These equipment and method sheets and task (a) sheets can be downloaded free from www.hse.gov.uk/asbestos/essentials/index.htm
- See sheet a0 for details of more guidance



Procedures

- Stop this work immediately.
- Follow the chart above or do a risk assessment to decide who must do the work - you may need a licensed contractor.
- Minimise the spread of contamination to other areas.
- Keep exposures as low as you can.
- Clean up the contamination.

This guidance is issued by the Health and Safety Executive. Following the guidance is not compulsory and you are free to take other action. But if you do follow the guidance you will normally be doing enough to comply with the law. Health and safety inspectors seek to secure compliance with the law and may refer to this guidance as illustrating good practice.

This document is available at www.hse.gov.uk/asbestos/essentials/index.htm

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Published by the Health and Safety Executive 12/07

Asbestos essentials

em8 asbestos essentials

Non-licensed tasks

Personal decontamination

Equipment and method sheet

What this sheet covers

This sheet describes how to decontaminate yourself after any work with asbestos materials.

Personal decontamination is easier when you wear the correct personal protective equipment (PPE).

You need to decontaminate yourself properly, otherwise you may take asbestos fibres home on your clothing and expose your family and friends.

Procedures

Removing and decontaminating personal protective equipment (PPE)

- Clean your boots with damp rags - see sheet em7.
- Where available, clean your overalls with the brush attachment on a Class H vacuum cleaner. Vacuum off the brush.



Make sure you restrict access



'Buddy' cleaning using a Class H vacuum cleaner



A task manual on non-licensed asbestos work



With damp rags, use a patting action to avoid disturbing fibres

- Otherwise, use damp rags with a 'patting' action. Rubbing can disturb fibres.
- Where there are two workers, they can help to clean each other.
- Peel off disposable overalls. They should be inside out. Put them in a suitable asbestos waste container.
- Bag up re-usable overalls for a specialist laundry.
- Finally, remove your disposable respirator and place it in the asbestos waste container.
- Tape the container closed.

Personal decontamination

- Can you use site washing facilities? If so, they must be for your use only.
- Keep other people out during personal decontamination, and until you have cleaned the facilities.
- Wash every time you leave the work area.
- Use damp rags to clean the washing facilities at the end of the job.
- Clean the facilities daily if the job lasts more than one day.
- Inspect the facilities visually once the job is finished.
- Clearance air sampling is not normally needed for washing facilities.

POLICY	ASBESTOS MANAGEMENT APPENDIX F BULK SAMPLING MATERIALS	
DATE ISSUED: June 2014	REVIEW DATE: June 2014	
ISSUED BY: NPS Norwich (property services)		

CONTENTS
<ol style="list-style-type: none"> 1. Material assessment 2. Disturbance assessment 3. Assessment chart
1. MATERIAL ASSESSMENT
<p>Columns 6-10 address the information pertinent to the material sampled.</p> <p>Column 6. Product Type. As described in HSG264. It is very important here when the surveyor samples to differentiate between cement sheet (1) and insulating board (2). As there has already been a product description (Column 2) Column 6 should be written up numerically (1, 2 or 3)</p> <p>Column 7. Condition. As described in HSG264. 0 = Good, to 3 = high damage or delamination of material.</p> <p>Column 8. Surface Treatment. As described in HSG264. Please note that insulating board that has been painted or encapsulated but has bare patches through abrasion or flaking should be described as 2 'unsealed AIB', rather than 1 'encapsulated AIB'.</p> <p>Column 9. Asbestos Type. As described in HSG264. It is acceptable to enter an assumed score in this column. A competent surveyor should have background knowledge to enable him/her to anticipate the analysis result. A default score will be 3 (crocidolite).</p> <p>Column 10. MAS. As described in HSG264. This is the Material Assessment Score, the sum of columns 6-9. The higher this total the higher the likelihood of fibre release should the material be disturbed.</p>
2. DISTURBANCE ASSESSMENT
<p>Columns 11-13 help in the assessment of the likelihood of fibre release.</p> <p>Column 11. Position. As described in HSG227¹. This takes into the consideration the position of the material; From outdoors (0) to confined spaces (3)</p> <p>Column 12. Accessibility. As described in HSG227.</p>

¹ 'A Comprehensive Guide to Managing Asbestos in Premises'; 2002

From 'Unlikely to be disturbed' (0) to 'Routinely disturbed' (3)

Column 13. Amount. As described in HSG227.

From 'Small amount such as string, gaskets' (0) to 'More than 50m² or 50m linear' (3)

From the above it can be seen that prior to the analysis of a sample an assessment can be made as to whether immediate 'make safe' action needs to be taken, regardless of the eventual laboratory result.

Summary

An assessment should always be made prior to commencing work, including taking a 'bulk' sample for laboratory analysis.

Anybody taking a sample to be sent for bulk analysis must be competent to take the sample safely. If they are competent to take the sample they must also, by default, be competent to make the assessment.

The Bulk Sampling Sheet can be used as an aid to making a correct material assessment.

Each sample taken must be referenced in such a manner so as to link the material assessment to the bulk analysis result.

If the assessment flags up that there is a potential risk of airborne fibre release if the material is disturbed during normal activities then the correct 'make safe' actions must be implemented immediately.

3. ASSESSMENT CHART*

Address:		Norwich City Council								Date:			
Sample No.	Description	Floor	Area	Location	Product Type	Condition	Surface Treatment	Asbestos Type	MAS	Position	Accessibility	Extent/ Amount	
Example nb01	Textured coating	Ground	Living Room	Ceiling	1	0	0	1, assumed	2	2	0	2	

Sketch

*See over for legend

Product Type	Condition	Surface Treatment	Asbestos Type	MAS	Position	Accessibility	Extent/ Amount
	0, Good: no visible damage	0, Composite materials containing asbestos: reinforced plastics, resins, vinyl tiles.		<5 Very low potential for fibre release	0, Outdoors	0, Usually inaccessible , or unlikely to be disturbed	0, Small amounts, string, gaskets
1,Asbestos reinforced composites (plastics, resins, mastics, roofing felts, vinyl floor tiles, semi-rigid paints or decorative finishes, asbestos cement etc.)	1, Low damage: a few scratches or surface marks; broken edges on boards; tiles etc.	1, Enclosed sprays and lagging, AIB (with exposed face painted or encapsulated), asbestos cement sheets etc.	1 , Chrysotile	5-6 Low potential to release fibres if disturbed	1, Large rooms or well ventilated areas	1, Occasionally likely to be disturbed	1, <10m ² or <10m pipe run
2, Asbestos Insulating Board, mill boards, other low density insulation boards, asbestos textiles, gaskets, ropes & woven textiles, asbestos paper & felt.	2, Medium damage: significant breakage of materials or several small areas where material has been damaged revealing loose asbestos fibre.	2, Unsealed AIB, or encapsulated lagging and spray	2 , Amosite	7-9 Medium potential to release fibres if disturbed	2, Rooms up to 100m ²	2, Easily disturbed	2, >10m ² to <50m ² or >10m to <50m pipe run
3, Thermal Insulation (e.g. pipe & boiler lagging), Sprayed asbestos, Loose asbestos, asbestos mattresses & packing.	3, High damage or delamination of materials, sprays and thermal insulation. Visible asbestos debris.	3, Unsealed lagging and sprays	3 , Crocidolite	>9 High potential to release fibres if disturbed.	3, Confined spaces	3, Routinely disturbed	3, >50m ² or >50m pipe run

POLICY	ASBESTOS MANAGEMENT APPENDIX G EXAMPLES OF POOR ASBESTOS ASSESSMENT AND MANAGEMENT	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTENTS
1. Example 1 2. Example 2 3. Does it matter?
1. EXAMPLE 1
<p>Property 1</p> <p>A tenant called in a query after a friend said that a board closing off a hearth was asbestos board.</p> <p>An operative took a bulk sample for analysis. No assessment was made.</p> <p>Following a phone call, a project surveyor from property services was invited by the tenant to inspect the board. Modern townhouse of 1970s construction. Tenant had young child. Board was unpainted and raw. If it was asbestos containing it would readily release fibre. Following visit, project surveyor put on new work request to immediately encapsulate board pending sample test results.</p> <p>The operative who came to encapsulate the material <i>merely placed tape around the edge of the board</i>, leaving the expanse of board still exposed and able to release fibres. This did not make the board safe prior to removal.</p> <p>Had an assessment been made at the time the bulk sample was taken it would have been apparent that this board could easily release fibre and was in a vulnerable position. The board should have been properly encapsulated with a proprietary pva solution or physically covered with plastic sheet and duct tape, pending sample results.</p>
2. EXAMPLE 2
<p>Property 2 A tenant accidentally broke a piece of cupboard door lining (door was sticking). Requested asbestos test.</p> <p>An operative arrived and took the broken piece of board from the tenant as a sample (approx. 20cm²). The door lining was inspected but no assessment was made of the raw broken edge of the board and its ability to release asbestos fibre.</p> <p>As the asbestos test was by tenant request it fell outside of the contractors normal procedures and no further work was actioned even after the results came back as</p>

positive, amosite.

Prompted by the tenant, a removal order was put on for the door lining. An operative arrived and decided that it was imprudent to remove the board from the door. However, another piece was broken off and the operative cleaned up the debris using a dustpan and brush, *borrowed from, and returned to, the tenant*. At this point the raw broken edge was taped up (the surface of the board had been painted originally), *more than 7 months after the damage had been reported*.

Again, a proper assessment at the time the operative came to take a sample would have meant that immediate make safe procedures would have sealed raw edges and cleaned up debris, using a HEPA filtered vacuum cleaner. Not having the correct equipment and borrowing a brush from the tenant further compounded errors and probably increased risk of spreading asbestos fibres.

3. DOES IT MATTER?

The control limit for airborne asbestos fibre is $<0.1\text{f/ml}$, i.e. if there are more than 100 fibres per litre of air (measured over a 4 hour period) it becomes a respirator area where RPE must be worn.

A 'countable' fibre¹ is described as being longer than 5 microns (μ) and thinner than 3μ diameter and an aspect ratio greater than 3:1. This would give a smallest countable fibre a nominal volume of $34\mu^3$.

Imagine a cube of pure asbestos with dimensions no bigger than 1cm^3 (a small sugar cube). It could possibly contain more than 29,400,000 fibres

If this cube was asbestos insulation board, AIB (typical asbestos content up to 40%), it could contain 10,800,000 fibres.

Imagine a kitchen, $3\text{m} \times 2.5\text{m} \times 2.4\text{m}$, 18m^3 total volume.

A 1cm cube of AIB crumbled in this area could produce an airborne concentration of $650,000\text{f/m}^3$, or 650f/l , or 0.65 f/ml , over 6 times the control limit.

The above illustration is purely hypothetical, not taking into account fibre dispersal patterns or the friability of the products but hopefully it demonstrates why assessments should be taken with even small amounts of material that might contain asbestos. Asbestos insulating board is highly friable.

¹ HSG248, The analyst's guide for sampling, analysis & clearance procedure.

POLICY	ASBESTOS MANAGEMENT APPENDIX H EQUIPMENT LIST	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

EQUIPMENT FOR SURVEYORS	
Access	<ul style="list-style-type: none"> • Telescopic ladder
PPE	<ul style="list-style-type: none"> • P2 dust mask • Disposable coveralls (Tyvek etc.) • Disposable booties (polythene type, not heavy duty)
Tools	<ul style="list-style-type: none"> • Large flat screwdriver • Small flat screwdriver • Large Phillips screwdriver • Small Phillips screwdriver. • Flat edged pliers • Magnifying glass • Inspection mirror • Stanley knife • Tape measure • Torch • Camera • Tool box
Miscellaneous	<ul style="list-style-type: none"> • Sample bags • Labels • Duct tape • Typex • Tube of filler paste • Wet wipes • Plastic refuse sacks, heavy duty (for drop sheets) • ½ or 1 litre garden spray • Pva adhesive

POLICY	ASBESTOS MANAGEMENT APPENDIX I KEY CONTACTS	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTACT LIST		
TITLE	NAME	TELEPHONE
Chief Executive Officer	Laura McGillivray	01603 211001
Duty Holder	Jerry Massey	01603 212225
Head of Strategic Property Services	Gary Atkins	07867 550667
Head of Operational Property Services	Carol Marney	07818 098537
Senior Risk Surveyor	Neil Belson	07799 863237
Senior Health & Safety Officer	Michael Stephenson	01603 212283
NPS Norwich	Townshend House	01603 227999
Customer Contact Team	City Hall	0344 980 3333
Health & Safety Executive	HSE Hotline	0845 345 0055

POLICY	ASBESTOS MANAGEMENT APPENDIX J KEY REGULATORY DOCUMENTS	
DATE ISSUED:	June 2014	REVIEW DATE: June 2014
ISSUED BY:	NPS Norwich (property services)	

CONTENTS
<ol style="list-style-type: none"> 1. Asbestos regulations 2. Asbestos approved codes of practice and guidance 3. Medical series 4. Health and safety approved codes of practice and guidance 5. Waste regulations
1. ASBESTOS REGULATIONS
<ul style="list-style-type: none"> • SI No. 2739 Control of Asbestos Regulations 2012 • SI No. 3607 The Asbestos (Prohibitions) Regulations 1992 • SI No. 1889 The Asbestos (Prohibitions) (Amendment) Regulations 2003 • SI No. 1649 The Asbestos (Licensing) Regulations 1983 • SI No. 3223 The Asbestos (Licensing) (Amendment) Regulations 1998
2. ASBESTOS – APPROVED CODES OF PRACTICE AND GUIDANCE
<ul style="list-style-type: none"> • HSG264 Asbestos: The survey guide (2010) • L143 Work with materials containing asbestos. (2006) • HSG 247 Asbestos: The Licensed Contractors guide (2006) • HSG 248 Asbestos: The analysts guide for sampling, analysis and clearance procedures (2005) • HSG 53 The selection, use and maintenance of respiratory protective equipment (2005) • L127 ACoP – The Management of Asbestos in non-domestic premises (2002) • HSG 227 A comprehensive guide to managing asbestos in premises (2002) • HSG 213 Introduction to Asbestos Essentials (2001) • HSG 210 Asbestos Essentials – Task Manual (2001)
3. MEDICAL SERIES
<ul style="list-style-type: none"> • MS 13 Asbestos: Medical Guidance Note (2005)
4. HEALTH AND SAFETY – APPROVED CODES OF PRACTICE AND GUIDANCE
<ul style="list-style-type: none"> • L73 A guide to Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (1999)

5. WASTE REGULATIONS

- SI No. 894 The Hazardous Waste (England and Wales) Regulations 2005
- SI No. 1056 The Waste Management Licensing Regulations 1994 as amended 2003
- SI No. 2092 Carriage of Dangerous Goods (Carriage, Packaging and Labelling) & Use of Transportable Pressure Receptacles Regulations 1996

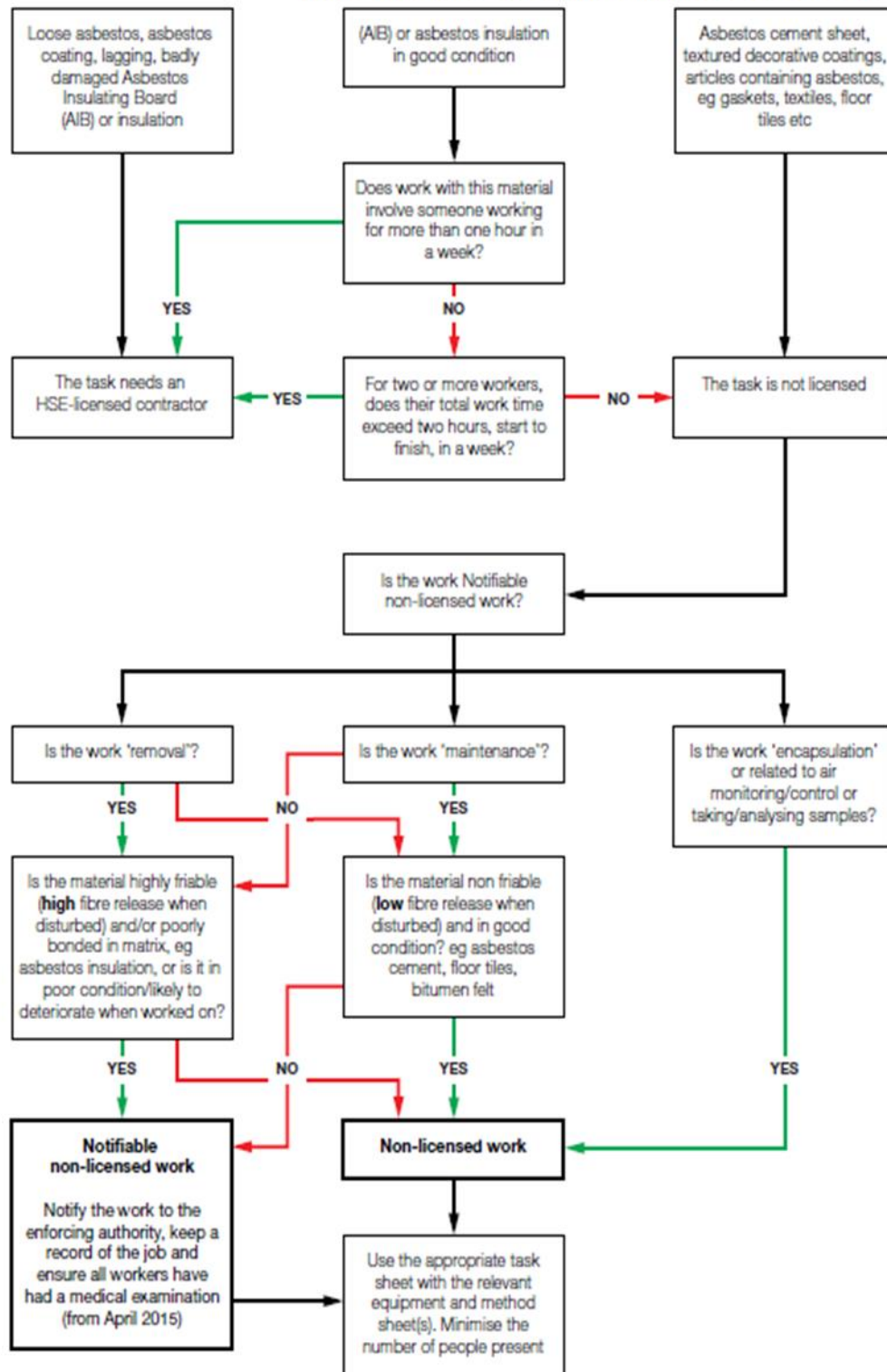
6. DECISION FLOW CHART



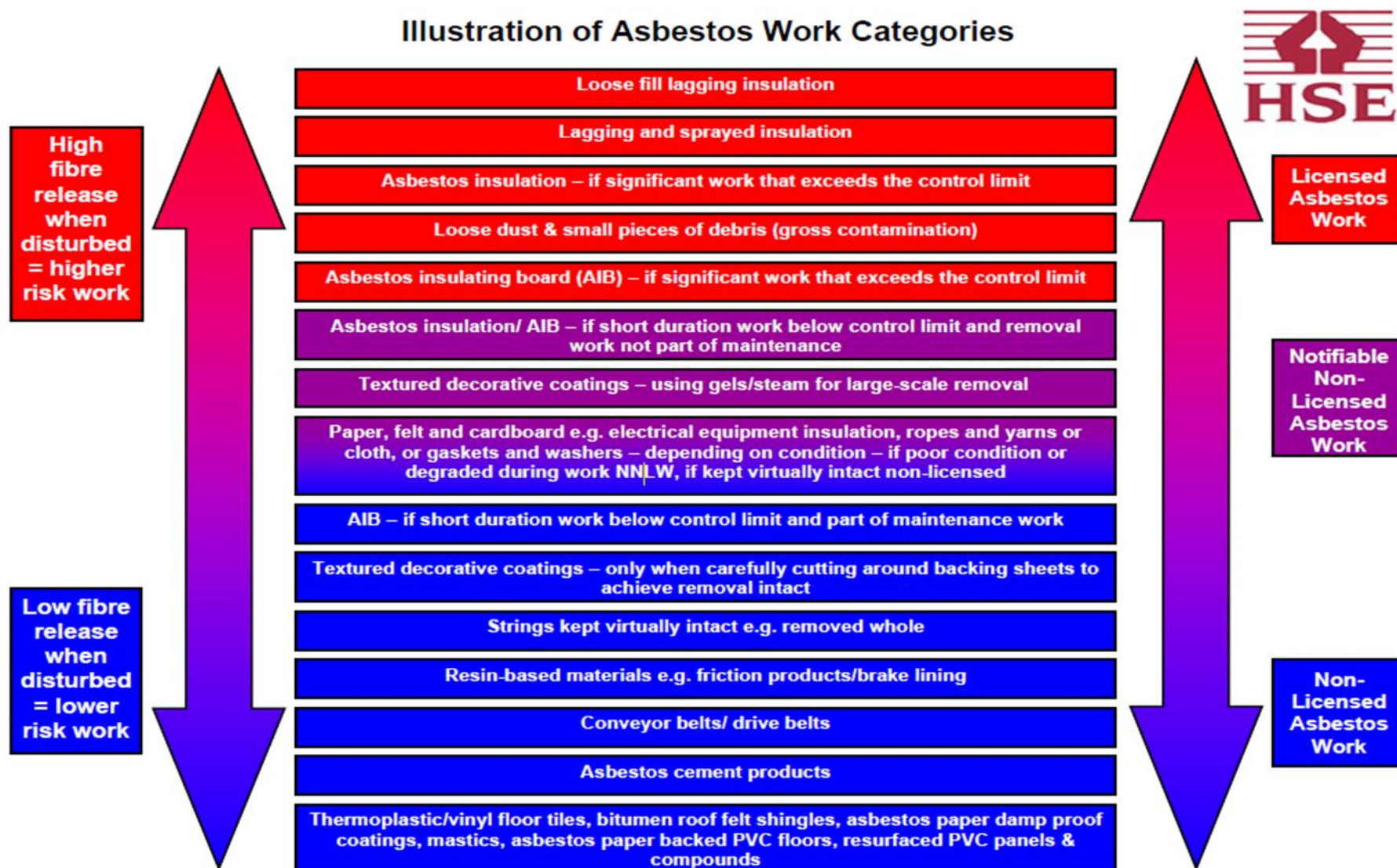
Health and Safety
Executive

Decision flow chart

Use this simple flow chart to help you decide who needs to do the work:



7. ILLUSTRATION OF ASBESTOS WORK CATEGORIES



Report to Cabinet
25 June 2014
Report of Executive head of strategy, people and democracy
Subject Quarter 4 2013 -14 performance report

Item

13

Purpose

To report progress against the delivery of the corporate plan priorities and key performance measures for quarter 4 of 2013 - 14.

Recommendations

To:

- (1) consider progress against the corporate plan priorities; and,
- (2) suggest future actions and / or reports to address any areas of concern

Corporate and service priorities

The report helps to meet the corporate priority of achieving Value for money services.

Financial implications

The direct financial consequences of this report are none.

Ward/s All wards

Cabinet member Councillor Arthur - Leader

Contact officers

Russell O'Keefe, executive head of strategy, people and democracy 01603 212908

Phil Shreeve, policy and performance manager 01603 212356

Background documents

None

Report

Introduction

1. This report sets out progress against the key performance measures that are designed to track delivery of the corporate plan priorities. This is the final performance report for the second year (2013-14) of the corporate plan 2012-2015.
2. The corporate plan 2012-15 established five priorities. Progress with achieving these is tracked by thirty five key performance measures. It is these performance measures which form the basis of this report. Most of the performance measures are available quarterly while some are reported six monthly or annually to show general outcomes for residents.
3. Performance status for each of the performance measures is then combined for each priority to show at a glance high level performance. This should enable members to see where performance is improving or falling.
4. Performance is based around a traffic light concept where green is on target, red is at a point where intervention may be necessary and amber a point in between these two.
5. A copy of the full performance report can be found at annex A.

Headlines

6. Overall performance this quarter shows continuing improvement with four of the council's overall priorities showing as Green. There are some areas where the council is performing very highly and exceeding its targets. There are a number of measures where performance has been marginally below target. Also, there are a small number of areas where performance has been further from target and work continues to address these. For each of the performance measures where performance is below target, reasons for this are provided within the relevant section of the performance report at annex A.
7. The following areas of performance are brought to your attention:
 - (a) Satisfaction with waste and recycling collection was 80%, well above our target of 70%.
 - (b) 381 new jobs were created/ supported by council activity, better than our target for the year of 300 jobs.
 - (c) Our average processing time for new housing benefit and council tax reduction scheme claims was 17 days this quarter continuing the improvement over the year and better than our target of 21 days.
 - (d) Our work to prevent people becoming homeless has continued to produce excellent results. In the year as a whole 623 individuals or families who have presented as homeless have been given advice that has resolved their situation. Our target was 300.
 - (e) 40 new affordable homes were completed on council owned land compared with our target of 31.

- (f) In our 6 monthly surveys of users at the Norman Centre, Riverside Swimming Centre and The Halls, 97% of respondents were satisfied with our leisure and cultural facilities.
- (g) The proportion of contact with the council that is classified as "avoidable" showed notable improvement this quarter falling from 32.5% to 24.2%, and is now better than our target of 24.5%.
- (h) Resident satisfaction with the last service received from the council was above target at just under 97%. This is the highest we have ever achieved for this measure and a significant achievement for the council.
- (i) However, the proportion of household waste sent for re-use, recycling or composting was 35.5% (quarter 3 data) a slight fall compared with the previous quarter and below our target of 43%. When the new materials recycling facility contract comes into effect in October this will enable residents to recycle more materials which we expect to result in improvement in these figures.
- (j) 53 people were killed or seriously injured on our roads in the year to the end of March. This had fallen compared with 3 months earlier but remains above the anticipated level of 45. Norfolk County Council will be continuing to work with partners including ourselves and the Police to achieve a reduction through education and enforcement as well as engineering measures.
- (k) In the final quarter of 2013/14 the time taken to re-let council homes had increased to an average of 20 days, though the average for the year as a whole remained on target at 16 days which compares very well with other organisations across the country. The last quarter had been affected by an increase in properties requiring significant works before they could be re-let. We, therefore, expect performance to improve again.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Russell O'Keefe
Report subject:	Quarter 4 performance report 2013/14
Date assessed:	June 2014
Description:	This report sets out progress against the key performance measures that are designed to track delivery of the Corporate Plan priorities for quarter 4 of 2013/14.

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
S17 crime and disorder act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014
Report of Chief executive officer
Subject Appointment of the section 151 officer (chief finance officer)

Item

14

Purpose

To consider the appointment of the chief finance officer

Recommendation

To recommend council to appoint Justine Hartley as the council's section 151 officer (chief finance officer)

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services".

Financial implications

There are no direct financial implications from this report.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Laura McGillivray, Chief executive officer 01603 212001

Anton Bull, Executive head of business relationship management 01603 212326

Background documents

None

Report

1. Section 151 of the Local Government Act 1972 requires that every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs.
2. From 12 April 2012 Norwich City Council has delegated the finance function to Local Government Shared Services (LGSS), a joint committee of Cambridgeshire and Northamptonshire county councils. Under this arrangement LGSS provide the section 151 officer.
3. The current section 151 officer has resigned from LGSS to take up a new post elsewhere and will no longer be the section 151 officer for Norwich City Council.
4. LGSS will continue to provide the Section 151 officer under the delegation agreement. LGSS have proposed that Justine Hartley becomes the section 151 officer for Norwich City Council.

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee: Cabinet

Committee date: 25 June 2014

Head of service: Anton Bull

Report subject: Appointment of the section 151 officer (chief finance officer)

Date assessed: 9 June 2014

Description: Appointment of the section 151 officer (chief finance officer)

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The section 151 officer has responsibility for the proper administration of the council's financial affairs and plays a critical role in ensuring value for money
Other departments and services e.g. office facilities, customer contact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The section 151 officer has responsibility for the proper administration of the council's financial affairs and part of that role is ensuring that financial risks are identified, assessed and managed.

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014
Report of Chief finance officer
Subject Treasury Management Full Year Review Report 2013-14

Item

15

Purpose

To consider the Treasury Management performance for the year to 31 March 2014

Recommendation

To recommend Council to note the treasury activity for the year to 31 March 2014

Financial implications

The report has no direct financial consequences however it does report on the performance of the Council in managing its borrowing and investment resources

Ward/s: All Wards

Cabinet member: Councillor Waters – Deputy leader and resources

Contact officers

Caroline Ryba 01223 699292 /07920500618

Philippa Dransfield 01603 212562

Report

1. Background

The Council operates a balanced budget, which broadly means cash raised during the year will meet its cash expenditure. Part of the treasury management operations ensure this cash flow is adequately planned, with surplus monies being invested in low risk counterparties, providing adequate liquidity initially before considering maximising investment return. Counterparty risk is the term for the potential risks taken by an investor that the bank, building society, local authority or investment counterparty will be unable to repay the money invested.

The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure the Council can meet its capital spending operations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses, and on occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

As a consequence treasury management is defined as:

“The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”

2. Introduction

This Council is required by regulations issued under the Local Government Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for 2013/14. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

During 2013/14 the minimum reporting requirements were that the full Council should receive the following reports:

- an annual treasury strategy in advance of the year (Council 19/02/2013)
- a mid year (minimum) treasury update report (Council 11/12/2013)
- an annual review following the end of the year describing the activity compared to the strategy (this report)

The regulatory environment places responsibility on members for the review and scrutiny of treasury management policy and activities. This report is therefore important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by members.

This Council also confirms that it has complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports by the Cabinet before they were reported to the full Council. Member training on treasury management issues was undertaken during November 2013 in order to support members' scrutiny role.

This report summarises the following:-

- Capital activity during the year (section 3)
- Impact of this activity on the Council's underlying indebtedness (the Capital Financing Requirement) (section 4)

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- The actual prudential and treasury indicators (section 4)
- Overall treasury position identifying how the Council has borrowed in relation to this indebtedness, and the impact on investment balances (section 5)
- Review of treasury strategy and economic factors (sections 6 & 7)
- Borrowing rates and detailed debt activity (sections 8 & 9)
- Investment rates and detailed investment activity (sections 10 & 11)

3. The Council's Capital Expenditure and Financing 2013-14

The Council undertakes capital expenditure on long-term assets. These activities may either be:

- Financed immediately through the application of capital or revenue resources (capital receipts, capital grants, revenue contributions etc.), which has no resultant impact on the Council's borrowing need; or
- If insufficient financing is available, or a decision is taken not to apply resources, the capital expenditure will give rise to a borrowing need, which will be satisfied by either external or internal borrowing.

The actual capital expenditure forms one of the required prudential indicators. The table below shows the actual capital expenditure and how this was financed.

£m General Fund	2012/13 Actual	2013/14 Estimate	2013/14 Actual
Capital expenditure	6.2	8.8	3.5
Financed in year	4.1	8.8	3.5
(Over)/unfinanced capital expenditure	2.1	-	-

£m HRA	2012/13 Actual	2012/13 Estimate	2012/13 Actual
Capital expenditure	24.7	33.3	27.2
Financed in year	26.5	33.3	28.6
(Over)/unfinanced capital expenditure	(1.8)	-	(1.4)

In 2012/13 the General Fund underfinanced expenditure is as result of the appropriation of HRA properties from the HRA to the General Fund to the value of £1.8m, which resulted in the £1.8m over-financing of the HRA capital expenditure..

4. The Council's overall borrowing need

The Council's underlying need to borrow for capital expenditure is termed the Capital Financing Requirement (CFR). This figure is a gauge of the Council's debt position. The CFR results from the capital activity of the Council and what resources have been used to pay for the capital spend. It represents the 2013/14 unfinanced capital expenditure (see above table), and prior years' net or unfinanced capital expenditure which has not yet been paid for by revenue or other resources.

Part of the Council's treasury activities is to address the funding requirements for this borrowing need. Depending on the capital expenditure programme, the treasury service organises the Council's cash position to ensure sufficient cash is available to meet the capital plans and cash flow requirements. This may be sourced through borrowing from external bodies (such as the Government, through the Public Works Loan Board [PWLb] or the money markets), or utilising temporary cash resources within the Council.

Reducing the CFR – the Council's (non HRA) underlying borrowing need (CFR) is not allowed to rise indefinitely. Statutory controls are in place to ensure that capital assets are broadly charged to revenue over the life of the asset. The Council is required to make an annual revenue charge, called the Minimum Revenue Provision – MRP, to reduce the CFR. This is effectively a repayment of the non-Housing Revenue Account (HRA) borrowing need (there is no statutory requirement to reduce the HRA CFR). This differs from the treasury management arrangements which ensure that cash is available to meet capital commitments. External debt can also be borrowed or repaid at any time, but this does not change the CFR.

The total CFR can also be reduced by:

- the application of additional capital financing resources (such as unapplied capital receipts); or
- charging more than the statutory revenue charge (MRP) each year through a Voluntary Revenue Provision (VRP).

The Council's CFR for the year is shown below, and represents a key prudential indicator. It includes PFI and leasing schemes on the balance sheet, which increase the Council's borrowing need. No borrowing is actually required against these schemes as a borrowing facility is included in the contract.

CFR £m General Fund	2012/13 Actual	2013/14 Estimate	2013/14 Actual
Opening balance	27.3	26.3	26.3
Add: Unfinanced capital expenditure (as above)	2.1	-	
Less MRP	(1.0)	(1.1)	(1.1)
Rebase and recalculation adjustment	(2.1)	-	-
Closing balance	26.3	25.2	25.2

CFR £m HRA	2012/13 Actual	2013/14 Estimate	2013/14 Actual
Opening balance	202.0	211.6	211.6
Add: Unfinanced capital expenditure (as above)	(1.8)	-	(1.4)
Less PFI & finance lease repayments	(0.1)	(0.1)	(0.1)
Rebase and recalculation adjustment	11.5	-	-
Closing balance	211.6	211.5	210.1

During 2012/13, it was discovered that the HRA CFR had been miscalculated since 2004, which resulted in the HRA CFR being understated and the General Fund CFR being overstated. Both

CFR's have been recalculated and adjusted to reflect the true position. This recalculation was agreed with external audit.

Borrowing activity is constrained by prudential indicators for net borrowing and the CFR, and by the authorised limit.

Net borrowing and the CFR - in order to ensure that borrowing levels are prudent over the medium term the Council's external borrowing, net of investments, must only be for a capital purpose. This essentially means that the Council is not borrowing to support revenue expenditure. Net borrowing should not therefore, except in the short term, have exceeded the CFR for 2013/14 plus the expected changes to the CFR over 2013/14 and 2014/15 from financing the capital programme. This indicator allows the Council some flexibility to borrow in advance of its immediate capital needs in 2014/15. The table below highlights the Council's net borrowing position against the CFR. The Council has complied with this prudential indicator.

It should be noted that this indicator is changing to compare gross borrowing to the CFR with effect from 2013/14; this is expected to provide a more appropriate indicator.

£m	2012/13 Actual	2013/14 Estimate	2013/14 Actual
Net borrowing position	179.4	225.9	224.4
CFR	237.9	236.8	235.4

The authorised limit - the authorised limit is the "affordable borrowing limit" required by s3 of the Local Government Act 2003. The Council does not have the power to borrow above this level. The table below demonstrates that during 2012/13 the Council has maintained gross borrowing within its authorised limit.

The operational boundary – the operational boundary is the expected borrowing position of the Council during the year. Periods where the actual position is either below or over the boundary is acceptable subject to the authorised limit not being breached.

Actual financing costs as a proportion of net revenue stream - this indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

£m	2013/14
Authorised limit	266.0
Maximum gross borrowing position	224.8
Operational boundary	224.4
Average gross borrowing position	226.0
Financing costs as a proportion of net revenue stream	5.85%

5. Treasury Position as at 31 March 2014

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The Council's debt and investment position is organised by the treasury management service in order to ensure adequate liquidity for revenue and capital activities, security for investments and to manage risks within all treasury management activities. Procedures and controls to achieve these objectives are well established both through member reporting detailed in the summary, and through officer activity detailed in the Council's Treasury Management Practices. At the beginning and the end of 2013/14 the Council's treasury (excluding borrowing by PFI and finance leases) position was as follows:

	31 March 2013	Rate / Return	Average Life years	31 March 2014	Rate / Return	Average Life years
Fixed Rate Funding						
- PWLB	£218.9m	4.42%	12.24 yrs	£218.9m	4.42%	11.24yrs
- Market	£5.0m	4.80%	41.04 yrs	£5.0m	4.80%	40.04 yrs
- Other	£0.5m	3.00%	Perpetually irredeemable	£0.5m	3.00%	Perpetually irredeemable
Total debt	£224.4m			£224.4m		
CFR	£237.9m			£235.4m		
Over /(under) borrowing	£(11.9)m			£(11.0)m		
Investments	£49.6m	1.72%	0.72 yrs	£64.0m	1.09%	1.16 yrs

The maturity structure of the debt portfolio was as follows:

£m	31 March 2013	31 March 2014
Under 12 months	1.3	1.3
12 months and within 24 months	-	5.1
24 months and within 5 years	17.8	17.8
5 years and within 10 years	9.7	59.5
10 years and above	196.9	141.9

The difference between the amounts in the table above and the total debt disclosed in the previous table is the current repayable debt of £1.3m

The following table shows the movement in investments in the year.

Investments £'000	Treasury Management Strategy	Actual 31 March 2013	Movement			Actual 31 March 2014
			Invested	Matured	Transferred to Short Term	
Long Term						
Banks		12,500	-	-	(12,500)	-
Local Authorities		3,000	-	-	-	3,000
Short term						
Banks		19,000	30,060	(27,060)	12,500	34,500
Building Societies		6,000	58,800	(57,800)	-	7,000
Local Authorities		3,000	-	(3,000)	-	-
Cash Equivalents						
Banks		6,100	268,179	(264,279)	-	10,000
Building Societies		-	213,650	(204,150)	-	9,500
Debt Management Office		-	10,100	(10,100)	-	-
Total	40,000	49,600	580,780	(566,389)	-	64,000

The maturity structure of the investment portfolio was as follows:

£m	31 March 2013	31 March 2014
Longer than 1 year	15.5	3.0
Under 1 year	34.1	61.0

6. The Strategy for 2013/14

The expectation for interest rates within the strategy for 2013/14 anticipated low but rising Bank Rate (starting in quarter 1 of 2015), and gradual rises in medium and longer term fixed borrowing rates during 2013/14. Variable, or short-term rates, were expected to be the cheaper form of borrowing over the period. Continued uncertainty in the aftermath of the 2008 financial crisis promoted a cautious approach, whereby investments would continue to be dominated by low counterparty risk considerations, resulting in relatively low returns compared to borrowing rates.

In this scenario, the treasury strategy was to postpone borrowing to avoid the cost of holding higher levels of investments and to reduce counterparty risk.

The actual movement in gilt yields meant that PWLB rates were on a sharply rising trend during 2013 as markets anticipated the start of tapering of asset purchases by the Fed. This duly started in December 2013 and the US FOMC (the Fed.), adopted a future course of monthly reductions of \$10bn (from a starting position of \$85bn), meaning that asset purchases were likely to stop by the end of 2014. However, volatility set in during the first quarter of 2014 as fears around emerging markets, various vulnerabilities in the Chinese economy, the increasing danger for the Eurozone to drop into a deflationary spiral, and the situation in the Ukraine, caused rates to dip down, reflecting a flight to quality into UK gilts.

7. The Economy and Interest Rates

The financial year 2013/14 continued the challenging investment environment of previous years, namely low investment returns, although levels of counterparty risk had subsided somewhat. The original expectation for 2013/14 was that Bank Rate would not rise during the year and for it only to start gently rising from quarter 1 2015. This forecast rise has now been pushed back to a start in quarter 3 2015. Economic growth (GDP) in the UK was virtually flat during 2012/13 but surged strongly during the year. Consequently there was no additional quantitative easing during 2013/14 and Bank Rate ended the year unchanged at 0.5% for the fifth successive year. While CPI inflation had remained stubbornly high and substantially above the 2% target during 2012, by January 2014 it had, at last, fallen below the target rate to 1.9% and then fell further to 1.7% in February. It is also expected to remain slightly below the target rate for most of the two years ahead.

Gilt yields were on a sharply rising trend during 2013 but volatility returned in the first quarter of 2014 as various fears sparked a flight to quality (see paragraph 4.) The Funding for Lending Scheme, announced in July 2012, resulted in a flood of cheap credit being made available to banks which then resulted in money market investment rates falling drastically in the second half of that year and continuing into 2013/14. That part of the Scheme which supported the provision of credit for mortgages was terminated in the first quarter of 2014 as concerns rose over resurging house prices.

The UK coalition Government maintained its tight fiscal policy stance but recent strong economic growth has led to a cumulative, (in the Autumn Statement and the March Budget), reduction in the forecasts for total borrowing, of £97bn over the next five years, culminating in a £5bn surplus in 2018-19

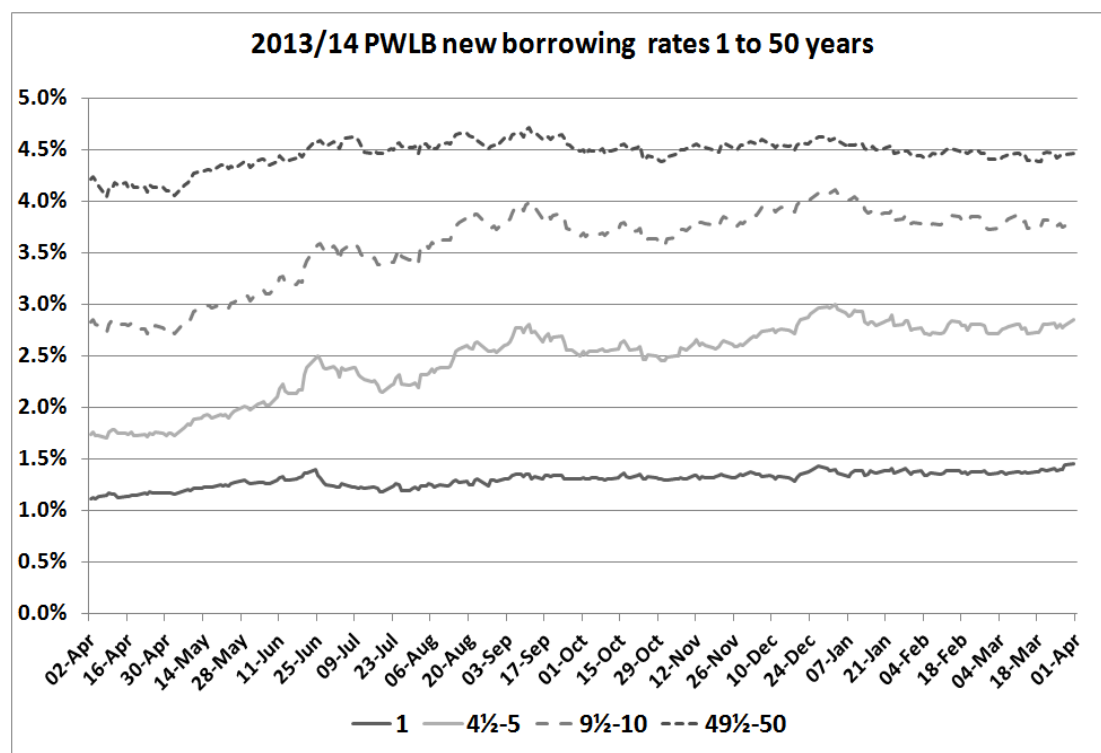
The EU sovereign debt crisis subsided during the year and confidence in the ability of the Eurozone to remain intact increased substantially. Perceptions of counterparty risk improved after the ECB statement in July 2012 that it would do "whatever it takes" to support struggling Eurozone countries; this led to a return of confidence in its banking system which has continued into 2013/14 and led to a move away from only very short term investing. However, this is not to say that the problems of the Eurozone, or its banks, have ended as the zone faces the

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likelihood of weak growth over the next few years at a time when the total size of government debt for some nations is likely to continue rising. Upcoming stress tests of Eurozone banks could also reveal some areas of concern.

8. Borrowing Rates in 2013/14

PWLB borrowing rates - the graphs and table for PWLB maturity rates below show for a selection of maturity periods, the high and low points in rates, the average rates, spreads and individual rates at the start and the end of the financial year.



9. Borrowing Outturn for 2013/14

Due to investment concerns, both counterparty risk and low investment returns, no borrowing was undertaken during the year.

Borrowings by the Council

During 2013/14 the council paid £9,930,599 in interest cost, this compares to a budget assumption of £9,945,187.

Investment Rates in 2013/14

Bank Rate remained at its historic low of 0.5% throughout the year; it has now remained unchanged for five years. Market expectations as to the timing of the start of monetary

tightening ended up unchanged at early 2015. The Funding for Lending Scheme resulted in deposit rates remaining depressed during the whole of the year, although the part of the scheme supporting provision of credit for mortgages came to an end in the first quarter of 2014.

10. Investment Outturn for 2013/14

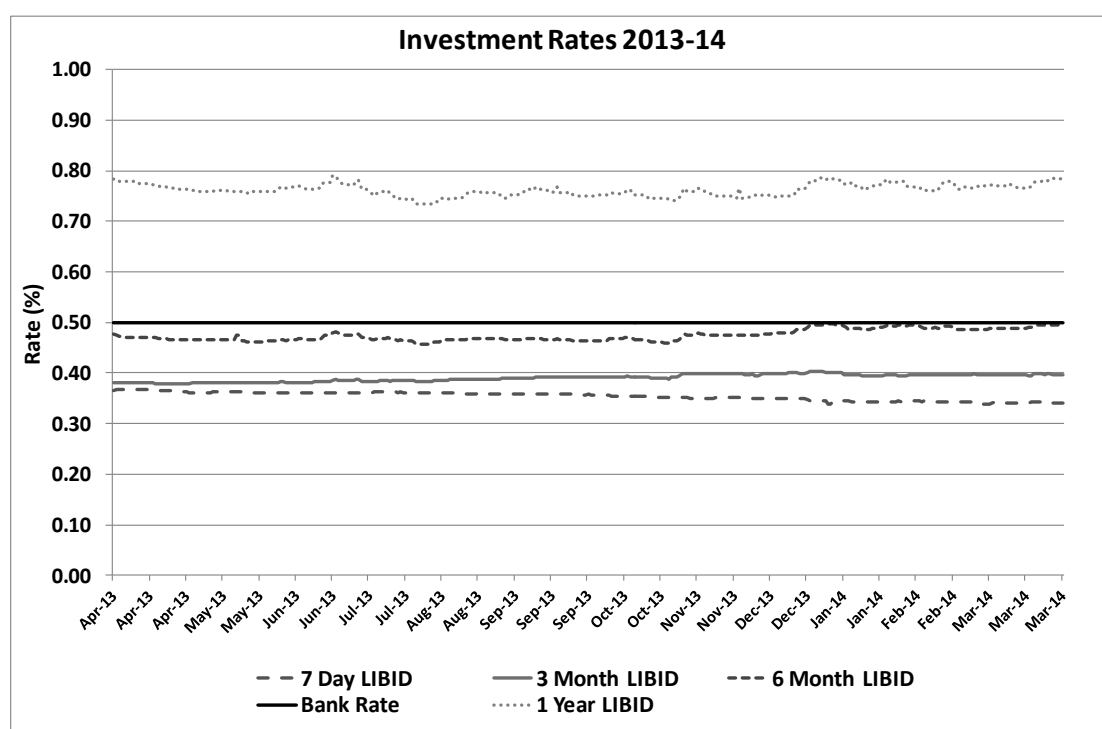
Investment Policy – the Council's investment policy is governed by CLG guidance, which was implemented in the annual investment strategy approved by the Council on 19 February 2013. This policy sets out the approach for choosing investment counterparties, and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data (such as rating outlooks, credit default swaps [a financial swap agreement that the seller of the CDS will compensate the buyer in the event of a loan default or other credit event], bank share prices etc.).

The investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.

Resources – the Council's cash balances comprise revenue and capital resources and cash flow monies. The Council's core cash resources comprised as follows:

£m Balance Sheet Resources	31 March 2013	31 March 2014
----------------------------	------------------	------------------

Balances	32.7
----------	------



Earmarked Reserves	2.7
Useable Capital receipts	15.2
Capital grants Unapplied	1.6
Total	52.2

Investments held by the Council - the Council maintained an average balance of £64.4m of internally managed funds. The internally managed funds earned an average rate of return of

1.235%. The comparable performance indicator is the average 7-day LIBID rate, which was 0.342%. This compares with a budget assumption of £50m investment balances earning an average rate of 1.2%. The average of the population of 214 local authorities was 0.70% and that of 85 non-met authorities was 0.73%. The average for the other LGSS community was 0.63%.

The Council's investment return for 2013/14 is £1,027,445 which is £427,445 above the amount budgeted for the year of £600,000. The variance is due to having a higher average balance to invest.

The Council is part of a benchmarking group across Norfolk, Suffolk & Cambridgeshire, the table below shows the performance of the Council's investments compared to the other councils (who have been made anonymous). This shows that the rate of return that will be achieved by investments held at the year end by the Council as being highest of the benchmarking group with highest risk and longest time to maturity when compared to the rest of the benchmarking group.

Council	WARoR	WA Risk	WAM	WA Tot. time
Norwich	1.09%	4.8	147	425
A	0.85%	3.4	139	208
B	0.69%	3.9	145	185
C	0.87%	3.9	46	260
D	0.94%	3.9	103	236
E	0.65%	4.4	142	180
F	0.71%	4.5	102	127

WARoR – Weighted average rate of return. This is the average annualised rate of return weighted by the principle amount in each rate

WA risk – Weighted average risk number. Each institution is assigned a colour to a suggested duration using Sector's credit methodology. The institution is assigned a number based on its colour and an average, weighted using principal amount, of these numbers is calculated.

- 1 Up to 5 years
- 2 Up to 2 years
- 3 Up to 1 year
- 4 Up to 6 months
- 5 Up to 3 months
- 6 0 months

A number of 4.8 means between 3 to 6 months

WAM – Weighted average time to maturity. This is the average time, in days, until the portfolio matures, weighted by the principle amount

WA Tot. Time – Weighted average total time. This is the average time, in days, that deposits are lent out for, weighted by the principle amount

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2104
Head of service:	Caroline Ryba
Report subject:	Full Year Treasury Management Report
Date assessed:	2 June 2104
Description:	

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The report has no direct financial consequences however it does report on the performance of the Council in managing its borrowing and investment resources
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014
Report of Executive head of business relationship management
Subject Replacement finance system

Item

16

KEY DECISION

Purpose

To consider the implementation of a new finance system.

Recommendation

To delegate to the executive head of business relationship management in consultation with the deputy leader and resources portfolio holder authority to amend the agreement with LGSS to include the implementation of a new finance system.

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services".

Financial implications

Up to £500k is required to cover implementation costs which would include all project management, system implementation, backfilling of posts as officers would be seconded to a project team. It is anticipated that this can be managed within the existing ICT development budget.

There are ongoing revenue costs of around £100k p.a.

There are savings of around £35k p.a. from decommissioning the existing finance system.

There are savings of around £50k p.a. from the LGSS agreement through efficiencies that would be created but these have already been accounted for in the current budget.

Further potential efficiency savings are possible but have not yet been quantified.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Anton Bull, Executive head of business relationship
management

01603 212326

Background documents

None

Report

Background

1. The council's current finance system was installed in 1997. The system has been upgraded to maintain support for the system. However, there has been limited development of the system and there is a lack of detailed knowledge within the council of the functionality and capability of the current system. The current system is more suited to larger organisations where a larger support team could be justified. Development has occurred and there is some detailed knowledge but further investment in the development of the system is not sustainable.
2. The current system now requires a major upgrade to maintain its supported status. Further, to continue to improve the council's financial management improvements and developments are required. So, rather than just upgrade the existing system there is a need to consider how a finance system can best meet the needs of the council for the future.
3. In April 2012 the council delegated various functions to Local Government Shared Services (LGSS), a joint committee of Cambridgeshire and Northamptonshire County Councils. ICT was part of that delegation and the finance system is one of the systems managed and provided as part of that agreement.
4. During the development of the business case for sharing services, LGSS and the council identified a number of benefits which could be delivered if the finance services to the council were converged using shared systems through LGSS. These include improved skills and capacity for system development and support, improving service resilience and supporting the delivery of scale economies for both the council and LGSS.
5. Following further expansion of the LGSS shared services partnership, LGSS now delivers services to Northampton Borough Council (NBC) using a different finance solution. There is therefore an opportunity to collaborate in the development of an LGSS Shared Service finance solution.

Key objectives

6. The key objectives for replacing the finance system are as follows
 - a) Deliver the savings identified in the original LGSS business case
 - b) Provide budget managers with on-line access to financial systems which will enable more consistent management information production and analysis
 - c) Maintain an up to date finance system that develops with the needs of the council
 - d) Strive towards integrated financial management that continues to support decision-making, accountability and transparency in to the future
 - e) Ensure that financial systems continue to be developed and implemented with due regard to generally accepted financial control standards

Options

7. The main options considered are as follows

- a) Upgrade the existing finance system
- b) Procure a stand-alone finance system
- c) Develop the shared service platform through LGSS

Upgrade the existing finance system

8. A simple upgrade of the existing finance system is initially a lower cost solution. However, this option would not meet the stated objectives above. In particular this would not deliver the savings identified in the original LGSS business case. Further, it would not deliver on-line access for managers and the existing financial management system lacks functionality, is increasingly difficult to maintain and presents an operational risk to the Council and the proposed replacement will enable better control of finances.

Procure a stand-alone finance system

9. The council could tender for a stand-alone system. However, this decision would be at odds with the decision to share services and would be a retrograde step.
10. Again, considering the key objectives, this may deliver some of the savings identified in the original LGSS business case but any savings associated with sharing services would not be delivered through a stand-alone system.
11. This option is likely to meet most of the other objectives but would require the council to maintain and develop the system itself. Whilst this could be done, there would be no sharing of development and maintenance and the full cost of this would fall to the council.

Develop the shared service platform through LGSS

12. LGSS have two systems that they run, one serves the county councils and the other serves the district councils. Whilst there is a significant amount of overlap between these systems there are differences in the pricing for each as well as the suitability for this council.
13. The system that serves the district councils is less expensive and is aimed at district councils providing the functionality we require.
14. Officers from the council have reviewed the system to ensure that the functionality will meet the needs of the council.
15. Under this option, a clone of the current system in use would be taken and then tailored to this council's requirements. This significantly reduces the implementation time and cost associated with a new finance system.

16. The system would then be centrally managed by LGSS and serve both district councils and in the future can be expanded to other councils. It is expected that in the future this will reduce the overall running costs for the system.
17. This will also allow finance teams across LGSS to share knowledge and information relating to the system.
18. The new system will deliver efficiency savings but these are unlikely to meet the cost of implementation in the short term. However, to continue with strong financial management and performance a new system is required.
19. This option is most likely to meet the key objectives listed above.

Next steps

20. Delegated authority is now sought to allow final negotiation with LGSS around the implementation of a new finance system and the costs associated with it.
21. Once this is finalised an implementation programme will then be agreed to minimise risk to the council.

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Replacement finance system
Date assessed:	11 June 2014
Description:	Replacement finance system

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The finance system is central to the council's ability to monitor and manage its finances. A new financial system will improve financial transparency and provide better information required for decision making.
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Implementing a new finance system will ensure that the most up to date ICT system and support is in place
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The current finance system is under developed. Other systems have been developed to ensure that financial information is available but this presents risks through having different systems running. A new system will reduce the risk of poor or inaccurate financial information.

Recommendations from impact assessment
Positive
Negative
Neutral
Issues

Report to Cabinet

Item

Report of Chief finance officer

Subject Provisional Revenue Outturn 2013/14

17

Purpose

To update Cabinet on the provisional revenue outturn for the year 2013/14, and the consequent provisional General Fund and Housing Revenue Account balances.

The provisional revenue outturn does not include accounting adjustments required by International Financial Reporting Standards (IFRS) to be included in the council's statutory financial accounts.

Recommendations

To note the provisional revenue outturn 2013/14;

Corporate and service priorities

The report helps to meet the corporate priority value for money services and the service plan priority to provide accurate, relevant and timely financial information.

Financial implications

The provisional revenue outturn for the General Fund for the year 2013/14 is a surplus of £2.819m, which after the planned contribution to reserves of £1.587m, gives rise to an underspend of £1.232m against budget.

The provisional revenue outturn for the Housing Revenue Account for the year 2013/14 is a deficit of £2.761m which after the planned use of reserves of £5.541m, gives rise to an underspend of £2.780m against budget.

The provisional balances on both funds will remain above the prudent minima.

Ward/s: All wards

Cabinet member: Councillor Waters – Deputy leader and resources

Contact officers

Caroline Ryba, Chief Finance Officer
Mark Smith, Finance Control Manager

01223 699292
01603 212561

Background documents

None

Report

1. Council approved budgets for the 2013/14 financial year on 19 February 2013.
2. The attached appendices show the provisional revenue outturn positions for the General Fund and the Housing Revenue Account:
 - [Appendix 1](#) shows the General Fund by Corporate Leadership Team responsibilities, and by Subjective Group
 - [Appendix 2](#) shows the Housing Revenue Account in (near) statutory format, and by Subjective Group
 - [Appendix 3](#) shows budget and expenditure for the year to date in graphical format
 - [Appendix 4 \[BMG only\]](#) shows budget info at service & cost centre level.
 - [Appendix 5 \[BMG only\]](#) shows budget information relating to Contingencies
 - [Appendix 6 \[BMG only\]](#) shows budget information for the Collection Fund
3. The amounts reported show both actual expenditure and income to date, and the forecast (provisional outturn) which includes entries not yet posted but for which budgets are included within the management accounts. These include:
 - Revenue financing for housing and non-housing capital programmes
 - Interest charges allocated from the General Fund to the Housing Revenue Account
 - Depreciation of assets (wear & tear)
 - Provision for Highways and HCA partnership surplus & deficit transfers
4. The financial accounts include adjustments required by IFRS which are not budgeted for and included in the provisional revenue outturn, including:
 - Provision for holiday & flexitime owed to/owed by employees
 - Provision for movement in pension fund assets & liabilities
 - Impairment of assets (loss of value)

General Fund

5. Budgets reported include the resources financing the council's net budget requirement (which includes a £1.587m contribution to balances as called for by the Medium Term Financial Strategy) so that the net budget totals zero:

<i>Item</i>	<i>Approved Budget £000s</i>
Net Budget Requirement	20,617
Non-Domestic Rates	(5,194)
Revenue Support Grant	(7,861)
Council Tax precept	(7,562)
Total General Fund budget	0

6. The General Fund provisional outturn of £2.819m represents a budget surplus of £1.232m:

<i>Item</i>	<i>2013/14 £000s</i>
General Fund Period 12	5,744
Outstanding budgeted entries	(8,563)
Provisional Outturn	(2,819)
Budgeted contribution to balances	1,587
Budget (surplus)/deficit	(1,232)

7. Estimated outstanding budgeted entries include:
- Housing Benefit & Subsidy (£1m)
 - Share of Business Rate Deficit & Levy £0.5m
 - Interest charge to HRA (£9m)
8. A summary of provisional variances (compared to the previous period) is set out below with brief commentary. Details are shown in [Appendix 1](#).

<i>General Fund Service</i>	<i>Forecast Variance P11 £000s</i>	<i>Provisional Outturn Variance £000s</i>	<i>Change £000s</i>	<i>Commentary</i>
Business Relationship Management	454	1,371	916	Unbudgeted Minimum Revenue Provision less LGSS shared services savings plus share of NNDR deficit & NNDR levy
Chief Executive & Corporate	(1,931)	(1,484)	447	Uncommitted GF Contingency & grants
Customers, Comms & Culture	(82)	(566)	(484)	£70k Halls works underspend, £120k unexpected grant income, £110 Riverside costs recovered
Operations:				
City Development	(249)	(571)	(322)	Surplus on parking income, underspends on integrated waste management budgets
Citywide Services	49	156	107	
Deputy Chief Executive	(8)	0	9	
Neighbourhood Housing	69	137	69	
Neighbourhood Services	(65)	19	84	
Planning	89	(190)	(278)	Income from Landscape & Conservation design fees charged to capital projects
Property Services	(17)	190	207	Overheads to be recharged to services
Strategy, People & Democracy	(269)	(296)	(26)	£100k pension recharges to be allocated to services, £150k Environmental Strategy recharge to services
Contribution to balances	-	(1,587)	(1,587)	As Medium Term Financial Strategy
Total General Fund	(1,961)	(2,819)	(858)	

Housing Revenue Account

9. The budgets reported include a £15m contribution from HRA balances towards the Housing capital programme 2013/14, and a £6m use of HRA balances, so that the net budget totals zero:

<i>Item</i>	<i>Approved Budget £000s</i>
Gross HRA Expenditure	61,881
Gross HRA Income	(55,715)
Contribution from HRA Balance	(6,166)
Total net HRA budget	0

10. The Housing Revenue Account provisional outturn shows, in summary, a budget surplus of £2.780m:

<i>Item</i>	<i>2013/14 £000s</i>
Housing Revenue Account Period 12	(35,770)
Outstanding budgeted entries	38,531
Provisional Outturn	2,761
Revised budgeted contribution from balances	(5,541)
Budget (surplus)/deficit	(2,780)

11. Estimated outstanding budgeted entries include:
- Interest on HRA Borrowing £9m
 - Depreciation £13m
 - Revenue Contribution to Capital £15m
 - Dwelling Rents £1m
12. A summary of provisional variances (compared to the previous period) are set out below with brief commentary. Details are shown in [Appendix 2](#).

<i>HRA Division of Service</i>	<i>Forecast Variance P11 £000s</i>	<i>Provisional Outturn Variance £000s</i>	<i>Change £000s</i>	<i>Commentary</i>
Repairs & Maintenance	(938)	(985)	(47)	Savings on responsive repairs & voids
Rents, Rates, & Other Property Costs	(353)	(60)	293	Provision for outstanding water rates
General Management	(697)	(1,319)	(622)	Underspends against HRA Contingency, Hardship Fund, leasehold property insurance, and corporate overheads
Special Services	(432)	(499)	(67)	Savings & Supporting People income in excess of budget
Depreciation & Impairment	(727)	(695)	32	Receipts from sales (removed below)
Provision for Bad Debts	-	(745)	(745)	Arrears increase less than budgeted

<i>HRA Division of Service</i>	<i>Forecast Variance P11 £000s</i>	<i>Provisional Outturn Variance £000s</i>	<i>Change £000s</i>	<i>Commentary</i>
Dwelling Rents	(18)	(15)	3	
Garage & Other Property Rents	(18)	41	59	
Service Charges - General	932	718	(214)	Lower costs passed on to tenants & leaseholders
Miscellaneous Income	(44)	(45)	(2)	
Adjustments & Financing Items	612	675	63	Removal of receipts from sales (as above)
Interest Received	-	150	150	Awaiting calculation
Contribution from balances	0	5,541	5,541	As HRA 30-Year Business Plan
Total Housing Revenue Account	(1,682)	2,761	4,444	

Financial Planning

13. Overall levels of overspend and underspend will have an ongoing impact on the budget for following years and the size and urgency of savings requirements
14. Net overspends and underspends will be consolidated into the General Fund and Housing Revenue Account balances carried forward to 2014/15.
15. These are reflected in periodic updates to the Medium Term Financial Strategy and Housing Revenue Account Business Plan.

Impact on Balances

16. The prudent minimum level of General Fund reserves has been assessed as £4.496m for 2014/15. The provisional outturn position is as follows:

<i>Item</i>	<i>£000s</i>
Balance at 1 April 2013	(5,195)
Budgeted contribution to balances 2013/14	(1,587)
Provisional budget deficit/(surplus) 2013/14	(1,232)
= Provisional balance at 31 March 2014	(8,014)

17. The General Fund balance is therefore expected to continue to exceed the prudent minimum.
18. The Medium Term Financial Strategy calls for General Fund balances to increase in early years in order to provide resources to “smooth” savings requirements in later years, and the level of provisional balance shown above is consistent with that requirement.
19. The prudent minimum level of HRA reserves has been assessed as £3.067m for 2014/15. The provisional outturn position is as follows:

<i>Item</i>	<i>£000s</i>
Balance at 1 April 2013	(27,788)
Budgeted use of balances 2013/14	5,541
Provisional budget deficit/(surplus) 2013/14	(2,780)
= Provisional balance at 31 March 2014	(25,027)

20. The Housing Revenue Account balance is therefore expected to continue to exceed the prudent minimum.
21. The Housing Revenue Account Business Plan utilises HRA balances to support housing capital expenditure in the medium term, and the level of provisional balance shown above is consistent with that requirement.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet
Committee date:	Error! Reference source not found.
Head of service:	Chief Finance Officer
Report subject:	Provisional Revenue Outturn 2013/14
Date assessed:	21 May 2014
Description:	This is the integrated impact assessment for the provisional revenue outturn 2013/14 report to cabinet

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The report shows that the council monitors its budgets, considers risks to achieving its budget objectives, reviews its balances position, and is therefore able to maintain its financial standing
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments

	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The report demonstrates that the council is aware of and monitors risks to the achievement of its financial strategy, including emerging risks such as from the localisation of Business Rates.

Recommendations from impact assessment

Positive

None

Negative

None

Neutral

None

Issues

The council should continue to monitor its budget performance in the context of the financial risk environment within which it operates.

Budget Monitoring Summary

Year: 2013/14

Period: 12 (Mar)

GENERAL FUND SERVICE SUMMARY

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Provisional Outturn	Provisional Variance
Business Relationship Management							
2,597,949	2,614,897	Business Relationship Management	2,614,897	2,950,874	335,977	2,673,674	58,777
(23,602,085)	(23,599,085)	Finance	(23,599,085)	(9,744,741)	13,854,344	(22,280,767)	1,318,318
(3,997)	11,035	Procurement & Service Improvement	11,035	4,537	(6,498)	4,537	(6,498)
(21,008,133)	(20,973,153)	Total Business Relationship Management	(20,973,153)	(6,789,331)	14,183,822	(19,602,556)	1,370,597
Chief Executive & Corporate							
(140)	(140)	Chief Executive	(140)	144	284	144	284
2,467,131	1,902,330	Corporate Management	1,902,330	(1,168,920)	(3,071,250)	(1,168,920)	(3,071,250)
2,466,991	1,902,190	Total Chief Executive & Corporate	1,902,190	(1,168,776)	(3,070,966)	(1,168,776)	(3,070,966)
Customers, Comms & Culture							
2,484,221	2,572,176	Communications & Culture	2,572,176	1,799,550	(772,626)	2,077,758	(494,418)
(101,033)	20,689	Customer Contact	20,689	(50,874)	(71,563)	(50,874)	(71,563)
2,383,188	2,592,865	Total Customers, Comms & Culture	2,592,865	1,748,677	(844,188)	2,026,884	(565,981)
Operations							
(446,178)	(422,040)	City Development	(422,040)	(3,111,208)	(2,689,168)	(992,806)	(570,766)
9,635,875	9,622,116	Citywide Services	9,622,116	8,939,437	(682,679)	9,778,536	156,420
(140)	(140)	Deputy Chief Executive	(140)	144	284	144	284
2,322,140	2,333,347	Neighbourhood Housing	2,333,347	1,871,679	(461,668)	2,470,764	137,417
2,406,508	2,382,801	Neighbourhood Services	2,382,801	2,262,770	(120,031)	2,401,725	18,924
1,726,030	1,742,661	Planning	1,742,661	1,549,978	(192,683)	1,553,076	(189,585)
109,732	333,799	Property Services	333,799	247,731	(86,068)	524,146	190,347
15,753,967	15,992,544	Total Operations	15,992,544	11,760,531	(4,232,013)	15,735,585	(256,959)
Strategy, People & Democracy							
242,457	262,134	Democratic Services	262,134	404,339	142,205	284,339	22,205
15,608	32,398	Human Resources	32,398	(97,977)	(130,375)	(97,977)	(130,375)
145,922	191,022	Strategy & Programme Management	191,022	(113,334)	(304,356)	3,491	(187,531)
403,987	485,554	Total Strategy, People & Democracy	485,554	193,028	(292,526)	189,852	(295,702)
0	0	Total General Fund	0	5,744,128	5,744,128	(2,819,011)	(2,819,011)

GENERAL FUND SUBJECTIVE SUMMARY

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Provisional Outturn	Provisional Variance
17,944,197	17,054,552	Employees	17,054,552	16,808,758	(245,794)	16,808,758	(245,794)
9,004,053	8,504,501	Premises	8,504,501	8,620,986	116,485	8,738,360	233,859
304,809	304,809	Transport	304,809	215,756	(89,053)	215,756	(89,053)
14,580,752	16,329,517	Supplies & Services	16,329,517	15,481,229	(848,288)	15,631,352	(698,165)
8,125,351	7,982,002	Third Party Payments	7,982,002	6,631,828	(1,350,174)	6,631,828	(1,350,174)
63,260,654	95,737,508	Transfer Payments	95,737,508	91,952,935	(3,784,573)	91,395,461	(4,342,047)
3,271,443	3,271,443	Capital Financing	3,271,443	11,000,756	7,729,313	2,416,985	(854,458)
(22,298,418)	(22,240,229)	Receipts	(22,240,229)	(22,191,567)	48,662	(22,007,215)	233,014
(87,934,587)	(120,706,541)	Government Grants	(120,706,541)	(117,036,618)	3,669,923	(116,943,438)	3,763,103
1,551,696	1,551,696	Centrally Managed	1,551,696	1,516,229	(35,467)	1,317,719	(233,977)
16,315,252	17,108,013	Recharge Expenditure	17,108,013	14,732,632	(2,375,381)	15,475,282	(1,632,731)
(24,125,202)	(24,897,271)	Recharge Income	(24,897,271)	(21,988,795)	2,908,476	(22,499,858)	2,397,413
0	0	Total General Fund	0	5,744,128	5,744,128	(2,819,011)	(2,819,011)

Budget Monitoring Report

Year: 2013/14

Period: 12 (Mar)

HOUSING REVENUE ACCOUNT STATUTORY SUMMARY

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Provisional Outturn	Provisional Variance
15,384,339	15,084,110	Repairs & Maintenance	15,084,110	14,098,810	(985,300)	14,098,810	(985,300)
6,655,661	6,555,617	Rents, Rates, & Other Property Costs	6,555,617	6,495,206	(60,411)	6,495,206	(60,411)
11,285,925	11,114,002	General Management	11,114,002	9,804,944	(1,309,058)	9,794,933	(1,319,069)
5,536,370	5,486,457	Special Services	5,486,457	4,987,705	(498,752)	4,987,705	(498,752)
22,077,640	22,077,640	Depreciation & Impairment	22,077,640	(591,917)	(22,669,557)	21,383,083	(694,557)
941,000	941,000	Provision for Bad Debts	941,000	195,811	(745,189)	195,811	(745,189)
(58,596,560)	(58,596,560)	Dw elling Rents	(58,596,560)	(59,571,308)	(974,748)	(58,611,859)	(15,299)
(2,193,735)	(2,193,735)	Garage & Other Property Rents	(2,193,735)	(2,152,680)	41,055	(2,152,680)	41,055
(10,026,307)	(10,026,307)	Service Charges - General	(10,026,307)	(9,308,159)	718,148	(9,308,159)	718,148
0	0	Miscellaneous Income	0	(45,464)	(45,464)	(45,464)	(45,464)
9,817,561	10,439,671	Adjustments & Financing Items	10,439,671	732,305	(9,707,366)	16,655,305	6,215,634
(731,895)	(731,895)	Amenities shared by whole community	(731,895)	(415,318)	316,577	(731,418)	477
(150,000)	(150,000)	Interest Received	(150,000)	0	150,000	0	150,000
(1)	0	Total Housing Revenue Account	0	(35,770,064)	(35,770,064)	2,761,273	2,761,273

HOUSING REVENUE ACCOUNT SUBJECTIVE SUMMARY

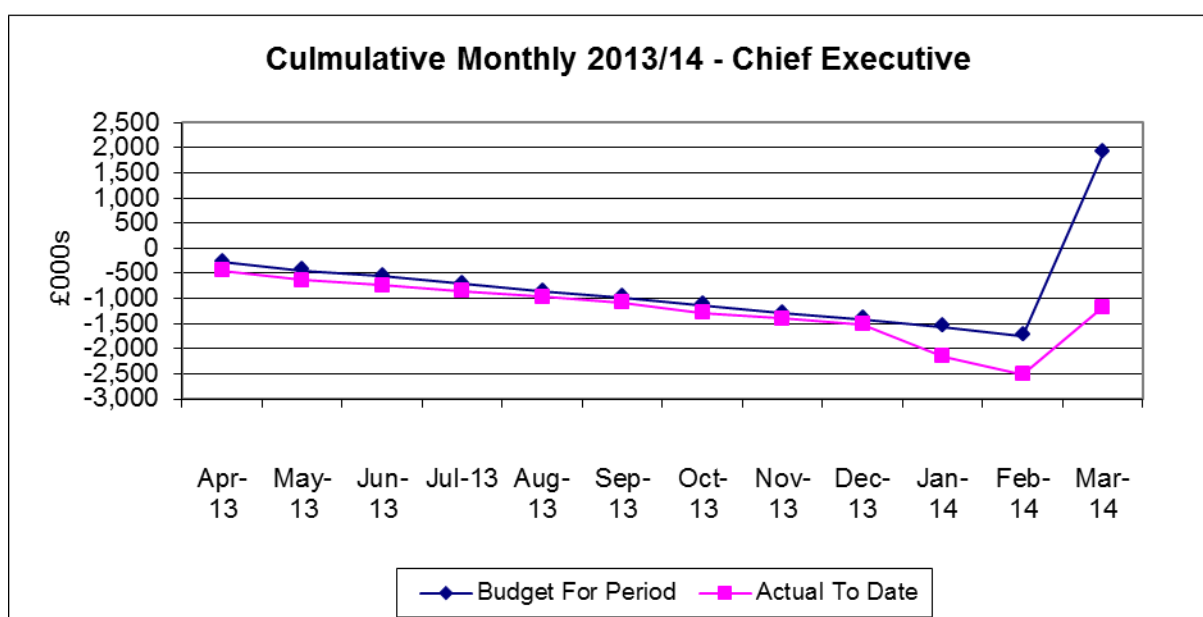
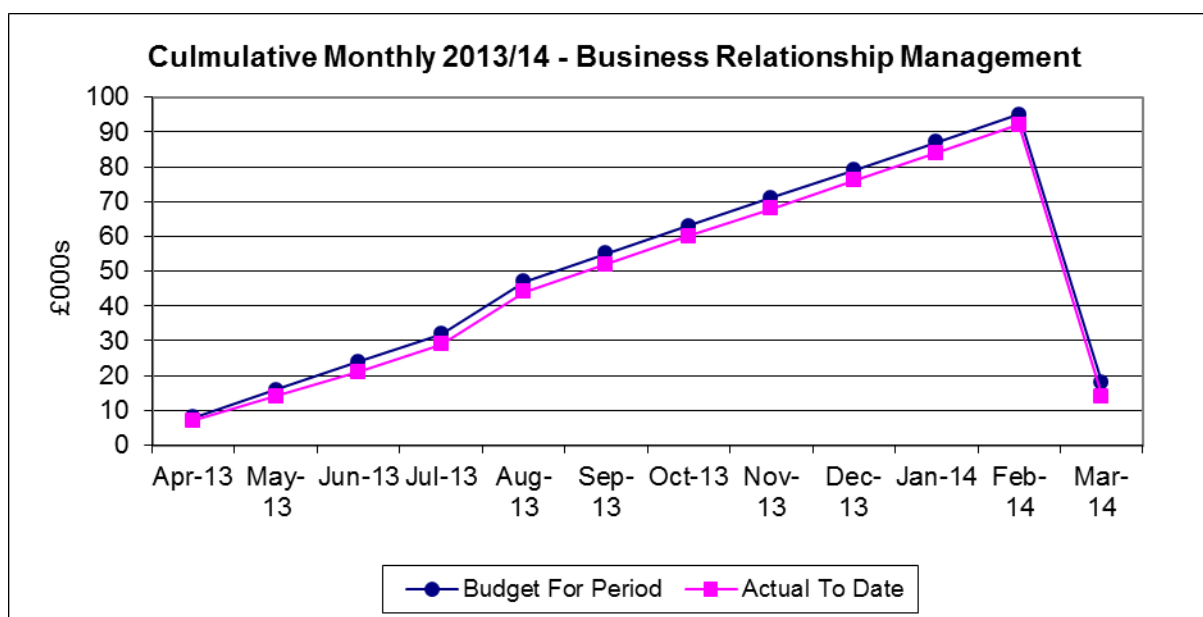
Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Provisional Outturn	Provisional Variance
6,280,077	6,333,477	Employees	6,333,477	6,084,830	(248,647)	6,084,830	(248,647)
26,425,447	24,582,247	Premises	24,582,247	22,890,628	(1,691,619)	22,890,628	(1,691,619)
117,214	118,474	Transport	118,474	145,085	26,611	145,085	26,611
4,166,356	4,075,491	Supplies & Services	4,075,491	2,441,755	(1,633,736)	2,441,755	(1,633,736)
347,169	347,169	Third Party Payments	347,169	111,866	(235,303)	315,366	(31,803)
5,350,612	5,538,671	Recharge Expenditure	5,538,671	5,699,619	160,948	5,720,174	181,503
3,628,341	3,346,041	Capital Financing	3,346,041	204,961	(3,141,080)	9,131,961	5,785,920
(72,041,452)	(72,041,452)	Receipts	(72,041,452)	(72,341,653)	(300,201)	(71,382,205)	659,247
(239,476)	(239,476)	Government Grants	(239,476)	(542,065)	(302,589)	(542,065)	(302,589)
(2,101,429)	(1,032,192)	Recharge Income	(1,032,192)	(465,090)	567,102	(1,015,256)	16,936
15,019,000	15,923,410	Rev Contribs to Capital	15,923,410	0	(15,923,410)	15,923,000	(410)
13,048,140	13,048,140	Capital Financing	13,048,140	0	(13,048,140)	13,048,000	(140)
(1)	0	Total Housing Revenue Account	0	(35,770,064)	(35,770,064)	2,761,273	2,761,273

Budget & Expenditure – Monthly by Service Graphs

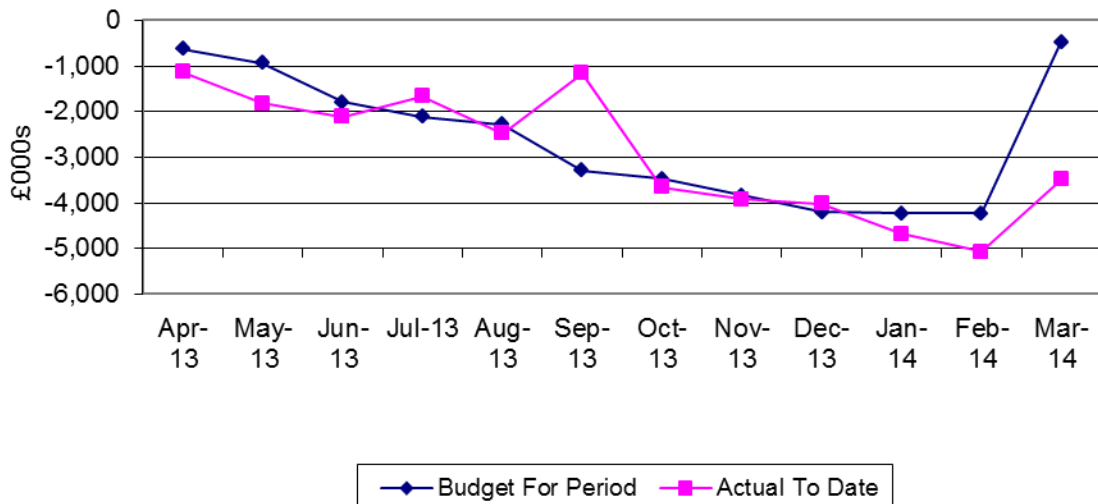
The following graphs show the monthly budget profile and income/expenditure to date for each service (both General Fund and Housing Revenue Account) for the financial year.

The actual income/expenditure reported is influenced by accrual provisions brought forward from the previous financial year, and by any delays in invoicing and/or payment.

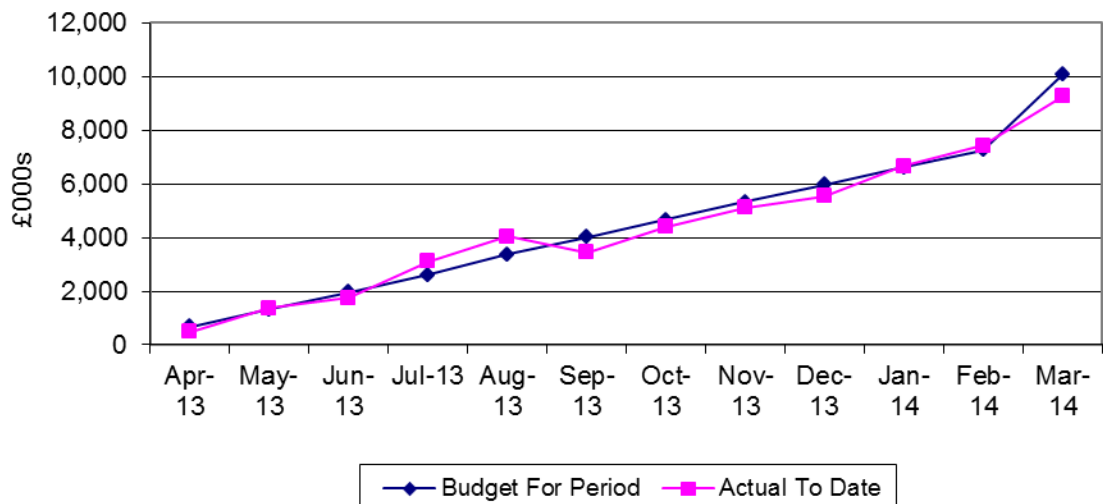
Budgets are profiled to show the expected pattern of income & expenditure, and will be refined and improved during the course of the financial year.



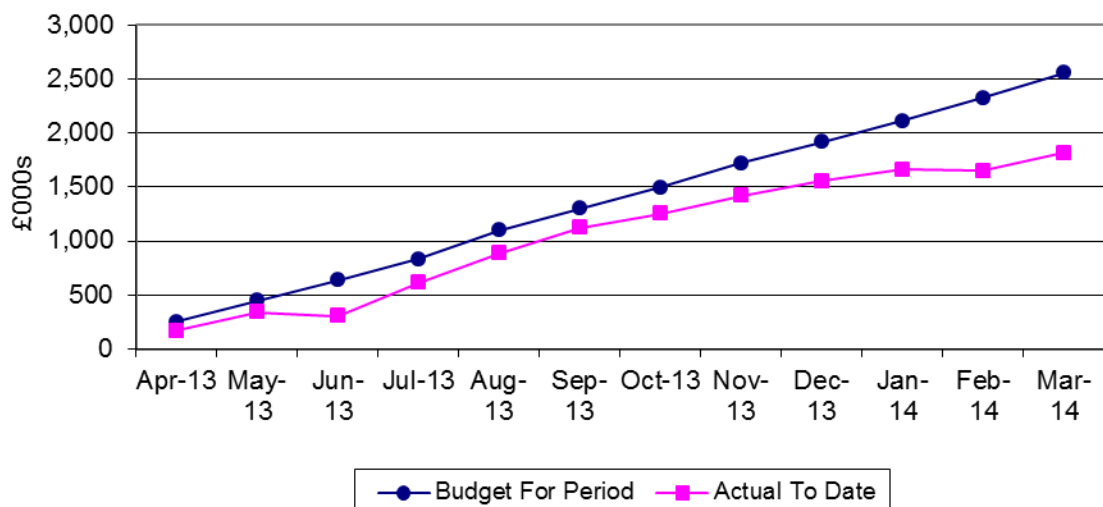
Culmulative Monthly 2013/14 - City Development



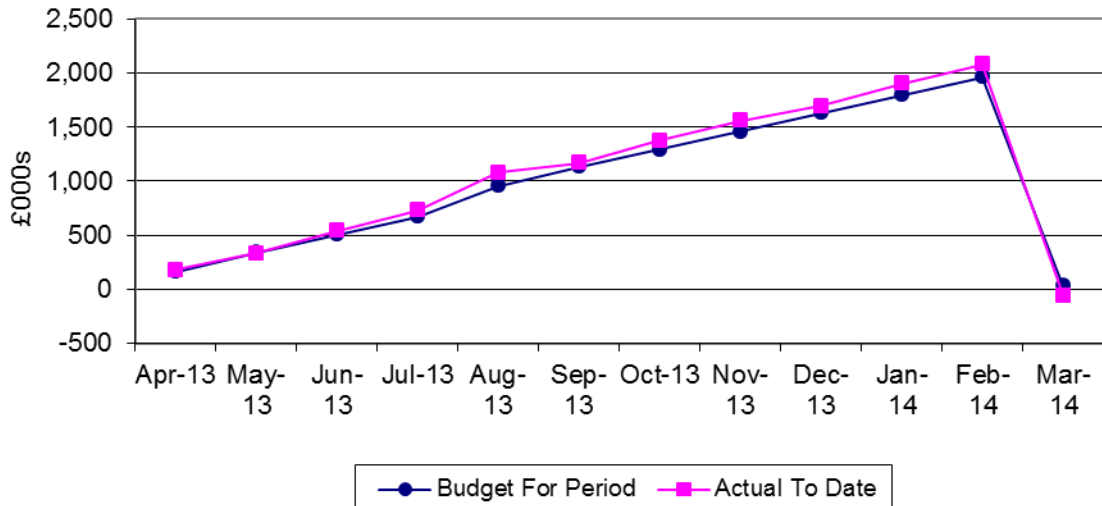
Culmulative Monthly 2013/14 - Citywide Services



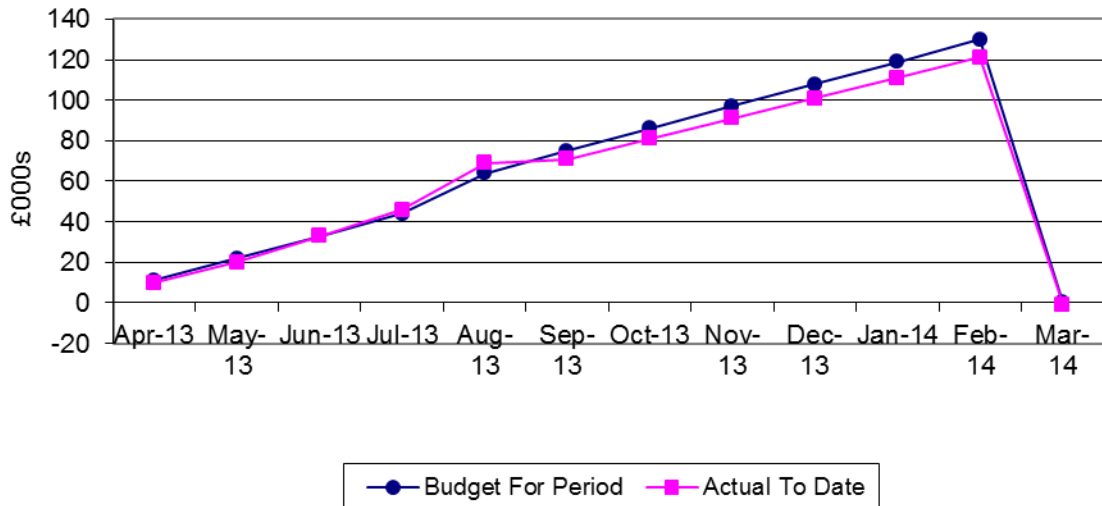
Culmulative Monthly 2013/14 - Communications & Culture



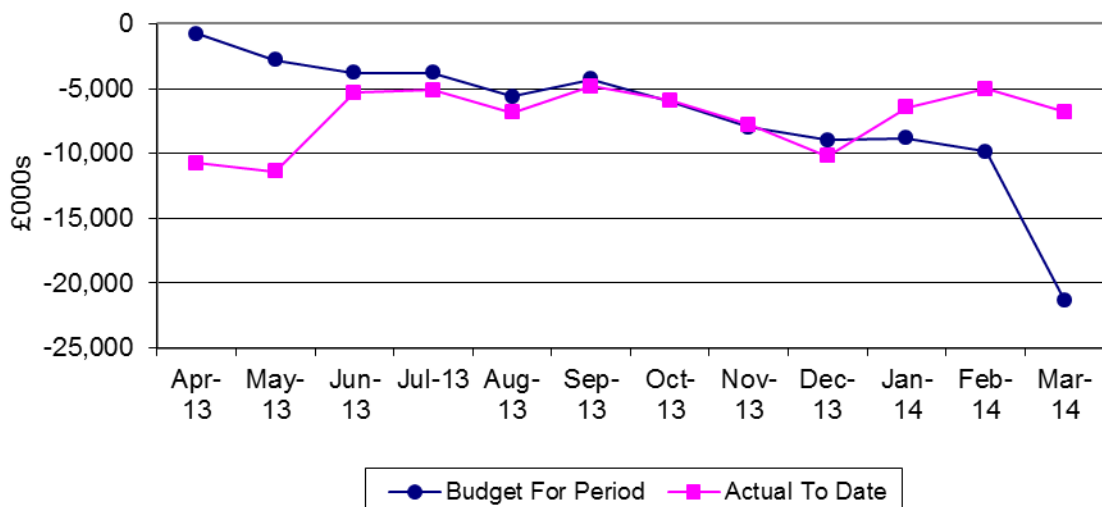
Culmulative Monthly 2013/14 - Customer Contact



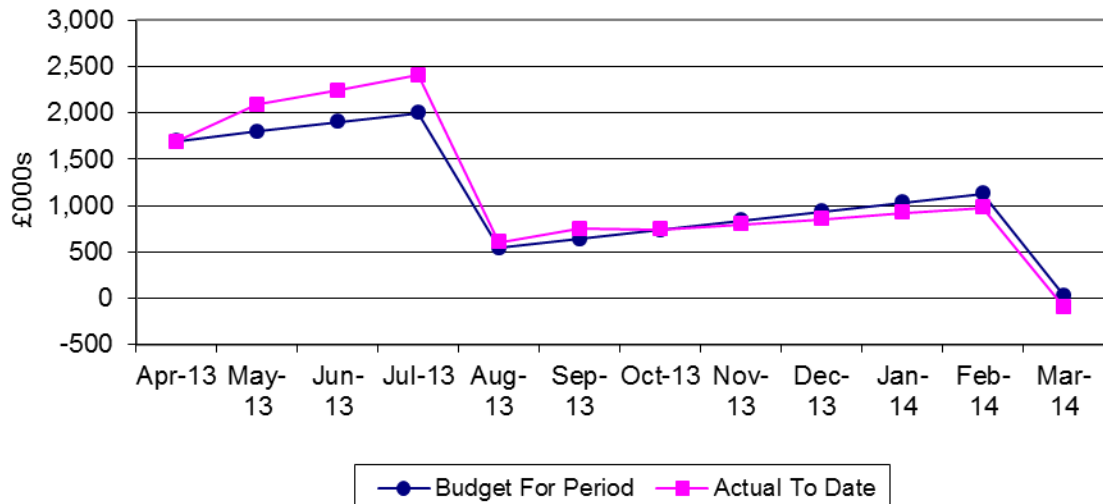
Culmulative Monthly 2013/14 - Deputy Chief Executive



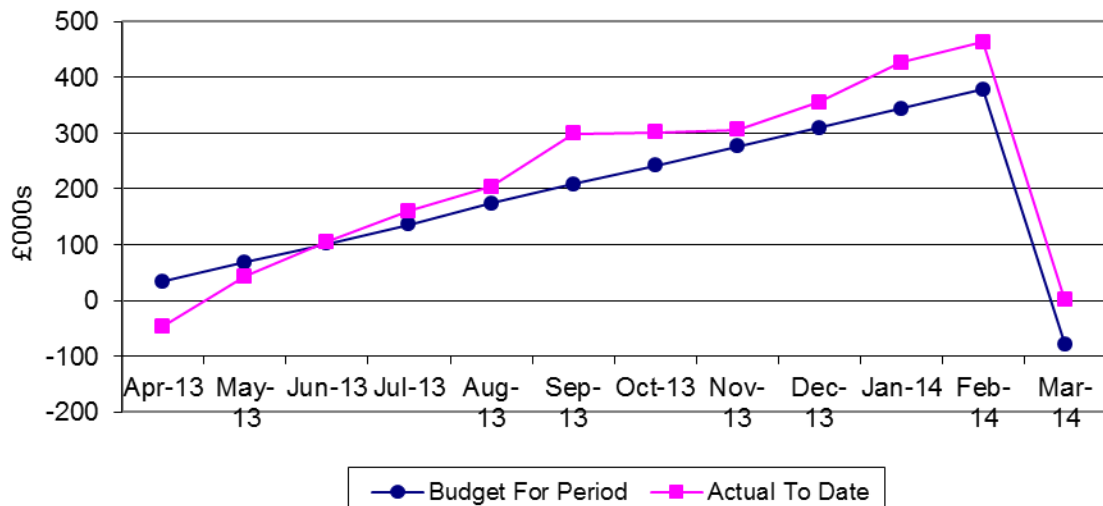
Culmulative Monthly 2013/14 - Finance



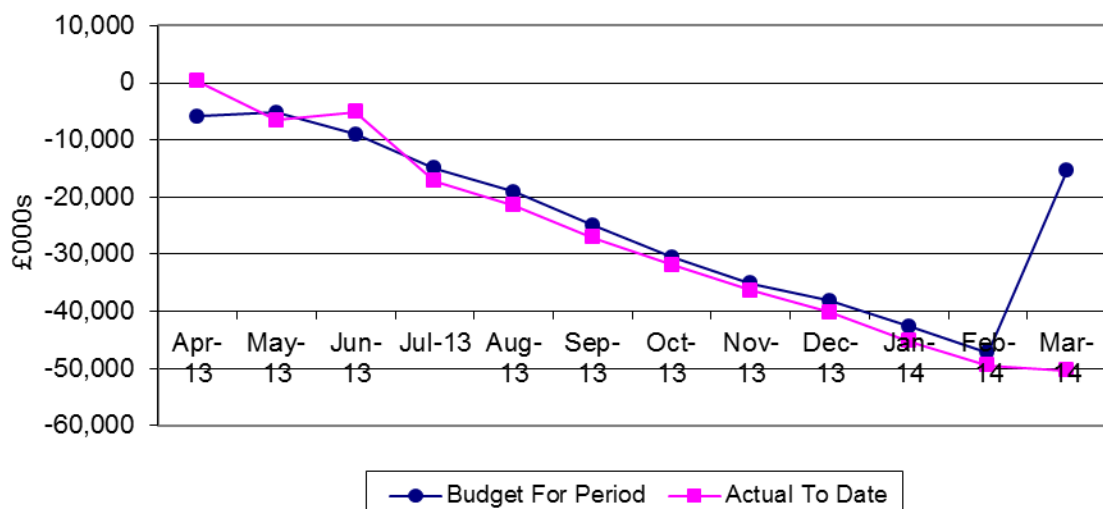
Culmulative Monthly 2013/14 - HR & Learning



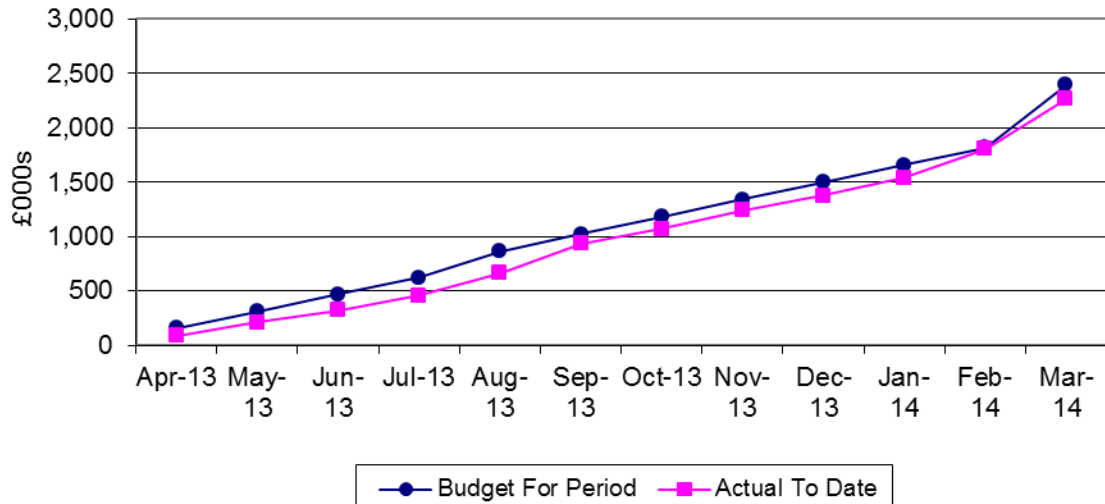
Culmulative Monthly 2013/14 - Legal Services



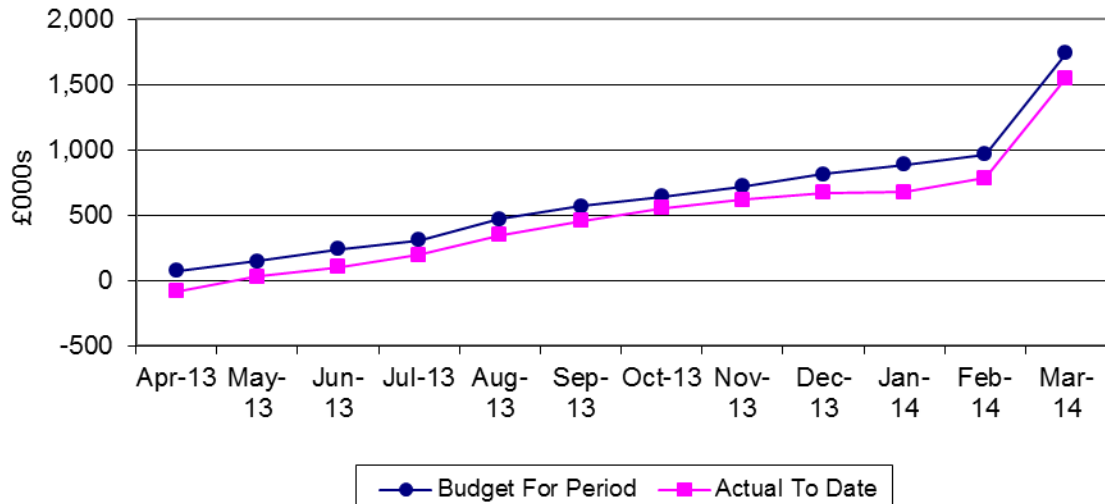
Culmulative Monthly 2013/14 - Neighbourhood Housing



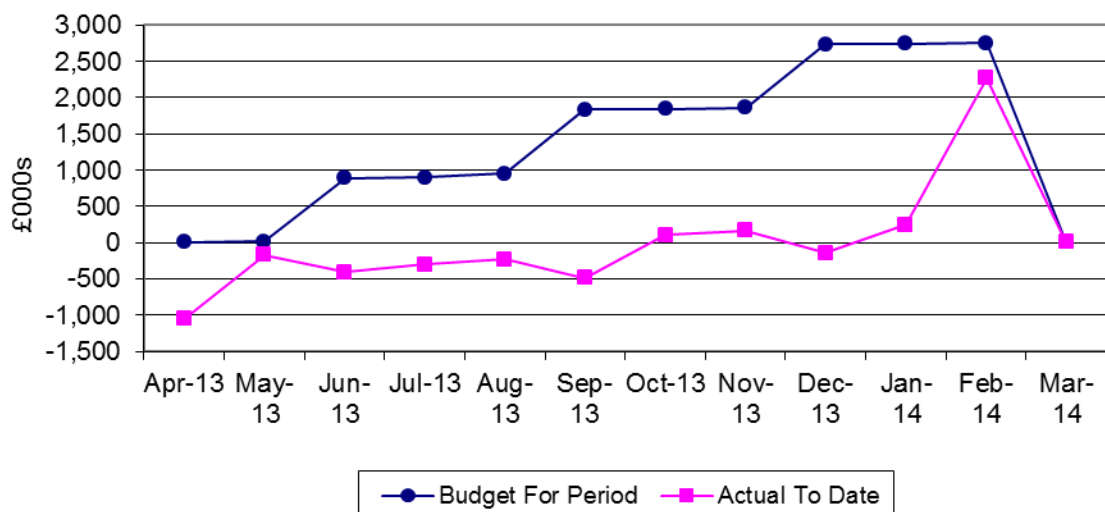
Culmulative Monthly 2013/14 - Neighbourhood Services



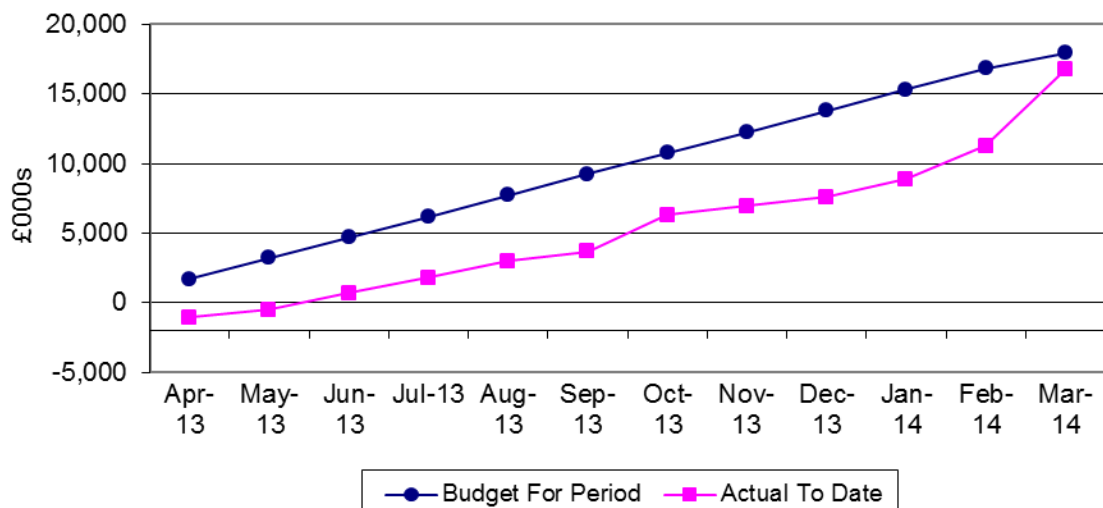
Culmulative Monthly 2013/14 - Planning



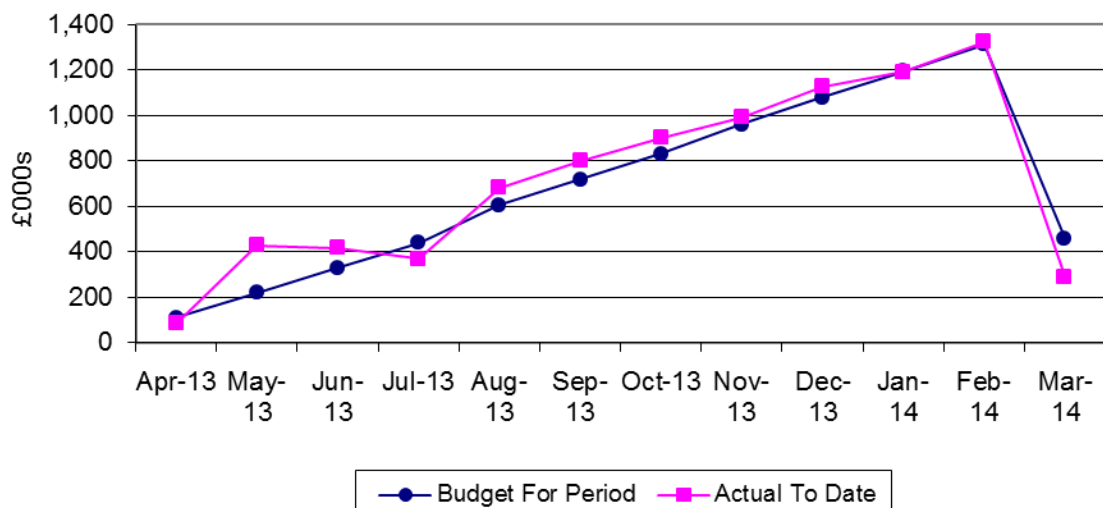
Culmulative Monthly 2013/14 - Procurement & Systems



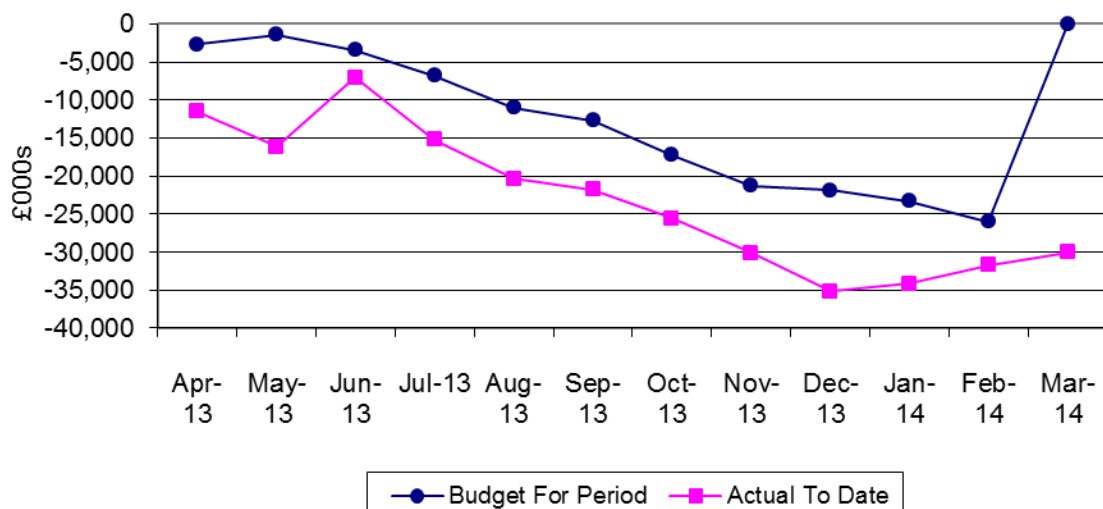
Culmulative Monthly 2013/14 - Property Services (NPS)



Culmulative Monthly 2013/14 - Strategy, People & Democracy



Culmulative Monthly 2013/14 Norwich City Council (Revenue)



Report to Cabinet
25 June 2014

Item

18

Report of Chief finance officer
Subject Provisional Capital Outturn 2013/14

Purpose

To update Cabinet on the financial position of the capital programmes as at 31 March 2014, provisional capital outturns for the year 2013/14, and the estimated carry-forwards to 2014/15.

Recommendation

1. To note the provisional capital outturns of the housing and non-housing capital and estimated carry-forwards to 2014/15.
2. To delegate to the Deputy Chief Executive (Operations) and Chief Finance Officer, in consultation with the portfolio holder for resources, approval of carry-forward of unspent 2013/14 capital budgets to the 2014/15 capital programme.

Corporate and service priorities

The report helps to meet the corporate priority value for money services and the service plan priority to provide accurate, relevant and timely financial information.

Financial implications

The housing and non-housing capital programmes are being delivered within currently available resources, and forecast expenditure will remain within anticipated resources.

The detailed financial implications of this report are set out in the text.

Ward/s: All wards

Cabinet member: Councillor Waters – Deputy leader and resources

Contact officers

Mark Smith, Finance Control Manager (LGSS)
Chris Rayner, Property Services (NPS)

01603 212561
01603 213208

Background documents

Capital Plan & Programme Reports

1. Introduction

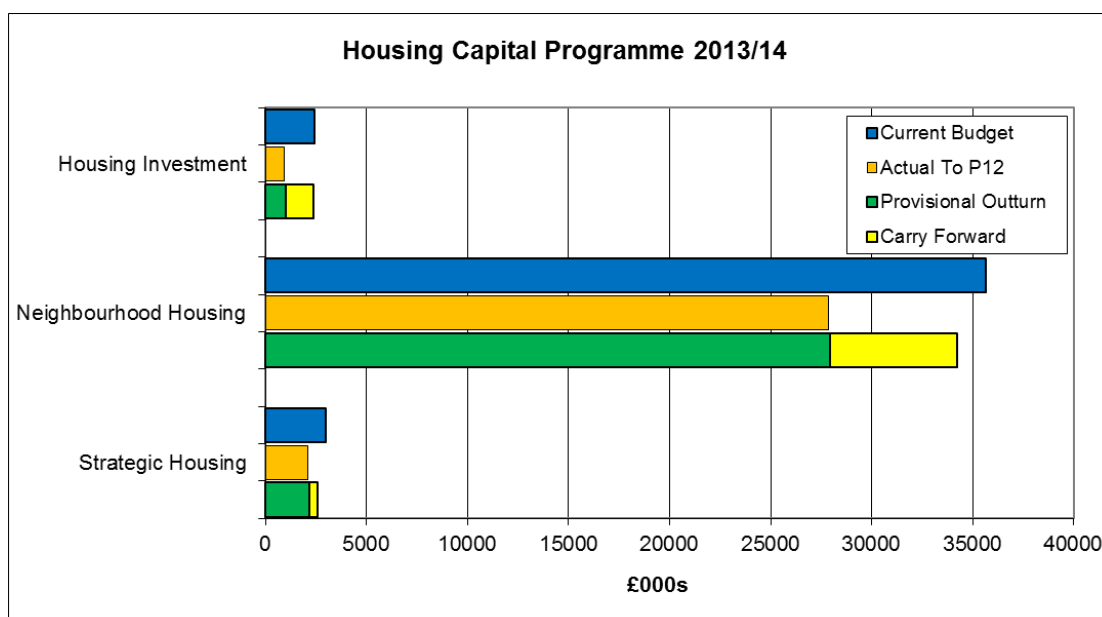
- 1.1 The capital budgets shown below were approved by Cabinet and Council on 13 and 18 February 2013 respectively, and reflect the expenditure plans for both the housing and non-housing capital programmes.
- 1.2 This report reflects the position as at the end of March 2014. The report does not include the accounting adjustments necessary to reflect the financing of the housing and non-housing capital programmes, which will be incorporated into the capital outturn and financial statements.
- 1.3 The estimated carry-forwards within this report will, once confirmed, be additional to the approved 2014/15 programmes.

2. Housing Capital Programme

- 2.1 The housing capital programme for the year to date, provisional outturn, and estimated carry-forward requests are summarised below:

Original Budget £000s	Current Budget £000s	Item	Actual YTD £000s	Provisional Outturn £000s	Provisional Variance £000s	Estimated Carry Fwd £000s
3,391	2,404	Housing Investment	945	1,004	-1,399	1,386
29,625	35,646	Neighbourhood Housing	27,736	27,826	-7,820	6,266
1,850	2,989	Strategic Housing	2,098	2,166	-823	387
34,866	41,038	Total Housing Capital	30,779	30,996	-10,042	8,040

- 2.2 The 2013/14 current budget of £41.038m includes £3.467m of carry-forward from 2012/13 and £2.705m of in-year additions to the programme.
- 2.3 Expenditure in this financial year up to the end of March 2014 totals £30.779m. The provisional outturn of £30.996m is £10.042m short of the budget of £41.038m. Budget managers are expected to request a total of £8.040m in carry-forwards, leaving a £2.002m surplus.



2.4 Further detail regarding housing capital expenditure may be found in Appendix 1.

3. Housing Capital Resources

3.1 Planned available housing capital resources total £43.140m, plus £11.565m of resources brought forward. The current forecast is for an outturn of £47.154m, which after funding the 2013/14 anticipated expenditure of £30.996m, would leave surplus resources of £16.158m available to be carried forward into 2014/15.

Housing capital plan	Approved £000s	Brought Forward £000s	Year to date £000s	Balance to date £000s	Provisional Outturn £000s
Housing resources brought forward	(8,275)	(11,565)	0	(11,565)	(11,565)
Housing capital grants	(394)	0	(574)	(574)	(574)
HRA Major Repairs Reserve	(17,574)	0	(12,440)	(12,440)	(12,440)
HRA Revenue Contribution to Capital	(15,019)	0	0	0	(15,159)
HRA Leaseholders contrib's to major works	(250)	0	(117)	(117)	(117)
Capital receipts arising from RTB sales	(806)	0	(5,912)	(5,912)	(5,912)
Capital receipts arising from non-RTB sales	(822)	0	(1,387)	(1,387)	(1,387)
Gross housing resources	(43,140)	(11,565)	(20,430)	(31,995)	(47,154)
Forecast resources utilised	34,866	0	30,779	30,779	30,996
Total housing capital plan	(8,274)	(11,565)	10,349	(1,217)	(16,158)

3.2 Carry forward requests will reduce the uncommitted balance of resources as follows:

Total housing capital resources carried forward	(16,158)
Less housing capital programme carry forward requests	8,040
Total uncommitted housing capital resources 2014/15	(8,118)

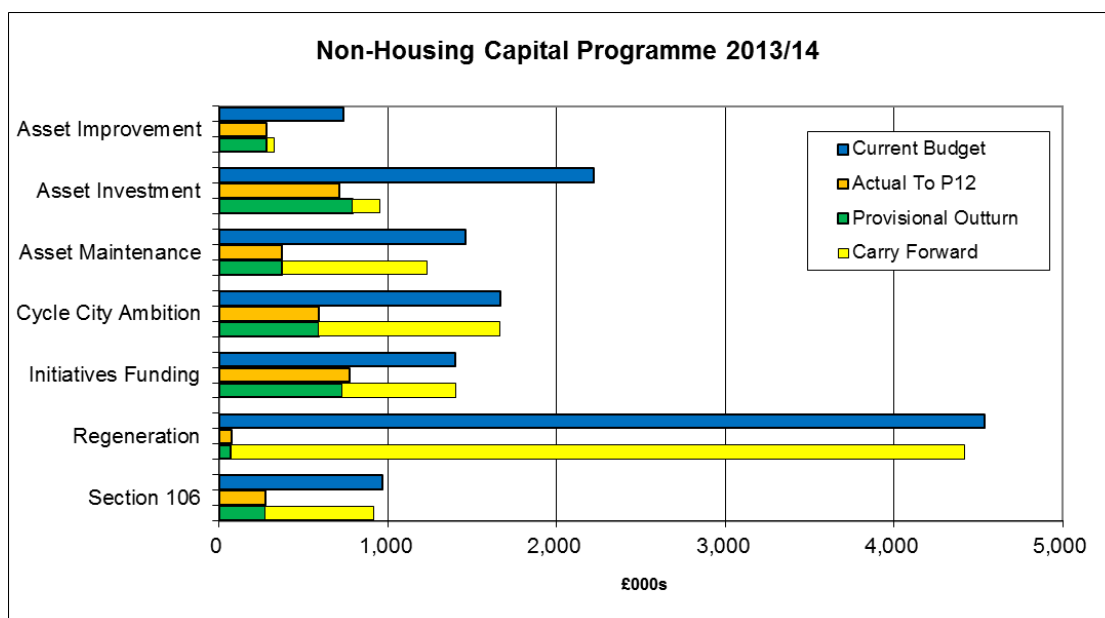
3.3 The total uncommitted housing capital resources carried forward to 2014/15 of £8.118 is £0.156m below the estimate of £8.274m required by the housing capital plan to finance the 2014/15 capital programme. This shortfall is expected to be covered from underspends within the programme.

4. Non-Housing Capital Programme

4.1 The housing capital programme for the year to date, provisional outturn, and estimated carry-forward requests are summarised below:

Original Budget £000s	Current Budget £000s	Item	Actual YTD £000s	Provisional Outturn £000s	Provisional Variance £000s	Estimated Carry Fwd £000s
250	736	Asset Improvement	279	281	-455	47
2,144	2,219	Asset Investment	714	788	-1,431	164
1,300	1,457	Asset Maintenance	373	373	-1,084	860
0	1,664	City Cycle Ambition	588	588	-1,076	1,077
425	1,400	Initiative Funds	774	730	-670	670
0	0	N'hood Housing	124	124	124	0
2,747	4,537	Regen & Growth	71	70	-4,467	4,348
301	967	S106 & CIL	272	272	-696	645
7,167	12,980	Total	3,195	3,224	-9,756	7,809

- 4.2 Original expenditure budgets of £7.167m have been supplemented by £2.409m of brought forward work, the majority of which relates to S106 schemes, and £3.404m of in-year additions to the programme, principally Push The Pedalways funding.
- 4.3 Expenditure in this financial year up to the end of March 2014 totals £3.195m. The provisional outturn of £3.224m is £9.756m short of the budget of £12.980m. Budget managers are expected to request a total of £7.809m in carry-forwards, leaving a £1.947m surplus.



- 4.4 Asset Improvement covers reconfiguration and major repairs to City Hall as part of the delivery of the office accommodation strategy, and Investment in existing assets.
- 4.5 Asset Investment covers the acquisition of new investment property as part of the delivery of the asset management plan. Opportunities are identified and assessed with the support of the council's advisers, NPS Norwich Ltd. The carry-forward shown will allow the continuation of this delivery in 2014/15.
- 4.6 Asset maintenance expenditure covers provision for major repairs and upgrades (including works to St Andrews car park) and investment to reduce asset liabilities
- 4.7 Initiative funds cover the community capital fund and the eco-investment fund, as well as the IT investment fund.
- 4.8 Regeneration and Growth covers the Norwich And Homes & Communities Agency Strategic Partnership (NAHCASP)-funded Bowthorpe/Three Score site development and enabling, together with a development fund for vacant buildings and sites. The balance of NAHCASP resources (including approval for additional borrowing by the council) will be carried forward for imminent investment.
- 4.9 Further detail regarding non-housing capital expenditure is shown in Appendix 2.

5. Non-Housing Capital Resources

- 5.1 Planned available non-housing capital resources total £8.842m, plus £8.603m of resources brought forward. The current forecast is for an outturn of £12.701m, which after funding the 2013/14 anticipated expenditure of £4.158m, would leave surplus resources of £8.542m available to be carried forward into 2014/15

	Approved £000s	Brought Forward £000s	Year to date £000s	Balance to date £000s	Provisional Outturn £000s
Non-housing capital plan					
CIL Balances b/f	0	0	0	0	0
CIL resources arising	0	0	(71)	(71)	(71)
CIL resources utilised	0	0	60	60	60
Subtotal CIL resources	0	0	(11)	(11)	(11)
S106 Balances b/f	(498)	(1,697)	0	(1,697)	(1,697)
S106 resources arising	(160)	0	(107)	(107)	(107)
S106 resources utilised	301	0	272	272	272
Subtotal S106 resources	(357)	(1,697)	164	(1,532)	(1,532)
Other non-housing balances b/f	(6,459)	(6,907)	0	(6,907)	(6,907)
Other non-housing resources arising	(1,725)	0	(4,291)	(4,291)	(4,291)
Other non-housing resources utilised	6,866	0	2,924	2,924	2,953
Subtotal other non-housing resources	(1,318)	(6,907)	(1,367)	(8,274)	(8,245)
Total non-housing capital plan	(1,675)	(8,603)	(1,214)	(9,817)	(9,788)

- 5.2 Carry forward requests of £7.809m will reduce the uncommitted balance of resources as follows:

Total non-housing capital resources carried forward	(9,788)
Total non-housing capital programme carry forward requests	7,809
Total uncommitted non-housing capital resources 2014/15	(1,979)

- 5.3 The total uncommitted housing capital resources carried forward to 2014/15 of £1.979m is £0.304m in excess of the minimum of £1.675m required by the non-housing capital plan to finance the 2014/15 capital programme, though the plan also requires significant capital receipts in 2014/15 from an accelerated disposal programme.

6. Carry Forwards

- 6.1 The carrying forward of capital budget approvals from one year to the next allows for the continuation of schemes across the year-end without the need to seek re-approval of capital budgets through the new year's capital programme. This facility caters for schemes starting later than planned, schemes where the expenditure profile is different from that originally envisaged, and packaged schemes of small capital projects.
- 6.2 The tables above summarise, and the appendices detail, where carry-forwards have been requested by capital budget managers. Some of these requests may still be amended during the remaining process of closing the 2013/14 accounts.

- 6.3 To allow flexibility in dealing with any such amendments, and to provide continuity of budget approval, it is recommended that the approval of capital carry-forwards be delegated to the Deputy Chief Executive (Operations) and Chief Finance Officer, in consultation with the portfolio holder for resources.
- 6.4 Such approvals would be within the usual parameters of being limited to the amounts underspent on each budget in 2013/14, and being for the purpose(s) for which the existing approval was given.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Chief Finance Officer
Report subject:	Provisional capital outturn 2013/14
Date assessed:	19 May 2014
Description:	This is the integrated impact assessment for the provisional capital outturn 2013/14 report to cabinet

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The report shows that the council monitors its budgets, considers risks to achieving its budget objectives, reviews its balances position, and is therefore able to maintain its financial standing
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Managing the capital budgets ensures that the council is able to best deliver its objectives and improve the living conditions of tenants and residents
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Asset management and investment ensures that the built environment is maintained and improved
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	All works contracts are procured sustainably
Energy and climate change	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	All works are designed to maximise the energy efficiency of the assets
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Periodic capital budget monitoring reports demonstrate that the council is aware of and monitors risks to the achievement of its financial strategy.

Recommendations from impact assessment

Positive

None

Negative

None
Neutral
None
Issues
The council will continue to monitor its capital budget performance in the context of the financial risk environment within which it operates.

HOUSING CAPITAL PROGRAMME

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
1,351,000	333,541	7170 Solar Thermal & Photovoltaic	333,541	4,050	-329,491	4,050	-329,491	329,491
500,000	525,000	7460 Sheltered Housing Redevelopment	525,000	466,488	-58,512	466,488	-58,512	58,511
100,000	105,000	7620 Sheltered Housing Access & Security	105,000	194	-104,806	194	-104,806	0
250,000	250,000	7930 Capital Buybacks	250,000	342,000	92,000	342,000	92,000	0
390,000	390,000	8800 New Build - Riley Close	390,000	0	-390,000	0	-390,000	390,000
800,000	800,000	8801 New Build - Pointers Field	800,000	126,816	-673,184	191,515	-608,485	608,485
0	0	8802 New Build - Goldsmith Street	0	5,000	5,000	0	0	0
3,391,000	2,403,541	Subtotal Housing Investment	2,403,541	944,548	-1,458,993	1,004,247	-1,399,294	1,386,487
1,211,000	1,241,275	7010 Electrical - Internal	1,241,275	1,250,463	9,188	1,250,463	9,188	0
260,000	1,032,310	7040 Whole House Improvements	1,032,310	795,356	-236,954	795,356	-236,954	236,954
6,906,000	7,475,060	7070 Kitchen Upgrades	7,475,060	7,474,917	-143	7,474,917	-143	0
2,288,000	2,410,880	7080 Bathroom Upgrades	2,410,880	2,413,265	2,385	2,413,265	2,385	0
350,000	120,750	7100 Boilers - Communal	120,750	95,767	-24,983	95,767	-24,983	24,983
3,592,000	4,541,880	7110 Boilers - Domestic	4,541,880	4,563,990	22,110	4,563,990	22,110	0
820,000	1,156,875	7150 Insulation	1,156,875	1,039,471	-117,405	1,039,471	-117,405	117,404
3,000,000	3,022,262	7200 Windows - Programme	3,022,262	1,766,179	-1,256,083	1,766,179	-1,256,083	1,256,083
458,000	1,404,582	7280 Composite Doors	1,404,582	1,069,894	-334,688	1,069,894	-334,688	334,688
250,000	251,000	7300 Comm Safe - DES	251,000	25,884	-225,116	25,884	-225,116	0
900,000	1,723,284	7520 Planned Maint - Roofing	1,723,284	954,859	-768,425	954,859	-768,425	768,424
1,200,000	1,560,547	7530 Boundary Walls & Access Gates	1,560,547	906,583	-653,964	906,583	-653,964	400,000
6,000,000	6,676,000	7540 Planned Maint - Structural	6,676,000	3,335,385	-3,340,615	3,413,347	-3,262,653	2,500,000
100,000	104,000	7550 Vehicle Hardstanding	104,000	2,896	-101,104	2,896	-101,104	100,000
250,000	325,000	7580 Planned Maint - Lifts	325,000	147,766	-177,234	147,766	-177,234	0
250,000	253,750	7590 Concrete footpaths, ramps, etc.	253,750	0	-253,750	0	-253,750	200,000
1,000,000	1,014,352	7600 Dis Ad - Misc	1,014,352	964,753	-49,599	976,045	-38,307	0

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
200,000	210,000	7630 Dis Ad - Stairlifts	210,000	173,178	-36,822	173,178	-36,822	0
40,000	42,000	7670 Housing SIL Scooter Stores	42,000	0	-42,000	0	-42,000	0
0	0	7680 Dis Ad - Comms	0	3,424	3,424	3,424	3,424	0
550,000	1,080,245	7950 Other - Communal Bin Stores	1,080,245	752,301	-327,944	752,301	-327,944	327,944
29,625,000	35,646,052	Subtotal Neighbourhood Housing	35,646,052	27,736,331	-7,909,722	27,825,585	-7,820,468	6,266,480
0	0	6003 Private Sector - General	0	20	20	0	0	0
640,000	640,000	6011 Minor Works Grant	640,000	2,963	-637,037	2,963	-637,037	0
100,000	168,606	6012 Empty Homes Grant	168,606	0	-168,606	0	-168,606	168,606
0	0	6015 Agency Fees	0	56,362	56,362	56,362	56,362	0
500,000	570,246	6018 Disabled Facilities Grant	570,246	625,805	55,559	625,805	55,559	0
360,000	360,000	6019 Capital Grants to Housing	360,000	326,264	-33,736	326,264	-33,736	0
0	0	6029 Small Adaptation Grants	0	38,717	38,717	38,717	38,717	0
0	0	6030 Home Improvement Loans	0	0	0	63,464	63,464	0
0	0	6031 Survey Costs	0	28,254	28,254	28,254	28,254	0
0	1,000,000	6039 Local Authority Mortgage Scheme	1,000,000	1,000,000	0	1,000,000	0	0
250,000	250,000	7960 Demolition & Site Maintenance	250,000	19,392	-230,608	24,392	-225,608	218,278
1,850,000	2,988,852	Subtotal Strategic Housing	2,988,852	2,097,777	-891,075	2,166,221	-822,631	386,884
34,866,000	41,038,445	Total Housing Capital Programme	41,038,445	30,778,656	-10,259,790	30,996,053	-10,042,393	8,039,851

NON-HOUSING CAPITAL PROGRAMME

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
0	0	5246 City Hall Reception and Waiting	0	50	50	50	50	0
0	0	5279 St Annes Wharf Bridge	0	2,090	2,090	2,090	2,090	0
0	59,255	5294 Eaton Park Tennis Development	59,255	11,518	-47,737	11,518	-47,737	46,876
250,000	416,813	5299 City Hall Refurbishment Phase 1	416,813	236,330	-180,483	236,330	-180,483	0
0	0	5301 Welcome to Norwich signs	0	28,680	28,680	28,680	28,680	0
0	260,000	5322 Riverside Walk (adj NCFC)	260,000	805	-259,195	2,082	-257,918	0
250,000	736,068	Subtotal Asset Improvement	736,068	279,473	-456,595	280,750	-455,318	46,876
-25,000	75,000	5307 Car Park Handheld Units	75,000	0	-75,000	73,547	-1,453	0
50,000	50,000	5310 22 Hurricane way - asbestos	50,000	6,300	-43,700	6,300	-43,700	43,700
575,000	650,000	5311 Townsend House	650,000	649,996	-4	649,996	-4	0
60,000	60,000	5312 Yacht Station Repairs	60,000	0	-60,000	0	-60,000	60,000
284,000	284,000	5313 Riverside Leisure Centre Eqpt.	284,000	0	-284,000	0	-284,000	0
100,000	100,000	5314 Ass Inv - Mile Cross Depot	100,000	5,858	-94,142	5,858	-94,142	0
900,000	400,000	5315 Asset investment for income (other	400,000	0	-400,000	0	-400,000	60,000
200,000	100,000	5316 Bacon House Lease Surrender	100,000	0	-100,000	0	-100,000	0
0	500,000	5320 Rose Lane MSCP Construction	500,000	52,127	-447,873	52,127	-447,873	0
2,144,000	2,219,000	Subtotal Asset Investment	2,219,000	714,281	-1,504,719	787,828	-1,431,172	163,700
500,000	496,000	5006 Major Repairs Programme	496,000	363,610	-132,390	363,610	-132,390	157,599
0	0	5245 Memorial Gardens temporary works	0	211	211	211	211	0
0	161,000	5293 Millar Hall - Norman Centre	161,000	4,444	-156,556	4,444	-156,556	156,556
550,000	550,000	5308 St Andrews MSCP repair	550,000	4,588	-545,413	4,588	-545,413	545,412
250,000	250,000	5309 Property liabilities and investment	250,000	0	-250,000	0	-250,000	0
1,300,000	1,457,000	Subtotal Asset Maintenance	1,457,000	372,853	-1,084,148	372,853	-1,084,148	859,567
0	50,400	5101 Norfolk and Norwich Hospital hub	50,400	27	-50,373	27	-50,373	50,373
0	70,000	5102 North Park Avenue - UEA zebra	70,000	32,523	-37,477	32,523	-37,477	37,477
0	19,800	5103 UEA Hub	19,800	0	-19,800	0	-19,800	19,800

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
0	180,000	5104 The Avenues	180,000	41,463	-138,537	41,463	-138,537	138,537
0	72,000	5105 Earlham Road (Gypsy Lane -	72,000	545	-71,455	545	-71,455	71,455
0	13,500	5106 Adelaide Street health centre link	13,500	892	-12,608	892	-12,608	12,608
0	27,000	5107 Alexandra Road - Park Lane (via	27,000	27,217	217	27,217	217	0
0	90,000	5108 Park Lane - Vauxhall Street	90,000	31,037	-58,963	31,037	-58,963	58,963
0	140,400	5109 Vauxhall Street - Bethel Street	140,400	80,382	-60,018	80,382	-60,018	60,018
0	45,000	5110 Market hub	45,000	23,168	-21,832	23,168	-21,832	21,832
0	36,000	5111 Magdalen Street and Cowgate	36,000	27,956	-8,044	27,956	-8,044	8,044
0	27,000	5112 St Andrew's Plain hub	27,000	17,840	-9,160	17,840	-9,160	9,160
0	72,000	5113 Tombland & Palace Street	72,000	8,122	-63,878	8,122	-63,878	63,878
0	36,000	5114 Gilders Way - Cannell Green	36,000	0	-36,000	0	-36,000	36,000
0	108,000	5115 Heathgate - Valley Drive	108,000	20,249	-87,751	20,249	-87,751	87,751
0	112,500	5116 Laundry Lane - St Williams Way	112,500	3,256	-109,244	3,256	-109,244	109,244
0	85,500	5117 Munnings Road - Greenborough	85,500	9,198	-76,302	9,198	-76,302	76,302
0	0	5118 Salhouse Road (Hammond Way -	0	2,085	2,085	2,085	2,085	-2,085
0	135,000	5119 20 mph areas	135,000	1,785	-133,215	1,785	-133,215	133,215
0	157,500	5121 Directional signage and clutter	157,500	72,263	-85,237	72,263	-85,237	85,237
0	27,000	5122 Automatic cycle counters	27,000	0	-27,000	0	-27,000	27,000
0	159,400	5123 Cycle City Ambition Project	159,400	187,540	28,140	187,540	28,140	-28,140
0	1,664,000	Subtotal Cycle City Ambition	1,664,000	587,548	-1,076,452	587,548	-1,076,452	1,076,669
0	150,000	5305 Eco-Investment Fund	150,000	385	-149,615	29,513	-120,487	120,487
25,000	50,000	5306 Community Capital Fund	50,000	20,284	-29,716	20,284	-29,716	29,716
400,000	1,200,000	5317 IT Investment Fund	1,200,000	753,311	-446,689	679,764	-520,236	520,000
425,000	1,400,000	Subtotal Initiatives Funding	1,400,000	773,980	-626,020	729,561	-670,439	670,203
0	0	5296 Housing Communal Bins	0	124,373	124,373	124,373	124,373	0
0	0	Subtotal Neighbourhood Housing	0	124,373	124,373	124,373	124,373	0
0	0	5271 Memorial Garden Scheme	0	2,478	2,478	2,478	2,478	0
0	0	5300 Norwich Connect 2	0	60,778	60,778	60,778	60,778	0

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
190,000	190,000	5318 Vacant Sites Regeneration	190,000	7,300	-182,700	7,300	-182,700	0
0	0	5319 Riverside Path Work	0	1,277	1,277	0	0	0
0	0	5500 NaHCASP Memorial gardens	0	-2,119	-2,119	-2,119	-2,119	2,119
2,557,000	364,835	5504 NaHCASP Strategic Priorities	364,835	1,307	-363,528	1,307	-363,528	363,528
0	3,982,000	5512 NaHCASP Threescore	3,982,000	0	-3,982,000	0	-3,982,000	3,982,000
2,747,000	4,536,835	Subtotal Regeneration	4,536,835	71,021	-4,465,814	69,744	-4,467,091	4,347,647
0	0	5302 Riverside/King St Signs	0	6,351	6,351	6,351	6,351	0
0	13,747	5701 s106 Chapelfield Gardens Play	13,747	7,728	-6,019	7,728	-6,019	6,019
17,000	105,156	5703 s106 Jenny Lind/Eagle Walk	105,156	105,265	109	105,265	109	0
59,000	89,000	5705 s106 The Runnel Play Provision	89,000	0	-89,000	0	-89,000	89,000
0	0	5715 s106 Marion Road Play Provision	0	3,514	3,514	3,514	3,514	0
0	22,000	5717 s106 Wensum Comm Centre Play	22,000	0	-22,000	0	-22,000	22,000
0	0	5719 NCCAAP Play Projects	0	1,870	1,870	1,870	1,870	0
0	16,712	5722 S106 Fiddlewood Play Project	16,712	17,626	914	17,626	914	0
0	0	5723 Pointers Field Playbuilder Capital	0	764	764	764	764	0
0	110,785	5725 S106 Pilling Park Improvements	110,785	96,042	-14,743	96,042	-14,743	14,743
0	28,000	5728 S106 Mile Cross Gardens Play	28,000	0	-28,000	0	-28,000	28,000
0	0	5729 s106 Eagle Baths Play Project	0	536	536	536	536	0
0	7,000	5730 S106 Midland Street Open Space	7,000	0	-7,000	0	-7,000	7,000
0	28,768	5731 s106 Wooded Ridge project	28,768	15,508	-13,260	15,508	-13,260	13,260
13,000	13,000	5732 s106 Wensum View Play	13,000	0	-13,000	0	-13,000	13,000
43,000	43,000	5733 s106 Sarah Williman Close	43,000	162	-42,838	162	-42,838	42,838
8,000	0	5734 s106 Kerrison Road Play	0	0	0	0	0	0
81,000	81,000	5735 s106 Castle Green Play	81,000	0	-81,000	0	-81,000	81,000
9,000	9,000	5736 s106 Castle Gardens Play	9,000	0	-9,000	0	-9,000	9,000
0	50,000	5801 s106 Hurricane Way Bus Link	50,000	0	-50,000	0	-50,000	50,000
0	22,000	5806 Threescore, Bowthorpe - sustainable	22,000	0	-22,000	0	-22,000	22,000
0	11,256	5812 S106 Flood Alleviation project	11,256	10,465	-792	10,465	-792	0

Approved Budget	Current Budget		Budget To Date	Actual To Date	Variance To Date	Forecast Outturn	Forecast Variance	Carry Forward
19000	80,885	5813 S106 Green Infrastructure Imps	80,885	0	-80,885	0	-80,885	29,929
0	0	5815 S106 St James Churchyard	0	427	427	427	427	0
29,000	0	5818 S106 Chapelfield & Westlegate	0	0	0	0	0	0
0	14,000	5819 S106 Edward St Bus Interchange	14,000	0	-14,000	0	-14,000	0
0	119,000	5821 S106 Livestock Mkt Cycle/Walkway	119,000	0	-119,000	0	-119,000	119,000
7,000	87,000	5823 BRT & Cycle Route Measures	87,000	0	-87,000	0	-87,000	87,000
0	0	5825 Sustainable Transport Car Club	0	104	104	104	104	0
16,000	16,000	5826 Goals Soccer Centre Ped Refuse	16,000	5,193	-10,807	5,193	-10,807	10,807
301,000	967,309	Subtotal Section 106	967,309	271,555	-695,755	271,555	-695,755	644,596
7,167,000	12,980,212	Total Non-Housing Capital Programme	12,980,212	3,195,084	-9,785,130	3,224,212	-9,756,002	7,809,258

Report to Cabinet
25 June 2014
Report of Chief finance officer
Subject Banking Services Delegation

Item

19

KEY DECISION

Purpose

To inform members of the progress to date on the tender for the banking services.

Recommendation

To delegate the decision to award a contract for banking services to the chief finance officer in consultation with the portfolio holder for resources

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services".

Financial implications

The banking service provided is crucial to the operation of the council's business although the costs associated are not significant with annual bank charges currently being in the region of £55,000. The estimated costs associated with the tender are relatively small at £1,500.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

Caroline Ryba 01603 212440

Philippa Dransfield 01603 212562

Report

1 Background

- 1.1 The Council currently banks with the Co-operative Bank under a rolling one year contract up to 31 July 2014.
- 1.2 On 5 November 2013 the Co-operative Bank announced that, regardless of the outcome of their forthcoming recapitalisation bond issue, they would cease to provide banking services to the local authority sector. They were prepared to honour their existing contracts, but would not grant extensions to the contract or tender for future business.
- 1.3 All Norfolk local authorities and the police currently bank with the Co-operative Bank. Officers are currently conducting a joint tender exercise through OJEU to procure a new banking provider. The combined transactions volumes should make this tender more attractive to the banks and produce keener pricing. Soft market testing produced five banks which may be interested in bidding.
- 1.4 The result of the procurement will be a single banking provider across Norfolk, but each council will have its own contract that reflects its own service specification.

2 PROPOSED TIMETABLE

- 2.1 The invitation to tender was advertised on 8th May and the deadline for interested parties to submit their completed tenders is 28th June. The authorities will meet to evaluate the tenders in the week commencing 30th June, with interviews (if necessary) scheduled for 14th to 18th July.
- 2.2 The timetable has been written to accommodate the closest of the contract expiry dates; two of the participant authorities have banking services contracts that require renewal in 2014, with an even spread of expiry dates from March 2015 to March 2017 amongst the remainder.
- 2.3 The intention is to award the contract to a single provider on 1st August 2014, with an individual contract issued to each participant and phased transition from the Co-operative Bank in accordance with each authority's contract expiry date.
- 2.4 However, for the council to participate fully in this process, it must be able to commit to a decision on 21st July, based on information which will not be available until 30th June at the earliest.

3 RESOURCE IMPLICATIONS

- 3.1 The work of drawing up the new banking contract specification, advertising, negotiating potentially difficult parts of the contract and assessing the tender submissions, is being divided amongst the participants, such that the workload on any individual council is substantially reduced.
- 3.2 In addition, Norfolk County Council are leading the procurement process on

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behalf of all the authorities involved. Advice is being provided by an officer of NPLaw, with the charges being divided amongst the participant authorities. These charges can be offset against Norwich City Council's existing contract with NPLaw. Current estimates of the total legal charge to Norwich are £475.

- 3.3 The invitation to tender was drawn up with the assistance of a jointly appointed banking consultant who visited Norwich City Council to ensure that our specific requirements were met in the tender document. East of England LGA has provided funding to cover some of the costs of the banking consultant, Norwich's share of the remaining cost is estimated at £1,032. Norwich City Council has been on the project steering group and will be represented on the evaluation and interview panels.

4 LEGAL IMPLICATIONS

- 4.1 The advice of NPLaw has been required to ensure that all parts of the invitation to tender, the draft contract, and the memorandum of understanding between the authorities concerned is compliant with UK law and does not contain clauses that may lead to loss of funds or reputation over the course of the contract's term.

5 RISK IMPLICATIONS

- 5.1 The risk of not appointing a banking services contractor before the expiry of the current contract are that the Council will be unable to pay its creditors efficiently, or to receive income from its debtors. This is likely, as there is insufficient time for the Council to complete its own tender process before 31st July 2014.
- 5.2 The risks of not completing the joint tender exercise are:
- Increased workload for the council's officers
 - A low or nil response rate from banks to an individual tender exercise
 - Increased costs, as these will not be jointly borne by the group
 - Increased tariff costs; there may be savings offered by banks eager to obtain a large share of creditworthy business in Norfolk.
- 5.3 The risk of appointing a bank that is not acceptable to a public sector body is low, as there will be nine authorities with broadly similar banking needs scrutinising the contract. The appropriate checks will be made by the Chief finance officer before the council's choice is made

6 Conclusion

The joint procurement exercise for a new banking service provider is progressing well, but flexibility is needed to ensure that the contract award is made in accordance with the timescales.

Integrated impact assessment



NORWICH
City Council

The IIA should assess **the impact of the recommendation** being made by the report
Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete	
Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Caroline Ryba
Report subject:	Banking Services preferred supplier delegation
Date assessed:	
Description:	

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The combined transactions volumes of a joint tender should make it more attractive to the banks and produce keener pricing.
Other departments and services e.g. office facilities, customer contact	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Proposed implementation of bankingservice supplier change will incorporate improvements to the systemm
ICT services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Resources required of ICT
Economic development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Simple banking arrangements requested in tender for thiose otherwise not able to assess services
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

Report to Cabinet
25 June 2014
Report of Deputy Chief Executive (Operations)
Subject Installation of Energy Efficient Panels to Council Housing

Item

20

KEY DECISION

Purpose

To outline the options for the delivery of a trial “Photovoltaic Panel (PV) For Free” installation project which will include 200 council owned homes and potentially one area office (Lakenham) and to consider the delivery method for this scheme.

Recommendation:

To trial the installation of a “PV for Free” programme to 200 council houses plus potentially the Lakenham neighbourhood office (subject to further investigations) delivered through NPS Norwich Ltd.

Corporate and service priorities

The report helps to meet the corporate priority “Decent housing for all” and the service plan priorities to continue to deliver the programme of making all council homes decent, to maximise the use of our housing stock and to enable new homes.

Financial Implications:

There will be no cost implications for the council. However, it is anticipated that there will potentially be a saving in energy consumption and energy costs for the running of the Lakenham area office. In addition there is the potential for a 50% share of any surplus income generated by NPS Norwich Ltd through efficiencies.

Ward/s: All

Cabinet member: Councillor Bremner – Housing

Contact officers

Chris Rayner – Head of property services, NPS Norwich Ltd 01603 227902

Justin Warnes – Investment Team Leader, NPS Norwich Ltd 01603 227906

Background documents

1. Rep Cabinet Award of contract for the installation of photovoltaic panels to council homes 2011-09-21.
2. Rep Cabinet 06 PV for Free 2010–10-27.
3. Homes, Energy Conservation Act 2013 (HECA)

Report

Background

1. In July 2009 the government presented the new Feed-in Tariff (FIT) Programme or “Clean energy cash back”. There were three main benefits of this programme:
 - The generation (Feed-in) tariff – This is a guaranteed payment to the owner of the PV system for every kW of energy produced over a 25 year period. The current rate paid for the remaining life of the FIT is 12.94p.
 - The export tariff – This is the guaranteed payment (currently 4.77p per unit) for every unit of energy that is generated but not used by the household and which is then exported back to the grid. At present this cannot be measured accurately and a figure of 50% of all generated electricity is used to calculate payment.
 - Free electricity – The average household could save between £100 and £200 per year on their average energy bills as a result of having a PV system installed on their home.
2. At this time a number of suppliers were offering “PV for Free” projects over a long term investment period. Essentially this involved the Council “leasing” the roofs of Council homes to another organisation (often an investment company) for a 25 year period who then install and maintain PV panels on the roof. Tenants benefit from the free electric and the investment company claim any FIT and export payments.
3. In September 2011 Cabinet agreed to appointment a contractor to install PV systems to Council homes. However, shortly afterwards the Government substantially reduced the feed-in tariff which effectively meant that “PV for free” schemes were no longer financially viable and a contractor was never appointed for the scheme to proceed.
4. Although the FIT has been reduced by the Government manufacturing and installation costs have also dropped considerably from the costs in 2011 resulting in “PV for Free” schemes once again starting to become financially viable.
5. A budget has been in place since 2013 for the Council to invest in PV type schemes, however concerns over the robustness of the technology prevented the Council investing it's own funds the evidence now is that this has considerably improved since 2011. Issues with efficiency and maintenance problems are still a risk, however the risk is now much lower. In view of the above concerns little investment has been made using the Council resources to date, however the time is now right to consider projects and financing options again. The exception to this is a small number of trial installations of PV type schemes, which are being monitored for efficiencies (in terms of energy reductions and therefore reduced energy costs for the tenant) and maintenance costs (but this will only become clear over a longer period of time). These scheme have proven to be reliable, popular with tenants and to date there have been no major issues in terms of damage to roofs etc during installation.

6. The Council has an ambition to implement a comprehensive programme of energy reduction and energy generation measures to help reduce energy costs and fuel poverty for tenants and the Council is currently considering how a programme of this scale could be funded. This specific proposal seeks to build on the Councils experience of a small number of pilot single property projects (where we have learned more about the technology) to now move to the next stage where we can gain experience of area wide programme delivery. This project presents a no cost low risk approach that can be delivered in a reasonable timeframe. There are other options where the Council could invest or seek other third party investment and these would be considered as part of the next phase when more is understood about the implications of implementing a programme of this nature before a more extensive roll-out.

Proposal

7. It is proposed to trial a "PV for Free" installation to 200 Council owned homes as well as a potential installation on the Lakenham neighbourhood office. The work at the Lakenham neighbourhood office will coincide with other modernisation works but does need further consideration and investigation prior to committing to an installation and so may not be included within the project at this stage. A figure of 200 properties is considered to be large enough for the Council to gain experience for the future in terms of any installation and maintenance issues and also large enough to attract third party investment.
8. Tenants within these properties will gain from the free electricity generated and as outlined in paragraph 1 this could be in the region of as much as £200 on their annual electricity costs.
9. The 200 Council homes will be chosen based on family type accommodation where there is full occupancy (three bedrooms and above to give a good roof area but also to give most benefit to those likely to use more electricity) that are in the top areas of deprivation and where the roof orientation is suitable. In the case of this programme the properties are situated in the Catton and Mile Cross wards.
10. This proposal will contribute to the Councils aim of reducing fuel poverty across the city and in addition to reducing the risk of tenants falling into arrears due to rising energy costs, could also mean more money is available to the local economy that would otherwise have gone to the energy providers..
11. Installations to actual properties are still to be determined following a detailed survey process, however they will be dependant on property conditions and, in addition to the above, will take account of:
 - The direction each property faces, which determines how much sunlight it gets throughout the day (the closer this is to south the better).
 - The pitch of the roof.
 - Degree to which the roof is shaded by trees or other buildings.
 - Any capacity issues there may be on the local electricity grid to receive all of the power generated from the PV panels in the area.

- The capacity of the electrical installation to the property to accommodate a PV system.

12. Properties deemed not suitable due to any of the above reasons (and who would otherwise have benefitted from a PV installation) and where the tenant is in fuel poverty will be prioritised for any additional measures, such as increased insulation, external insulation, replacement boiler etc.

Use of NPS Norwich Ltd for a “PV for Free” trial installation

13. NPS Norwich Ltd is a joint venture company jointly owned by NPS Group and the Council. The JV now provides the entire professional property function for the Council.

14. NPS Group includes a subsidiary company called Norse Energy which has been established to provide energy solutions across the public and private sectors, including installations of PV (including “PV for Free”), biomass boilers and energy efficient lighting.

15. NPS Norwich could utilise the expertise of Norse Energy for a “PV for Free” scheme. Norse Energy are currently working with Colchester Borough Homes on a similar scheme to 120 blocks of flats within the borough.

16. Under such a proposal NPS Norwich would manage the process to appoint the investment company, in line with procurement regulations, financing the installation who would then retain the FIT and export tariff, whilst the tenants would still benefit from free electricity.

17. The advantages of this approach would be that NPS Norwich would provide overall project management resources and would potentially receive a (small) proportion of the FIT’s and generation tariffs in addition to any survey fee work to cover this additional work. Half of any surplus generated from this work would be paid back to the Council under the terms of the JV agreement. This is an advantage over an external organisation delivering the scheme where all of the tariff and/or fees would be retained by the investment company. As with an external provider there is no risk and no additional cost to the Council from this arrangement as this will sit with NPS Norwich or the investment company.

18. NPS Norwich has close links and a close working relationship with Norse Energy which will give the Council, through the JV, greater learning and understanding of implementing a scheme of this nature that would not be available from an independent investment company.

19. Prior to the award of the contract confirmation will be received that there will be no breach of any procurement regulations, and any issues will be resolved in such a way so as to protect the Council from challenge.

Options

20. There are four options for consideration:

- Option 1 - Do nothing:

- Would waste the opportunity described in this report to realise the benefits for our tenants, the community, authority and the environment.
- Option 2 – The Council fund a PV installation programme to Council owned properties
 - This would require spending the housing capital money on the installation and may result in issues in terms of funding being available for improvements, such as the Norwich Standard, and new build aspirations.
 - Tenants would benefit from free electricity therefore reducing fuel poverty.
 - The Council would retain the FIT and export tariff.
 - There would be environmental benefits and the programme would contribute to the Councils carbon reduction target of 6 per cent per year.
- Option 3 – An external supplier (investment company) delivers a “PV for Free” installation programme to Council owned properties
 - There would be no cost and no risk to the Council,
 - All FIT and export tariffs would be retained by the external provider resulting in no additional income for the Council.
 - Tenants would benefit from free electricity therefore reducing fuel poverty.
 - There would be environmental benefits and the programme would contribute to the Councils carbon reduction target of 6 per cent per year.
- Option 4 – NPS Norwich Ltd manages a “PV for Free” installation programme to Council owned properties
 - NPS Norwich would manage the project at no cost to the Council. All additional works required such as Energy Performance Certificate's, resident liaison and property surveys will be carried out by NPS Norwich Ltd as part of the management of the project and if an external investment company is used charge this back to them. In addition a fixed fee may be payable to NPS Norwich Ltd by an external investment company. Any surplus generated will be shared on a 50/50 basis with the Council thereby potentially generating an income that can be re-invested in future years.
 - All FIT and export tariffs would be retained by the external provider resulting in no additional income for the Council..
 - Tenants would benefit from free electricity therefore reducing fuel poverty.
 - There would be environmental benefits and the programme would contribute to the Councils carbon reduction target of 6 per cent per year.

21. The recommended option is Option 4 - to deliver a “PV for Free” programme through NPS Norwich Ltd potentially utilising an external investment company to install, maintain and finance the PV project.

Legal considerations

22. There are certain legal considerations which will need to be addressed, particularly relating to future “Right to Buy” applications, which will need careful consideration. NPLaw will advise on the approach to this and what changes to the “Right to Buy” process and documentation is required. That said other local authorities and housing providers have successfully overcome this matter and so it should not present a major obstacle.

23. As outlined these considerations will need to be covered within the legal agreement/contract for the installing supplier. These matters (and other similar issues) will be considered by NPLaw and any agreement/contract will reflect their views and advice.

Financial Implications

24. The financial implications are the potential to generate an income from any surplus generated by fee income to the JV through efficiencies.



The IIA should assess **the impact of the recommendation** being made by the report

Detailed guidance to help with completing the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	26.03.2014
Head of service:	Deputy Chief Executive (Operations)
Report subject:	Installation of Energy Efficient Panels to Council housing
Date assessed:	
Description:	to outline the options for the delivery of a trial “Photovoltaic Panel (PV) For Free” installation project which will include 200 council owned homes and one area housing office (Lakenham) and to consider the delivery method for this scheme.

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The PV project will be at no cost to the council and could create additional income through any surplus made by the joint venture in terms of additional fees., shall aid removal of fuel poverty for tenants.
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Potentially with reduced energy bills, tenants will have increased monies to re invest into the local community and economy and through employment of local labour, assist in social economic benefits for the city and county. .
Financial inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Will assist in removal of fuel poverty for tenants where systems are installed.
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Impact			
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	More energy efficient homes for tenants, reduced energy bills and reduction in the council's carbon footprint.
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Force property surveys ahead of natural stock condition surveys increasing additional asset data.
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Reduction in Carbon.

	Impact			
Sustainable procurement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Cost free procurement.
Energy and climate change	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The PV project will contribute to reducing the councils overall carbon emissions and footprint.
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	There is no risk financially to the project, as the council are committing no money to the project. The risk would lie with Norse Energy to deliver and manage the project.

Recommendations from impact assessment

Positive

Reduced fuel bills therefore preventing fuel poverty, reduction in carbon emissions within the housing stock and for the city contributing to our overall reduction target.

Negative

Neutral

Issues

Report to Cabinet
25th June 2014
Report of Deputy chief executive (operations)
Subject Norwich Annual Business Plan 2014-15 for strategic infrastructure projects

21

Purpose

To consider an annual business plan for 2014-15 for strategic infrastructure projects to support planned growth in Norwich and recommend it to council for approval. Following approval it is recommended that the attached business plan is presented to the Greater Norwich Growth Board for delivery in 2014-15 from pooled funding.

Recommendations

1. To recommend Council to approve the annual Business Plan for 2014-15 for strategic infrastructure projects to support planned growth in Norwich.
2. Subject to approval, to present the Business Plan for 14/15 to the Greater Norwich Growth Board (GNGB) to form the Norwich element of the Greater Norwich Delivery Plan.

Corporate and service priorities

The report helps to meet the corporate priority prosperous city.

Financial implications

The council agreed in February 2014 to pool CIL income (not including the neighbourhood funding and administrative funding elements (i.e. excluding 20% or 30% depending on whether there is a neighbourhood plan). The report seeks £161,000 for 2014/5 from the pooled fund for projects in Norwich.

The total pooled amount for Greater Norwich is currently projected to be as follows:

	13/14 received	14/15 Projected	Cumulative total	Pooled Fund 70%
Total	£93,000	£1,108,562	£1,201,562	£841,093

Ward/s: All

Cabinet member: Councillor Brenda Arthur, leader of the council.

Contact officers

Jerry Massey, deputy chief executive (operations) 01603 212226

Gwyn Jones, city growth and development manager 01603 212364

Background documents:

None

Background

1. In February 2014, Council approved the Greater Norwich Growth Board (GNGB) agreement and constitution. Council also agreed to pool its CIL income (not including the neighbourhood element or the proportion retained to cover its administrative costs) across greater Norwich. It was also agreed that the business plan setting out the priorities for investment from the pooled fund would be brought back to Cabinet and Council for approval.

Introduction

2. The adopted joint core strategy (JCS) identifies key infrastructure required to support the planned scale and distribution of growth in greater Norwich. The JCS has been developed with infrastructure delivery in mind and has a delivery plan. The greater Norwich local authorities have updated the delivery plan, now known as the Greater Norwich Infrastructure Plan (GNIP).
3. The GNIP identifies the relationship between growth pressures and infrastructure dependencies and seeks to capture all projects that have been identified arising from the planned growth across the greater Norwich districts.

City Deal

4. The Council has committed to delivering housing and jobs through the Greater Norwich City Deal in partnership with Broadland District Council, South Norfolk Council, Norfolk County Council and the Local Enterprise Partnership. The City Deal signed in December 2013 has a strong infrastructure theme.
5. Under the infrastructure theme, two programmes have been set up. A local infrastructure fund was launched on 12th May, offering finance for infrastructure required to unlock stalled development sites. The other programme is a strategic infrastructure programme. The programme is built up from the infrastructure requirements of the JCS and seeks to ensure strategic infrastructure delivery supports projected housing and jobs growth.

The Strategic Programme

6. Delivery of the strategic programme is vital to keep planned housing and jobs growth on track. Through the GNGB the authorities have agreed to pool CIL contributions to assist in delivery of the programme. The annual business plan promotes projects for delivery in 14/15 against this programme.

The 14/15 Business Plan

7. This is the first business plan (Appendix A) prepared to recommend projects to be delivered from pooled funding. The GNGB will consider the plans from the 3 districts at its meeting on 31st July 2014 so the 2014/15 business plan is not for the full financial year. Subsequent business plans will be prepared to tie in with the Council's budget setting cycle.
8. In section 7 the business plan sets out in more detail the relationship between the business plans the Greater Norwich growth board and the governance

arrangements to support delivery. This is explained in the governance diagram in Appendix B.

9. The Norwich business plan (Table 2 in Appendix A) promotes schemes to receive funding from pooled contributions for delivery in 14/15. Within this year the projects identified for delivery total £161,000:
 - Marston Marsh
 - Danby Wood
 - Riverside Walk; improvement work to river banks, seating and interpretation
 - Enhancement of Earlham Millennium Green for site users and wildlife.
 - Marriott's Way (city end)
10. In addition £160,000 of scheme development work is required for 3 transportation projects in the strategic programme to prepare for delivery in subsequent years:
 - Golden Ball Street/ Westlegate,
 - Guardian Road roundabout,
 - Yellow pedalway.

The cost of this development work is to be met by the accountable body (Norfolk County Council).

Scrutiny

11. This report is due to be considered at Scrutiny Committee on 19 June 2014 and the outcome will be reported to the Cabinet meeting. Members are asked to consider any recommendations and comments from Scrutiny Committee before recommending the annual business plan to Council for approval.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet			
Committee date:	25 June 2014			
Head of service:	Andy Watt			
Report subject:	Norwich Annual Business Plan 2014-15			
Date assessed:	2 June 2014			
Description:	To consider an annual Business plan for 2014/15 for strategic infrastructure projects to support planned growth in Norwich and recommend it to Council for approval. Following approval it is recommended that the attached business plan is presented to the Greater Norwich Growth Board for delivery in 2014/15 from pooled funding.			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CIL income will allow delivery of projects in Norwich
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Economic development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CIL projects eg transportation and public realm make Norwich more attractive for investors
Financial inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Proposes support for transportation projects which include priority for non- car modes
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Projects promote active lifestyles
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Advancing equality of opportunity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Projects will improve transportation in Norwich
Natural and built environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Projects provide for improvements to strategic open space
Waste minimisation & resource use	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Pollution	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sustainable transport projects will provide potential to reduce pollution through reduced car use.
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sustainable transport projects will provide potential to reduce energy consumption through reduced car use.
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Recommendations from impact assessment				
Positive				
The projects proposed will improve the quality of the environment and provide benefits for local people.				
Negative				
Neutral				
Issues				

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1. Background

This Business Plan sets out investment required in 14/15 to support the delivery of planned growth across Norwich for which funding support is sought through the Greater Norwich Growth Board (GNGB).

The investment supports delivery of the Joint Core Strategy (JCS), adopted in January 2014. The Joint Core Strategy included an outline Implementation Plan that sets out high level picture of the infrastructure required to support the planned growth.

Work on infrastructure delivery has continued alongside the work to adopt the JCS and the Community Infrastructure Levy (CIL). The latest position on infrastructure delivery is set out in the Greater Norwich Infrastructure Plan (GNIP), formerly known as the Local Infrastructure Plan and Programme (was the LIPP). The GNIP is focussed on infrastructure to support delivery and has been streamlined to reflect the fact the JCS is adopted and adoption of the Site Allocation development plan document is anticipated in autumn 2014. These set out the housing trajectory that triggers the need for investment in infrastructure and details the infrastructure linking back to the high level picture presented in the adopted JCS. An updated version will be published June 2014.

City Deal

The four local authorities of Broadland, Norwich City, South Norfolk and Norfolk county council, together with the New Anglia Local Enterprise Partnership signed a City Deal for Greater Norwich with central Government in December 2013.

The City Deal has 3 themes, enterprise, skills and infrastructure.

The infrastructure theme puts in place mechanisms and creates opportunities to progress infrastructure delivery. The city deal assists delivery through

- Support from HM Treasury for reduced rate PWLB if required to support acceleration of Infrastructure delivery to bring forward Growth
- £60m for Authorities (NCC Accountable Body)
- plus £20m for Local Infrastructure Fund for loans for Developers (NCC Accountable Body)
- a commitment to collaborative working from central government departments and delivery agencies.

New Anglia Strategic Economic Plan

The Growth objectives of the JCS, the infrastructure requirement and the City deal commitments have been reinforced in the New Anglia Strategic Economic Plan (SEP) submitted to Government in December 2013. The SEP sets out the 10 year plan for economic growth and is key to receiving funding from Government for infrastructure investment through the New Anglia Growth Deal which is expected to be agreed with Government in summer 2014.

2. Purpose of the Annual Business Plan

The schemes captured in the Annual Business Plan have been identified from the Joint Core Strategy and the Greater Norwich Infrastructure Plan.

The Annual Business Plan will allow year on year decisions to be made on infrastructure prioritisation, funding and delivery to be made in the context of up and coming infrastructure needs over the next 5 years. This provides a wider context to prioritise annual spend and decisions on the use of CIL and preferential rate borrowing.

The Annual Business Plan identifies the timeline for delivery and secured funding of the identified infrastructure regardless of type to promote balanced infrastructure delivery to support the planned housing trajectory.

The Annual Business Plan sets out the financial implications for income and expenditure for the forthcoming year; the cumulative financial impact of funding decisions on the Programme given funding and borrowing commitment from earlier years; and after Year 1 will take account of the long-term financial implications for the end of the programme period i.e. 2026.

This business plan has been prepared by officers of Norwich City Council for approval by the Council. It will then be presented to the Greater Norwich Growth Board who will put together a Greater Norwich Growth Programme from the individual plans submitted to the Board

The GNGB will prepare the Greater Norwich Growth Programme annually; the Programme will be published on its website (in development). The Board will provide strategic direction, monitoring and coordination of both the City Deal and wider growth programme for the Greater Norwich area. It will have representation on, and links with, the New Anglia Enterprise and Innovation Board, the New Anglia Business Growth Programme Operational Board and the Employment and Skills Strategy Board and the New Anglia Local Transport Body.

3. Infrastructure projects and the housing trajectory

The context for investment in this year (14/15) considers the medium term projected growth and infrastructure delivery to 2021.

Table 1: Five Year Housing Delivery

Projected housing delivery is

	Norwich - 2008/09 to 2025/26	COMPLETIONS					PROJECTIONS														
	1 April - 31 March	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26		
Past Completions	Actual completions - Previous Years	527	399	377	280	407															
Future Supply	Projected Completions - Current Year						587														
	Projected Completions - Future Years Existing Sites							560	655	981	900	736	1060	573	585	525	505	405	475		
	Projected Completions - Future Years Emerging Sites						35	15	0	140	100	105	25	0	0	20	20	20	40	11057	Total Delivered
Requirement taking into account completions	Managed delivery target - annual requirement taking account of past/projected completions	477	474	479	486	501	508	501	496	475	403	329	255	117	26	-114	-333	-763	-1950		
	JCS allocation annualised over 18 years (2008 - 2026)	477	477	478	477	477	478	477	477	478	477	477	478	477	477	478	477	477	478	8592	Total Required
								508	508	508	508	508	2540	Units							
								533	533	533	533	533	2665	Units							
								560	655	981	900	736	3832	Units							
													1167	Unit Surplus against 5.25 year requirement							
													7.55	Years of the 5.25 year requirement							
								575	655	1121	1000	841	4192	Units							
													1527	Unit Surplus against 5.25 year requirement							
													8.25	Years of the 5.25 year requirement							

Infrastructure

The GNIP identifies an infrastructure programme to 2026. To inform business plan decision making an extract of the GNIP is included to give information on up and coming projects. The GNIP extract includes an overview of the infrastructure projects that will be delivered in Norwich (Appendix 1). These schemes will be funded from a wider variety of sources such as mainstream funding, Community Infrastructure Levy receipts, Section 106 agreement payments and other funding, such as ad hoc bids.

Appendices 2 and 3 shows the projects that will be delivered through existing S106 agreements to give the whole picture of infrastructure delivery in Norwich

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4. Infrastructure Projects in Norwich

The GNIP identifies a number of projects for delivery in Norwich over the next five years, summarised below.

- City Centre NATS schemes
 - Rose Lane and Prince of Wales Road
 - Tombland public realm
 - Golden Ball St and Westlegate
- BRT Thorpe Marriott to City Centre (Fakenham Rd)
- BRT Longwater to City centre (Dereham Rd)
- Dereham Road BRT - Guardian Road roundabout
- BRT Broadland Business Parks to City centre
- BRT – Yarmouth Road – Phase I
- BRT – Yarmouth Road – Phase II
- BRT Rackheath to City Centre (Salhouse Rd Gurney Rd) incl. cycling
- BRT Airport to City centre (A140)
- Strategic Bus route via Hethersett Lane, NNUH, NRP, UEA, City Centre
- Strategic bus route via B1172
- New primary provision in Norwich - new school in central Norwich
- Riverside Walk Improvement work to river banks, seating and interpretation
- Marston Marsh footpath and access works and habitat improvement
- Bowthorpe 3 Score
- Danby Wood
- Earlham Millennium Green - Enhancement of Earlham Millennium Green for site users and wildlife

Four projects are identified for delivery in 2014/15 that require funding support through the business plan, as set out below in Table 2.

Table 2: 14/15 Projects

Project	Type	Status	Total cost	Secured funding	Source	Funding gap	14/15 Business Plan Need
Marston Marsh	Green Infrastructure	Ready to commence	30,000	0		30,000	30,000
Danby Wood	Green Infrastructure	Ready to commence	35,000	0		35,000	35,000
Riverside Walk; improvement work to river banks,	Green infrastructure	Ready to start design/ implementation	70,000	19,000	s.106	51,000	21,000

seating and interpretation							
Earlham Millennium Green - Enhancement of Earlham Millennium Green for site users and wildlife	Green infrastructure	Ready to start design/ implementation	15,000	0		15,000	15,000
Marriott's Way (city end)	Green infrastructure	Ready to commence	60,000	0		60,000	60,000
Total (£)				19,000			161,000

In addition to the schemes for delivery a number of schemes have been identified for development this year to meet delivery dates over the next few years. The table below sets out the schemes that need to be developed with funding required for 14/15. These schemes are not seeking funding from pooled funding but require the delivery body to commit to development this year to meet the overall infrastructure programme, set out in table 3 below:

Table 3: Feasibility work in 2014/15

Project	Type	Status	Total cost	Secure d fundin g	Source	Funding gap	14/15 Business Plan Need
Golden Ball St and Westlegate	Transport (NATS)	Scheme development	2,500,000	0		2,500,000	60,000
Dereham Road BRT-Guardian Road roundabout	Transport (NATS)	Feasibility	3,000,000			3,000,000	50,000
Yellow Pedalway	Cycle Network (NATS)	Ready to commence design	3,000,000	119,000 (19,000 15/16)	S106	2,881,000	50,000
Total (£)				19,000			160,000

5. Cash flow and spending plan

The Greater Norwich City Deal included a commitment from the authorities to pool funding to deliver the infrastructure programme and in return flexibility in the CIL reporting arrangements has been granted. The CIL charging and collecting Authorities have agreed the pooling of CIL income (excluding the neighbourhood funding and administration elements) to deliver infrastructure across Greater Norwich. Through the business planning process the Local Authorities will identify the call on pooled CIL to support the projects promoted for that year. Table 4 shows CIL income to the end of 14/15 across the three collecting authorities. The cumulative pooled position is based on a conservative estimate of 70% of predicted CIL income.

Table 4: CIL Income projection for the Greater Norwich area

2013/14 - Received	2014/15 Projected	Projected Total Cumulative CIL	Cumulative Pooled CIL (70% of Total) (£)
£93,000	£1,108,562	£1,201,562	£841,093

6. Annual Proposal

There are no pre commitments on the expected pooled CIL and the proposed schemes for Norwich total £161,000 and can be met from projected income. It is proposed that the schemes in Table 1 are supported for submission to the Greater Norwich Growth Board for inclusion in the Greater Norwich Annual Delivery Plan

7. Implementation and monitoring

Reporting Structure

The Greater Norwich Annual Delivery Plan will be put together by the Greater Norwich Growth Board and the Greater Norwich Growth Board will receive half yearly updates on delivery of the infrastructure programme.

The Infrastructure Delivery Board will be responsible for managing the delivery of the Greater Norwich Annual Delivery Plan. That group will meet monthly to consider progress on the programme and the individual schemes.

The scheme promoters will be responsible for informing the Infrastructure Delivery Board of progress on individual schemes.