

Cabinet

Date: Wednesday, 10 March 2021

Time: 16:30

Venue: Remote access, [Venue Address]

Committee members:

Councillors:

Waters (chair)
Harris (vice chair)
Davis
Jones
Kendrick
Maguire
Packer
Stonard

For further information please contact:

Committee officer: Alex Hand
t: (01603) 989398
e: alexhand@norwich.gov.uk

Democratic services
City Hall
Norwich
NR2 1NH

www.norwich.gov.uk

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Agenda

Page nos

1 Apologies

To receive apologies for absence

2 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)

3 Public questions/petitions

To receive questions / petitions from the public.

Please note that all questions must be received by the committee officer detailed on the front of the agenda by **10am on Friday 5 March 2021**.

Petitions must be received by the committee officer detailed on the front of the agenda by **10am on Tuesday 9 March 2021**.

For guidance on submitting public questions or petitions please see appendix 1 of the council's constitution.

4 Minutes

5 - 14

To approve the accuracy of the minutes of the meeting held on 10 February 2021.

5 Improving the diversity of the council's workforce

15 - 26

Purpose - To outline a strategy and action plan to improve the workforce diversity profile of the council in respect of those from Black, Asian and other Minority Ethnic (BAME) background, in order to better reflect our communities.

6 Pay Policy Statement 2021-22

27 - 42

Purpose - To recommend council to approve the Pay Policy Statement 2021-22.

7 Q3 performance and risk cabinet report

43 - 72

Purpose - To report progress against the Corporate Plan priorities and key performance indicators and to provide an update on corporate risk for quarter three of 2021-21.

8 Norwich Regeneration Ltd Business Plan (report to follow)

Purpose - To consider the Norwich Regeneration Ltd Business Plan

- 9 To award a contract for the kitchens and bathrooms upgrade programme to council dwellings 73 - 80**

Purpose - To award a contract for the kitchens and bathrooms upgrade programme for council dwellings.

- 10 To award the contract for replacement seating at the Halls 81 - 88**

Purpose - To award the contract for replacement seating at the Halls.

- 11 Exclusion of the public**

Consideration of exclusion of the public.

EXEMPT ITEMS:

(During consideration of these items the meeting is not likely to be open to the press and the public.)

To consider whether the press and public should be excluded from the meeting during consideration of an agenda item on the grounds that it involves the likely disclosure of exempt information as specified in Part 1 of Schedule 12 A of the Local Government Act 1972 or it being confidential for the purposes of Section 100A(2) of that Act.

In each case, members are asked to decide whether, in all circumstances, the public interest in maintaining the exemption (and discussing the matter in private) outweighs the public interest in disclosing the information.

Page nos

- *12 Norwich Regeneration Ltd Busniess Plan - exempt appendix (report to follow)**

Purpose - To consider the exempt appendix.

- *13 Corporate performance and risk report quarter three 2020-21 - exempt appendix**

- 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.

- *14 Grant of Right to Buy one for one receipts**

- 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.

***15 The award of contract for merchant acquiring services**

- 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.

Date of publication: **Tuesday, 02 March 2021**



Cabinet

16:30 to 18:20

10 February 2021

Present: Councillors Waters (chair), Harris (vice chair), Davis, Jones, Kendrick, Maguire, Packer and Stonard

Also present: Councillors Boglein and Lubbock

1. Declarations of interest

Councillors Harris, Kendrick and Waters had been granted a dispensation by the council's monitoring officer as council tenants and would therefore take part in the discussion and vote on item 6 below.

2. Public Questions/Petitions

There were no public questions or petitions.

3. Minutes

RESOLVED to approve the accuracy of the minutes of the meeting held on 20 January 2021.

4. Corporate Plan 2021-22

The leader of the council presented the report. Every budget was policy led and the Corporate Plan aligned with the Medium Term Financial Strategy. The current Corporate Plan had been agreed in February 2019 and would run until 2022. It was developed with reference to the Norwich 2040 Vision and the council's mission vision, with a performance framework underpinning it. The Corporate Plan showed the citizens of Norwich that resources were being used in the right way. The Covid-19 pandemic had changed the detail of the Corporate Plan and paragraph 19 made reference to the Covid Recovery Blueprint which had been prepared in June 2020 and an update given to cabinet in December 2020. There were a number of key principles and objectives set out in 2019 which would remain the same but the Covid Recovery Blueprint would be the key document and progress would be marked against this at intervals.

The performance framework had been slimmed down to 28 indicators which allowed the council to focus on outcomes for those areas over which it had a direct influence. The removed indicators were monitored at a service level and used as wider metrics to give the senior leadership team oversight of service delivery.

The leader of the council thanked the scrutiny committee for its consideration of the performance framework and responded to the recommendations listed at paragraph 17 and 18 of the report and responded to each of them in turn.

He said that the estate management satisfaction recommendation would be better placed to consider in 2022 when the service had transferred back in house from Norse. The recommendation around anti-social behaviour complaints was already part of the service level metrics and would continue to be monitored. The remaining KPIs needed to be outcome based so a KPI around this would need further work. The recommendation on retrofitting of council owned homes was something that the council was already committed to and could demonstrate progress on so there was no need for a KPI to be included. Regarding the suggestion on reporting on the percentage of non-profit organisations receiving business rates relief, the performance framework was concerned with high level indicators so it was not appropriate for this to be included. The recommendations on council owned shop and Norwich Market occupancy rates would be covered by the commercial portfolio KPI. Finally, the recommendation on staff welfare metrics was something that was already monitored regularly by the senior management team.

An additional recommendation had been made by the scrutiny committee asking cabinet to ask the council's treasury management advisors to research and investigate the addition of 'social value' as a fourth criteria of the treasury management investment policies. The interim director of resources and Section 151 officer said that she would speak to the council's treasury management advisors about adding the criteria as she would want to take advice before committing to including this.

Councillor Bogelein said that she appreciated that the council wanted to be focussed on outcomes but she felt that a more detailed measure around anti-social behaviour and perceptions of feeling safe was necessary. The leader of the council said that the aligning of the objectives with the Covid-19 Recovery Plan picked up some issues around this such as domestic abuse and the 2040 City Vision work on County Lines. The 28 remaining indicators showed what the council could directly influence but it continued to work with partners on issues.

The chief executive said that a performance and vision board was being set up which heads of service would sit on and the board would manage performance. This would feed into corporate leadership team meetings on a quarterly basis, alongside risk and HR metrics.

RESOLVED to:

- (1) note the corporate plan vision, mission and priorities, to inform the council's resource allocation for 2021-22; and
- (2) agree the corporate performance framework for 2021-22

5. Council Tax Reduction Scheme 2021-22

Councillor Davis, cabinet member for social inclusion, presented the report. She thanked officers for their hard work on the scheme. She highlighted the amendments and modifications listed at paragraph 13 of the report. She suggested an addition to recommendation (2) to include a reference to in legacy benefits for completeness. She said that she was pleased that the council was looking to retain a scheme of council tax reduction which would help the most vulnerable in society.

RESOLVED to recommend council to:

1) make the following changes to the council tax reduction scheme (CTRS) for 2021/22 by continuing with the 2020/21 scheme with the following modifications:

- a) as in previous years increase the working-age applicable amount by the 2021/22 composite rate of council tax (excluding adult social care)
- b) increase the level of income brackets used to decide non-dependant deductions and level of non-dependant deductions by the 2021/22 composite rate of council tax (excluding adult social care)
- c) increase the level of income brackets used to decide entitlement to second adult reduction by the 2021/22 composite rate of council tax (excluding adult social care)
- d) apply technical updates already applied to DWP benefits for working-age applicants to keep legislation updated to EU exit decisions
- e) retain the local discount provision for care leavers
- f) retain the local discount provision for liable persons absent from a main dwelling due to domestic violence events
- g) retain a single person discount for 3 months for liable persons where they give a home to an asylum seeker or refugee who has no ability to work

2) agree that the scheme will have provision to reflect changes Government might introduce to continue with a COVID-19 increase in Universal Credit rates, legacy benefits and / or Working Tax Credit additional earnings disregards for the 2021/2022 year. This will ensure customers are not disadvantaged by the Government increase.

6. The council's budget 2021-22 and Medium Term Financial Strategy

Councillor Kendrick, cabinet member for resources, presented the report. The council was facing huge pressure on its resources to run day to day services which had been exacerbated by the Covid-19 pandemic. He highlighted the short term savings options outlined in the report. There had been a lot of work to protect frontline services whilst having a balanced budget. There were still financial pressures due to funding from central government being inadequate.

He highlighted an additional recommendation to the report which was a result of £1.5m of grant funding that the council had just received confirmation of to carry out energy efficiency projects. It was important to reflect the additions to the capital programme in the report which would be considered at full council on 23 February and cabinet was therefore asked to approve the additional recommendation:

“Cabinet is asked to recommend to Council to approve an amendment to increase the council's 2021/22 capital programme by £1.456m to include projects to be delivered as part of the government's Decarbonisation Scheme and Green Homes Scheme. The final split between the GF and HRA capital programmes will be managed through a technical virement and reported in the first monitoring report of 2021/22. These works will be fully funded from grant contributions”.

It was also noted that there was an error in the year on recommendation 24 on the report which should read ‘The (financial) Investment Strategy **2021/22** (paragraphs 6.38 to 6.73’).

Councillor Harris, deputy leader and cabinet member for social housing commended officers for the report and said that with regard to the HRA, council homes were a very important asset and £129m had been invested in the last six years in the housing stock. She said that the HRA was in a strong position but there were still challenges. There had been a loss of income due to the 1% rent reduction enforced by central government, alongside the loss of approximately 140 properties each year through the Right to Buy scheme, which needed reform. The Covid-19 pandemic had impacted on work and the continued roll out of Universal Credit had impacted on rent collections, however, the income team were working closely with residents around this. The proposal for a 1.5% in rent increase had carefully weighed the financial implications for tenants against the need to maintain housing stock and build new homes.

The interim director of resources and section 151 officer said that it had been a challenging year but she was pleased to be presenting a robust budget. Two additional reserves were being suggested, a risk reserve which would help to mitigate against any challenges due to the lockdown and a business change reserve to invest in staff. There were challenges to the ongoing position as a lot of funding had been in the form of one off grants. The strategy of smoothing reserves would continue.

Councillor Bogelein said that there were both long and short term savings in the papers but some would only be considered after consultation. She asked which of those were at risk of not being taken forward and would therefore run the risk of drawing on reserves. The leader of the council said that as much certainty was provided as possible but the council received a lot of short term funding so the impact of this would need to be considered.

Councillor Lubbock commented that her political group were not happy with the proposal to charge for car parking at Eaton and Waterloo Parks and consideration needed to be given to residents living around those parks as there were no parking restrictions on the road. Councillor Packer, cabinet member for health and wellbeing said that the aim was to provide quality services and there would be an in depth feasibility study to understand the impacts of the proposals. Councillor Stonard, cabinet member for sustainable and inclusive growth, said that the feasibility work

would look at the displacement of parking. Many people who drove to the parks were from outside of the city and those who lived in the city would walk, cycle or take public transport.

The leader of the council said that he was disappointed that central government had relied so heavily on local government, especially throughout the Covid-19 pandemic without giving adequate funding.

RESOLVED to:

- a) Note the budget consultation process that was followed and the feedback gained as outlined in Appendix 2 (I).
- b) Note Section 8 on the robustness of the budget estimates, the adequacy of reserves, and the key financial risks to the council.
- c) Note that the Council Tax resolution for 2021/22, prepared in accordance with Sections 32-36 of the Local Government Finance Act 1992 as amended by the Localism Act 2011, will be calculated and presented to Council for approval once Norfolk County Council and the Office of the Police and Crime Commissioner for Norfolk have agreed the precepts for the next financial year.
- d) Approve the creation of a new earmarked reserve to help manage the costs associated with business change activities.

Recommend to Council to approve:

General Fund

1. The council's net revenue budget requirement as £17.013m for the financial year 2021/22 including the budget allocations to services shown in Appendix 2 (C) and the savings and growth proposals set out in appendices 2 (F) and 2 (G).
2. An increase to Norwich City Council's element of the council tax of 1.99%, meaning that the Band D council tax will be set at £274.74 (paragraph 2.28) with the impact of the increase for all bands shown in Appendix 2 (E).
3. The prudent minimum level of reserves for the council as £5.100m (paragraph 2.52).
4. Delegate to the chief finance officer (S.151 Officer), in consultation with the portfolio holder for resources and the portfolio holder for social inclusion, the award of any new business rates reliefs announced by government using discretionary relief powers as set out in paragraph 1.6. The full cost of granting this relief will be compensated through a section 31 grant from Government.
5. Transfers to earmarked reserves as set out in paragraphs 2.5, 2.6 and 2.7.
6. Delegate to the chief finance officer (s.151 officer) the approval of technical

virements to make budget transfers where there is no underlying change in the budget intention as set out in Appendix 2(J) and paragraphs 2.19, 2.42 and 2.45.

Housing Revenue Account

7. The proposed Housing Revenue Account gross expenditure budget of £63.669m and gross income budgets of £68.708m for 2021/22 (paragraph 3.40).
8. The use of the estimated surplus of £5.039m along with a further £10.640 of HRA general reserves to make a revenue budget contribution of £15.679m towards funding the 2021/22 HRA capital programme (paragraph 3.40).
9. A 1.5% increase in dwelling rents for 2021/22, in accordance with following the Secretary of State issued Direction on the Rent Standard 2019. This enables authorities to increase rent annually by up to CPI (Consumer Price Index) as at the preceding September plus 1%. This will result in an average weekly rent increase of £1.19 for Norwich tenants (paragraphs 3.45 to 3.50).
10. That garage rents remain at existing levels for 2021/22 (paragraph 3.51).
11. That the setting of tenants' service charges is delegated the director of people and neighbourhoods/director of community services in consultation with the portfolio holder for Social Housing after engagement with tenant representatives.
12. The prudent minimum level of Housing Revenue Account reserves as £5.848m (paragraph 3.71).

Capital Strategy

13. The proposed general fund capital programme 2021/22 to 2025/26 (2020/21: £20.617m; 5 years: £43.724m) and its method of funding as set out in table 4.3, table 4.4 and Appendix 4 (B).
14. The proposed HRA capital programme 2021/22 to 2025/26 (2020/21: £48.839m; 5 years: £206.519m) and its method of funding as set out in table 4.3, table 4.5 and Appendix 4 (B).
15. The capital strategy, as required by CIPFA's Prudential Code.
16. The 2020/21 General Fund capital programme is increased by £1.025m to facilitate expenditure of Towns' Deal funding as set out in paragraph 4.34.
17. An amendment to increase the council's 2021/22 capital programme by £1.456m to include projects to be delivered as part of the government's Decarbonisation Scheme and Green Homes Scheme. The final split between the GF and HRA capital programmes will be managed through a technical virement and reported in

the first monitoring report of 2021/22. These works will be fully funded from grant contributions.

18. The delegation to the chief finance officer (s.151 officer) in consultation with the director of place/director of development & city services, approval of adjustments to the 2020/21 and future capital programmes to reflect the inclusion of match funding towards Towns' Deal funded projects (paragraphs 4.32 to 4.35).

Non-financial Investments (Commercial) Strategy

19. The setting aside of 20% of the net income achieved from previous commercial property investment into the commercial property earmarked reserve as set out in paragraphs 5.13 to 5.15.

20. The council's policy and process for lending to Norwich Regeneration Limited as set out in paragraphs 5.20 to 5.23.

21. The council's policy and process for lending to Norwich City Services Ltd as set out in paragraphs 5.25 to 5.27.

Treasury Management Strategy

22. The borrowing strategy 2021/22 through to 2025/26 (paragraphs 6.21 to 6.24).

23. The capital and treasury prudential indicators and limits for 2021/22 through to 2025/26 contained within paragraphs 6.13 to 6.20 and tables 6.2 to 6.4, including the Authorised Borrowing Limit for the council.

24. The Minimum Revenue Provision (MRP) policy statement described in paragraphs 6.33 to 6.37 and contained in Appendix 6.

25. The (financial) Investment Strategy 2021/22 (paragraphs 6.38 to 6.73).

Summary of key financial indicators

26. The indicators for 2021/22 through to 2024/25 contained in section 7.

7. Q3 budget monitoring 2020-21

Councillor Kendrick, cabinet member for resources, presented the report which showed the financial position as of December 2020. There was a reduced impact of Covid-19 due to the receipt of some government funding. The capital programme was underspent by £32m as detailed in appendix 6 of the report.

RESOLVED to:

- 1) note the forecast outturn for the 2020/21 General Fund, HRA and capital programme;

- 2) note the consequential forecast of the General Fund and Housing Revenue Account balances; and
- 3) approve the creation of an East Norwich Masterplan earmarked reserve to hold the balance of contributions unutilised at year end

8. Local Development Scheme 2021-23

Councillor Stonard, cabinet member for sustainable and inclusive growth, presented the report. The scheme had been reviewed in 2020 but further information on timescales had been given so the scheme had been revised to reflect this, alongside work stream progress. The revised version would run until 2023. He highlighted the principle changes at paragraph seven of the report.

Councillor Bogelein questioned why a buffer of 22% had been added to the housing calculations and asked what the climate change projections were around this. The planning policy team leader said that there was a commitment to having a focussed housing needs assessment and once this had been finalised, members would be updated.

RESOLVED to approve the Local Development Scheme for publication under section 15 of the Planning and Compulsory Purchase Act 2004 (as amended by section 111 of the Localism Act 2011).

9. The award of contract for multidisciplinary professional advice in respect of the East Norwich Masterplan – KEY DECISION

Councillor Stonard, cabinet member for sustainable and inclusive growth, presented the report. A partnership had been created to develop the Carrow Works and adjacent sites for both homes and employment space. There was a need for infrastructure to support this and the development of a masterplan would make this coherent. The cost for this would be around £500k which would be shared with the members of the partnership. He highlighted the timetable for the development of the masterplan which was set out at paragraph ten of the report.

Sustainability was at the heart of the masterplan which included homes, green spaces and transport links. It was a highly ambitious and exciting project to develop a new quarter of the city.

RESOLVED To award the contract for multidisciplinary professional advice - East Norwich Masterplan for period 1 March 2021 - 31 March 2022 to Avison Young.

10. Greater Norwich Joint Five Year Infrastructure Investment Plan 2021-26 KEY DECISION

The leader of the council presented the report. He highlighted the four agreed projects which were outlined at page 276 of the report, with two of the four being within the Norwich City Council area. The project at Ketts Heights was around

interpreting the historical elements of the area and the leader of the council thanks the Friends of Ketts Heights for their work on the project.

The city growth and development programme co-ordinator said that the funding for the Ketts Heights project would be received by the council, whereas the funding for the football development centre would be given directly to the centre directly. The neighbourhood and community enabling manager said that there was a robust process for these projects which took into account the needs of the area and this was proving to be a good system for ensuring that investment was made in the right areas.

Councillor Bogelein asked if it would be possible to ask the infrastructure development board to fund a modern transport system for Greater Norwich, to be repaid through CIL funds. Councillor Stonard, cabinet member for sustainable and inclusive growth, said that the Transforming Cities funding was very significant and the work was about modal shift and pushing the use of public transport. There was more work to be done and the city council was in correspondence with the county council about reciprocal arrangements. The director of place referred to the Transport for Norwich Strategy and said that the council was trying to encourage the county council to come up with a more ambitious strategy.

RESOLVED to:

- 1) agree the Greater Norwich Joint Five-Year Infrastructure Investment Plan 2021-2026, included in Appendix A
- 2) To approve the CIL allocations included within the first year of the five year plan forming the 21/22 Annual Growth Programme.
- 3) To recommend to Council the inclusion of the following project into the council's capital programme commencing in 21/22:
 - Kett's Heights
- 4) To note the community CIL allocation covered in paragraphs 24-25.

11. To award contracts for the domestic gas heating upgrading of council dwellings

Councillor Harris, deputy leader and cabinet member for social housing, presented the report. She said that the initial contract was awarded for a three year period, with a performance review each year. The 2020-21 programme had failed to deliver targets. This was a significant investment in council homes and there was a need to manage the risk, so it was proposed that the contract be shared between two contractors, as detailed at page 333 of the report. The contract performance would be reviewed again in a year.

Councillor Bogelein asked about options for the future when replacing gas boilers. The major works and services manager (NPS) said that there was consideration being given to significant schemes of renewable energy systems for the future.

RESOLVED to approve the award of two contracts for the domestic gas heating upgrading of council dwellings for the two year period 1 April 2021 to 31 March 23 to:

- a) PH Jones Ltd and
- b) Dodd Group Ltd

12. To award contracts for the domestic electrical wiring of council dwellings

Councillor Harris, deputy leader and cabinet member for social housing, presented the report. The contract was subject to satisfactory performance and the programme had not been delivered to target. To give improved resilience, it was proposed to share the contract between two contractors with a review again in a year.

RESOLVED to approve the award of two contracts for the domestic electrical rewiring of council dwellings for the two year period 1 April 2021 to 31 March 2023 to:

- a) Foster Property Maintenance Ltd and
- b) Gasway Services Ltd

13. Exclusion of the public

RESOLVED to exclude the public from the meeting during consideration of items *14 and *15 (below) on the grounds contained in the relevant paragraphs of Schedule 12A of the Local Government Act 1972 (as amended).

***14. The award of contract for multidisciplinary professional advice in respect of the East Norwich Masterplan - exempt appendix (paragraph 3)**

RESOLVED to note the exempt appendix.

***15. Managing Assets (non housing) (paragraph 3)**

RESOLVED to:

- 1) approve, as shareholder, the discharge by Legislator 1656 Ltd of the overage interest referred to in this report subject to contract; and
- 2) approve disposal of the property referred to in this report on a long lease subject to contract.

CHAIR

Report to Cabinet
10 March 2021
Report of Chief executive officer
Subject Improving the diversity of the Council's workforce

Item

5

Purpose

To outline a strategy and action plan to improve the workforce diversity profile of the council in respect of those from Black, Asian, and other Minority Ethnic (BAME) background, in order to better reflect our communities.

Recommendation

To note and comment on the outline strategy and action plan which aims to improve the ethnic diversity of the council's workforce over time. To also note the data in respect of the Council's BAME workforce profile and how this compares to the data in relation to the city.

Corporate and service priorities

The report helps to meet the corporate priorities Inclusive economy and People living well

Financial implications

Any costs that cannot be contained within existing budget will be supported through the new Business Change reserve following approval of an appropriate business case.

Ward/s: All Wards

Cabinet member: Councillor Waters - Leader

Contact officers

Stephen Evans, Chief Executive Officer

Dawn Bradshaw, Head of HR and learning

01603 987524

Mel Kirby, HR officer

01603 987612

Background documents

None

Report

Background and context

1. The Equality Act 2010 provides the legal framework to protect the rights of individuals and advance equality of opportunity for all. The key provisions came into effect in October 2010 and introduced 9 protected characteristics.
2. The Public Sector Equality Duty (PSED) was created under the Equality Act and came into force in 2011. It places specific duties on public bodies to have due regard to the need to eliminate discrimination, to advance equality of opportunity and foster good relations between different communities.
3. The Council has a strong commitment to equality, diversity and inclusion both as an employer and as a service provider. This is demonstrated in the Council's corporate priorities and in the Norwich 2040 City Vision.
4. The 2011 Census indicated that 9.1% of the economically active population of Norwich City are from a Black, Asian and other Minority Ethnic (BAME) background. This is significantly higher than other Norfolk local authority areas which range from 1.6% to 3.4 % of the population.

Monitoring the diversity of our employees

5. Information on the diversity of the workforce is included in the annual Equality Report which was agreed at Cabinet on 20 January this year. In addition, workforce metrics have been produced quarterly since 2011 and include the monitoring of the diversity of the workforce. The diversity of the top 5% of earners is reported to Cabinet as part of the corporate key performance indicators.
6. The current workforce profile is representative of communities in some protected characteristics. We are not complacent about this and will continue to take action to work towards our workforce being representative across all protected characteristics.
7. However, a clear area of where the workforce of the city council is out of step with the wider community we service is in relation to the proportion of employees from a Black, Asian or other Minority Ethnic (BAME) background.
8. Based on data at 31 December 2020, 3.4% of the Council's workforce are from a BAME background, compared to 9.1% of the City population. The number of BAME employees in the top 5 % of earners at the Council is 5.4%.
9. Analysis of the data collected since 2011 indicates that, although overall there have been slight improvements since data collection commenced, figures have generally remained relatively static. The most significant change has been in the number of employees who have not updated their equality data or have indicated they prefer not to say. This currently represents 7.7% of the workforce.
10. Whilst it is not uncommon for Government departments and local authorities to have workforce diversity numbers which are out of step with the communities

they serve, it is something that the city council is determined to address. Improving workforce diversity – not only in respect of ethnicity but across a range of areas – creates a greater richness of views, increases inclusion, and makes the council more representative of the wider city.

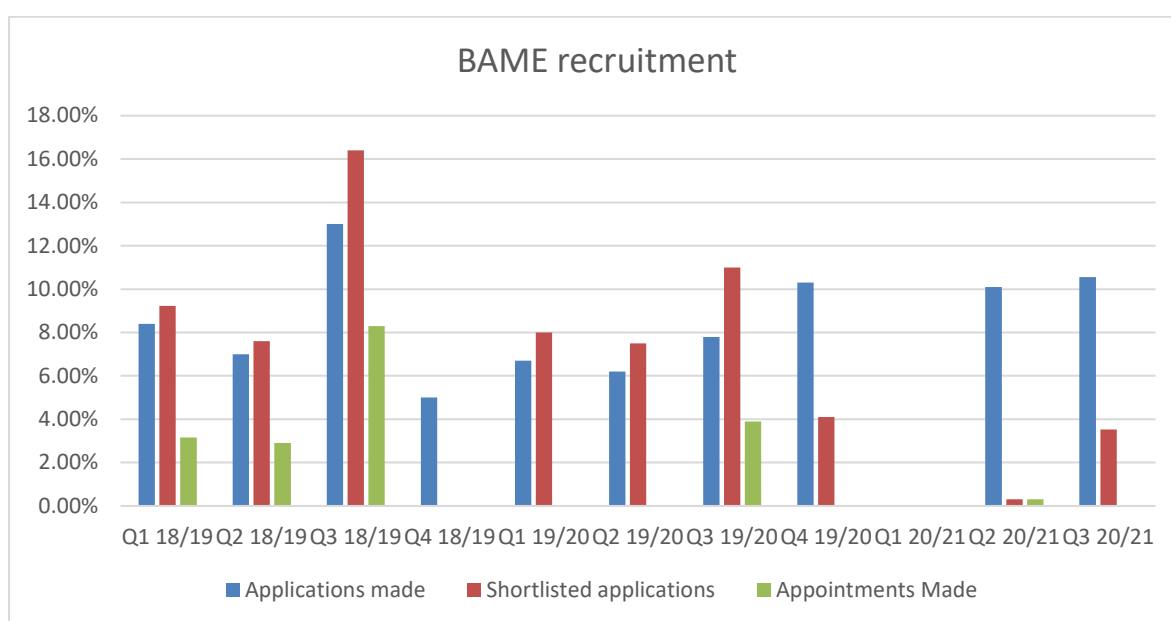
11. Improving the diversity of the Council's workforce will not happen overnight – it will require a sustained approach over the medium to long term, but it is important – both for the organisation and for the city we serve – that incremental progress is made. With that in mind, this report sets out the main elements of the Council's proposed approach.

Monitoring the diversity of job applicants

12. The table and bar chart below show the proportion of BAME candidates who have applied for jobs with the council, the proportion who were shortlisted and the proportion who were appointed for the period April 2018 to December 2020.

	2018/19				2019/20				2020/21*	
BAME	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q2	Q3
Applications	8.40%	7.00%	13.00%	5.00%	6.70%	6.20%	7.80%	10.30%	10.10%	10.56%
Shortlisted	9.23%	7.60%	16.40%	0.00%	8.00%	7.50%	11.00%	4.10%	0.30%	3.53%
Appointment	3.16%	2.90%	8.30%	0.00%	0.00%	0.00%	3.90%	0.00%	0.30%	0.00%

*no recruitment activity in Qu1



13. In four of the ten quarters reviewed, the number of applicants from a BAME background exceeded 9.2%. During this period, conversion of BAME candidates to shortlist is also positive in six of the ten quarters. However, the drop off rate at appointment stage is concerning and it is important that we understand why in more detail.

Priorities and actions

14. The benefits of having a diverse workforce, which reflects the communities it serves are widely recognised. We aim to build a workforce that is fully representative of our communities and to realise the benefits that this will bring in terms of diverse viewpoints and perspective, increased innovation and better understanding of the issues that affect our citizens.
15. Generally turnover in the Council's workforce is relatively low at around 10% per annum. Due to Covid, turnover has reduced in the last year and is currently projected to be 7.3% for 2020/21.
16. This low level of turnover will have an impact on our ability to change our workforce profile at pace. Therefore, the aim is to develop a strategy and action plan to improve diversity over time.
17. Increasing diversity alone doesn't address equality, personal bias or a culture of exclusion in the workforce and it is recognised that an inclusive culture is also needed to give diversity real impact. The aim is to build an inclusive workplace that ensures we both attract and retain diverse talent.
18. We recognise that we are not currently a diverse group and we will identify exemplars of best practice and those we need to engage with in our communities who can support our improvement journey.

Key priority areas to increase diversity of the workforce

19. The following key themes have been identified as being crucial to our strategy for increasing workforce diversity:
 - a) Ensuring our recruitment practices and processes are designed to attract a diverse candidate pool
 - b) Building an inclusive workplace and creating a culture where people from all backgrounds feel included and valued
 - c) Embed effective and objective workforce and succession planning to support the retention and progression of talented employees.
20. As a first step, it is important to take action to improve how people from BAME backgrounds view the Council and to identify opportunities to better connect with a greater diversity of people in the local community and more widely - so that we can increase the number of people who see the Council as a potential career choice. We have a number of partners in the local community who can support this approach. Increasingly, recruitment agencies are developing their approaches to attracting a greater diversity of candidates which is something we can tap into.

21. It will be important to communicate effectively with a more diverse number of prospective employees and target our approach to advertising future roles accordingly – looking beyond the usual channels to connect with those who might not immediately be attracted to – or even be aware of – a role at the city council.
22. As well as doing more to increase the diversity of the potential candidate pool, we also need to improve our processes and insight in order to identify why those who apply are not successful in securing roles through various steps of the recruitment process.

Actions

23. Against these key themes, there are a number of actions we will take to begin to make progress. The list below gives a sense of the sort of action we intend to take – this is not exhaustive and further work is being taken forward to embed this approach into our policies, practices and procedures.

	Action
1	Work with employees to increase recording of protected characteristics to improve our data. This will enable us to better understand our workforce profile which will inform actions and interventions to address under representation.
2	Review exit questionnaires and incorporate specific questions around discriminatory practice in reasons for leaving. Increase the number of completed exit questionnaires received. Act on all questionnaires when unacceptable actions, culture and practice is reported.
3	Carry out more detailed analysis of our workforce and recruitment diversity data to better identify where barriers to appointment and progression exist.
4	To ensure our commitment to a diverse and inclusive workplace is heard and unacceptable behaviours are called out.
5	Refresh our current offer of equality and diversity training for all employees and for managers in leading diversity – training to be mandatory. It is anticipated that this will be beneficial in both our role as an employer and a service provider.
6	Roll out mandatory unconscious bias training for all employees
7	Recruitment and selection training to incorporate discrimination and bias in the recruitment process and best practice to address it.
8	Equality and diversity training to be available to elected members

	Action
9	Increase the diversity of our recruitment panels, where possible.
10	Review and embed diversity and inclusion in all stages of the assessment and selection process and review our current assessment methods to identify if they create disadvantage.
11	The Council previously adopted the practice of blind sifting of applications to reduce unconscious bias. Due to a change in recruitment system this ceased at the end of December 2019. We will review the impact of blind sifting of applications and reintroduce if found to have had a positive impact.
12	The majority of council vacancies are advertised on the Council website, which is cost effective. To increase the number of applicants from underrepresented groups we will review where job advertisements are placed and the media used.
13	Review and rewrite job descriptions and person specifications and remove non-essential requirements to eliminate any disadvantage.
14	Continue to offer feedback to every job applicant.
15	Extend the equality check carried out at shortlisting stage in respect of candidates with a disability to include race/ethnicity.
16	Refresh our recruitment website and include a clear, positive leadership message about diversity and inclusion. Include a diversity values statement on job advertisements. Adopt the principle of positive action to address the issue of under-representation of BAME people in our workforce.
17	Ensure meaningful consultation with our workforce on diversity issues to inform decision making.
18	Assess the need for specific employee support networks and provide appropriate support to enable them to thrive and have a voice.
19	Continue to measure attitudes towards equality, diversity and inclusion in employee engagement surveys.
20	Honour religious and cultural practices.
21	Equality impact assessments are carried out on all employment policies. Implement a programme of periodic reviews and update equality impact assessments for all employment policies.
22	Ensure service reviews don't disproportionately affect under-represented groups through completion of equality impact assessments prior to finalising organisational restructures.

	Action
23	It isn't currently mandatory to report on ethnicity pay gap. From April 2021 we intend to commence ethnicity equality pay gap reporting to start to put measures in place to address any pay inequality.
24	Analysis of organisational culture to identify underlying themes that may impact on inclusivity.
25	Identify and address any barriers to progression for BAME employees
26	Monitor and evaluate impact of the agreed actions and interventions.

Next steps and monitoring progress

24. Improving the diversity of the Council's workforce and the impact of the actions identified will not be immediate but will be realised over time. It is anticipated that further actions and interventions will evolve as progress is made.

25. In terms of the next steps, the council will:

- Develop a detailed action/activity and resource plan which will include the priority and timeframes for each action.
- Assess which actions will have the most impact in the short to medium term and start to implement them.
- Communicate the council's intentions and commence engagement on workforce diversity with the existing workforce.
- Report progress against the actions; including the progress made in changing the workforce diversity profile to the corporate leadership team on a quarterly basis as part of quarterly assurance reporting.
- Update Cabinet on a six monthly basis on progress made against the key themes and actions.
- Monitor and report to Cabinet on an annual basis the impact of the actions and interventions.

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 the completion of the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	10 March 2021
Director / Head of service	Annabel Scholes/Dawn Bradshaw
Report subject:	Improving the diversity of the councils workforce
Date assessed:	17 December 2020

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	X	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	X	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	X	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	X	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input type="checkbox"/>	X	<input type="checkbox"/>	Improving employment prospect of underrepresented groups is likely to impact on individual financial wellbeing
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults		<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>		<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	<input type="checkbox"/>	X	<input type="checkbox"/>	Article 14: right not to be discriminated against
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"/>	X	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input type="checkbox"/>	X	<input type="checkbox"/>	
Advancing equality of opportunity	<input type="checkbox"/>	X	<input type="checkbox"/>	
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	X	<input type="checkbox"/>	<input type="checkbox"/>	
Natural and built environment	X	<input type="checkbox"/>	<input type="checkbox"/>	
Waste minimisation & resource use	X	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution	X	<input type="checkbox"/>	<input type="checkbox"/>	
Sustainable procurement	X	<input type="checkbox"/>	<input type="checkbox"/>	
Energy and climate change	X	<input type="checkbox"/>	<input type="checkbox"/>	
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	<input type="checkbox"/>	X	<input type="checkbox"/>	Potential to mitigate against discrimination claims

Recommendations from impact assessment	
Positive	
Better representation of people from a BAME background in the workforce, reflecting our communities	
Negative	
Neutral	
Issues	

Report to Cabinet
10 March 2021
Report of Head of HR and Learning
Subject Pay Policy Statement 2021/22

Item

6

KEY DECISION

Purpose

To note and recommend to Council the pay policy statement for 2020/21.

Recommendation

To note and recommend Council to approve the pay policy statement for 2020/21

Corporate and service priorities

The report helps to meet the corporate priority health organisation

Financial implications

The pay policy statement sets out current remuneration arrangements and there are no additional or increased financial implications or risks arising from the pay policy.

Ward/s: All Wards

Cabinet member: Councillor Waters - Leader

Contact officers

Dawn Bradshaw head of HR and learning

01603 987524

Background documents

None

Report

1. Section 38 (1) of the Localism Act 2011 requires the Council to consider, approve and publish a pay policy statement for each financial year. The pay policy statement must be approved by a resolution of the full Council by 31 March.
2. The pay policy statement must as a minimum set out the councils policies relating to:
 - (a) The remuneration of its chief officers
 - (b) The remuneration of its lowest paid employees
 - (c) The definition of the lowest paid employees adopted by the council for the purposes of the pay policy statement and the reasons for adopting that definition.
 - (d) The relationship between the remuneration of its chief officers and employees who are not chief officers.
 - (e) The publication of and access to information relating to remuneration of chief officers.
3. The pay policy statement for 2021/22 incorporates the following changes:
 - a) New executive director (chief officer) pay grades, agreed at full Council on 22 September 2020, have been added at 2.5 and the previous grades removed.
 - b) Intention to change the current monitoring officer arrangements and bring this function into direct employment and within the remit of this pay policy statement has been added at 4.2.
 - c) Information added at 6.11 ii. in respect of severance payment arrangements not relating to redundancy.
 - d) Information added at 6.16 to provide clarity on interim appointments under a contract for services.
4. A pay claim has been received from the trade unions by the national employers. The national employers commence consultation with local authorities in March in relation to pay increases from 1 April. The pay rates detailed at 1.6 and 2.5 will be updated in line with any agreed pay increase.
5. The pay policy statement meets the statutory requirements of the Localism Act.

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 the completion of the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	10 March 2021
Director / Head of service	Annabel Scholes/Dawn Bradshaw
Report subject:	Pay Policy Statement 2021/22
Date assessed:	19 February 2021

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	X	<input type="checkbox"/>	<input type="checkbox"/>	
Other departments and services e.g. office facilities, customer contact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
ICT services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Economic development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Financial inclusion	<input type="checkbox"/>	X	<input type="checkbox"/>	The councils pay policy supports financial inclusion
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
<u>S17 crime and disorder act 1998</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Human Rights Act 1998	X	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	X	<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"/>	Not applicable
Eliminating discrimination & harassment	X	<input type="checkbox"/>	<input type="checkbox"/>	Nationally agreed non-discriminatory job evaluation scheme used to grade posts. A full equality impact assessment was carried out on the pay and grading structure in 2019 and discussed with the recognised trade union
Advancing equality of opportunity	X	<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"/>	Not applicable
Natural and built environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Waste minimisation & resource use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Pollution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Sustainable procurement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable
Energy and climate change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable

	Impact			
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management	X	<input type="checkbox"/>	<input type="checkbox"/>	

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

PAY POLICY STATEMENT 2021/22

Introduction

This pay policy statement is provided in accordance with Section 38 of the Localism Act 2011 and is effective from 1 April 2021. The pay policy statement was approved at a meeting of full council on *(add date when approved)*.

Scope

This document sets out the council's pay and reward arrangements for the whole workforce including senior pay arrangements, with the exception of employees who have terms and conditions of employment that are protected under TUPE regulations.

1. Employee remuneration up to and including heads of service

- 1.1 Employees up to and including head of service grades are subject to the National Joint Council (NJC) for local government services national agreement on pay and conditions of service. These are supplemented by locally agreed collective agreements reached with trade unions recognised by the council.
- 1.2 The council's pay structure commences at spinal column point (SCP) 4 up to SCP 59L. SCP'S 4 to 43 reflect the NJC national pay points, SCP'S 44L to 59L are locally agreed pay points.
- 1.3 There are 14 grades within the pay structure. Grade 1 is the lowest grade and grade 14 is the highest grade. Grades 13 and 14 apply to head of service posts. Grade 13 is not used.
- 1.4 Salaries in these pay grades are updated in line with pay awards notified from time to time by the NJC for local government services.
- 1.5 Posts are allocated to the pay grades through a process of formal job evaluation using the NJC job evaluation scheme.

1.6 Pay and grading structure – pay rates 1 April 2020 – 31 March 2021*

Grade	JE score	SCP	Annual salary	Hourly rate
Grade 1	Up to 260	4	£18,933	£9.81
		5	£19,312	£10.01
Grade 2	261 - 291	6	£19,698	£10.21
		7	£20,092	£10.41
Grade 3	292 - 332	8	£20,493	£10.62
		9	£20,903	£10.83
		10	£21,322	£11.05
		11	£21,748	£11.27
		12	£22,183	£11.50
		13	£22,627	£11.73
Grade 4	333 - 373	14	£23,080	£11.96
		15	£23,541	£12.20
		16	£24,012	£12.45
		17	£24,491	£12.69
		18	£24,982	£12.95
		19	£25,481	£13.21
Grade 5	374 - 414	20	£25,991	£13.47
		21	£26,511	£13.74
		22	£27,041	£14.02
		23	£27,741	£14.38
		24	£28,672	£14.86
Grade 6	415 - 455	25	£29,577	£15.33
		26	£30,451	£15.78
		27	£31,346	£16.25
		28	£32,234	£16.71
Grade 7	456 - 501	29	£32,910	£17.06
		30	£33,782	£17.51
		31	£34,728	£18.00
		32	£35,745	£18.53
Grade 8	502 - 547	33	£36,922	£19.14
		34	£37,890	£19.64
		35	£38,890	£20.16
		36	£39,880	£20.67
Grade 9	548 - 593	37	£40,876	£21.19
		38	£41,881	£21.71
		39	£42,821	£22.20
		40	£43,857	£22.73
Grade 10	594 - 644	41	£44,863	£23.25
		42	£45,859	£23.77
		43	£46,845	£24.28
		44L	£48,381	£25.08

Pay and grading structure – pay rates 1 April 2020 – 31 March 2021* (continued)

Grade	JE score	SCP	Annual salary	Hourly rate
Grade 11	645 - 695	45L	£49,360	£25.58
		46L	£50,668	£26.26
		47L	£52,010	£26.96
		48L	£53,390	£27.67
Grade 12	696 - 751	49L	£54,805	£28.41
		50L	£56,256	£29.16
		51L	£57,747	£29.93
		52L	£59,278	£30.73
Grade 13	752 - 812	53L	£60,849	£31.54
		54L	£62,461	£32.37
		55L	£64,117	£33.23
		56L	£66,174	£34.30
Grade 14	813+	57L	£67,373	£34.92
		58L	£69,348	£35.94
		59L	£71,186	£36.90

*to be updated in line with national pay award for 2021/22 when agreed.

1.7 Employees on Grade 1 are defined as our lowest paid employees.

1.8 The council pays employees no less than the Living Wage Foundation living wage rate. The rate is reviewed and updated by the Living Wage Foundation annually in November. If the council's lowest pay grade falls below the living wage rate, a supplement will be paid to equate to the living wage rate from 1 April following any increase.

2. Chief executive and chief officer pay

2.1 The council's chief executive is the head of paid service and the executive directors are chief officers.

2.2 The current pay arrangements are locally determined and operated. Salaries in these pay grades are updated in line with pay awards notified from time to time by the Joint Negotiating Committee (JNC) for Chief Executives and Chief Officers.

2.3 The pay and grading structure for chief officers was agreed by full Council on 22 September 2020.

2.4 New appointments to be paid a salary package of £100,000 per annum or above are approved by full Council.

2.5 Chief executive and chief officer grading structure

Grade	SCP	1 April 2020 – 31 March 2021*	
		Annual Salary (FT) £	Hourly rate £
Chief Executive	150	£129,651	£67.20
	151	£132,597	£68.73
	152	£135,544	£70.26
	153	£138,491	£71.78
	154	£141,436	£73.31
		From 1 April 2021	
Executive Director	110	£94,395	£48.94
	111	£98,028	£50.81
	112	£101,659	£52.69

*to be updated in line with national pay award for 2021/22 when agreed

- 2.6 The terms and conditions of employment for the chief executive and chief officers are determined in accordance with collective agreements, negotiated from time to time, by the JNC for Chief Executives and the JNC for Chief Officers, as set out in the Scheme of Conditions of Service. These are supplemented by local agreements reached with trade unions recognised by the council and by the rules of the council.

3. Heads of service and senior managers

- 3.1 Some senior officers are classed as non-statutory chief officers or deputy chief officers under the Local Government and Housing Act 1989, due to the council's organisational structure.
- 3.2 In accordance with the Local Government and Housing Act 1989 a non-statutory chief officer for the purposes of this pay policy statement is defined as a person who reports directly to or is accountable directly to the head of paid service. A deputy chief officer is defined as a person who reports directly to or is directly accountable to a statutory or non-statutory chief officer. This definition excludes secretarial, clerical and support services.
- 3.3 These senior officers and heads of service are not subject to the pay and conditions of service determined by the JNC for Chief Officers of local authorities but are employed under NJC terms and conditions and are paid in line with the pay structure detailed in 1.6.

4. Other arrangements

4.1 Election fees

The Returning Officer has overall responsibility for the conduct of elections and is appointed under the Representation of the People Act 1983. The role of returning officer is carried out by an employee of the council but is carried out in a personal capacity and is distinct and separate from their duties as an

employee. Election fees are paid for the additional duties and are paid separately to the normal salary arrangements.

The chief executive is the council's Returning Officer.

Fees for Parliamentary, Police Commissioner, Referendum and European elections are set by parliamentary statutory order.

Fees for undertaking County and District elections are calculated in accordance with a formula agreed annually by the Norfolk Chief Executives' Group, based on a recommendation by the County Electoral Officers' Group.

The setting of Returning Officer fees is considered by a meeting of the Chairpersons of the Norfolk authorities' member remuneration panels.

Other employees of the council, including senior officers within the scope of this policy may receive additional payment for specific election duties.

4.2 Monitoring officer (S51 Local Government and Housing Act 1989)

The council's monitoring officer is currently provided by an employee of another local authority who carries out the role under a delegation of function agreement. The remuneration arrangements for the current monitoring officer arrangements are not covered under this pay policy statement.

The council intends to directly employ a head of service who will carry out the monitoring officer function and will be within the remit of this pay policy statement.

5.0 Lowest and highest paid employees

5.1 The council's lowest paid employees are paid on Grade 1 of the pay structure. The minimum pay point paid to any employee is SCP 4 of the pay structure. This equates to a basic salary of £18,933 per annum. The salary range for Grade 1 is £18,933 to £19,312 per annum.

The council's highest paid employee is the chief executive. The chief executive salary scale ranges from £129,651 to £141,436 per annum.

5.2 Pay Multiples

The ratio between the highest paid employee and other employees based on the median earner for 2020 is 1:4.74

The pay multiple is calculated based on taxable earnings for the period 1 January to 31 December.

The ratio of the highest and lowest pay point, based on full time equivalent salaries on 31 December 2020 is: 1:7.47

In calculating the pay ratios, full time equivalent salaries have been used.

- 5.3 The council does not have a policy on maintaining or reaching a specific pay ratio between the highest and lowest paid employees.

6.0 General principles applying to remuneration of all employees

6.1 Living wage

The council is an accredited Living Wage Foundation living wage employer and has adopted a living wage policy for employees and agency workers and contractors engaged through the council's procurement processes.

6.2 Pay on appointment

Starting salary on appointment is determined by assessment of relevant experience and competence to undertake the job role and taking account of current salary level. Salary on appointment will be within the salary range for the post.

6.3 Pay progression

All employees are remunerated on a pay range. The pay policy recognises that movement through defined pay ranges should continue as employees increase their effectiveness and expertise through knowledge and experience and most employees will normally receive an annual increment on 1 April each year up to the maximum point of the pay grade

Employees appointed between 1 October and 31 March receive their first increment after 6 months in post and any subsequent increments on 1 April each year.

Accelerated increments can be awarded on the basis of special merit or ability, subject to the maximum of the scale not being exceeded.

6.4 Relocation and disturbance

Relocation expenses may be granted where new employees are required to move to the area in order to take up employment and their circumstances meet the criteria laid down in the relocation assistance scheme.

Existing employees required to move home for their employment or who incur additional costs as a result of a decision of the council in respect of their employment may be eligible for reimbursement of some expenses depending on the circumstances.

6.5 Expenses and Travel

- Travel for work

Employees are not required to provide a car for work purposes and pool cars are available for official business travel.

Employees may choose to use their own transport for official business travel and are reimbursed at the following rates:

Mileage per mile first 8,500 miles 46.9 p

Mileage per mile after 8,500 miles 13.7 p

Employees required to have access to a vehicle, because of the nature of their duties are classified as operational users. Operational users have access to pool cars but may use their own vehicle and be reimbursed mileage.

- **Car Parking**

Operational users who work in or from city hall and use their own vehicle for work purposes are provided with a city centre car park pass.

Employees who are required to remain at work or return to work to attend an evening meeting will be provided with a city centre car park pass to enable them to attend the evening meeting.

Employees working at other council buildings may use the parking at the site, where this is available.

- **Subsistence**

Subsistence will be paid to employees who necessarily incur additional expense in the course of their work. Claims will generally be supported by a receipt. Actual expenditure is reimbursed, subject to locally agreed maximum amounts.

6.6 Bonus scheme

The council does not operate a bonus scheme.

6.7 Performance related pay

The council does not operate a performance related pay scheme.

6.8 Professional fees and subscriptions

The council reimburses professional fees and subscriptions as follows:

- employees undertaking approved studies towards a professional qualification, which require professional membership. The subscription is paid for the period of the studies, subject to satisfactory progress being made.
- specified professions where there are proven recruitment difficulties as a recruitment and retention incentive.
- statutory chief officers where the professional membership is a requirement in accordance with their statutory function.

6.9 Overtime and enhancements

Some posts within the council attract enhancements and/or overtime payments. Overtime and enhancements are applied in accordance with set criteria which are nationally and locally agreed.

6.10 Honoraria

If it is appropriate for an honorarium to be paid, this will be in accordance with agreed criteria for payment of honoraria.

6.11 Severance arrangements

On ceasing to be employed by the council, employees will only receive compensation where this is appropriate as outlined below:

- i. Employees who are dismissed on the grounds of redundancy and who have a minimum of two years' continuous service with the council will normally be entitled to be paid statutory redundancy pay, which is calculated according to the individual employee's age, length of service and gross weekly pay subject to a statutory maximum.

The Local Government (early termination of employment) (Discretionary Compensation) England and Wales Regulations 2006 enable local authorities to pay discretionary compensation in certain circumstances above the statutory entitlement. The council has exercised its discretion to increase the redundancy payment as follows:

- the statutory upper pay limit will be disregarded when calculating a week's pay for the purposes of the statutory redundancy payment and will calculate redundancy payments based on actual week's pay.
- the redundancy payment will be enhanced by a factor of 1.5.

Redundancy calculation is the same across the council irrelevant of position and pay grade.

Employees aged 55 and over and who are redundant and are members of the local government pension scheme immediately become entitled to receive their pension benefits. Pension benefits are not increased or augmented in these circumstances.

- ii. In exceptional circumstances and where the business case supports it, the council may agree to a severance package in relation to termination of employment, to avoid or settle a legal claim.
- iii. Severance packages in excess of £100,000 will be considered at full Council.

6.12 Pension

All employees who have a contract of employment for at least 3 months and are under age 75 are eligible to join the Local Government Pension Scheme. Employees who are eligible for membership automatically become members of the scheme unless they opt out.

The council make a contribution to the employee's pension, expressed as a percentage of the employee's pensionable pay. The contribution rate is assessed and set every three years following an actuarial valuation of the Norfolk Pension Fund.

The employee also makes a contribution to their pension. The employee contribution rates vary from 5.5% to 12.5% of actual pensionable pay.

The council auto enrolls all eligible employees into the Local Government Pension Scheme in accordance with legislative requirements.

6.13 Flexible retirement

The council gives consideration to requests for flexible retirement from employees aged 55 and over who reduce their grade and/or hours of work. This enables the employee to have immediate access to their Local Government Pension Scheme benefits whilst retaining employment.

Requests are normally only granted when the overall financial impact is neutral or results in savings for the council.

The council does not waive any actuarial reductions resulting from early payment of pension benefits for flexible retirement.

6.14 Market supplements

The council does not currently pay market supplements. Should there be a future requirement for payment of market supplements a protocol for payment of market supplements will be agreed.

6.15 Re- engagement

All posts are advertised in accordance with the council's recruitment policies. Appointments and any decision to re-employ a former employee, who left employment in receipt of a severance or redundancy payment, will be made on merit.

6.16 Contracts for services

The council will seek to appoint individuals to vacant posts using the recruitment procedures on the basis of contracts of employment and apply direct tax and national insurance deductions from pay through the operation of PAYE.

Interim appointments are made in accordance with the council's procurement policies and the provisions for contract for services.

Consultants and agency workers are not employees of the council and are not covered by this pay policy statement. Where there is a need for consultant/interim support, the council will seek to avoid contractual arrangements which could be perceived as being primarily designed to reduce significantly the rate of tax paid by that person, such as paying the individual through a company, effectively controlled by him or her.

In line with the Agency Workers Directive, the council will aim to pay workers engaged through a contract for services at a rate consistent with the pay and reward of the councils directly employed workforce. In some instances, there may be a need to take into account market factors in determining an appropriate pay level.

Where interim workers are employed by the Council, an assessment will be completed to establish whether they fall within the scope of IR35 legislation using the HMRC status tool. Workers that fall within scope will have income tax and national insurance contributions deducted.

6.17 Salary sacrifice

The council provides salary sacrifice arrangements for childcare vouchers and the cycle to work initiative.

6.18 Gender pay gap

The Government implemented mandatory gender pay gap reporting for employers with 250 or more employees in April 2017.

Gender pay gap information can be viewed on the gender pay gap service.
<https://gender-pay-gap.service.gov.uk>

7.0 Amendment and review of pay policy

The council's pay policy statement will be reviewed and agreed by full council on an annual basis and before 31 March each year.

If it is necessary to amend the pay policy statement during the year that it applies, any amendment will be by resolution of the full Council.

The policy and any subsequent amended policy will be published on the council's website within 21 days of full council approval.

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
Ruth Newton, Senior Strategy Officer	01603 212368
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	Overall
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.			
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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:	
				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">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.							


	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 hall◦ ICT failure◦ Contractor collapse◦ Severe weather events◦ Sea level rise◦ Fuel shortages◦ Communications failure◦ Pandemic◦ Loss of power• 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">• Council unable to function.• Increase in demand on Council services• Vulnerable Service Users unable to access services• Reputational Damage	<ul style="list-style-type: none">• Draft Corporate Business Continuity Plan• Service areas Business Impact Analysis and Business Continuity Plans• Work Area Recovery location for Customer Contact• ICT Disaster Recovery Plan• Incident 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 exercises• Insurance policies• Asset register• Emergency Management Strategy• Incident specific response plans• Rest centre and community centre plans• Full participation in Norfolk Resilience Forum meetings• Review of NRF risk assessments and Norfolk Community Risk Register• Norfolk 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 2014• Surface Water Flooding events - 2014, 2015 and 2016							


		<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
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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.							


		<ul style="list-style-type: none"> • The council employs a specialist domestic abuse housing adviser to deal with DA victims threatened with homelessness 	
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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:	
				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 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 qualified staff 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:			
Description/Triggers	Impact	Mitigation		Target Risk				Current Risk		
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Ownership of contract management strategy unclearResourcing of contract management and training inadequateClarity of service area accountability & roles and responsibilities poorContract managers not fully aware of the risks if robust regular contract management with their suppliers and supply chain not undertakeInadequate SLA/KPIs/MI identified in tender/contracts together with appropriate escalations /consequencesDue 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 outPoor performanceFinancial loss / poor value for moneyLegislative requirements not met / regulatory / legal fine or censureReputational impactLack of visibility of supplier performance	<ul style="list-style-type: none">Use of framework agreements provides a level of due diligenceRevised contract management strategyRobust guidance on obligations and roles and responsibilities for contract managementTraining to be delivered to new contract managers and new officers in procurement team'Driving value through our supply chain' corporate service review to be instigatedIA 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 officersNCC officers		Business Relationship & Procurement Manager	Sep 21				
			Refresh procurement guidance documents <ul style="list-style-type: none">Procurement StrategyContract ProceduresOther		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				

Report to Cabinet
10 March 2021
Report of Interim director of people and neighbourhoods
Subject To award a contract for the kitchens and bathrooms
upgrade programme to council dwellings.

Item

9

KEY DECISION

Purpose

To seek approval to award a contract for the kitchens and bathrooms upgrade programme to council dwellings.

Recommendation

To approve the award of a contract for the dwellings for kitchens and bathrooms upgrade programme to council dwellings valuing a total of £10,446,215 over three years, using the Eastern Procurement Framework Ltd contracts to Gasway Services Ltd.

Corporate and service priorities

The report helps to meet the corporate priority:
Great neighbourhoods, housing and environment

Financial implications

The financial consequences of this report is the award of orders for kitchen and bathroom upgrades valuing a total of £10,446,215 over three years, using the Eastern Procurement Framework Ltd contracts.

These orders will be placed annually, based upon satisfactory and agreed quality and programmes delivery.

Orders placed will not exceed the approved budgets included within the Housing Revenue Account capital programme for the 2021/22 financial year and subsequent programmes in 2022/23 and 2023/24.

Ward/s: All Wards

Cabinet member: Councillor Harris - Deputy leader and social housing

Contact officers

Lee Robson - Head of neighbourhood housing	01603 989545
John Hodson - Housing operations manager NPSN	01603 227911

Background documents

None

Report

1. The council has a need within its housing stock for replacing kitchens and bathrooms. Under the Norwich standard no kitchen should be older than twenty years and no bathroom should be older than thirty years. The replacement kitchens are planned to maximise storage potential and to ensure that there is space for modern appliances. There is a wide range of work surfaces, kitchen units, tiles and floor finishes for tenants to choose which means that each kitchen is installed to meet individual tenant's requirements.
2. White suites are installed in the replacement bathrooms, along with over bath showers. Tenants are given the choice of colour of the tiles and flooring.
3. EPL advised that better value was more likely to be obtained if a longer duration contract was offered to the framework contractors due to their need to lease premises in the city, potential savings from higher volume orders with suppliers for materials and current uncertainty due to the pandemic.
4. The mini competition has been based on three years. No guarantee of volumes or spend are given to the contractor and any expenditure in the next two financial years are subject to cabinet and council approval of the budgets for those years, and satisfactory delivery.
5. The anticipated volumes are shown in the tables below. These are taken from the thirty-year plan for council housing improvements and are subject to confirmation.

	2021-22		2022-23		2023-24	
	No	£	No	£	No	£
Kitchens	289	£1,520,000.00	255	£1,341,176.47	230	£1,209,688.58
Bathrooms	418	£2,200,000.00	350	£1,842,105.26	380	£2,000,000.00
Overbath Shower			200	£166,622.36	200	£166,622.36

Totals £3,720,000.00 £3,349,904.09 £3,376,310.94

Grand total of £10,446,215.03

6. EPL conducted the mini competition, inviting bids on 14th December 2020. Submissions were returned on 22nd January 2021 and were evaluated.
7. Following the cost and quality evaluation carried out by NPSN and the Eastern Procurement Framework Ltd It is proposed that this contract is awarded as a one year, plus one year, plus one year term to Gasway Services Ltd, as they submitted the best overall tender in terms of value for money and quality.

8. The recommendation to award to Gasway Services Ltd, for the potential delivery of the kitchen and bathroom upgrades programme for the next 3 years reflects the confidence NPSN and NCC have in this contractor based upon previous history, and provides surety to a local contractor of workloads that will provide long term security to its work force.
9. The budget for the work to be carried out in year 2021/22 is contained within the HRA capital programme as approved by cabinet and council on 23rd February 2021.
10. The contract is for a single supplier to carry out replacement kitchen and bathroom installations in 2021/22, 2022/23, 2023/24.

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 the completion of the assessment can be found [here](#). Delete this row after completion

Report author to complete

Committee:	Cabinet
Committee date:	10 th March 2021
Director / Head of service	Lee Robson
Report subject:	Kitchen & Bathroom upgrades to council dwellings
Date assessed:	17/02/2021

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	X	<input type="checkbox"/>	Frameworks procured through Eastern Procurement Ltd. ensure that Norwich City Council achieves value for money.
Other departments and services e.g. office facilities, customer contact	X	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	X	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	X	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	<input type="checkbox"/>	X	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	X	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	<input type="checkbox"/>	X	<input type="checkbox"/>	
Human Rights Act 1998	X	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	<input type="checkbox"/>	X	<input type="checkbox"/>	These works ensure that the Norwich Standard for housing is upheld so that tenants can live in safe, well maintained homes that are fit for purpose.

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

Recommendations from impact assessment
Positive
Negative
Neutral
Issues

Report to Cabinet

10 March 2021

Report of Director of customers and culture

Subject The award of a contract to replace the seating at The Halls.

Item

10

KEY DECISION

Purpose

To seek approval for authority to award a contract for the replacement of the retractable, arena and event seating at The Halls. Works to replace the curtains will also be undertaken as part of this project.

Recommendation

To award The Halls replacement seating contract (Ref: NRW/CEV/10066/G) to Hussey Seatway Ltd.

Corporate and service priorities

The report helps to meet the corporate priority Inclusive economy.

Financial implications

The costs arising from this decision will be met from funding from the accelerated Towns Deal (£224,000) and the council's capital programme (£56,000). The tender figure submitted by Hussey Seatway Ltd is £250,000.

Ward/s: Thorpe Hamlet

Cabinet member: Councillor Waters - Leader

Contact officers

Mike Parker, The Halls manager

01603 989516

Report

Introduction

1. The Halls are one of Norwich's most iconic buildings and is the largest remaining friary complex in the UK and has been in public ownership since the dissolution of the monasteries in 1538.
2. The biggest and best known venue of the complex, St Andrew's Hall, has furniture which is no longer fit for purpose and extremely dated. The main retractable seating has been in place for c50 years with the rest of the seating being approximately 10 -15 years old.
3. The current seating is extremely resource heavy taking a considerable amount of staff time to set up the venue for a concert. The new seating will drastically reduce set up times and ensure that the seating meets the necessary legislation for non-fixed audience seating.
4. The new seating along with improvements to the curtains will ensure a holistic approach to the soft furnishings of the venue to help to raise the profile of the venue as well as giving a better experience for visitors to the venue.
5. The fully refreshed venue will give the complex the best chance of recovery following an extended shutdown due to the COVID-19 pandemic.

Procurement Process

6. The procurement exercise has been undertaken to Norwich City Council's contract procedures. It has been conducted fairly, transparently, in an open and regularised way that conforms to relevant legal requirements.
7. An open tender opportunity was advertised on the council's e-procurement portal and contracts finder in December 2020, the tender return date was 15 January 2021.
8. Suppliers have been evaluated against pre-determined criteria. The quality assessment carries a maximum of 50% of the marks, with up to 50% available for price. The supplier with the highest total score has been deemed the best value submission.

Tender Evaluation

9. Tenders were received from:

Working Environments Furniture Ltd
Hussey Seatway Ltd
SIS Global Seating Ltd

11. The supplier selection process required suppliers to answer four method statements to determine quality of the product and service. The responses given were evaluated against pre-determined criteria. This quality assessment carried a maximum of 50% of the marks. The lowest price was allocated 50% of the marks and the marks were deducted, pro-rata, with each increasing tender price.

12. The supplier with the highest cumulative score is deemed to be the best value submission, based on a combination of cost, capability and cultural fit. The results are as follows:

Contractor	Tender value score	Quality Score	Total
Hussey Seatway Ltd	50	50	100.00
Working Environments Furniture Ltd	48.07	50	98.07
SIS Global Seating Ltd	0	26.67	26.67

13. SIS Global Seating Ltd did not supply costs for some of the elements requested in the specification. For this reason their tender value score was disqualified.

Recommendation

14. It is recommended that the contract is awarded to Hussey Seatway Ltd.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet
Committee date:	10 March 2021
Director / Head of service	Nikki Rotsos
Report subject:	The award of a contract for the supply and installation of a new retractable seating unit, new arena chairs and replacements curtains at The Halls.
Date assessed:	18/02/2021

	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 procurement process ensures the Council achieves the best value for money. In comparison with previous tender returns for earlier phases of work it is competitively priced.
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"/>	New seating reduces potential repair costs due to guarantees that are offered. An improved venue and customer experience will also assist to increase bookings for the venue.
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"/>	A refreshed venue will encourage attendance to events and increase social interactions which are positive for well being.

	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"/>	New seating will ensure that we meet with all relevant seating and fire legislation to ensure the venue operates safely if an unfortunate event was to happen.,

Recommendations from impact assessment	
Positive	
Negative	
Neutral	
Issues	

