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| Report to | Cabinet | Item |
| | 10 March 2021 | |
| Report of | Head of strategy and transformation | 7 |
| Subject | Corporate Performance and Risk Report, Quarter Three 2020-21 | |

Purpose

To report progress against the delivery of the corporate plan priorities and key performance indicators and to provide an update on corporate risk for quarter three of 2020-21.

Recommendation

To:

- 1) review progress on the key performance indicators for this quarter and the corporate risk register;
- 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 a healthy organisation.

Financial implications

There are no direct financial consequences of this report.

Ward/s: All Wards

Cabinet member: Councillor Waters - Leader

Contact officers

| | |
|--------------------------------------|--------------|
| Adam Clark, Strategy Manager | 01603 212273 |
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| Gavin Jones, Internal audit manager | 01603 987605 |

Background documents

None

Report

Background

1. This report sets out progress against the key performance indicators (KPIs) that track delivery of the corporate plan priorities. This is the seventh quarterly performance report for the corporate plan 2019-2022.
2. The corporate plan 2019-22 established three corporate priorities: people living well; great neighbourhoods, housing and environment; and inclusive economy. It also contained the objective of maintaining a healthy organisation. The performance framework aims to measure progress against these through over 50 KPIs which monitor delivery of activities and services which contribute to these objectives.
3. This report provides an update on performance against indicators for quarter three of 2020-21. Performance reporting for indicators in this report is based around a traffic light concept where green is on target, amber provides an early warning for possible intervention and red suggests intervention is necessary.
4. This report also incorporates the corporate risk register, which highlights key corporate risks.

Quarter three performance data

5. Full details of performance against KPIs is included in Appendix 1 which is available at the following link:
<https://app.powerbi.com/view?r=eyJrIjoibWwODIxZTYtZWY0ZC00ZTAwLWFmZWMTNzRiODIyZGYzYzUyIiwidCI6ImZhNzQ4ZjM0LWE0YWMTNDNhMy1hMmE0LTg4ZWQ2MGI3OWU5MiJ9>
This is a new format for 2020-21 reporting due to a change in the reporting software; all quarterly reports will now be published via this Power BI dashboard. Note that indicators showing blue in this dashboard are ones where data has not been able to be reported this quarter.
6. Some historic data remains unavailable due to issues in gathering data or pauses in service delivery as a result of Covid-19, for example street cleanliness inspections were paused during lockdown and digital inclusion sessions were also cancelled during this period. Two indicators are still unable to report data in quarter 3 as a result of Covid-19: these are street cleanliness inspections which have not yet resumed and use of community centres by income decile as centre activity remains limited. Data for customer satisfaction for the Planning Development Management Service was also not able to be provided for Quarter 3. Some areas of performance also continue to be affected by restrictions due to Covid-19; these are explained in more detail below.

Quarter three performance summary

7. The below table (figure 1) summarises the number of KPIs under each corporate priority which are RAG rated red, amber or green and the number

where data is not available or is not due to be reported this quarter. This data can be explored in more detail in the dashboard.

Figure 1: summary RAG rating of key performance indicators by corporate priority

| Corporate priority | Number of KPIs RAG rated | | | Data not available to date | Data not due for reporting in Q4 |
|---|--------------------------|----------|-----------|----------------------------|----------------------------------|
| | Red | Amber | Green | | |
| People living well | 3 | 0 | 9 | 0 | 0 |
| Great neighbourhoods, housing and environment | 4 | 2 | 2 | 3 | 6 |
| Inclusive economy | 1 | 1 | 2 | 0 | 6 |
| Healthy organisation | 2 | 0 | 6 | 0 | 6 |
| Total | 10 | 3 | 19 | 3 | 18 |

8. Overall council performance reflects a very challenging operating environment, with significant economic and financial challenges for the city and the council, changing resident and business behaviours, and new and changing patterns of demand. The council's C19 recovery blueprint and update report show how the council is responding to these challenges and individual areas of council performance are highlighted below. Specific areas where anticipated performance is not on track are being addressed through service management, organisational change and working with partners. Ultimately this highlights the need for adequate resourcing of local government to ensure resilience of key services, especially in challenging times.
9. The following areas of performance are brought to your attention as areas which are performing well:
 - 34 empty houses have been brought back into use this year; this figure has exceeded the annual targeted of 20.
 - 100% of planning appeals were won, therefore on target this quarter and on target for the year. The Anglia Square appeal decision was also received but not included in data as this was a call-in inquiry not an appeal.
 - The council is now on track to remain within the general fund (this is the first quarter this year where performance has been on target). The current general fund forecast is an outturn underspend of £1.30m. This figure reflects the Quarter 3 forecast impact of Covid-19 on the council's

income and expenditure as well as incorporating identified in-year savings and government funding. The improved position from Quarter 2 is due in part to additional government Covid-19 grant funding of £0.96m and an improved forecast on rental income receipts of £0.96m.

- Availability of core ICT systems continues to perform strongly, with systems available 99.9% of the time.
- Norwich market occupancy rate remains strong currently, with 92.5% of stalls occupied; this is a slight reduction compared to the previous quarter which had stall occupancy of 184 (96.8%) following surrender of one tenant who had 3 stalls. Some stalls have not re-opened in between lock-downs and with continued very challenging trading conditions or an inability to trade, further voids look inevitable.
- Number of food premises moving from non-compliant to compliant continues to increase to 92.5% in quarter 3.
- The percent of people feeling safe has increased to 72.5% in quarter 3, an increase from 63.8% in quarter 2.
- The percent of new learners engaged through the digital inclusion project reporting an increase in digital skills and confidence has risen to 92.3%. In quarter three the project managed to secure 29 new devices from the Devices Dot Now programme (now renamed as Everyone Connected). A large part of the project's work this quarter was to distribute those smartphones to eligible people. The project began to use City Hall as a Digital Hub during quarter 3 for distanced face to face appointments and equipment loaning when not in lockdown. But the bulk of support given was telephone based. Unsurprisingly many people wanted help with communicating with others online, in particular video calling; one learner told us: "It has been great as I could video call my daughter and see my granddaughters. It made my day seeing them open their presents on Christmas."

10. Commentary on output measures which are not meeting their targets is also included below:

- Levels of residential household waste are not meeting the target this quarter, although they are not over by a significant amount. There is no precedent for the circumstances in which services are currently operating and given the amount of additional time most people are spending in their homes, increased levels of household waste are to be expected.
- Assets maintained by community groups continues to be below target. As of last month, lockdowns and Covid restrictions has meant we've needed to ask people to pause in person activity where there is a risk and so there has been little formal adoption, however there is still development in the line for when this activity can be done safely again.

- Volunteer numbers in parks and open spaces are below target as a result of compliance with lockdown rules. There were periods when volunteering could continue and the activity was risk assessed, safe systems of work put in place, pods introduced and attendance was on a rota basis to share the benefits. It is pleasing to see that despite all the challenges people were able to benefit from spending a substantial amount of time benefiting from volunteering despite it being a challenging time. Contact has been maintained with groups and as rules change we will review the guidance at the time, re-risk assess and if considered safe to do so, we will restart volunteering again at the earliest opportunity.
- Number of private rented sector homes made safe is below target. This figure represents properties improved following improvement notices served earlier in the year. Due to government enforcement guidance we did not serve notices in the period from March to July 2020 and found alternative methods. We also stopped with proactive work, meaning less cases from March onwards. Our priority in quarter 4 of 2019-20 became Covid enforcement work taking over 50% of the officer time. A member of the team left for another council meaning team capacity was reduced by a third. This coupled with the effect of the reduction in resource from the restructure means that in quarter 3 the team was working with below minimum resource and was barely able to provide the statutory minimum service. To combat this the vacant post is being recruited to and an Intel Officer has also been appointed.
- The avoidable contact target hasn't been achieved this quarter. The main reason is due to increased numbers of customers contacting the council. Development of the portal and services online should help reduce levels of avoidable contact.
- There's been no change in this quarter's performance for proportion of top earners with a disability protected characteristic which remains below target.
- Total amount of additional income clients have gained through debt/money advice results remain below its quarterly target, which means it is now unlikely the annual target will met by March 2021. Advisers are still busy on an ad hoc basis for immediate issues, for example new Universal credit claims; however, while lockdown persists, and creditor recovery work is postponed, demand for complex advice has been reduced. The anticipated end of support schemes, further local redundancies and a resumption of creditor recovery will have a significant impact in 2021-22.
- Performance of respondents satisfied with the service provided to deal with ASB and the outcome of their ASB case both remain below target. This is measured solely by cases closed by the Area management teams. There was a low return on surveys for this quarter - just 49, when previously we have up to four times that amount. It will take 3-9 months

from full implementation to see the impact of the new ASB structure on customer satisfaction.

Corporate risk register

11. The council has identified a need to reconstitute its arrangements for managing risk as a priority action included in the 2020 Annual Governance Statement. Whilst the Council has in place an established strategy and policy that conforms to best practice, the need to improve the application of these processes was identified to ensure that risk management is operating effectively at every level of its operations.
12. To facilitate a full refresh of the risk management process and corporate risk register, internal audit have worked with directors and the Corporate Leadership Team (CLT) through a mix of discussion and workshops to reset risk registers from scratch.
13. The corporate register will be reviewed each quarter by CLT as part of its quarterly performance review. It is intended to provide a risk management report to the audit committee twice yearly at the request of the audit committee chairman so that the committee can fulfil its oversight function.
14. The corporate risk register is included as Appendix 2.

Integrated impact assessment

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

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

Report author to complete

| | |
|-----------------------------------|--------------------------------------|
| Committee: | Cabinet |
| Committee date: | 10 th December 2020 |
| Director / Head of service | Head of Strategy and Transformation |
| Report subject: | Quarter 3 performance report 2020-21 |
| Date assessed: | 1 st December 2020 |

| | Impact | | | |
|---|-------------------------------------|--------------------------|--------------------------|--|
| Economic (please add an 'x' as appropriate) | Neutral | Positive | Negative | |
| 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 | |
| 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 | |
| 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 | |
| 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"/> | |

| | Impact | | | |
|------------------------------------|-------------------------------------|--------------------------|--------------------------|--|
| 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 | |
| Risk management | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

| Recommendations from impact assessment | |
|---|--|
| Positive | |
| | |
| Negative | |
| | |
| Neutral | |
| | |
| Issues | |
| The range of council activity represented by this report means that it is not possible to identify the aggregate individual impact assessments that are conducted as part of routine council business | |


Appendix 2: Corporate risk register

Cabinet


Corporate Risk Management Update


Attached is the latest updated corporate risk register. Since the previous update to cabinet:


- Four new risk issues have been added to the risk register (ref risks 12 to 15)
- One existing risk has a reduced residual risk score from 16 to 12 (ref risk 8 relating to homelessness)
- The risk scores for all other risks previously reported to cabinet remain unchanged.
- Actions associated with the management of each risk have been updated.
- Where actions have been completed these will be moved to the mitigations section attributable to each risk on subsequent updates.


| Risk: 1. Council Funding Short Term (covid-19 related) | | | Owner: Interim Director of Resources | | | | Category: Finance & Resources | | Risk Direction: | |  | |
|--|--|---|--|-------------|-------------------------------|-------|-------------------------------|--|-----------------|-------|---|--|
| | | | | Target Risk | | | | Current Residual Risk | | | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score | | |
| <ul style="list-style-type: none">• Council's financial position goes into significant deficit resulting in reserves falling below the prudent minimum level• Insufficient general and earmarked reserves to address shortfall• Or use of earmarked reserves impacts on ability to deliver other council projects (invest to save funded)• Non-delivery of in-year saving to mitigate financial deficit | <ul style="list-style-type: none">• Initial indications is that in 20-21 the general fund will overspend by £7.2 million without further action.• Relying solely on the general fund reserve to offset this would leave the reserve at an unsustainable level and below the £4.3m prudent minimum level.• Without significant action and consideration of reserves the council will be at serious risk of being in a S114 position.• Without a clear plan of action the council will have to begin engaging with CIPFA and the MHCLG. | <ul style="list-style-type: none">• £3.9m unallocated reserves available to offset deficit whilst maintaining prudent level of reserve.• To date (22/10/20), awarded £2.8m of Covid-19 funding from government• Services have reviewed the programme and submitted opening briefs for options for the revised programme to be approved Feb 2021.• Projects have been prioritised for review• Corporate review of all 2020-21 revenue budgets to identified areas for immediately reducing in-year expenditure through additional controls on non-essential spend and recruitment. | Jun 20 | 4 | 2 | 8 | Manage | 4 | 3 | 12 | | |
| | | | Risk Control Action | | | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | | | |
| | | | Continue to lobby Government to fully compensate Norwich against the financial impacts of C19' | | Chief Executive | | Ongoing | <ul style="list-style-type: none">• The Leader of the Council has written to the Prime Minister and Chancellor asking for the council to be fully compensated• The Leader has also lobbied the local MPs• Both the Leader and CEO are in regular discussion with other Norfolk Leaders and CEOs to lobby on this point, and are active members of the Key Cities network and are lobbying through that route• The CEO has been in touch directly with the Chief Executive of the LGA to lobby for a fair settlement for Norwich and the wider sector.• The CEO has also published articles in the MJ to lobby Government on this point• The s151 officer ensures that all financial returns setting out the impact of covid on the council's budget are sent to MHCLG in a timely manner. | | | | |
| | | | Review the capital programme to ensure that the schemes still reflect the council's current priorities and that these are affordable in the new financial landscape. | | Interim Director of Resources | | Complete | <ul style="list-style-type: none">• Services have reviewed the programme and submitted opening briefs for options for the revised programme to be approved Feb 2021. Projects have been prioritised for review | | | | |
| Conduct a corporate review of all 2020-21 revenue budgets to identify areas for immediately reducing in-year expenditure through additional | | Interim Director of Resources | | Complete | | | | | | | | |


| | | | | | | |
|--|--|--|--|--|--|--|
| | | | controls on non-essential spend and recruitment. | | | |
|--|--|--|--|--|--|--|

| Risk: 2. Council Funding Medium- Long Term | | | Owner: Interim Director of Resources | | | | Category: Finance & Resources | Risk Direction: |  | |
|---|---|--|--|-------------|------------------------------------|-------|-------------------------------|--|---|-------|
| | | | | Target Risk | | | | Current Residual Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Council fails to identify and plan for enough savings over the medium term.• Non-delivery of identified savings• New national funding arrangements reduce government funding (Fairer Funding, Business Rates Retention, New Homes Bonus)• Economic uncertainty increase volatility on business rates and council tax• Risk of inflation on costs and pension deficit increases.• Lack of capital resources to fund the council's asset base – implications | <ul style="list-style-type: none">• Councils financial position goes into deficit, reducing confidence in financial strength and governance• Unplanned use of reserves reducing capacity and flexibility and compromising stability.• Section 114 notice• Government intervention• Failure to deliver Council Plan• Adverse comments by poorer perception of Council by stakeholders.• Overspends arising from activity not in service plans. | <ul style="list-style-type: none">• Reviewed all the assumptions within the MTFS and updated.• Corporate budget planning guidance issued• CLT review of budget options and MTFS refresh• Cabinet give due consideration to latest forecasts and options to close any gap identified during the review of MTFS assumptions.• Consultation launched if required prior to budget approval in Feb 2021• Restructure senior management team to improve service delivery and drive forward transformation programme.• Started process of service reviews to generate efficiencies• Utilising invest to save reserve to deliver transformation programme | Jun 20 | 5 | 2 | 10 | Manage | 5 | 3 | 15 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Update the council's Medium-Term Financial Strategy, to understand the short to medium implications for savings requirements and use of reserves. | | Interim Director of Resources | | Complete | | | |
| | | | Commence the process for setting the budget for 2021/22 and provide further detail to Cabinet in July on the approach and timeline. | | Strategic Finance Business Partner | | Complete | | | |
| | | | Cabinet briefed on the MTFS refresh | | Interim Director of Resources | | Complete | Leader and Portfolio holder briefings complete prior to publication of report. | | |
| | | | Cabinet approve the revised MTFS at Full Council | | Interim Director of Resources | | Feb 21 | | | |
| | | | Comments: The Council is working towards a sustainable budget that does not utilise reserves. Current plans incorporate the use of reserves to bring the general fund reserve back to the risk assessed minimum requirement. | | | | | | | |


| Risk: 3. Commercialisation (investment property, NRL, other commercial income sources) | | | Owner: Interim Director of Resources | | | Category: Finance & Resources | | Risk Direction: |  | |
|---|--|---|--|-------------|-----------------------|-------------------------------|---------------|---|---|-------|
| | | | | Target Risk | | | | Current Residual Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Lack of depth of skills and knowledge to manage commercial activities (reliance on several key staff)• Uncertainty over the future government direction on commercial activity (PWLB consultation ongoing) | <ul style="list-style-type: none">• NRL – losses in the company result in additional revenue costs to the General Fund• Non-delivery of budgeted income levels to support general fund• Ineffective management of the property portfolio leads to reducing income and poor use of assets | <ul style="list-style-type: none">• Asset Management Strategy• Commercial Strategy• Addressed recommendations from the internal audit review of NRL governance. | Jun 20 | 4 | 2 | 8 | Manage | 4 | 2 | 8 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Address recommendations from the internal audit review of NRL governance. | | Director of Resources | | Complete | | | |
| | | | Complete a thorough review of the Council's approach to housing commissioning and look to establish and revise structures as agreed. A report to be taken to Cabinet to agree the principle of the approach. | | Director of Place | | Complete | Agreed to provide capacity to support HRA housebuilding programme by recruiting to an in house team | | |
| | | | Following Cabinet approval, new and revised structures will be put in place. | | Director of Place | | Jun 21 | New and revised structures – Recruitment of delivery director underway, closing date for post at end of Feb interviews to be conducted mid-March. Recruitment of rest of team tbc – hoped to complete by June | | |
| | | | Produce a new asset management strategy. | | Director of Place | | Aug 21 | Production underway. Timetable has slipped due to be complete by the summer. | | |
| | | | Comments: | | | | | | | |

| Risk: 4. Health & safety in the workplace | | | Owner: Director of People & Neighbourhoods | | | | Category: Finance & Resources | Risk Direction: |  | |
|--|---|---|---|-------------|-------------------------------------|-------|-------------------------------|-----------------------|---|-------|
| | | | Target Risk | | | | | Current Residual Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">Covid-19 and risk of spreading infection across the workplace. | <ul style="list-style-type: none">New way of working has the potential to change the council's culture and make it a more modern organisation which supports a flexible approach to work/life balance for staff.Impact of Covid-19 and duties to ensure social distancing and requirements to ensure safety in the workplace are addressed | <ul style="list-style-type: none">Improved IT capabilities to allow more staff to work from home were developed and rolled out quickly, which has enabled the majority of staff to work from home since March.Virtual council meetings are being held in order to limit the risk of spreading the disease through close contact, although the organisation will revert to 'face to face' meetings in the council chamber and committee rooms when it is appropriate to do so.Hand sanitiser dispensers introduced across workplace.Desk policy to ensure limited capacity adhered to & 2m social distancing observed.Mandatory e-learning modules for staff.Implemented changes to internal layout and other safety measures within city hallMental health working group in place to support staff wellbeing & resilience | May 20 | 4 | 2 | 8 | Manage | 4 | 2 | 8 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Implement changes to the internal layout and other safety measures within city hall to support social distancing as more staff return to the office when it is appropriate to do so, with a risk assessment of the building carried out and unions engaged. | | Director of Resources | | Complete | | | |
| | | | Develop greater employee wellbeing and resilience including the formation of a mental health working group | | Director of People & Neighbourhoods | | Complete | | | |
| | | | Continue to allow staff to work from home where possible, striking a balance between home and office-based working and allowing flexibility for staff. | | Director of People & Neighbourhoods | | Complete | | | |
| | | | | | | | | | | |
| Comments: | | | | | | | | | | |


| Risk: 5. Further waves of Covid-19: | | | Owner: Chief Executive | | | | Category: Customer | | Risk Direction: |  |
|--|---|---|--|-------------|-------------------------------------|-------------|--|-----------------------|-----------------|---|
| Description/Triggers | Impact | Mitigation | Date Raised | Target Risk | | | Risk Strategy | Current Residual Risk | | |
| | | | | Consequence | Likelihood | Score | | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services | <ul style="list-style-type: none">Lack of government funding to support local businesses resulting in local business failuresEconomic uncertainty increase volatility on business rates and council taxInsufficient government funding to local authorities to support the delivery of additional Covid - 19 related activitiesFinancial pressure due to down turn in income leading to financial instabilityIncrease in unemploymentIncrease in claims for benefits and consequential impact on staff workloads | <ul style="list-style-type: none">Delivery of business support grants.Ongoing work with the Norwich BID and Norfolk Chambers of CommerceNorfolk wide response being managed through Norfolk Resilience Forum (NRF) attend by leader of the council and Chief ExecutiveCovid operational group continues to oversee response and actions deployed to reduce the number of cases.A gold command structure was put in place with the chief executive chairing daily meetings and the director of strategy and culture leading the responseC-19 Support Officer provided in the city to give and advice and support to businesses and the publicSilver command group:<ul style="list-style-type: none">Promote and disseminate information and toolkits to local businessesProvide advice & engagement with track and traceDeployment of covid-19 support officersCollaboration with police on enforcement actions | Jun 20 | 4 | 3 | 12 | Manage | 5 | 4 | 20 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | Target Date | Update | | | |
| | | | Work with the Norwich BID, Norfolk Chambers of Commerce, police and Norfolk County Council to review and implement physical measures and signage in the city centre to support social distancing. | | Director of People & Neighbourhoods | Ongoing | | | | |
| | | | Use its licensing powers to support businesses – particularly those in the hospitality sector – where appropriate to vary the use of outside space, whilst ensuring that people with disabilities can move around the city safely. | | Director of People & Neighbourhoods | Ongoing | | | | |
| | | | Continue to deliver grants and wider support to businesses. | | Interim Director of Resources | Ongoing | | | | |
| | | | To work effectively with partners through effective networks to minimise spread of virus, provide clarity of local message and for us to provide an effective local track and trace service | | Chief Executive | Ongoing | Operational Group convened with key stakeholders including County Council Director of Public Health, East Anglia University. Action plan in place including deployment of Covid safe advisors, more visible communications e.g. regular press conferences, continued review of data to identify hotspots and continued local contact tracing system. | | | |
| | | | Comments: Scoring takes account of growing threat/spread of Covid 19 nationally | | | | | | | |

| Risk: 6. Impact of Brexit | | | Owner: Chief Executive | | | | Category: Customer | | Risk Direction: |  |
|--|--|--|---|-------------|---|-------------|---|-------------|-----------------|---|
| | | | Target Risk | | | | Current Residual Risk | | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">Continued uncertainty over the nature of the UK's exit from European Union.Risks associated with potential no deal scenario | <ul style="list-style-type: none">Public disorder eventsFood availability (panic buying/ stockpiling) - Increased prices for food and fuelPossible disruption to fuel suppliesStaffing issues (EU nationals)Inclement weather may have increased impactsFlood season September – April (impacts on Coastal Districts – provision of mutual aid)Staffing resilience managing concurrent events (e.g. Covid, Brexit, severe weather)Potential political developments (elections/referen dums) – these would place increased pressure on some district councils.Increases in environmental crimes i.e. fly tipping etc.. as | <ul style="list-style-type: none">Membership & participation in Norfolk Resilience Forum (NRF)NRF multi-agency plans to deal with significant eventsNRF Brexit StrategyBusiness Continuity PlansBrexit Communications PlanNational guidance/ toolkits | Apr 20 | 3 | 5 | 15 | Manage | 3 | 5 | 15 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | Target Date | Update | | | |
| | | | Monitor the situation, awaiting further government guidance | | Emergency Planning Manager/ Environmental Health & Protection Manager | Ongoing | EPM engaged with NRF EU transition working group. Continuing to monitor any impacts | | | |
| | | | Information sharing through NRF structures | | Emergency Planning Manager | Ongoing | NRF EU Transition strategy reviewed and updated to reflect our current position. | | | |
| | | | Participation in NRF Brexit planning meetings | | Emergency Planning Manager | Ongoing | Risk assessment reviewed and updated in the strategy. Government Reasonable Worse Case Scenarios used to inform our activities. | | | |
| | | | Nominate strategic Brexit Lead Officer | | CLT | Complete | TC will attend EU transition working group meetings, next 27/11. TC attends fortnightly EU Exit meetings | | | |
| | | | Promotion of EU Settlement Scheme | | Emergency Planning Manager | Jun 21 | Working with comms and service areas to proactively promote the EU Settlement Scheme | | | |
| Comments: Impacts from NRF Brexit Strategy | | | | | | | | | | |
| Trade deal between the UK and EU finalised late December 2020. | | | | | | | | | | |
| Proactive promotion and targeted comms to encourage EU nationals to register for EU Settlement Scheme. If individuals do not register they will become unlawfully resident, in breach of UK immigration laws and could be forcibly removed. They will not be entitled to benefits or support and classed as having No Recourse to Public Funds. Housing to consider if there are implications on housing stock and their service area. This could potentially result in greater numbers of rough sleepers. | | | | | | | | | | |


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| | advised by the Environment Agency | | |
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| Risk: 7. Failure to respond to a critical, business continuity or emergency planning event | | | Owner: Director of People & Neighbourhoods | | | | Category: Processes & Systems | | Risk Direction: | |  |
|--|---|--|---|-------------|---|-------------|-------------------------------|--|-----------------|----|---|
| Description/Triggers | Impact | Mitigation | Date Raised | Target Risk | | | Risk Strategy | Current Residual Risk | | | |
| | | | Consequence | Likelihood | Score | Consequence | Likelihood | Score | | | |
| <ul style="list-style-type: none">Occurrence of a significant event:<ul style="list-style-type: none">Loss city hallICT failureContractor collapseSevere weather eventsSea level riseFuel shortagesCommunications failurePandemicLoss of powerThe Council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term. | <ul style="list-style-type: none">Council unable to function.Increase in demand on Council servicesVulnerable Service Users unable to access servicesReputational Damage | <ul style="list-style-type: none">Draft Corporate Business Continuity PlanService areas Business Impact Analysis and Business Continuity PlansWork Area Recovery location for Customer ContactICT Disaster Recovery PlanIncident Management Team response to business continuity incidents.BMG TTX - Exercise Appleyard 1 (14/12/16)BMG TTX - Exercise Appleyard 2 (26/7/17)Service area business continuity exercisesInsurance policiesAsset registerEmergency Management StrategyIncident specific response plansRest centre and community centre plansFull participation in Norfolk Resilience Forum meetingsReview of NRF risk assessments and Norfolk Community Risk RegisterNorfolk Emergency Response Guidance NRF multi-agency plans for specific risks | Apr 20 | 4 | 3 | 12 | Manage | 4 | 3 | 12 | |
| | | | Risk Control Action | | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | | |
| | | | Completion of audit review (20/2/18) actions | | CLT to determine lead officers Director of Strategy & Culture | | Jul 21 | Actions completed as far as practicably possible. Agreed with NR to put this on hold until June 2021 due to continued Covid response work, roll out of new IT equipment and forthcoming new management structure | | | |
| | | | Consider reinstating Business Continuity Steering Group for effective business continuity management to provide a mechanism for monitoring and implementing measures to enhance business resilience | | CLT to consider Director of Strategy & Culture | | End Feb 21 | Meeting to be arranged in Feb 21. See comments above | | | |
| | | | Completion of outstanding recommendations/actions from previous EP and BC exercises | | CLT to consider and determine way forward Director of Strategy & Culture | | Feb 21 | EPM to review and capture outstanding actions. See comments above | | | |
| | | | Work with emergency planning team in respect to plans for elections in May 2021 and include in plans specific covid-19 planning | | Democratic & Elections Manager | | May 21 | EPM included in meeting schedule. 21/1/21: Risk assessment reviewed to include Covid measures. Outline draft election contingency plan produced | | | |
| | | | Flag with contract managers risk of supplier collapse due to Covid or issues with supply change due to Brexit | | Business Relationship & Procurement Manager | | Complete | | | | |
| | | | Comments: : <ul style="list-style-type: none">Ebola 2014Surface Water Flooding events - 2014, 2015 and 2016 | | | | | | | | |


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|--|--|---|--|
| | | <ul style="list-style-type: none"> • Participation in training and exercises • Services areas to raise at supplier engagement meetings potential risk of contractor for early warning. • Service areas to gain knowledge of alternative suppliers that could deliver key services. | <ul style="list-style-type: none"> • Severe weather incidents: Gales - 23/2/17; 13/9/17;18/1/18; Snow - 26/2–2/3/18; and 16/3/18 • Coastal tidal surge mutual aid – 5/12/13; 23/11/15; 13/1/17 • Demos/marches/protests impacting on council activities • Post Grenfell activities – MHCLG data collection 2017-18; Exercise Burleigh 24/4/18 • Mile Cross Recycling Centre fire 26/7/18 • Ashbourne Tower gas leak 14/11/18 • Bluebell Road – suspected IED 23/11/18 • Brexit planning 2018-19 • COVID-19 response |
|--|--|---|--|


| Risk: 8. Sustained increase in homelessness and temporary accommodation | | | Owner: Director of People & Neighbourhoods | | | | Category: Customer | | Risk Direction: |  |
|---|--|---|---|-------------|-------------------------------|-------------|---|-----------------------|-----------------|---|
| Description/Triggers | Impact | Mitigation | Date Raised | Target Risk | | | Risk Strategy | Current Residual Risk | | |
| | | | | Consequence | Likelihood | Score | | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">Failing to fulfil statutory responsibility to assess people who present as homeless or at risk and to develop an appropriate way forward to prevent their being homeless.With the developing economic downturn there will be more families living in poverty, with the risk of homelessness once the 3 months ban on evictions is lifted.Failing to fulfil responsibility to clients presenting at risk of domestic abuse | <ul style="list-style-type: none">Increase in costs to council.Increase in social issues for the city.Legal action against the council for not fulfilling statutory obligationsIncrease in domestic abuse | <ul style="list-style-type: none">Greater Norwich homelessness strategy 2020 – 25Norwich tackling rough sleeping strategy 2017-22The council worked quickly to ensure that accommodation was – and continues to be - available to all rough sleepers in Norwich and procured 53 bedrooms split between 4 sites to allow separation of high-risk individuals.As the number of rough sleepers can change on a daily basis, additional accommodation is continuing to be sourced where it is required.The Pathways partnership programme continues to provide outreach support to those who need it, drawing on a wide range of expertise.From August 20 a specialist tenancy relations adviser is employed from government funding to deal with PRS tenants threatened by homelessnessThe council is recognised as a 'gold standard' authority in dealing with the prevention and relief of homelessnessGovernment funding has been used to increase the 'homelessness prevention fund'. | Jun 20 | 3 | 3 | 9 | Manage | 4 | 3 | 12 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | Target Date | Update | | | |
| | | | Work proactively with partners through the Pathways programme to develop a sustainable approach to tackling homelessness in the city. | | Head of Neighbourhood Housing | Ongoing | Additional funding secured from MHCLG for rough sleeping. Planning agreed for 6x modular units. 10 x properties bought on open market for RS and housing first approach. | | | |
| | | | Over the longer-term, work with Pathways and the voluntary and community sector to look at pathways out of poverty for the most vulnerable. This will include training and skills opportunities and measures to move people closer to the labour market and into employment. | | Head of Neighbourhood Housing | On going | County wide partnership established with training and skills as key work stream. Head of housing is member of board. The Feed as a supplier of earning and learning opportunities being supported. | | | |
| | | | Given increased volumes of presentation and workload, it may be necessary to use govt homelessness funding held in existing budgets to take on additional resource in the homelessness relief team. This to be monitored. | | Housing Options Manager | On going | Additional resources secure and capacity being developed and monitored. | | | |
| | | | Comments: 30% increase in presentations. Important that processes regarding questions and complaints is followed to ensure prioritisation of caseloads. Some process redesign has created addition capacity. Sickness of DA advisor may affect caseload work. | | | | | | | |


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| | | <ul style="list-style-type: none"> • The council employs a specialist domestic abuse housing adviser to deal with DA victims threatened with homelessness | |
|--|--|--|--|


| Risk: 9. Cyber Security & GDPR compliance | | | Owner: Director of Strategy, Communications & Culture | | | | Category: Processes & Systems | Risk Direction: |  | |
|---|---|--|---|-------------|--|-------|-------------------------------|--|---|-------|
| | | | | Target Risk | | | | Current Residual Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Old and unsupported operating systems,• lack of staff awareness and training,• Cyber-attack etc.• Non-compliance with GDPR legislation | <ul style="list-style-type: none">• Data breaches and fines from the Information Commissioners Office (ICO) Mishandling sensitive information• IT systems don't meet service transformational expectations.• Data loss or loss of systems for a period of time.• Customer services disrupted• Financial impact of prolonged IT shutdown• Political & reputational risk | <ul style="list-style-type: none">• Mandatory e-learning modules on systems security & GDPR• Corporate Information Group – monitor data breaches GDPR related issues. | Jun 20 | 4 | 3 | 12 | Manage | 4 | 3 | 12 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Address recommendations from the internal audit review of GDPR -.including Information asset register | | Data Protection & Security Team Leader | | Apr 21 | Outstanding returns needed from asset owners to populate the IAR have been completed. | | |
| | | | Programme to replace legacy IT systems | | Head of Customers, IT & Digital | | Sep 23 | An extensive programme of work is in place to replace and refresh legacy systems. | | |
| | | | Internal audit of cyber security | | Interim Audit Manager | | Mar 21 | In progress | | |
| | | | Review the need to insure against cybersecurity attacks. | | Head of Customers, IT & Digital | | Jan 21 | Decide whether cover is need and liaise with Business relationship & procurement manager. | | |
| | | | Procure new electoral management system | | Democratic & Elections Manager | | May 21 | Started procurement of new electoral management system as current system not providing adequate support to elections | | |
| | | | Comments: | | | | | | | |

| Risk: 10. Joint Venture contracts | | | Owner: Director of People & Neighbourhoods | | | | Category: Customer | | Risk Direction: |  |
|---|--|---|--|-------------|-------------------------------------|-------|--------------------|---|-----------------|---|
| | | | | Target Risk | | | | Current Residual Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">Ending the joint venture contracts with Norse group for environmental services (April 2021); property management and general fund and housing repairs & maintenance (April 2022) and avoiding significant impacts on services.Poor relationship managementJoint ventures not managed effectively, and key service outcomes not achieved.Contracts not managed effectively.Joint venture arrangements do not run to term or budget | <ul style="list-style-type: none">Key services not deliveredThe Council does not get VFMBenefits of partner and contract management not realised.Specification not adhered to.Services not provided at an acceptable levelCustomer and staff complaints | <ul style="list-style-type: none">Place project – multi officer project team and board in place to implement insourcing projectsBusiness as usual workstream to oversee delivery and performanceRevised key performance indicators for property and building maintenance contracts agreedRegular review of performance | Jun 20 | 3 | 3 | 9 | Manage | 3 | 4 | 12 |
| | | | | | | | | | | |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Recommendations from the internal audit review of the housing repairs & maintenance contract reviewed and action plan agreed | | Director of People & Neighbourhoods | | Mar 21 | Update report reviewed by Audit Committee in November 20. Action plans on track. | | |
| | | | Safe transfer of environmental services to Norwich City Services Limited by 1.4.21 | | Chief Executive | | Apr 21 | | | |
| | | | Safe transfer of property and building maintenance services to Norwich City Services Limited by 1.4.22 | | Chief Executive | | Apr 22 | | | |
| Comments: | | | | | | | | | | |

| Risk: 11. Failure to fulfil statutory or legislative responsibilities - safeguarding. | | | Owner: Director of People & Neighbourhoods | | | | Category: Customer | | Risk Direction: |  |
|--|---|---|---|-------------|---|-------|--------------------|---|-----------------|---|
| Description/Triggers | Impact | Mitigation | Date Raised | Target Risk | | | Risk Strategy | Current Residual Risk | | |
| | | | | Consequence | Likelihood | Score | | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Lack of understanding the statutory and legislative responsibilities.• Lack of awareness of legislative changes and new legislation.• Failure to implement statutory duties and responsibilities.• Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities.• Insufficient organisational capacity.• Ineffective procedures and processes.• Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc.).• Delegation of responsibilities where services are with a contractor. | <ul style="list-style-type: none">• Financial costs in compensation & fines• Intervention if complete failure• Acting illegally• Negative impact on the Council's reputation• Wrong decision being made• Harm, abuse, accident or death linked to failure of the Council to act within safeguarding arrangements• Being held to account by overseeing organisations (e.g. children safeguarding) maybe included in reputation | <ul style="list-style-type: none">• Communication Strategy to ensure implementation• Corporate Governance Group in place to oversee compliance• Legal Services in place to provide support• Positive approach to checking compliance with legislation• Professional leads identify legal requirements• Quality assurance processes in place for contracted services• Suitably trained and mandatory reading of key documents for all officers | Apr 20 | 4 | 3 | 12 | Manage | 5 | 3 | 15 |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Increase officer confidence in information sharing and understanding of when and how to do so appropriately | | Early Intervention & Community Safety Manager | | Mar 21 | Jan 2021; number of safeguarding champions across council has increased and representation now in each directorate. Awaiting feedback from HR & Learning on proposed safeguarding training programme. | | |
| | | | Safeguarding policy and risk embedded into contractors' and sub contractors' policy and practice | | Early Intervention & Community Safety Manager | | Mar 21 | Jan 2021, This forms part of planned safeguarding training programme, awaiting delivery. | | |
| | | | Maintain safeguarding champion knowledge, understanding, confidence | | Early Intervention & Community Safety Manager | | Mar 21 | Jan 2021, this action is ongoing, with safeguarding champions meeting every two months. | | |
| | | | Embed learning across council teams | | Early Intervention & Community Safety Manager | | Mar 21 | Jan 2021, All team leaders and managers now receive all safeguarding issues logged, as well as their safeguarding champion. This enables safeguarding issues and challenges in reporting to be discussed and clarified at supervision meetings. | | |
| Comments: Populated from 2019-20 section 11 self-assessment action plan | | | | | | | | | | |

| Risk: R13 Occurrence of a significant event (NEW!) | | | Owner: Director of People & Neighbourhoods | | | | Category: Customer | | Risk Direction: |  |
|--|---|---|--|-------------|---|-------|--------------------|--|-----------------|---|
| Description/Triggers | Impact | Mitigation | Date Raised | Target Risk | | | Risk Strategy | Current Risk | | |
| | | | | Consequence | Likelihood | Score | | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Occurrence of a significant event:<ul style="list-style-type: none">◦ Denial of access to City Hall◦ ICT failure◦ Loss of power◦ Supply chain failure◦ Disruption to fuel supplies◦ Severe weather events◦ Communications failure◦ Pandemic• Insufficient staff representation across strategic, tactical and operational levels to ensure resilience, effective response and enable full engagement within NRF structures• The Council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term. | <ul style="list-style-type: none">• Services unable to function• Increased demand for some services• Vulnerable service users unable to access services | <ul style="list-style-type: none">• Council participation in the Norfolk resilience forum• Business continuity plans in place• Emergency planning strategy in place and maintained• Good contract governance• Emergency planning duty officer rota and procedures in place• Links in-place to other stakeholder BCPs – e.g. Biffa and NCSL | Oct 20 | 4 | 3 | 12 | Manage | 4 | 4 | 16 |
| | | | | | | | | | | |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Emergency planning arrangements reviewed and updated | | Environmental Health & Protection Manager | | Annually | New council structure will require review | | |
| | | | Senior managers trained to gold, silver and bronze response levels | | Emergency Planning Manager | | Sep 21 | New council structure will require review of existing provisions | | |
| | | | Business continuity plans reviewed annually, including other stakeholder BCPs where these link to council services | | Emergency Planning Manager & Service Managers | | Annually | New council structure will require review of existing provisions | | |
| Comments: Emergency planning has limited resources and is currently stretched to the limit | | | | | | | | | | |

| Risk: R14 Antisocial behaviour (NEW!) | | | Owner: Director of People & Neighbourhoods | | | | Category: | | Risk Direction: |  |
|---|---|--|--|-------------|---|-------|---------------|--|-----------------|---|
| | | | | Target Risk | | | | Current Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Failure to adequately manage risk to residents affected by antisocial behaviour | <ul style="list-style-type: none">• Death or serious injury to resident• Mental well-of resident being impacted• Escalation of issues leading to increased service demand and/or cost | <ul style="list-style-type: none">• Ensure risk assessment process being followed throughout the antisocial behaviour process• New ASB team fully staffed | Oct 20 | 2 | 3 | 6 | Manage | 4 | 4 | 16 |
| | | | | | | | | | | |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | Successful recruitment to new team so it is fully staffed | | Early Intervention & Community Safety Manager | | Jun 21 | Jan 2021, recruitment process is ongoing. Gaps in provision being met by experienced temp officers in the interim. | | |
| | | | New ASB team trained on and conversant with ASB risk assessment procedures | | Early Intervention & Community Safety Manager | | Sep 21 | Jan 2021, see above. Temp officers trained on corporate and national service standards | | |
| | | | Residents know how to report ASB to the council | | Early Intervention & Community Safety Manager | | Jun 21 | Jan 2021, updates to ASB web pages completed. | | |
| | | | Review of new ASB response arrangements to ensure effective | | Early Intervention & Community Safety Manager | | Sep 21 | | | |
| Comments: | | | | | | | | | | |

| Risk: R15 Contract Management – Governance (NEW!) | | | Owner: Interim Director of Resources | | | Category: Processes & Systems | Risk Direction: |  | | |
|--|---|---|---|-------------|---|-------------------------------|------------------|--|------------|-------|
| | | | | Target Risk | | | | Current Risk | | |
| Description/Triggers | Impact | Mitigation | Date Raised | Consequence | Likelihood | Score | Risk Strategy | Consequence | Likelihood | Score |
| <ul style="list-style-type: none">• Ownership of contract management strategy unclear• Resourcing of contract management and training inadequate• Clarity of service area accountability & roles and responsibilities poor• Contract managers not fully aware of the risks if robust regular contract management with their suppliers and supply chain not undertake• Inadequate SLA/KPIs/MI identified in tender/contracts together with appropriate escalations /consequences• Due diligence pre award and ongoing poor | <ul style="list-style-type: none">• Third party relationships and contracts not managed appropriately causing:<ul style="list-style-type: none">○ contract value not realised / obligations not carried out○ Poor performance○ Financial loss / poor value for money○ Legislative requirements not met / regulatory / legal fine or censure○ Reputational impact○ Lack of visibility of supplier performance | <ul style="list-style-type: none">• Use of framework agreements provides a level of due diligence• Revised contract management strategy• Robust guidance on obligations and roles and responsibilities for contract management• Training to be delivered to new contract managers and new officers in procurement team• 'Driving value through our supply chain' corporate service review to be instigated• IA coverage in audit plans | Aug 20 | 3 | 3 | 9 | Assess | 4 | 4 | 16 |
| | | | | | | | | | | |
| | | | Risk Control Action | | | | | | | |
| | | | Action | | Owner | | Target Date | Update | | |
| | | | • Platinum contract performance review (annual checklist) | | Business Relationship & Procurement Manager | | Mar 21 | Team have continued to prioritise the JV transfer contracts, therefore revised the target date to March 21 from Jan 21. | | |
| | | | • Develop Contract Management training/Source training delivery | | Business Relationship & Procurement Manager | | Mar 21 | Training to be delivered to NCSL based on current guidance. Wider training needs to be reviewed – to be part of service review/strategy action plan development | | |
| | | | • Deliver training <ul style="list-style-type: none">○ NCLS officers○ NCC officers | | Business Relationship & Procurement Manager | | Sep 21 | | | |
| | | | • Refresh procurement guidance documents <ul style="list-style-type: none">○ Procurement Strategy○ Contract Procedures○ Other | | Business Relationship & Procurement Manager | | Mar 21 Sep 21 | CLT discussion paper Jan 21 Strategy drafted – Mar cabinet agenda CPs & Other docs to be comprehensively reviewed as part of service review/strategy action plan development | | |
| | | | • Future Internal Audit coverage to be reviewed & aligned to risk | | Interim Audit Manager/Business Relationship & Procurement Manager | | Complete | | | |
| | | | • Driving value through our supply chain' corporate service review to be instigated | | Interim Director of Resources | | Mar 21 | Agreed corporate theme for service review. Plan to be develop | | |
| Comments: Recent limited assurance audit opinions on both NNBL and waste services contract management. issue raised as key action on Annual Governance Statement | | | | | | | | | | |

Risk scoring matrix

| | | | | | | | |
|--------|------------|---|------------|----------|----------|--------|-------------|
| Impact | Very High | 5 | 5 | 10 | 15 | 20 | 25 |
| | High | 4 | 4 | 8 | 12 | 16 | 20 |
| | Medium | 3 | 3 | 6 | 9 | 12 | 15 |
| | Low | 2 | 2 | 4 | 6 | 8 | 10 |
| | Negligible | 1 | 1 | 2 | 3 | 4 | 5 |
| | | | 1 | 2 | 3 | 4 | 5 |
| | | | Very rare | Unlikely | Possible | Likely | Very Likely |
| | | | Likelihood | | | | |