

Report to	Cabinet	Item
	16 December 2020	
Report of	Head of strategy and transformation	8
Subject	Corporate Performance and Risk Report, Quarter Two 2020-21	

Purpose

To consider progress against the delivery of the corporate plan priorities and key performance indicators and an update on corporate risk for quarter two of 2020-21.

Recommendation

To:

- 1) note progress on the key performance indicators for this quarter and the corporate risk register; and
- 2) suggest future actions and / or reports to address any areas of concern.

Corporate and service priorities

The report helps to meet the corporate priority of achieving a healthy organisation.

Financial implications

There are no direct financial consequences of this report.

Ward/s: All Wards

Cabinet member: Councillor Waters - Leader

Contact officers

Adam Clark, Strategy Manager	01603 212273
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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 sixth 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 KPIs for quarter two 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 two performance data

5. Full details of performance against KPIs is available at the following link:
<https://app.powerbi.com/view?r=eyJrIjoieYzZmYTYtYmY0YS00NWQ3LWJmMDYtNjQzYzg0YTMwOTM4IiwidCI6ImZhNzQ4ZjM0LWE0YWMTNDNhMy1hMmE0LTg4ZWQ2MGI3OWU5MiJ9>
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. This includes KPIs relating to council shop occupancy, HR, empty homes and contract outcomes where it was not possible to gather data for March 2020; these appear on the dashboard with a zero value. Others gaps in data, particularly for June 2020, relate to services which were paused during lockdown, for example digital inclusion sessions and community centre hire. Two indicators are still unable to report data in quarter 2 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. Some areas of performance also continue to be affected by restrictions due to Covid-19; these are explained in more detail below.

Quarter two 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	4	0	8	0	0
Great neighbourhoods, housing and environment	6	1	2	2	5
Inclusive economy	1	1	2	0	7
Healthy organisation	3	0	5	0	6
Total	14	2	17	2	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:
 - There has been a significant decrease in sickness absence, with a projected outturn for quarter 2 of 5.4 days per employee.
 - Customer satisfaction is still performing above target, although there has been a slight decrease since quarter 1: satisfaction for this quarter is 79.7%.
 - Revenues and benefits satisfaction levels also remain high for quarter 2 at 89%, even in challenging areas such as Council tax recovery.
 - Performance against the channel shift indicator also continues well, with customers continuing to access services online, phone contact back to normal levels and only emergency in person appointments currently taking place.

- Performance on the food hygiene indicator remains high, although is based on a smaller number of cases as the team continues to monitor and advise on Covid-19 measures which takes up a significant resource. Inspections restarted at the end of August 2020 concentrating on the backlog of high risk premises that required inspection, in line with the direction from the Food Standards Agency (FSA). There remains a significant backlog of food hygiene inspections this has been recognised by the FSA as a national issue which is being worked on collaboratively.
- 54% (67 of 124) of benefits decisions were upheld at review stage, with the majority (44 of the 57) of revised reviews based on new information the benefits team did not hold at the time of the original decision, meaning that these were likely not the result of assessment error.
- In quarter 2, 332 planning customers were surveyed in response to recently decided planning applications. 26 complete responses were received with 82% of customers either pleased or very pleased with the service received. Feedback indicates that officers were proactive and efficient and that customers were grateful for quick and direct communication by phone and email.
- Quarter two performance on private rented sector homes made safe is good for quarter two, although there are ongoing issues as a result of Covid-19. Work to make private rented sector homes safe continued during the lockdown and beyond. Many cases took longer due to inspections taking place online and also a delay in available contractors to carry out work and problems with tenants not having space in their homes to allow contractors to work and socially distance. This will be more fully reflected in the statistics for cases in 6-18 months' time. The team were also extensively involved in advising on and monitoring compliance with the health requirements of Covid-19 legislation during this period.

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

- Planning decisions upheld at appeal is slightly below target for the period at 60% (and RAG rated red), as two of five appeals were lost. One related to an HMO and is being treated as an anomaly; the other related to a C1 (air-BnB type) property where the particular circumstances are unlikely to arise again but will be noted for future reference.
- CO2 emissions from local authority activity is under target at 2.5% and RAG rated red, although this relates to performance for 2019-20 and is published now as the figure has only recently become available. It shows a 2.5% fall in emissions during 2019/20 as part of a 62.1% reduction overall. While this is slightly below target for the year, emissions tend to vary considerably year to year and in previous years it has been exceeded. The council has set a net zero target for 2030.
- Although the percentage of homes rated 'C' or above has reduced slightly in percentage terms and is now rated amber, the actual number of homes rated 'C' or higher has increased by 9 over the quarter. However, a greater number of homes have moved from the 'no rating'

bracket into 'D' rating, which has disguised the real progress that has made, both in increasing those of 'C' or higher, and in reducing the number of properties with unknown energy efficiency.

- Residual household waste is RAG rated red at 104.1kg for quarter 2. Across the country the impact of Covid-19 has been to significantly increase domestic waste tonnages as more people have spent more time at home, generating more waste.
- Total amount of additional income clients have gained through debt/money advice via council-provided advice is also rated red for Q2, at just under £20,000. This is due to the impacts of Covid-19 on the advice team and on residents. Advisers have been 'firefighting' urgent demands for help and covering vacancies meaning fewer cases than usual were closed so some results are yet to be recorded. Reduced staff capacity means that data recording may have also been less effective and this is currently being reviewed. Increased demand for support by residents has increased demands placed on charities for grants, for example availability of support for white goods is now under pressure, although there is an expectation that new Norfolk Assistance Scheme funding will boost forthcoming results.
- The proportion of tenants reporting feeling safe has fallen and showing as missing its target. A relatively low response rate partly accounts for quarterly fluctuations in the data, whereas the larger dataset of all residents' perceptions of safety stay steadily above 60%, which is a more reliable figure. We will continue to monitor the data and work with partners and through the safer neighbourhoods initiative to support all our residents to feel safe.
- Only 24% of respondents were satisfied with the service provided to deal with ASB and only 17% with the outcome of their ASB case, meaning both ASB KPIs are rated red for quarter 2. The ASB feedback supplied is currently for the stage one ASB case management. A new ASB service is being established to ensure a more consistent and effective response to ASB enforcement which will start to be in place later this year. In the meantime, the service is holding vacancies and the teams are focusing on the high risk cases meaning performance remains below target.
- Green Flag awards for parks and open spaces is also rated red as only two of the three submissions were successful. Eaton Park and Mousehold Heath have Green Flag Awards and Waterloo Park narrowly missed out. We will be reviewing the judge's feedback for all sites, to identify priority actions required prior to next year's submissions in February 2021.
- Assets maintained by community groups remains under target at 52 and is rated red for quarter 2, although it has not been possible to update figures due to staff time being taken up by Covid-19, so this may be an underestimation. Activity did slow during lockdown but we are now starting to see new groups asking to take on space, significantly in Mousehold and Tuckswood, often stemming from new groups forged from mutual aid set ups which is very positive. We hope to review these numbers soon and expect that it will jump further up towards the target.

- Volunteer hours in parks is below target at 2,457 and rated red, although hours have increased in quarter two despite ongoing restrictions. Despite challenges it is good to see that people are benefitting from the mental health, physical and social benefits of volunteering. There are 18 groups working on the city's parks and open spaces assets. Guidance for the site groups on operating in a Covid secure way was provided. The in-house groups have operated on a rota system to enable people to still benefit less frequently but in a safe way. Of the 18 groups, 14 have been active this quarter. We have reviewed this in light of the escalation in cases and advice was sent to all independent groups to reduce to a single group of 6, meaning figures may reduce again next quarter.
- Avoidable contact is rated red at 43.4%, principally due to high numbers of customers contacting the council about their benefit claims. Development of the portal and services online should help reduce levels of avoidable contact.
- The current general fund forecast is an outturn overspend of £0.8m and this indicator is therefore rated red for this quarter. This figure reflects the Quarter 2 forecast impact of Covid-19 on the council's income and expenditure as well as incorporating identified in-year savings and government funding. Since Quarter 2 a further £0.960m of government funding has been received. Therefore, if no further budget pressures are identified, this additional funding combined with all the positive short-term actions the council took to reduce spend will result in an overall general fund underspend.
- Indicators measuring the proportion of top earners with protected characteristics (compared to the whole workforce) who are female or disabled are both rated red for quarter two, although there has been an increase in the proportion of top earners who are disabled compared to the workforce as a whole.

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 1.

Integrated impact assessment



NORWICH
City Council

Report author to complete

Committee:	Cabinet
Committee date:	16 December 2020
Director / Head of service	Head of Strategy and Transformation
Report subject:	Quarter 2 performance and risk report 2020-21
Date assessed:	1 December 2020

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

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


Recommendations from impact assessment	
Positive	
Negative	


Neutral


Issues


The range of council activity represented by this report means that it is not possible to identify the aggregate impact; this is covered by the individual impact assessments that are conducted as part of routine council business


Corporate risk register


Risk 1			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 	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 new landscape.	Interim Director of Resources	Dec 20	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 non-essential expenditure.	Interim Director of Resources	Jul 20	Completed										


Risk: 2. Council Funding Medium- Long Term			Owner: Interim Director of Resources			Category: Finance & Resources		Risk Direction:			
Description/Triggers	Impact	Mitigation	Target Risk			Current Residual Risk					
			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"> • Review all the assumptions within the MTFS • 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	Sep 20	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	Jul 20	Complete					
			Cabinet briefed on the MTFS refresh	Interim Director of Resources	Nov 20	Leader and Portfolio holder briefings complete prior to publication of report.					
			Cabinet approve the revised MTFS at Full Council	Interim Director of Resources	Feb 20						
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: 		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Current Residual Risk			
				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 	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	Aug 20	Actioned				
			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	Nov 20					
			Following Cabinet approval, new and revised structures will be put in place.	Director of Place	Mar 21					
			Produce a new asset management strategy.	Director of Place	Mar 21					
Comments:										


Risk: 4. Health & safety in the workplace			Owner: Director of People & Neighbourhoods			Category:		Risk Direction:				
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Current Residual Risk					
				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. 	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	Jun 20	Actioned						
			Develop greater employee wellbeing and resilience including the formation of a mental health working group	Director of People & Neighbourhoods	Aug 20	Actioned						
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	Ongoing	Actioned									
Comments:												


Risk: 5. Second wave of Covid-19:			Owner: Chief Executive				Category: Customer		Risk Direction:				
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk					
				Consequence	Likelihood	Score		Consequence	Likelihood	Score			
<ul style="list-style-type: none"> Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services 	<ul style="list-style-type: none"> Lack of government funding to support local businesses resulting in local business failures Economic uncertainty increase volatility on business rates and council tax Insufficient government funding to local authorities to support the delivery of additional Covid - 19 related activities Financial pressure due to down turn in income leading to financial instability Increase in unemployment Increase 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 Commerce Norfolk wide response being managed through Norfolk Resilience Forum (NRF) attend by leader of the council and Chief Executive Covid 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 response C-19 Support Officer provided in the city to give and advice and support to businesses and the public Silver command group: <ul style="list-style-type: none"> Promote and disseminate information and toolkits to local businesses Provide advice & engagement with track and trace Deployment of covid-19 support officers Collaboration 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: Stephen Evans			Category: Customer		Risk Direction:			
Description/Triggers	Impact	Mitigation	Target Risk			Current Residual Risk					
			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 events Food availability (panic buying/stockpiling) - Increased prices for food and fuel Possible disruption to fuel supplies Staffing issues (EU nationals) Inclement weather may have increased impacts Flood 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/referendums) – these would place increased pressure on some district councils. Increases in environmental crimes i.e. fly tipping etc., as advised by the Environment Agency 	<ul style="list-style-type: none"> Membership & participation in Norfolk Resilience Forum (NRF) NRF multi-agency plans to deal with significant events NRF Brexit Strategy Business Continuity Plans Brexit Communications Plan National 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					
			Information sharing through NRF structures	Emergency Planning Manager	Ongoing	NRF EU Transition strategy reviewed and updated					
			Participation in NRF Brexit planning meetings	Emergency Planning Manager	Ongoing	Risk assessment reviewed and updated in the strategy					
			Nominate strategic Brexit Lead Officer	CLT		TC will attend EU transition working group meetings, next 27/11					
<p>Comments: Impacts from NRF Brexit Strategy</p> <p>Currently lots of unknowns. The country is in a transition year during which the future terms for the relationship between the UK and EU is to be decided. These negotiations will need to conclude in their entirety by 31 December 2021 or the UK will leave with No Deal.</p>											

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	Target Risk			Current Residual Risk					
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	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 • Participation in training and exercises 	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		End Feb 21	This has been outstanding for 2 years. Progress has been made, EPM to complete remaining actions by Feb 21, new management structure may impact on target completion date		
			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 determine lead officers Director of Strategy & Culture		End Feb 21	Meeting to be arranged in Feb 21		
			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		
			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		
			Flag with contract managers risk of supplier collapse due to Covid or issues with supply change due to Brexit			Business Relationship & Procurement Manager		Nov 20			
Comments: :											

Risk: 8. Sustained increase in homelessness and temporary accommodation			Owner: Director of People & Neighbourhoods			Category: Customer		Risk Direction: 			
Description/Triggers	Impact	Mitigation	Target Risk			Current Residual Risk					
			Date Raised	Consequence	Likelihood	Score	Risk Strategy	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 obligations Increase in domestic abuse 	<ul style="list-style-type: none"> Greater Norwich homelessness strategy 2020 – 25 Norwich tackling rough sleeping strategy 2017-22 The council worked quickly to ensure that accommodation was – and continues to be - available to all rough sleepers in Norwich. 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 homelessness The council is recognised as a 'gold standard' authority in dealing with the prevention and relief of homelessness Government funding has been used to increase the 'homelessness prevention fund'. The council employs a specialist domestic abuse housing adviser to deal with DA victims threatened with homelessness 	Jun 20	3	3	9	Manage	4	4	16	
			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	CLT to consider recommendations to re commission of service. Next steps fusing in excess of £1m secured to increase supply and support functions for 'people who would eb sleeping rough.					
			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						
Given increased volumes of presentation and workload, it may be necessary to use government 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	Watching brief. Change to winter provision being developed.								
Comments:											

Risk: 9. Cyber Security & GDPR compliance			Owner: Director of Strategy, Communications & Culture				Category: Processes & Systems		Risk Direction: 	
Description/Triggers	Impact	Mitigation	Target Risk			Current Residual Risk				
			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	Dec 20	Action Taken: Sent out 89 review requests to officers within the council – one request for each team. Asset owners will be prompted for outstanding returns and progress will be reported and reviewed at the next Corporate Information & Assurance Group (CIAG).				
			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	Dec 20	In progress				
			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:		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Current Residual Risk			
				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 management Joint 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 delivered The Council does not get VFM Benefits of partner and contract management not realised. Specification not adhered to. Services not provided at an acceptable level Customer and staff complaints 	<ul style="list-style-type: none"> Place project – multi officer project team and board in place to implement insourcing projects Business as usual workstream to oversee delivery and performance Revised key performance indicators for property and building maintenance contracts agreed Regular 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 to be reviewed by Audit Committee in November 20				
			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, including safeguarding.			Owner: Director of People & Neighbourhoods			Category: Customer		Risk Direction: 				
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Current Residual Risk					
				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		Home office guide on information sharing for professionals re-circulated to safeguarding champions Sept 2020 to discuss at team meetings. Corporate training programme in development; due for agreement Nov 2020.		
			Safeguarding policy and risk embedded into contractors' and sub contractors' policy and practice			Early Intervention & Community Safety Manager		Mar 21		Contractors to be included in relevant elements of corporate training programme; due for agreement Nov 2020.		
			Maintain safeguarding champion knowledge, understanding, confidence			Early Intervention & Community Safety Manager		Mar 21		Safeguarding meetings maintained. Training knowledge shared amongst safeguarding champions.		
			Embed learning across council teams			Early Intervention & Community Safety Manager		Mar 21		Safeguarding issues logs reviews to be undertaken by all council team leaders and managers – and discussed with officers at supervision meetings – scheduled from end of November 2020. Training programme to be introduced across the council from early 2021.		
Comments:												

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				