



Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: Q1 2021/22 Combined Corporate Assurance Report

Portfolio:	Cllr Waters, Leader and Cllr Kendrick - Resources
Report from:	Executive director of community services and Executive director of corporate and commercial Services
Wards:	All Wards
OPEN PUBLIC ITEM	

Purpose

To report progress against the delivery of the corporate plan priorities and key performance indicators and to provide an update on corporate risks for quarter 1 of 2021/22.

Recommendations:

Cabinet is recommended to:

1. review progress on the key performance indicators for this quarter and the corporate risk register;
2. Note the financial forecast for 2021/22 general fund, HRA and capital programme;
3. Note the consequential balances of the general fund and HRA reserves as detailed in figures 1.6 and 1.7;
4. suggest future actions and / or reports to address any areas of concern.

Policy Framework

The Council has three corporate priorities, which are:

- People living well
- Great neighbourhoods, housing and environment
- Inclusive economy

This report meets the Healthy Organisation corporate priority

Report Details

Background

1. This report sets out progress against the key performance indicators (KPIs) that track delivery of the corporate plan priorities. This is the ninth 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 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 one 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.
5. The report appendices give further report across corporate performance, finance and risk at the directorate level. Relevant annexes have been provided and are referred to throughout the report.

Consultation

6. No consultation was required in creating this report.

Implications

Financial and Resources

7. Any decision to reduce or increase resources or alternatively increase income must be made within the context of the council's stated priorities, as set out in its Corporate Plan 2019-22 and Budget.
8. There are no proposals in this report that would reduce or increase resources.

Legal

9. There are no legal implications relevant to this report.

Statutory Considerations

Consideration:	Details of any implications and proposed measures to address:

Equality and Diversity	This report does not have direct implications for equality and diversity; it reports on progress made in delivering agreed services and programmes, the equality implications of which will have been considered as part of service planning or other decision-making processes.
Health, Social and Economic Impact	This report does not have direct health, social or economic implications; it provides an update on progress made in delivering agreed services and programmes, the implications of which will have been considered elsewhere.
Crime and Disorder	This report does not have direct implications for crime and disorder; it provides an update on progress made in delivering agreed services and programmes, the implications of which will have been considered elsewhere.
Children and Adults Safeguarding	This report does not have direct safeguarding implications; it provides an update on progress made in delivering agreed services and programmes, the implications of which will have been considered elsewhere.
Environmental Impact	This report does not have direct environmental implications; it provides an update on progress made in delivering agreed services and programmes, the implications of which will have been considered elsewhere.

Risk Management

Risk	Consequence	Controls Required
The full corporate risk register is provided as an annex within the first section of the report, however the report itself does not pose an operational, financial, compliance, security, legal, political or reputational risk to the council	n/a	n/a

Background papers: this quarterly refers to additional documents throughout, supplying these as annexes within the relevant sections.

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Combined Assurance Quarterly Report

Q1 2021-22

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1. Executive summary

1.1 Summary headlines

1.1.1 Performance

- This quarter sees the first reporting of the new KPIs agreed for 2021-22. Please note that one KPI (proportion of bins collected on time) has been removed from the 2021-22 set agreed by cabinet following further investigation due to the low variation in the figure to be reported.
- A summary of performance for Q1 is given in the tables below with further information, including performance data for previous quarters where this is available, provided in [Annex 1](#). The below tables show that of the 19 KPIs reported this quarter which have targets set, three are RAG-rated red, seven amber and nine green.
- Further detail on directorate performance is included within appendices, including case studies which provide narrative around service and directorate performance.

Figure 1: Q1 KPI performance by directorate

Directorate	Red	Amber	Green	Monitoring data – no target set	No data this quarter	Total
Community Services	1	3	6	2	1	13
Corporate and Commercial Services	2	1	1	0	0	4
Development & City Services	0	3	2	0	5	10
Total	3	7	9	2	6	27

Figure 1.1: Q1 KPI performance by corporate priority

Corporate Priority	Red	Amber	Green	Monitoring data – no target set	No data this quarter	Total
People living well	1	0	5	0	0	6
Healthy organisation	1	3	3	2	0	9
Inclusive economy	0	0	0	0	2	2
Great neighbourhoods	1	4	1	0	4	10
Total	3	7	9	2	6	27

1.1.2 Finance

General Fund Review: The forecast revenue outturn for the general fund at Q1 shows a £0.074m overspend.

There are a number of pressures being identified in services including around the delivery of 2021/22 budget savings, housing benefit subsidy recovery levels (see [Annex C1](#)), lower income levels from continued Covid-19 impacts and lower levels of salary underspends than assumed in the corporate vacancy factor. Further details on the variances are shown the directorate summaries.

This is being largely offset by reduced corporate financing costs, which includes lower forecast borrowing costs (£0.490m), a reduction in the forecast contribution to capital (£0.280m) and additional forecast income from the government's sales, fees and charges scheme (£0.200m).

The council budgeted to borrow £55m in tranches during 2021/22. To date this year, the council has taken out a £5m fixed rate 50-year loan with PWLB at an interest rate of 1.64%. Cashflows are currently benefiting from government grant money in relation to business rates (due to be repaid later in the year) and therefore the profile of expected borrowing has been deferred until later in the year. This has meant an in-year forecast saving on borrowing costs.

The additional grant income is providing partial compensation for reduced income relating to Covid-19 in areas including car park charges, planning fees and income from cultural and leisure sales.

Figure 1.2

	Current budget (£000)	Forecast outturn (£000)	Forecast variance (£000)
Chief Executive	267	267	(0)
Chief Executive	267	267	(0)
Corporate Financing	(20,018)	(20,997)	(979)
Corporate Financing	(20,018)	(20,997)	(979)
Corporate & Commercial Services	307	423	116
Revenues & Benefits	3,069	3,106	37
Finance, Audit & Risk	773	766	(7)
HR & Organisational Development	780	761	(20)
Legal & Procurement	1,748	1,743	(5)
Corporate & Commercial Services	6,677	6,799	122
Community Services	271	438	167
Customers, IT & Digital	3,629	3,745	116
Strategy, Engagement & Culture	3,252	3,190	(62)
Housing & Community Safety	1,086	1,225	139
Community Services	8,238	8,598	360
Development & City Services	345	464	119
Environment Services	5,147	5,388	242
Planning & Regulatory Services	2,202	2,359	157
Property & Economic Development	(2,857)	(2,804)	53
Development & City Services	4,836	5,407	571
	0	74	74

A number of additional grants have been received in 21/22 as detailed in [Annex 2](#).

Council Tax: The Collection Fund includes all income generated from council tax and business rates that is due in the year from council taxpayers and ratepayers. Updated estimates will be provided in Q2 and the final

outturn will depend on how the economy and employment levels perform in the coming months. Any surplus or deficit on business rates will be distributed in subsequent years.

Figure 1.3

	Budget £000s	Forecast £000s	(Surplus) / deficit £000s
Total Council Tax Collection Fund Income	(75,777)	(75,777)	-
Norwich City Council Share	(10,277)	(10,277)	-

Business Rates: Despite substantial business rates reliefs, Covid-19 is expected to impact on the level of business rates collected as companies struggle with cash flow or cease trading. The forecasts have been updated to reflect the estimated changes in the taxbase, reliefs and collection rates. Updated estimates will be provided in Q2 and the final outturn will depend on how the economy and employment levels perform in the coming months. Any surplus or deficit on business rates will be distributed in subsequent years.

Figure 1.4

	Budget £000s	Forecast £000s	(Surplus) / deficit £000s
Norwich City Council Retained Income Share	(6,250)	(6,287)	(37)

HRA Revenue: The forecast revenue outturn for the Housing Revenue Account at Q1 shows a £0.364m overspend. Key variances are in relation to higher dwelling void rates than budgeted (£0.166m) and higher recharges from the general fund due to forecast overspends in some corporate services.

Figure 1.5

Housing Revenue Account	Budget (£000)	Forecast Outturn (£000)	Forecast Variance (£000)
General Management	14,120	14,250	130
Special Services	5,212	5,203	(8)
Repairs & Maintenance	13,844	13,871	26
Rents, Rates, & Other Property Costs	5,687	5,535	(153)
Provision for Bad Debts	721	721	0
Depreciation & Impairment	23,264	23,264	0
Adjustments & Financing items	5,433	5,433	0
Garage & Other Property Rents	(2,148)	(2,165)	(17)
Dwelling Rents	(57,985)	(57,819)	166
Service Charges - General	(7,813)	(7,624)	189
Interest Received	0	0	0
Miscellaneous Income	(82)	(50)	31
Amenities shared by whole community	(254)	(254)	0
Housing Revenue Account	(0)	364	364

The prudent minimum level of General Fund reserves has been assessed as £5.1m for 2021/22. The budgeted and forecast outturn's impact on the 31 March 2020 balance brought forward is shown in figure 1.6 and shows the General Fund balance is expected to continue to exceed the prudent minimum balance.

Figure 1.6 – general fund reserves

	£000s
Balance as at 1 April 2021	(9,980)
Forecast outturn as at 31 March 2022	74
Forecast balance as at 31 March 2022	(9,906)

The prudent minimum level of Housing Revenue Account reserves has been assessed as £5.844m. The budgeted and forecast outturn's impact on the 31 March 2021 balance brought forward is shown in figure 1.7 and shows the General Fund balance is expected to continue to exceed the prudent minimum balance.

Figure 1.7 – HRA reserves

Item	£000s
Balance as at 1 April 2021	(43,368)
Budgeted contribution from reserves 2021/22	10,640
Forecast outturn as at 31 March 2022	364
Forecast balance as at 31 March 2022	(32,364)

Capital Forecasts:

The forecast capital outturn for the General Fund at Q1 shows a £7.475m underspend. The budget figure takes into account carry forward amounts from 2020/21 budgets.

The forecast capital outturn for the HRA at Q1 shows a £6.022m underspend. The budget figure takes into account carry forward amounts from 2020/21 budgets.

Figure 1.8

Capital Programme	Budget (£000)	Actual to date (£000)	Forecast outturn (£000)	Forecast variance (£000)
General Fund	25,631	1,342	18,156	(7,475)
HRA	48,019	1,542	41,997	(6,022)
	73,649	2,884	60,153	(13,496)

A number of capital budget virements were approved during Q1, details of which can be found in [Annex 3](#).

1.1.3 Risk

- The corporate register has been updated to reflect feedback received from the action owners. No risks have been adjusted upward regarding their current risk score and no directorate risks have been highlighted for possible escalation.
- One new risk has been developed regarding the council's approach to waste and recycling and included in the Corporate Risk Register.
- Overall Corporate Risk Register is available in [Annex 4](#).

Summary of Corporate Risk Register:

	Current residual risk			Risk Direction
	Impact	Likelihood	Combined	
R1: Council Funding Short Term	4	2	8	↔
R2: Council Funding Medium-Long Term	5	3	15	↔
R3: Commercialisation	4	2	8	↔
R4: Health & safety in the workplace	4	2	8	↔
R5: Further Waves of Covid-19	5	4	20	↔
R6: Impact of Brexit	3	5	15	↔
R7: Business Continuity/Emergency Event	4	3	12	↔

	Current residual risk			Risk Direction
	Impact	Likelihood	Combined	
R8: Sustained increase in homelessness and temporary accommodation	3	3	9	↓
R9: Cyber Security & GDPR compliance	4	3	12	↔
R10: Joint Venture contracts	3	4	12	↔
R11: Failure to fulfil statutory or legislative responsibilities - safeguarding	5	3	15	↔
R12: Removed due to confidentiality				
R13: Occurrence of a significant event				Merged with R7
R14: Antisocial behaviour	4	4	16	↔
R15: Contract Management – Governance	4	3	12	↓
Risk 16: Waste & Recycling	4	3	12	New

Annex 1: Performance Data Slides



NORWICH
City Council

Quarterly Summary

**CORPORATE
PERFORMANCE**

Summary of Corporate KPI RAG performance in current quarter

Count of KPI performance RAG colour in current quarter by **Directorate**

Directorate	Red	Amber	Green	White
Development & City Services			3	2
Corporate & Commercial Services		2	1	1
Community Services	1	3	6	2
Total	3	7	9	2

Count of KPI performance RAG colour in current quarter by **corporate priority**

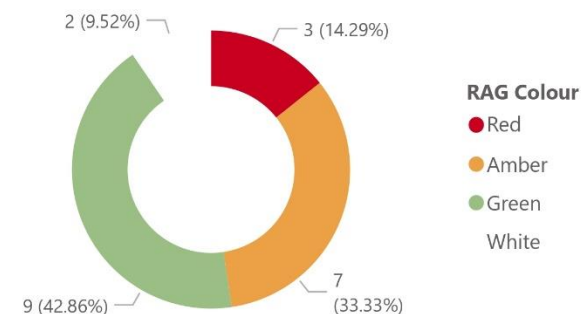
Corporate priority	Red	Amber	Green	White
People living well	1			5
Healthy organisation	1		3	3
Great neighbourhoods	1	4	1	
Total	3	7	9	2

RAG colour key

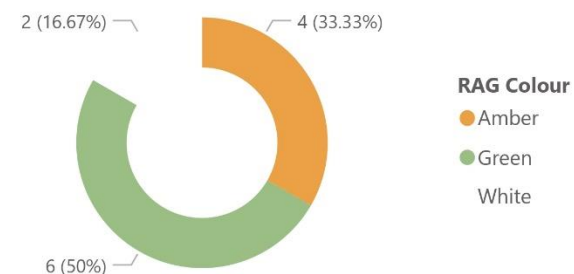
RAG Colour RAG Commentary

Red	Below target - intervention may be needed
Amber	Below target
Green	Equal to or exceeding target
White	Monitoring data - no target set

Count of KPI performance RAG colour in **current quarter**



Count of KPI performance RAG colour in **previous quarter**





KPI Performance

Indicator	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021
% of corporate complaints responded to within stated timescales					65.88
% of customer contact that takes place through digital channels	37.90	31.70	30.80	31.60	41.03
% of customer's responding as satisfied with service	82.40	79.70	76.50	74.90	81.20
% of FOI requests responded to within statutory timescales					64.61
% of households who asked for help who were prevented from homelessness	79.50	80.40	88.20	71.20	66.00
% of properties with a current valid gas safety certificate					99.84
% of rent collected (excluding arrears brought forward)					98.06
% people feeling safe	65.00	63.80	72.50	59.90	62.00
% reduction of CO2 emissions from Local Authority operations		2.50			
Average re-let time in days (standard re-lets only)					26.00
IT System availability expressed as a percent of time available during core hours	99.70	99.90	99.90	99.90	99.95
Number of households living in temporary accommodation					37.00
Total number of private sector insulation measures completed	25.00	40.00	44.00	35.00	83.00

Further KPI details for current quarter

KPI_Ref	Service	Indicator	Frequency	Target	Intervention	Polarity
CPI: 22	Environmental strategy	Total number of private sector insulation measures completed	Quarterly	50.00	45.00	High is good
CPI: 8	Housing	Number of households living in temporary accommodation	Quarterly	62.00	68.00	Low is good
CPI: 27	IT	IT System availability expressed as a percent of time available during core hours	Quarterly	99.00	90.00	High is good
CPI: 6	Housing	Average re-let time in days (standard re-lets only)	Quarterly	21.00	25.00	Low is good
CPI: 11	Early intervention & community safety	% people feeling safe	Quarterly	60.00	54.00	High is good
CPI: 5	Housing	% of rent collected (excluding arrears brought forward)	Quarterly	98.75	97.75	High is good
CPI: 7	Housing	% of properties with a current valid gas safety certificate	Quarterly	100.00	99.80	High is good
CPI: 9	Housing	% of households who asked for help who were prevented from homelessness	Quarterly	66.00	60.00	High is good
CPI: 25	Customer contact	% of FOI requests responded to within statutory timescales	Quarterly	0.00	0.00	High is good
CPI: 23	Customer contact	% of customer's responding as satisfied with service	Quarterly	76.00	69.30	High is good
CPI: 24	Customer contact	% of customer contact that takes place through digital channels	Quarterly	45.00	40.50	High is good
CPI: 26	Customer contact	% of corporate complaints responded to within stated timescales	Quarterly	0.00	0.00	High is good



KPI Performance

Indicator	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021
Average number of days taken to process new Housing Benefit claims from point of receipt to notification of entitlement					34.00
Business Rates Collection – the amount of in year business rates plus arrears from old years collected (target set according to budget requirement)					113.53
Council on track to remain within General Fund budget (£)	1,298,687.00	784,456.00	-1,302,790.00	-2,822,631.00	73,786.00
Council Tax Collection – the amount of in year council tax plus arrears from old years collected (target set according to budget requirement)					98.07

Further KPI details for current quarter

KPI_Ref	Service	Indicator	Frequency	Target	Intervention	Polarity
CPI: 1	Revenue and Benefits	Average number of days taken to process new Housing Benefit claims from point of receipt to notification of entitlement	Quarterly	21.00	23.10	Low is good
CPI: 3	Revenue and Benefits	Business Rates Collection – the amount of in year business rates plus arrears from old years collected (target set according to budget requirement)	Quarterly	100.00	99.00	High is good
CPI: 4	Finance	Council on track to remain within General Fund budget (£)	Quarterly	0.00	500,000.00	Low is good
CPI: 2	Revenue and Benefits	Council Tax Collection – the amount of in year council tax plus arrears from old years collected (target set according to budget requirement)	Quarterly	100.00	99.00	High is good



KPI Performance

Indicator	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021
% household waste sent for reuse, recycling, composting (reporting on previous quarter)	38.00	41.00	37.70	37.50	38.80
% of planning applications determined in time	93.00	91.00	91.00	92.00	85.00
% of planning decisions upheld after appeal (where council has won)	88.00	79.00	80.00	75.00	88.00
Number (of total) (%) of food premises rated 0,1 or 2 (non-broadly compliant), moving to a compliant rating of 3, 4 or 5 against the Food Hygiene Rating System following intervention by food safety officers	87.90	91.40	92.50	94.30	93.00
Number of affordable homes built, purchased or enabled by the council				21.00	
Number of private rented sector homes made safe			4.00		
Total amount of income paid by tenants occupying the council's investment property portfolio expressed as % of target income (reporting on previous quarter)					93.40

Further KPI details for current quarter

KPI_Ref	Service	Indicator	Frequency	Target	Intervention	Polarity
CPI: 10	Environmental services	% household waste sent for reuse, recycling, composting (reporting on previous quarter)	Quarterly	40.00	36.00	High is good
CPI: 15	Planning	% of planning applications determined in time	Quarterly	90.00	81.00	High is good
CPI: 14	Planning	% of planning decisions upheld after appeal (where council has won)	Quarterly	66.00	59.40	High is good
CPI: 12	Environmental health	Number (of total) (%) of food premises rated 0,1 or 2 (non-broadly compliant), moving to a compliant rating of 3, 4 or 5 against the Food Hygiene Rating System following intervention by food safety officers	Quarterly	80.00	72.00	High is good
CPI: 16	City Development	Total amount of income paid by tenants occupying the council's investment property portfolio expressed as % of target income (reporting on previous quarter)	Annual	95.00	85.50	High is good

All KPI details

CORPORATE PERFORMANCE

KPI Ref	Corporate_Priority	Directorate	Indicator	Frequency	Reports
CPI: 20	Inclusive economy	Development & City Services	Value of external funding leveraged to support council development and place-shaping priorities (£)	Annual	Q4
CPI: 22	People living well	Community Services	Total number of private sector insulation measures completed	Quarterly	
CPI: 16	Healthy organisation	Development & City Services	Total amount of income paid by tenants occupying the council's investment property portfolio expressed as % of target income (reporting on previous quarter)	Quarterly	
CPI: 13	Great neighbourhoods	Development & City Services	Number of private rented sector homes made safe	Annual	Q4
CPI: 19	Great neighbourhoods	Development & City Services	Number of new homes completed	Annual	Q2
CPI: 8	People living well	Community Services	Number of households living in temporary accommodation	Quarterly	
CPI: 18	Great neighbourhoods	Development & City Services	Number of affordable homes built, purchased or enabled by the council	Annual	Q4
CPI: 12	People living well	Development & City Services	Number (of total) (%) of food premises rated 0,1 or 2 (non-broadly compliant), moving to a compliant rating of 3, 4 or 5 against the Food Hygiene Rating System following intervention by food safety officers	Quarterly	
CPI: 27	Healthy organisation	Community Services	IT System availability expressed as a percent of time available during core hours	Quarterly	
CPI: 2	Healthy organisation	Corporate & Commercial Services	Council Tax Collection – the amount of in year council tax plus arrears from old years collected (target set according to budget requirement)	Quarterly	
CPI: 4	Healthy organisation	Corporate & Commercial Services	Council on track to remain within General Fund budget (£)	Quarterly	
CPI: 3	Healthy organisation	Corporate & Commercial Services	Business Rates Collection – the amount of in year business rates plus arrears from old years collected (target set according to budget requirement)	Quarterly	
CPI: 6	Great neighbourhoods	Community Services	Average re-let time in days (standard re-lets only)	Quarterly	
CPI: 1	People living well	Corporate & Commercial Services	Average number of days taken to process new Housing Benefit claims from point of receipt to notification of entitlement	Quarterly	
CPI: 17	Inclusive economy	Development & City Services	Area of underused council land brought into productive use (m2)	Annual	Q4
CPI: 21	Great neighbourhoods	Community Services	% reduction of CO2 emissions from Local Authority operations	Annual	Q2
CPI: 11	People living well	Community Services	% people feeling safe	Quarterly	
CPI: 5	Great neighbourhoods	Community Services	% of rent collected (excluding arrears brought forward)	Quarterly	
CPI: 7	Great neighbourhoods	Community Services	% of properties with a current valid gas safety certificate	Quarterly	
CPI: 14	Great neighbourhoods	Development & City Services	% of planning decisions upheld after appeal (where council has won)	Quarterly	
CPI: 15	Great neighbourhoods	Development & City Services	% of planning applications determined in time	Quarterly	
CPI: 9	People living well	Community Services	% of households who asked for help who were prevented from homelessness	Quarterly	
CPI: 25	Healthy organisation	Community Services	% of FOI requests responded to within statutory timescales	Quarterly	
CPI: 23	Healthy organisation	Community Services	% of customer's responding as satisfied with service	Quarterly	
CPI: 24	Healthy organisation	Community Services	% of customer contact that takes place through digital channels	Quarterly	
CPI: 26	Healthy organisation	Community Services	% of corporate complaints responded to within stated timescales	Quarterly	
CPI: 10	Great neighbourhoods	Development & City Services	% household waste sent for reuse, recycling, composting (reporting on previous quarter)	Quarterly	

Annex 2: Grants

Unbudgeted grants received in 21/22:

Grant	Type	Value (£000s)	Details
New Burdens funding for the business support grants.	Revenue	228	Funding to support the administration of Business Support Grants
Test & Trace Admin Costs	Revenue	58	Funding to support the administration of Track & Trace Payments
Elections	Revenue	44	Additional funding allocations to support Returning Officers in delivering the May 2021 local elections in a COVID-secure way.
Land release fund - MHCLG	Capital	150	Ministry of Housing, Communities and Local Government's Land Release Fund to bring forward housing development at Argyle Street

Additional grants received in 21/22 where the council has acted as the distributor of funding:


Grant	Type	Value (£000s)	Details
Test & Trace Support Discretionary Payments	Revenue	102	Test and Trace Discretionary Support payments


Annex 3: Q1 approved capital virements


Project	Approved 21/22 Budget (£000)	Virement (£000)	Revised budget (£000)
AH1000 City Hall Heating	330	36	366
AB1728 20 Hurricane Way Demolition Works	176	(36)	140
BEIS Green Homes Grant Award - Approved allocation			
General fund	0	566	566
HRA	0	150	150
		716	716


Capital Contingency Virement			
	Approved 21/22 Budget (£000)	Virement (£000)	Revised budget (£000)
AH0000 Capital Contingency	0	130	130
AB1728 20 Hurricane Way Demolition Works	130	(130)	0
Totals	130	0	130


Annex 4: Corporate Risk Register

Risk: 1. Council Funding Short Term (covid-19 related)			Owner: Executive director of corporate and commercial services				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'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 were that in 2020/21 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.• As at the end of 31/3/21 the Council was awarded £2.8m of emergency Covid-19 funding from government. (£0.95m for 2021/22)• Services have reviewed the capital programme and submitted opening briefs which were 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	2	8	
			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.			
Comments:											


Risk: 2. Council Funding Medium- Long Term			Owner: Executive director of corporate and commercial services				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 will be completed where required for all proposals approved in Feb 2021 budget.• 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• Refresh cabinet briefing on the MTFS.	Jun 20	5	2	10	Manage	5	3	15
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Cabinet approve the revised MTFS at Full Council		Executive director of corporate and commercial services CLT		Complete	Total short and long term savings included in the 2021/22 budget of £3.95m. Updates from service areas highlight 18% at risk (£0.71m) with the risk reserve set at £0.70m.		
			All budget proposals are monitored on a monthly basis		Executive director of corporate and commercial services		Monthly			
			MTFS refresh to be reported to cabinet				Oct 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: Executive director of corporate and commercial services				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.• Completed a thorough review of the Council's approach to housing commissioning and structure.• Independent assurance sought on NRL business plan for 21/22 prior to approval of business cases for development proposed in to.• Shareholder panel for NRL and NCSL created	Jun 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Following Cabinet approval, new and revised structures will be put in place.		Executive director of development and city services		Sept 21	New and revised structures – Recruitment of delivery director completed. Recruitment of rest of team ongoing.		
			Produce a new asset management strategy.		Executive director of development and city services		Aug 21	Production underway. Timetable has slipped due to be complete during the autumn.		
			Comments: The council stopped its programme of commercial property acquisitions in March 2020 following changes to the Public Works Loan board lending terms. Emerging guidance in this area will continue to be monitored.							


Risk: 4. Health & safety in the workplace			Owner: Executive director of development and city services				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 & resilienceCovid Risk AssessmentProvision of PPERisk assessments written for F2F meetings in City Hall	May 20	4	2	8	Manage	4	2	8		
			Risk Control Action									
			Action		Owner		Target Date	Update				
			City Hall Recovery Group formed		Exec Director of Communities		Ongoing	Monthly meetings taking place being chaired by Exec Director				
			IT roll out to support agile working		Infrastructure support manager		Completed					
			Accommodation assessment		Facilities Team Leader		Ongoing	Assessment of room/ desk occupancy and city hall capacity ongoing				
			Production of simplified service area risk assessments		HoP+RS and other HOS		TBC	Ongoing				
			Comments: <ul style="list-style-type: none">City Hall Covid Recovery Group formed to look at workplace issues to ensure compliance with government guidance. Now meeting monthly.Service area recovery plans completed, and summary report produced.14 Mental Health First Aiders have been trained to provide a first point of contact across the organisationRisk assessments written for face-to-face meetings in the council chamber and other meeting rooms									

Risk: 5. Further waves of Covid-19:			Owner: Chief Executive				Category: Customer		Risk Direction:		
Description/Triggers	Impact	Mitigation	Date Raised	Target Risk			Risk Strategy	Current Residual Risk			
				Consequence	Likelihood	Score		Consequence	Likelihood	Score	
<ul style="list-style-type: none">• Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services	<ul style="list-style-type: none">• Lack of government funding to support local businesses resulting in local business 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 and self isolation support payments• Ongoing work with the Norwich BID and Norfolk Chambers of Commerce• TCG and SCG have been stood down: Health Protection Board, attended by Chief Executive, providing oversight, with relevant NRF cells still operating• Local Coordinating Group re-established to oversee partnership response and internal Covid Facilities Group re-established for internal matters,• C-19 Support Officer provided in the city to give and advice and support to businesses and the public• Central Covid team established to provide coordinated oversight of marshalling, testing, vaccinations, contact tracing and self -isolation.• Continued funding of Financial Inclusion Consortium and bids to Community Renewal Fund as mitigation to economic and deprivation risks• Close management of COMF budgets and exploration of re-charging opportunities• Working with Local Outbreak Management plan colleagues to scenario plan and ensure response is fit for purpose	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.	Executive Director of Community Services	Ongoing	New posters, signage and toolkits sent to businesses based on new comms messaging and sector specific guidance changes. Further updates will be provided based on 19 July unlocking. Awaiting data from Public Health on lack of compliance for scheduling visits					
			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	Executive director of development and city services	Ongoing	Business as usual delivery					
			Implementation of lessons from scenario planning via Public Health	Executive Director of Community Services	Mid July	Moving SIA work to new Covid single team Escalation route for events to LCG Coordination of additional resource requirements in the event of surge Agreed response to tourism risk is in place via transport and housing options.					
			Working via Safety Advisory Group to ensure careful scrutiny of public realm events	Executive Director of Community Services	Ongoing	New guidance produced via NRF social distancing cell and escalation routes confirmed					
			Communications	Executive Director of Community Services	Ongoing	Communications NRF cell continues with targeted comms and outreach to vulnerable groups					
			Continue to deliver grants and wider support to businesses.	Executive director of corporate and commercial services	Ongoing						
			To work effectively with partners through effective networks to minimise spread of virus, provide clarity of local message and for us to provide	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					


			an effective local track and trace service			e.g. regular press conferences, continued review of data to identify hotspots and continued local contact tracing system. Development of a dedicated Covid response team (NR).
Comments:						

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/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 eventsNRF Brexit StrategyBusiness Continuity PlansBrexit Communications PlanNational guidance/ toolkitsStrategic Brexit Lead Officer	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 Worst Case Scenarios used to inform our activities. Update from 22/4 meeting: quiet in terms of immediate impact; supply chain issues seem to be calming down from a business perspective; deadlines ahead which may present challenges (30/6). Group agreed to stand down, can be reinstated quickly if there is a need to. Issues of concern can be escalated through MAFG. 5/7 – Meetings still on pause, no intel to cause concern at present. Not directly Brexit related, media article has highlighted concerns around food supply chain due to acute shortage of HGV drivers			
			Promotion of EU Settlement Scheme		Emergency Planning Manager		Jun 21	Working with comms and service areas to proactively promote the EU Settlement Scheme. Leaflet included in council tax bills; scripts and posters shared with service areas; leaflets and posters sent to businesses; text burst sent to residents. We will continue to promote. TC – 5/7: EU Settlement Scheme closed on 30 June. The scheme has introduced a criteria set for late applications if there are reasonable grounds for missing the deadline. Cllr Walters sent letter to government asking for the deadline to be extended.			
Comments: Impacts from NRF Brexit Strategy											


			<p>Trade deal between the UK and EU finalised late December 2020.</p> <p>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.</p>
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Risk: 7. Failure to respond to a critical, business continuity or emergency planning event			Owner: Chief Executive				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○ Denial of access to City Hall○ ICT failure○ Contractor collapse○ Supply chain failure○ Severe weather events○ Loss of power○ Sea level rise○ Fuel shortages○ Communications failure○ Pandemic• 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.• Insufficient staff representation across strategic, tactical and operational levels to ensure resilience, effective response and enable full engagement within NRF structures	<ul style="list-style-type: none">• Council/services unable to function.• Increase in demand on Council services• Vulnerable service users unable to access services• Reputational damage	<ul style="list-style-type: none">• Business continuity plans in place• 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 planning strategy in place and maintained• 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• Good contract governance• 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.• Links in-place to other stakeholder BCPs – e.g. Biffa and NCSL• Service areas to flag with contract managers risk of supplier collapse due to Covid or issues with supply change due to Brexit.• Completion of outstanding actions from previous EP and BC exercises	Apr 20	4	3	12	Manage	4	3	12	
			Risk Control Action								
			Action		Owner		Target Date	Update			
			Emergency planning arrangements reviewed and updated		Environmental Health & Protection Manager		Completed	Arrangements have been reviewed; new actions added below.			
			Business continuity plans reviewed annually, including other stakeholder BCPs where these link to council services		Emergency Planning Manager & Service Managers		Completed	Existing provisions have been reviewed; new actions added below.			
			Completion of audit review (20/2/18) actions		Executive director of development and city services		Completed	Actions completed as far as practicably possible. Outstanding queries absorbed into the action below.			
			Consider reinstating Business Continuity Steering Group for effective business continuity management to provide a mechanism for monitoring and implementing measures to enhance business resilience		Executive director of development and city services		End Dec 21	New Internal Governance Boards introduced as part of new management structure. Business continuity to be reported to Workforce Board once set up and asap with a review of all BIAs and BC Plans required Autumn of 2021.and thereafter adoption of Corporate Business Continuity Plan by December 2021.			
			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		Completed	May 2021 elections successfully completed. Election Contingency Plan updated 6 May 2021. Sewell election 17 June to be discussed.			
			Emergency Management Strategy		Executive Director of development and city services		Sep 21	Strategy reviewed and circulated for comment. To be presented Cabinet on 8/9			
			Senior managers trained to gold, silver and bronze response levels		Emergency Planning Manager		Sep 21	New council structure will require review of existing provisions			
			Comments: TC - 5/7/21: Strategic emergency management training for all of CLT and Heads of Service undertaken 21 June. Gold/Silver response rota introduced to ensure resilience and cover. Elected Members role in emergency planning training undertaken on 25 June. Additional Emergency Planning Duty Officers identified and training is being delivered to further improve resilience of front-line response staff. Complete review of all rest centres is planned to ensure they are still appropriate and fit for purpose. Service Area Business Impact								

		<ul style="list-style-type: none"> Emergency planning duty officer rota and procedures in place 	<p>Analysis and Continuity Plans will be reviewed in the Autumn of 2021 to enable the wholesale review of the Corporate Business Continuity Plan. The service transformation will consider the role of a second Emergency Planning Officer (potential for a career grade post) to ensure continuity of service provision for the future.</p> <ul style="list-style-type: none"> Ebola 2014 Surface Water Flooding events - 2014, 2015 and 2016 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 <p>This risk has been combined with the previous risk 13 “Occurrence of a significant event”. Risk 13 to be deleted.</p>
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Risk: 8. Sustained increase in homelessness and temporary accommodation			Owner: Executive director of community services				Category: Customer		Risk Direction:		
			Target Risk				Current Residual Risk				
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	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• 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 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	3	3	9	
			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 housing and community safety		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. Additional funds agreed for RSAP II which will add up to 20 more units with support. Pathways recommission on track			
			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 housing and community safety		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. Feed supported by Council recently launched 7 day and night food provision with skills development at the core			
			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.		Head of housing and community safety		On going	Government core homelessness funding and external funding have been used to increase capacity and resource.			
Comments:											


Risk: 9. Cyber Security & GDPR compliance			Owner: Executive director of community services				Category: Processes & Systems		Risk Direction:		
			Target Risk				Current Residual Risk				
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score	
<ul style="list-style-type: none">lack of staff awareness and training,An IT vulnerability allows a Cyber-attack on the corporate data networkFailure to address the IT recommendations of IT Health assessments in a timely fashion.Non-compliance with GDPR legislation	<ul style="list-style-type: none">Data breaches and fines from the Information Commissioners Office (ICO) Mishandling sensitive information. The ICO can apply fines of the higher maximum amount, is £17.5 million or 4% of the total annual worldwide turnover in the preceding financial year, whichever is higher.The Cyber-attack on the local authority in NE England is estimated to have cost £10m.Loss of IT systems (such as Web services, Email, Payments, Public Access, Corporate information etc) for several days, weeks or even months)IT systems don't meet service transformational expectations.Customer services disruptedFinancial impact of prolonged IT shutdownPolitical & reputational riskNon compliance with Payment Card Industry standards which results in financial fines.Non compliance with Public Sector Network which results in possible loss of DWP information affecting the Benefits' Service.	<ul style="list-style-type: none">Mandatory e-learning modules on systems security & GDPRCorporate Information Group – monitor data breaches GDPR related issues.Independent annual Cyber health assessments provides for a friendly warning of vulnerabilitiesFirewalls & Security ProductsInternal audit of cyber security	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		Oct 21	Chasing final returns, 5 outstanding, 2 with Community Services, 3 with Development and City Services.			
			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.			
			Review the need to insure against cybersecurity attacks.		Head of Customers, IT & Digital		Sep 21	Once our compliance work for PSN has been completed (target date Sep 21) we can assess whether we have independent assurance of our estate which will play a factor on the risks/mitigation. We can then pick up this review and liaise with Business relationship & procurement manager.			
			Refresh the Staff Awareness Programme		Head of Customers, IT & Digital		Sep 21	New identified action, an update to follow on next report.			
			Address the vulnerabilities identified from the IT Health Assessment		Head of Customers, IT & Digital		Sep 21	The Executive Summary has been presented to CLT on 16th June. An action plan is active and Critical and High vulnerabilities are being worked on to be removed for September 2021			
			Review of IT Process/Policy Documentation		Head of Customers, IT & Digital		Oct 21	Ongoing. CIAG re-established with the new SIRO. Review underway to determine which policies to redraft first.			
			Comments:								


Risk: 10. Joint Venture contracts			Owner: : Executive director of community services				Category: Customer		Risk Direction:	
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">Ending the joint venture contracts with Norse group for 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		Executive director of community services		Oct 21	Updates provided to audit for May 21 to completed actions. Outstanding actions to be completed Oct 21		
			Safe transfer of environmental services to Norwich City Services Limited by 1.4.21		Chief Executive		Completed			
			Safe transfer of property and building maintenance services to Norwich City Services Limited by 1.4.22		Chief Executive		Jun 21 - Apr 22	Interim specialist and experienced resources recruited to lead project. – May 21. Review of governance, resources, and budget requirements Phase 2 – June 21. Project Place Board – Phase 2 internal governance will meet monthly to monitor and support project delivery.		
			Comments:							

Risk: 11. Failure to fulfil statutory or legislative responsibilities - safeguarding.			Owner: Executive director of community services				Category: Customer		Risk Direction:	
Description/Triggers	Impact	Mitigation	Target Risk				Current Residual Risk			
			Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	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		Sep 21	Training audit to be completed by end of September. This will enable a targeted programme of safeguarding training.		
			Safeguarding policy and risk embedded into contractors' and sub contractors' policy and practice		Early Intervention & Community Safety Manager		Sep 21	This forms part of planned safeguarding training programme, awaiting delivery.		
			Maintain safeguarding champion knowledge, understanding, confidence		Early Intervention & Community Safety Manager		Sep 21	This action is ongoing, with safeguarding champions meeting every two months.		
			Embed learning across council teams		Early Intervention & Community Safety Manager		Sep 21	There is regular learning sessions for Neighbourhoods staff. Learning from Complex Case Strategy Meetings and Safeguarding Adult Reviews is shared at bi-monthly champions meetings for wider organisational dissemination.		
			Comments: Populated from 2019-20 section 11 self-assessment action plan							

Risk 12: This risk is confidential and not for the public domain.

Risk 13: Occurrence of a significant event – This has been merged with Risk 7.

Risk: 14 Antisocial behaviour			Owner: Executive director of community services				Category:		Risk Direction:		
			Target Risk				Current Risk				
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	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 residentMental well-of resident being impactedEscalation 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 processNew 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		Sep 21	There are still some significant gaps in capacity within the service. Review of next steps underway with proposal by end Sept 21.			
			New ASB team trained on and conversant with ASB risk assessment procedures		Early Intervention & Community Safety Manager		Sep 21	This is now complete and will be on-going. Temporary and new officers trained on corporate and national service standards. All staff subject to above update have been trained in: <ul style="list-style-type: none">Visiting officer Risk assessmentsAssessment of needs ASB case managed processes			
			Residents know how to report ASB to the council		Early Intervention & Community Safety Manager		Sep 21	Updates to ASB web pages completed. ASB Matrix completed to aid CCT staff when dealing with incoming ASB complaints.			
			Review of new ASB response arrangements to ensure effective		Early Intervention & Community Safety Manager		Sep 21	New process and standards agreed in addition to targets set to improve performance. Customer touch points increased 6 times in first six weeks. This includes a minimum of 1 in-person visit to the victim			
			Comments: CLT 24/2 agreed to add to corporate register As part of new structure ASB has moved to housing and community Safety Service within community services directorate. Full review of ASB service underway.								

Risk: 15. Contract Management – Governance			Owner: Executive director of corporate and commercial services				Category: Processes & Systems		Risk Direction:	
				Target Risk				Current Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Ownership of contract management strategy 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 plansPlatinum contract performance review (annual checklist)	Aug 20	3	3	9	Assess	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			<ul style="list-style-type: none">Develop Contract Management training/Source training delivery		Business Relationship & Procurement Manager		Complete	Training delivered to NCSL based on current guidance. Wider training needs to be reviewed – to be part of service review/strategy action plan development		
			<ul style="list-style-type: none">Deliver training<ul style="list-style-type: none">NCLS officersNCC officers		Business Relationship & Procurement Manager		Ongoing Sep 21			
			Refresh procurement guidance documents <ul style="list-style-type: none">Procurement StrategyContract ProceduresOther		Business Relationship & Procurement Manager		Complete Sep 21	Cabinet approved Procurement Strategy CPs & Other docs to be comprehensively reviewed as part of service review/strategy action plan development		
			Driving value through our supply chain' corporate service review to be instigated		Executive director of corporate and commercial services		Complete	Cross cutting working group established to deliver the approved review Review of key contracts and sharing of best practice		
				Ongoing						
Comments: Recent limited assurance audit opinions on both NNBL and waste services contract management. Priority resources have been assigned to review these contracts and improve the performance and outcomes achieved.										

Risk 16: The Council’s approach to waste and recycling becomes financially, environmentally and contractually unsustainable			Owner: Executive Director Development & City Services				Category:	Risk Direction:	New	
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">• The Council's Waste Management services operate in a highly regulated environment. This regime covers the type of collection services that must be provided to households and businesses, and how material can be processed. There are a number of policy and contractual challenges that the Council must address between now and 2024, including the review of the collection contract with Biffa, our recycling processing with NEWS, and our response to the proposals in the proposed Environment Bill	<ul style="list-style-type: none">• Risk to service delivery as a result of appropriate contracts not being in place• Service become financially unsustainable• Services provided do not comply with new regulatory regime• Council cannot deliver the objectives of the Environment Strategy as they relate to waste minimisation and recycling• Significant reputational impact on the Council	<ul style="list-style-type: none">• Comprehensive review of financial and contract strategies to identify and address potential barriers to new contracts being agreed with suppliers• Review and redesign of service to ensure that it meets current and future regulatory requirements• Staff development programme focussing on procurement, waste strategy and contract management to be designed and delivered	May 2021	2	2	4	Manage	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Contract strategy for Biffa to be developed and agreed by CLT		Head of Environment Services		Jul 21	HoES attended CLT in July and resources agreed to allow resources to be released to enable actions identified below to be delivered.		
			Contract strategy for NEWS to be developed and agreed by CLT		Head of Environment Services		Nov 21	Anticipated that report will be taken to Cabinet in Nov to agree way forward		
Waste Strategy to be reviewed to address financial, regulatory and climate challenges		Head of Environment Services		Feb 22						
Comments: Request from CLT in May 2021 for this risk to be added to register.										

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				

Risk direction key



Appendix A. Development and City Services

A.1 Performance

A.1.1 Summary of performance for this quarter

Development and City Services has ten KPIs, of which five are due to report this quarter. Of those five, two are ranked green and three amber. The directorate also has five annual KPIs—four are due to report in Q4 and one in Q2.

For additional information regarding performance, please refer to the slides in [Annex 1](#) above.

A.1.2 Successes and challenges

Successes:

- **Towns Fund** - The eight Towns Fund projects included with the Norwich Investment Plan have continued at pace in Q1 of 2021. After a busy start to the year meeting the requirements set out in the offer letter and establishing the delivery and monitoring plans, March saw the receipt of the fast-track funding for two projects with completed business cases – the Digitech Factory at City College and master planning in East Norwich. In June, the project team completed the first Delta and monitoring return for the two fast-tracked 20/21 spend projects. The Towns Deal board continues to add considerable value and played a role in shaping the bids that were made via the County Council on the community renewal fund in addition to shaping the Towns Deal business cases. Looking ahead to Q2, the projected milestones include completing the business cases for the remaining 6 projects and having those go live, as well as the September opening of the Digitech Factory at City College Norwich.
- **Housing Delivery Programme** – Good progress continued with the Council’s ambitious housing programme throughout the first quarter. In particular, contracts were awarded to allow progress towards a detailed application for a further phase of development on the Three Score site in Bowthorpe. These will result in the submission of a formal application for detailed permission to build around 76 homes in Q2. Assuming permission is granted, it is expected to make a start on site in Q3 with the Council’s wholly owned company NRL building the private sale element of the scheme. Additionally, progress is building on the plans to redevelop the former Council depot in Mile Cross. This is a large project that is not expected to start on site until 2022 but an important milestone was reached with the appointment of local architectural firm Fielden and Mawson to lead the design.
- **East Norwich** – Following the establishment of a public/private partnership to oversee the preparation of a masterplan for East Norwich and the appointment of a multi-disciplinary team of expert consultants led by Avison Young, consultation was able to start with the public and interested stakeholders on ideas for the exciting redevelopment. East Norwich is a part of Norwich with a fascinating history and legacy of building and really represents a massive opportunity to deliver exemplary redevelopment in a very central location. Further details on the masterplan process can be seen on its own dedicated website here: [East Norwich regeneration | Norwich City Council](#)

Challenges:

- **Staffing changes** – following the formation of the new directorate at the end of March, Q1 saw three new heads of service (including 2 who were new to the Council) and the Housing Delivery Director take up post in order to give the directorate the capacity at managerial level to deliver the change needed. All staff have made impressive starts though it will inevitably take some time for them to get to their staff and understand working practices in their services.
- **Homes in Multiple Occupation (HMOs)** – In June the licensing committee approved a new draft policy suggesting a shift from annual licensing to 5 yearly licensing for HMOs. The draft policy will be subject to consultation in Q2 but hopefully should allow for an improved service benefiting both landlords

and tenants, with reduced bureaucracy and greater resources available to ensure that decent standards are maintained in the stock. However, for the time being, considerable backlogs still remain in issuing licenses and undertaking inspections, so there is a pressing need to catch up in coming months.

- Birth of NCSL – Norwich City Services Ltd started work in April with many of the key environmental services commissioned by the Council (street cleansing, parks maintenance and tree works) now being delivered by the new wholly owned company. In addition to putting in place plans to deal with possible strike action (that was thankfully averted) staff from the City Council and the new company needed to form effective contract management arrangements. These arrangements are still bedding down, but it has been particularly impressive to see how the company has been able to be flexible to respond to changing pressures in the City Centre as footfall and waste generation have changed considerably as the covid restrictions were gradually relaxed throughout Q1.

A.1.3 Case study

Pandemic Support

The council's environmental health, public protection and licensing teams have continued to provide advice, guidance, and support during the rollout of the government roadmap to ease the country out of restrictions and lockdown.

They have ensured all key dates and measures of the unlocking roadmap have been highlighted both internally and externally, helping people to stay safe and act within the law.

Recovery work to allow council employees to come back into the office, either on a rota basis or full-time, has been instrumental in keeping our employees safe. This included carrying out risk assessments for City Hall, making sure capacity numbers of each office were established and working across services to identify individuals and teams that would benefit from an office based working environment.

Our new community response team have been making sure that community asymptomatic testing, as well as the vaccination clinics, has been available and advertised to a wide audience.

Out in the city, there have been a team of 38 Covid-19 Support Officers working day and night, offering reassurance and advice to local businesses and the public. Posters and guidance materials have also been created during this period to ensure these businesses can keep their staff and customers safe.

The council issued a mixture of temporary and long-term licences, to enable many of the city's pubs, restaurants, cafes, and bars to serve customers outdoors when non-essential businesses were able to re-open in April and before they could trade indoors.

Although it is always a last resort, enforcement of the Covid restrictions has also been carried out with a recent case appeal going through to Magistrates Court where it was determined that the committee decision to suspend the premises licence had been correct.

A.2 Finance

A.2.1 Development and City Services revenue budget

The forecast outturn for the directorate at period 3 shows a £0.571m overspend.

A.2.2 The key variances for the directorate:

Figure a.1: key variances

Development & City Services	Budget (£000)	Forecast Outturn (£000)	Forecast Variance (£000)
Development & City Services	345	464	119
Environment Services	5,147	5,388	242
Planning & Regulatory Services	2,202	2,359	157
Property & Economic Development	(2,857)	(2,804)	53
Development & City Services	4,836	5,407	571
Key variances:			
Budget pressures – overspends/loss of income			
Off street car parks - forecast reduction in income from season tickets, contract parking & fees compared to budget			184
Carrow House - revenue costs outside of the scope of Towns' Fund funding			93
Multi storey car parks - forecast reduction in income from season tickets compared to budget			79
Integrated waste management stretch target not expected to be achieved in 21/22 - work ongoing to determine saving potential - to be updated in future forecasts			68
Environmental services stretch target not expected to be achieved in 21/22 - work ongoing to determine saving potential - to be updated in future forecasts			53
Other minor variances			94
Total forecast variance			571

Further detail is attached in [Annex A1](#).

A.2.3 Savings tracker

The savings tracker summary for the directorate is shown below. It reveals a number of key challenges that are still being tackled in delivering the savings required. The main areas of challenges are highlighted in the table to the right, which are currently rated as either red or amber. This tends to be driven by the timing of when the saving can be introduced rather than whether the saving can be made or not. The services are working hard to introduce the savings and through doing this should be able to clarify the extent to which the savings will be able to delivered in year to inform future forecasting.

Figure a.2

	Total 2021/22 Budget Savings	Element of Saving at Risk	Additional savings above the budgeted figure	Key savings at risk:
Complete	(176,405)	-	0	£125,000 contract savings
Green	(593,851)	-	0	£55,000 cashless parking
Amber	(403,379)	167,122	0	£38,000 parking in parks
Red	(222,631)	210,631	0	£25,000 cemeteries income
	(1,396,266)	377,753	0	£52,000 NPS core fee
				£53,000 environmental services contractual savings

A.2.4 Development and City Services capital budget

The forecast capital outturn for the General Fund Development and City Services directorate at Q1 shows a £5.932m underspend.

The forecast capital outturn for the HRA Development and City Services directorate at Q1 shows a £2.384m underspend.

The budget figures include the carry forward amounts from 20/21 budgets.

Figure a.3

Capital Programme	Budget (£000)	Actual to date (£000)	Forecast outturn (£000)	Forecast variance (£000)
GF - Development & City Services	20,588	1,448	14,656	(5,932)
HRA - Development & City Services	16,838	(47)	14,454	(2,384)

A full breakdown by project is attached in [Annex A2](#) and [Annex A3](#).

A.3 Risk

The table below shows the corporate risk register items owned by the Director of Regeneration & City Services.

Risk	Current residual risk			Risk direction since last quarter
	Impact	Likelihood	Combined	
R4: Health & safety in the workplace	4	2	8	↔
Risk 16: Waste & Recycling	4	3	12	New

For more information about risk, please see the Corporate Risk Register in [Annex 4](#).

Annex A1: Development & City Services General Fund Revenue Budget

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
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Development & City Services

600040	Director of Regen & Development	0	3	0	0
610015	Development & City Services	345	91	464	119
		345	93	464	119

Environment Services

150000	Allotments	8	18	8	0
160000	Open Spaces	2,290	8	2,309	19
420150	Neighbourhood Operations	12	5	17	5
421010	Arboricultural services	193	26	138	(55)
421020	Mousehold Heath Conservators	205	17	204	(1)
421030	Highways Ground & Tree Maint	84	(1)	29	(54)
421040	Fringe Project	25	13	25	(0)
431020	Street Cleansing	1,592	(9)	1,592	0
431050	Environmental Services	(52)	2,194	0	52
431071	Environmental Services Team	791	102	771	(20)
431080	Integrated Waste Management	2,712	(577)	2,780	68
643020	Off Street Car Parks	(686)	61	(554)	132
643040	Multi-Storey Car Parks	(1,429)	132	(1,349)	80
643050	Multi-Storey Car Parks Staff	202	47	222	20
644010	On & Off Street Enforcement	(978)	223	(978)	0
644015	Bus Lane Enforcement	0	(26)	0	0
644020	Notice Processing	(38)	18	(46)	(8)
644030	Dispensations	0	(19)	0	0
644050	On Street Operations	(20)	51	(20)	0
644080	Permit Parking	0	(209)	0	0
644100	Housing Contract	0	(4)	0	0
644120	Earlham Park	(4)	0	0	4
645030	Public Area Lighting	241	3	241	0
		5,147	2,077	5,388	242

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
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Property & Economic Development

100000	Markets	(476)	(170)	(440)	36
110000	Livestock Markets – Group	3	(28)	3	0
120000	Conveniences	71	(6)	56	(15)
130000	Cemeteries	(50)	(105)	(47)	2
140000	Depots	4	2	6	2
180000	Buildings & Land	62	(89)	(13)	(74)
190000	Property Stewardship	179	(2)	180	1
210000	Economic Development	(51)	(26)	(51)	1
220000	Investment Properties	(4,216)	(1,793)	(4,267)	(51)
230000	Land Held for Future use	(0)	(0)	(0)	0
250000	Assets Used by Others	(36)	(12)	(8)	28
260000	Airport Industrial Estate	(24)	(253)	(0)	24
270000	Externally Granted Rights	18	4	18	0
280000	River Assets	12	0	12	0

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
290000	City Hall	1,016	202	1,018	2
290001	Pool Cars – City Hall	0	2	0	0
290003	Swanton Road	0	12	5	5
410010	Private Sector Housing	(27)	6	(17)	10
410070	Strategy & Development	4	37	4	0
510020	Airport Appropriation a/c	(257)	(361)	(256)	1
600070	Head of City Development	70	8	90	20
610010	Economic Development Unit	336	80	262	(74)
620046	East Norwich Programme Mngmnt	0	22	0	0
620070	Towns Fund	0	16	93	93
620080	City Growth & Development	13	(8)	46	33
630060	Concessionary Bus Scheme	34	8	34	0
630070	Highways/Landscp Imprv & Maint	(91)	0	(91)	0
640210	NPS Joint Venture	(8)	763	10	18
640215	Maintenance Recharges NP&Rs	565	0	565	0
640220	Norwich NORSE Joint Venture	(40)	247	(40)	0
641150	Strategic Property	5	4	9	4
641160	Valuation & Property Mgmnt	0	(2)	(2)	(2)
		(2,884)	(1,443)	(2,821)	63

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
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Planning & Regulatory Services

520070	Licensing	(42)	(19)	(30)	12
522040	Food, Health & Safety	666	112	658	(8)
522050	Environmental Protection	536	114	536	0
522060	Public Safety & Emergency Plan	39	22	39	0
522070	Emergency Events	0	138	0	0
600030	Greater Norwich Growth Board	44	0	44	0
620010	Planning Management Account	72	5	73	1
620015	Norfolk Strategic Framework	(8)	(116)	(8)	0
620030	Building Regulations NonCharge	91	6	91	0
620040	Planning Policy	446	48	446	0
620050	Conservation Dsgn & Landscape	194	91	195	2
620060	Development Management	190	12	331	141
		2,228	413	2,376	147
Directorate Totals		4,836	1,140	5,407	571

Annex A2: Development & City Services General Fund Capital Budget

HOS	GF Capital Expenditure Programme	Current Budget (£000)	Request ed carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
ENV	Eaton Park path replacement - AA1009	45	7	52	2	52	0	
ENV	Wensum Park Stone Wall - AA1079	20	0	20	0	20	0	Works ordered
ENV	Ketts Heights repairs /habitat - AA1112	109	0	109	2	109	0	
ENV	Earlham Cem railings replcmnt - AB1037	8	97	105	(15)	105	0	Carry-forward and 2021/22 budget reprofiled into future years as part of carry-forward report.
ENV	Waterloo Pk works to relet - AB1654	36	0	36	0	36	0	Lighting works ordered and lift works pending
ENV	CILN 20 Acre Wood - AB5200	0	3	3	0	9	6	
ENV	GNGB Football Pitch Imps - AB5202	40	0	40	0	40	0	
ENV	Park toilet refurb Wen Hei Eat - BC0000	200	0	200	0	200	0	
PRS	Hay Hill Public Realm TF - AA1019	700	0	700	2	250	(450)	Forecast outturn adjusted to match the re-profiled expenditure laid out in the business case approved by MHCLG.
PRS	Air Quality Monitoring Equip - AA2017	0	50	50	0	50	0	The replacement AQ Monitoring Equipment is currently going through the procurement process. This should be completed Sept 2021
PRS	CIL Contribution Strategic - AE5200	1,393	0	1,393	0	1,393	0	Latest CIL forecasts confirm full utilisation of budget in 21.22.
PRS	GNGB Marrt'sWy/HellsdnStnGrn - AN5202	111	34	145	0	115	(30)	Reduced spend due to delayed start and limited staff resources
PRS	Transforming Cities Fund Contr - AW0000	368	162	530	0	530	0	

HOS	GF Capital Expenditure Programme	Current Budget (£000)	Request ed carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
PRS	St Giles Public Realm TF - AZ0000	300	0	300	1	250	(50)	Forecast outturn adjusted to match the re-profiled expenditure laid out in the business case approved by MHCLG.
PED	Memorial Gardens Undercroft TF - AA1012	0	75	75	0	75	0	Planning application submitted and pending works to commence in year subject to planning
PED	Earlham Cemetery railings replacement - AA1037	0	0	0	0	0	0	
PED	Norwich Parks tennis expansion - AA1058	0	392	392	(3)	392	0	Carry forward of budget from 20/21. Works at Lakenham Rec/Heigham Park and Harford Park should be completed in 21/22.
PED	Earlham Park toilet replacement - AA1064	23	73	96	90	96	0	TF accelerated budget carry forward from 20/21.
PED	Sloughbottom Park Toilets TF - AA1076	(23)	75	52	0	75	23	TF accelerated budget carry forward from 20/21. Virement pending – variance will be zero.
PED	CILN Bowers Avenue Play Area - AA1133	0	25	25	50	19	(6)	
PED	River Wensum Pontoon replace - AA1210	12	0	12	0	12	0	Scheduled for 2021/22
PED	2a Old Meeting Hse elec/boiler - AA1224	12	0	12	0	12	0	Scheduled for 2021/22
PED	St John Maddrmt retaining wall - AA1255	0	70	70	0	70	0	
PED	Guildhall (N&N Festival) TF - AA1287	0	161	161	10	161	0	TF accelerated budget carry forward from 20/21.
PED	Ber Street 85-91 re-roofing - AA1364	41	0	41	0	41	0	Works ordered preparing program
PED	Townshnd House Digital Hub TF - AA1391	0	72	72	16	20	(52)	MEES project expenditure limited with remainder of work to be incorporated into TF funded renovations.
PED	Exchange St 38 shop refurb - AA1437	61	0	61	0	61	0	Contractors appointed works commencing shortly

HOS	GF Capital Expenditure Programme	Current Budget (£000)	Request ed carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
PED	4a Guildhall Hill remedy dilap - AA1465	86	0	86	0	86	0	May not take place - asset review pending
PED	Swanton Road Anti-Waste - AA1546	0	0	0	0	0	0	Project complete and funded in 20.21
PED	Rvrside Rd Yacht Stat rep Quay - AA1694	8	0	8	0	8	0	Works Ordered
PED	Hurricane Way 22 Solar PV - AA1730	28	0	28	0	63	35	Virement required - Salix grant for wider scheme
PED	OldMeetingHse rpl fire det sys - AA1791	0	11	11	0	11	0	
PED	Riverbank stabilisation - AA1911	0	0	0	0	0	0	Investigation works carried out and funded in 20/21
PED	Heigham Park Tennis Pavilion - AA2014	0	175	175	0	175	0	NPS out to tender in June 2021.
PED	Carrow House, King Street TF - AA2015	4,090	0	4,090	25	3,879	(211)	Being re-worked following tender - to be revised Q2
PED	West End Street PlayAR MUGA TF - AA2016	0	80	80	0	80	0	
PED	GNGB Castle Gardens - AA5202	0	50	50	0	50	0	
PED	Eaton Pk Changing Rm shwr repl - AB1009	0	0	0	(17)	0	0	Project completed and funded in 20.21
PED	Motor Cycle Park - AB1021	0	0	0	(6)	0	0	
PED	TF- Digital hub - AB1391	235	0	235	12	0	(235)	Current timing on site not until 22/23. Budget to be reprofiled into future years.
PED	Extension to Eismann Way Corby - AB1429	0	0	0	0	0	0	
PED	20 Hurricane Way demolition - AB1728	140	0	140	0	0	(140)	Demolition budget no longer required. £10K approved to be vired to St Andrew's suicide prevention budget and remainder £130K to be moved to Contingency. If budget is required to secure site, application to be made to contingency..
PED	St Andrews suicide prevention - AB1857	0	0	0	0	10	10	£10K budget approved to be vired from 20 Hurricane Way demolition budget.
PED	AFI Lawrence House Lift Refurb - AB2010	0	190	190	0	190	0	Works to take place January 2022.

HOS	GF Capital Expenditure Programme	Current Budget (£000)	Request ed carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
PED	Park Depots demolition - AD0000	0	0	0	(7)	0	0	Retention still to be paid but accrual raised 20/21.
PED	GNGB Riverside Wk Access Imps - AD5202	0	60	60	0	60	0	Looking to deliver wayfinding element this financial year. As project was on hold for a year, construction works need to be revisited due to change in stakeholders and corporate priorities.
PED	St Giles MSCP lighting upgrade - AE1856	0	15	15	0	15	0	Final costs to come in 21/22.
PED	CCAG2 Fifers/Ives/Heyford Rd - AE5204	0	0	0	(3)	0	0	Accrual raised for final costs.
PED	Riverside Fpath DLighting upgr - AF0000	0	0	0	0	0	0	Project completed and funded in 20/21.
PED	St Giles Suicide prev measures - AF1856	0	10	10	0	10	0	
PED	GNGB UEA Eaton boardwalk ext - AG5202	0	28	28	0	27	(1)	Works currently out to tender, subject to appointment of contractor and favourable weather conditions, project to reach practical completion 21/22. Carry forward of 2.5% contract retention to 22/23.
PED	City Hall heating system - AH1000	366	0	366	1	366	0	Works commencing July 2021
PED	GNGB Earlham Millenium Green - AI5202	0	10	10	4	10	0	C/fwd GNGB budget from 20.21.
PED	City Hall Kitchens & Toilets - AJ1000	0	35	35	0	35	0	NPSN to determine outstanding budget (after Norse have submitted their invoices for costs to date). Works in 2021-2022 will be in line with the budget remaining.
PED	CILN Netherwood Green - AK5200	0	17	17	0	17	0	C/fwd CILN budget from 20.21.
PED	Capital Grants Housing Asscns - AM0000	0	0	0	271	0	0	Order raised on incorrect cost centre. To be moved to 983000.
PED	GNGB Comm Accss Imp-20 Acre Wd - AM5202	6	57	63	0	57	(6)	
PED	CIL Yare-Wensum Green Infrastr - AO5200	0	3	3	2	3	0	Final GNGB CIL funded fees in 21/22.

HOS	GF Capital Expenditure Programme	Current Budget (£000)	Request ed carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
PED	Strong & Well Project - AR0000	0	0	0	0	0	0	
PED	Digitech Factory CCN TF - AX0000	500	1,000	1,500	1,000	1,500	0	-
PED	ACE Centre CCN TF - AY0000	3,100	0	3,100	0	3,100	0	
PED	Min Energy Effic Standard MEES - BD0000	40	0	40	0	40	0	
PED	City Walls repair programme - BE0000	40	0	40	0	40	0	
PED	Closed Churchyards repair prog - BF0000	10	0	10	0	10	0	
PED	TF Compul Purch order rev fund - BG0000	4,924	0	4,924	0	100	(4,824)	Only preliminary costs anticipated in 2021/22 with first acquisition in 2022/23.
PED	TF Programme - branding - BH0000	118	0	118	0	118	0	
PED	TF - Programme management - BI0000	47	0	47	3	47	0	
PED	S106 Castle Green Play Project - EV5201	0	65	65	2	65	(0)	Project finally set for delivery in 21/22. C/fwd of S.106 funded budget.
PED	S106 Bowthorpe Southern Park - EX5201	0	5	5	4	5	0	S.106 budget available to carry forward from 20/21.
PED	S106 Play Sector 3 & 4 Imps - EY5201	0	6	6	0	6	0	
PED	S106 Bowthorpe Clover HI Acs - FF5201	0	41	41	0	41	0	S.106 funded budget available to carry forward from 20/21.
PED	St Stephens Twrs Public Realm - FG5201	0	0	0	0	0	0	
PED	S106 Bunkers Hill - Entrance - FL5201	0	30	30	1	30	(0)	S.106 funded budget available to carry forward from 20/21.
PED	Tourism Support package - ZZ5021	0	212	212	0	212	0	Carry forward of Tourism Support Package funding from 20/21. Expenditure allocation based on BW expenditure analysis.
		17,193	3,395	20,588	1,448	14,656	(5,932)	

Annex A3: Development & City Services HRA Capital Budget

Project	Current Budget (£000)	Carry forward s (£000)	Current Budget with carry forward s (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
Demolition & Site Maintenance - AA5100	50	0	50	(0)	50	0	Q1 - plans to spend on getting feasibility work on sites done
Open Market Property Acquisitions - AE521X	0	0	0	0	0	0	
HRA New Housing 23 The Crofts - AA5211	0	5	5	0	5	0	
HRA New Housing 22 Globe Place - AA5212	0	1	1	0	1	0	
HRA New Housing 29 Boundary Rd - AA5213	0	2	2	0	2	0	
HRA New Housing 11 Hudson Way - AA5214	0	3	3	0	3	0	
HRA New Hsg 165 Spring Bank - AA5215	0	21	21	0	21	0	Q1 maintenance costs provided by NPSN
HRA New Hsg 68 Caddow Road - AA5216	0	0	0	0	11	11	Q1 Void works
HRA New Hsg 11 Braithwait Cl - AA5217	0	0	0	0	0	0	Q1 - void costs unknown awaiting confirmation from NPSN
HRA New Hsg 30/32 Old Palace Rd - AA5218	0	0	0	0	0	0	Q1 - Fees from NPSN for survey
HRA New Hsing 77 Barnesdale Rd - AA5219	0	3	3	0	3	0	
HRA New Housing 57 Peverell Rd - AA5220	0	21	21	0	21	0	
HRA New Hsg 73 West End St - AA5221	0	21	21	0	21	0	
HRA New Hsng 157 Armes Street - AA5222	0	0	0	5	5	5	
HRA New Housing 45 Clarkson Rd - AA5223	259	0	259	237	0	(259)	Purchase completed – forecast to be updated Q2
HRA New Hsg 334 Gertrude Road - AA5224	144	0	144	126	0	(144)	Purchase completed – forecast to be updated Q2
LANB-Goldsmith Street - AD5100	0	34	34	(216)	34	0	£34k for minor works remaining on site
HRA CP 20/21 Mile X Depot Site - AB1005	1,960	0	1,960	1	1,960	0	Q1 Forecast from delivery team - delay in appointing design team. Spend has been reprofiled into future years.
New Build Opportunities - AB5100	2,098	1,808	3,906	1	3,908	2	C/fwd of £1.81m for 6 acquisitions and Hethersett phase 1 - remaining budget required for further Hethersett land acquisition
LANB-Brazengate - AE5100	0	0	0	(15)	0	0	Accrual raised. Net expenditure £nil in 21/22.
Threescore phase 3 - AI5100	4,660	0	4,660	(48)	4,200	(460)	Q1 Forecast from delivery team - spend re-profiled in future years

Project	Current Budget (£000)	Carry forward s (£000)	Current Budget with carry forward s (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
LANB - Northumberland Street - AJ5100	689	0	689	0	0	(689)	Q1 - cabinet (July 2021) agreed to dispose of site to Places for People. Budget to be retained until sale completed
Capital Grants Housing Asscns - AM0000	2,000	0	2,000	(135)	1,976	(24)	Q1 - forecast based upon grants approved to date
LANB Argyle Street - AP5100	1,300	0	1,300	(23)	1,300	0	Q1 forecast from delivery team - project delayed due to link to Ber Street project. Spend has been reprofiled into future years.
LANB Kings Arms - AQ5100	932	0	932	17	932	0	
Ailwyn Hall redevelopment - AR5100	827	0	827	3	0	(827)	Scheme unlikely to progress further in this financial year
	14,918	1,920	16,838	(47)	14,454	(2,384)	

Appendix B. Community Services

B.1 Performance

B.1.1 Summary of performance for this quarter

Community Services has thirteen KPIs, twelve of which report quarterly and one annually. For the current quarter, six of the KPIs were ranked green, three amber, and one red. Two indicators¹ are being monitored to determine baseline before setting targets.

The KPI that most exceeded its target was CPI 22 around private insulation measures completed—83 measures were completed in Q1 with a target of 50.

For greater context around the customer contact channel shift taking place within Customer, IT & Digital, see the below case study and the commentary for CPI 24 within the dashboard.

For additional information regarding performance, please refer to the slides in [Annex 1](#) above.

B.1.2 Successes and challenges

Successes:

- The Customer experience and digital strategy has been agreed at cabinet, setting out our plans to modernise internal processes and improve the ways customers can interact with us online, while growing the digital support available in the community – further information is provided in the case study below.
- We have secured funding of £832,167 for this year, through RSI 4, to expand service provision in Norwich specifically for prevention and rough sleeping work. The Council led on and will also benefit from a Norfolk-wide ex-offender bid. An additional £330k of funding into Norfolk and Norwich will help and support people access accommodation in the private rented sector through working with landlords and supporting their needs.
- Supporting the reopening of the city's event programme including the Norfolk and Norwich Festival, Young Norfolk Arts Festival, Head Out Not Home, and a variety of small events such as Bubble Rush, funfair, Norwich BID's ecothon, and events at the Halls.

Challenges

- Managing resources and workloads for key projects relating to the new housing system and insourcing property and building services.
- There is currently a very competitive market for staff into temporary and permanent positions, particularly in the more junior grades. This has resulted in several recruitments not being fully successful, with knock on effects on workload for other staff or on customer experience outcomes. Recruitment, and access to materials, in the construction sector is a particular challenge at the moment.
- Covid 19 core team: The peaks and troughs of the case rate, combined with the significant additional support required by Public Health for asymptomatic testing and the NHS for the vaccine rollout since the Spring, has created challenges to our planning for the third wave and new variants. Through quarter one we needed to scenario plan and recruit to cover the expected increases in workload while also maintaining our service standards. We have been able to maintain a high contact rate on our enhanced contact tracing thanks to this forward planning - 96.1% in July, up from 95.9% in June, despite a rise from 342 calls in June to over 1500 in July. There has also been an upsurge in positive cases needing doorstep checks from 9 in June to 55 in July.

B.1.3 Case Study

Our first ever combined customer experience and digital strategy was agreed in principle by cabinet in June, demonstrating a collective understanding that the areas elements are intrinsically linked. The strategy seeks to

¹ CPI 25, ' % of FOI requests responded to within statutory timescales' and CPI 26, ' % of corporate complaints responded to within stated timescales'

modernise internal processes and improve the ways customers can interact with us online, while growing the digital support available in the community.

Elements of our digital-first approach can already be seen throughout the organisation: from the incredible laptop rollout to all staff which will support a more flexible workforce, to the start of a significant project to replace our main housing system and digitalise that service.

The launch of the strategy garnered media attention from BBC Radio Norfolk, who were interested to hear more about what it will mean for customers from Julia Medler, head of customer services and IT. This interview also gave Julia the chance to reassure residents that despite our digital first approach, which will make services easier to access for most, a face-to-face service still exists where it is needed.

Cabinet approved the strategy subject to final consultation, which came in the shape of a survey sent out to residents by text and available online. This has received over 100 responses which will be analysed by the customer contact team.

B.2 Finance

B.2.1 Community Services revenue budget

The forecast outturn for the directorate at Q1 shows a £0.360m overspend.

B.2.2 The key variances for the directorate:

Figure b.1: Key variances

Community Services	Budget (£000)	Forecast Outturn (£000)	Forecast Variance (£000)
Community Services	271	438	167
Customers, IT & Digital	3,629	3,745	116
Strategy, Engagement & Culture	3,252	3,190	(62)
Housing & Community Safety	1,086	1,225	139
Community Services	8,238	8,598	360
Key variances:			
Savings/increased income			
One-off grant from the land registry for digitalising land charges			(75)
Budget pressures – overspends/loss of income			
IT contract savings not expected to be achieved in 21/22			175
Vacancy factor savings not yet identified			116
Postage savings not expected to be achieved in 21/22			100
Other minor variances			44
Total forecast variance			360

Further detail is attached in [Annex B1](#).

B.2.3 2021/22 Savings tracker

The savings tracker summary for the directorate is shown below:

Key savings relating to postage costs and TIC costs are delayed as a result of timing of project delivery. IT contract savings are being reviewed in this quarter, and the position will be updated to clarify the extent to

which the savings will be able to delivered in year to inform future forecasting. The savings tracker summary for the directorate is shown below:

Figure b.2

	Total Budget Savings	Element of Saving at Risk	Additional savings above the budgeted figure	Key savings at risk: £70,000 postage costs reduction £100,000 IT contract reductions £25,000 additional TIC costs due to timing of implementation
Complete	(549,003)	-	-	
Green	(32,300)	-	-	
Amber	(460,084)	246,000	-	
Red	(30,000)	30,000	-	
	(1,071,387)	276,000	-	

The tracker should be reviewed and updated by budget managers regularly.

B.2.4 Housing Revenue Account revenue budget

The forecast outturn for the HRA at Q1 shows a £0.364m overspend. The key variances are shown in the table below:

Figure b.3 – HRA key variances

Housing Revenue Account	Budget (£000)	Forecast Outturn (£000)	Forecast Variance (£000)
General Management	14,120	14,250	130
Special Services	5,212	5,203	(8)
Repairs & Maintenance	13,844	13,871	26
Rents, Rates, & Other Property Costs	5,687	5,535	(153)
Provision for Bad Debts	721	721	0
Depreciation & Impairment	23,264	23,264	0
Adjustments & Financing items	5,433	5,433	0
Garage & Other Property Rents	(2,148)	(2,165)	(17)
Dwelling Rents	(57,985)	(57,819)	166
Service Charges - General	(7,813)	(7,624)	189
Interest Received	0	0	0
Miscellaneous Income	(82)	(50)	31
Amenities shared by whole community	(254)	(254)	0
Housing Revenue Account	(0)	364	364
Key variances:			
Budget pressures – overspends/loss of income			
Dwelling properties' void rate slightly higher than anticipated			166
Higher than budgeted recharge from the GF due to a forecast overspend in some corporately recharged services			142
Other minor variances			56
Total forecast variance			364

B.2.5 Capital budgets

The forecast capital outturn for the **General Fund** Community Services directorate at Q1 shows a **£1.673m underspend**. The budget figure takes into account carry forward amounts from 20/21 budgets.

The forecast capital outturn for the **HRA** Community Services directorate at Q1 shows a **£3.638m underspend**. The budget figure takes into account carry forward amounts from 20/21 budgets.

Figure b.4

Capital Programme	Budget (£000)	Actual to date (£000)	Forecast outturn (£000)	Forecast variance (£000)
GF - Community Services	4,250	(111)	2,578	(1,673)
HRA - Community Services	31,180	1,589	27,543	(3,638)

A full breakdown by project is attached in [Annex B2](#) and [Annex B3](#).

B.3 Risk

The table below shows the corporate risk register items owned by the Director of Community Services.

Risk	Current residual risk			Risk direction since last quarter
	Impact	Likelihood	Combined	
R8: Sustained increase in homelessness and temporary accommodation	3	3	9	↓
R9: Cyber Security & GDPR compliance	4	3	12	↔
R10: Joint Venture contracts	3	4	12	↔
R11: Failure to fulfil statutory or legislative responsibilities - safeguarding	5	3	15	↔
R12: Removed due to confidentiality				
R14: Antisocial behaviour	4	4	16	↔

Risk 8 regarding homelessness and temporary accommodation has reduced from 12 to 9.

For more information about risk, please see the Corporate Risk Register in [Annex 4](#) above.

Annex B1: Community Services revenue budget

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
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Community Services

310030	Head of Comms & Culture	0	32	32	32
314035	Community Services	271	92	382	111
420020	Director of Neighbourhoods	0	25	25	25
		271	148	438	167

Customers, IT & Digital

321020	IT Services	1,094	697	1,176	82
321025	IT Infrastructure	552	160	535	(18)
321026	IT Applications	575	147	566	(9)
321027	Norwich City Services Ltd IT	0	35	35	35
321030	Systems Support	286	121	292	6
321040	Service Improvement	264	117	266	2
520040	Land Searches	(129)	(46)	(110)	19
550010	Customer Contact Team	848	292	838	(11)
550040	Mail Handling Team	139	156	148	9
		3,629	1,680	3,745	116

Housing & Community Safety

170000	Community Centres	38	8	38	0
410030	Homelessness	782	(618)	689	(94)
410031	Rough Sleepers	0	23	23	23
410040	Private Sector Leasing Scheme	(33)	(21)	11	44
410045	Syrian Refugee Programme	(19)	10	(4)	15
410060	Housing Options	(62)	250	(35)	27
410130	Housing Improvement Agency Tm	(29)	87	77	107
410140	Housing partnerships	111	(28)	131	20
411020	Contributions to HRA	254	0	254	0
412020	Non-HRA Housing Properties	(19)	(8)	(22)	(2)
644060	Closed Circuit TV	64	11	63	(1)
		1,086	(287)	1,225	139

Strategy, Engagement & Culture

170101	Norman Centre, Bignold Road	179	29	187	7
190710	St Andrews & Blackfriars Halls	271	10	251	(20)
310020	Communications Team	355	119	371	17
310060	Social Policy/Arts Grants	301	176	301	0
312020	Sport & Leisure Development	181	25	190	9
312040	Riverside Swimming Centre	267	72	179	(88)
313010	Tourist Information	42	(209)	67	25
314030	Culture & Events	208	16	192	(17)
320100	Head of Transformation	113	50	121	8
321050	Policy & Performance	199	100	183	(16)
321070	Fit for the Future	145	53	162	17
420060	Commissioning	39	7	39	0
420070	Financial Inclusion	184	51	181	(2)
420140	Community Enabling	287	28	271	(16)
420141	Active Hours	0	9	9	9
420160	Early Intervention & Comm Safety	78	15	87	9
510035	Project Place	310	76	310	0
630010	Environmental Strategy	93	28	90	(3)
		3,252	656	3,190	(62)
Directorate Totals		8,238	2,197	8,598	360

Annex B2: Community Services general fund capital budget

HOS	Project	Current Budget (£000)	Requested carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
CID	IT Investment Fund - AA5206	75	13	88	0	88	0	Anticipated full use of budget in year
CID	IT Trans Digital platform Dev - AF5206	0	0	0	0	0	0	Expenditure on new laptops and peripherals completed and funded in 20/21.
H&CS	CCTV replacement - AA5205	0	0	0	(6)	0	0	
H&CS	DFG Residents Contribution - AQ0000	0	0	0	0	0	0	
H&CS	CCTV replacement - AA5205	0	0	0	(8)	0	0	Project complete. Retention payable but accrual raised.
H&CS	Disabled Facilities Grant - AA5207	1,440	0	1,440	(124)	1,100	(340)	Service confirmed for Q1 the forecast should be adjusted to £1.1M. This reflects the current rate at which grants are being confirmed and also anticipated that the HIA team resource will gradually be increased in 21.22 to meet the level of demand for both DFG and HRA adaptations. Ongoing covid related restrictions were also hampering the rate at which the grant funding is being released. The revised forecast also assumes that the RCCO allocation to HIA team overhead costs in 21.22 will not be utilised at year end.

HOS	Project	Current Budget (£000)	Requested carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
H&CS	HIA - Housing Assistance - AB5207	300	0	300	(33)	50	(250)	Service confirmed for Q1 the forecast should be adjusted to £1.1M. This reflected the current rate at which grants are being confirmed and also anticipated that the HIA team resource will gradually be increased in 21.22 to meet the level of demand for both DFG and HRA adaptations. Ongoing covid related restrictions were also hampering the rate at which the grant funding is being released.
H&CS	Empty Homes Grant - AK0000	0	69	69	0	35	(34)	Project to commence in 2021/22.
H&CS	DFG Residents Contribution - AQ0000	0	0	0	(11)	0	0	
SE&C	Customer centre redesign - AA1000	0	25	25	0	25	0	Final works to stone floor under former reception counter required but delayed by stonemason availability.
SE&C	Chapelfield Gardens Improve TF - AA1063	20	48	68	(2)	68	(0)	TF accelerated budget carry forward from 20/21. Contractors now on site.
SE&C	Norman Centre replace boilers - AA1182	165	0	165	0	25	(140)	Following outcome of the annual LGSR on the NC boilers NPSN have recommended that the only the remedial works highlighted by the annual report are undertaken. Estimated cost £25K.
SE&C	Community Centres - Upgrades - AA1184	60	0	60	0	60	0	Scheduled for 21/22
SE&C	Cadge Road re-roofing works - AA1197	39	0	39	0	39	0	Roof works ordered
SE&C	Rside Leisure repl plant/equip - AA1912	0	22	22	0	22	0	
SE&C	St Andrew's Hall refurbishment - AA1959	0	267	267	88	267	0	

HOS	Project	Current Budget (£000)	Requested carry forwards (£000)	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
SE&C	TF make space at the halls - AB1959	1,000	0	1,000	0	98	(902)	Project fund reprofiled due to delays. Remaining £902k to be carried forward to 22/23
SE&C	St Andrews replace elect dist - AC1959	17	0	17	0	0	(17)	To be carried over to 22/23 to form part of TF project
SE&C	St G's Kitch Elec upgrade - AD1959	6	0	6	0	0	(6)	To be carried over to 22/23 as per OB as part of wider TF project
SE&C	CILN Community Enabling - AD5200	0	4	4	0	4	(0)	
SE&C	CIL Crowdfunding match funding - AL5200	0	0	0	5	15	15	£15K allocation from CIL Neighbourhood 'pool' confirmed.
SE&C	CIL Neighbourhood West Earlham - AQ5200	0	0	0	(22)	0	0	Project complete. Costs accounted for in 20/21.
SE&C	BEIS Green Homes Grant - BA0000	566	0	566	1	566	0	
SE&C	CIL NeighbourhoodProjects18/19 - ZZ8039	0	116	116	0	116	0	
		3,686	564	4,250	(111)	2,578	(1,673)	

Annex B3: Community Services HRA capital budget

HOS	Project	Current Budget (£000)	Carry forwards	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
H&CS	Replacement Tenancy & Est Man - AG5206	0	220	220	29	220	(0)	Anticipate full usage of budget in year for system implementation
H&CS	Electrical - 5110	3,602	0	3,602	478	3,602	0	
H&CS	Whole House Improvements - 5120	1,332	0	1,332	(24)	682	(650)	Awaiting appointment of sub-contractor following review of arrangements
H&CS	Kitchens - 5121	1,558	0	1,558	276	1,558	0	High number of refusals. Impact of Covid in 2020 was low number of stock surveys, impact of this is less properties available to backfill refusals. To be monitored closely
H&CS	Bathrooms - 5122	2,254	0	2,254	353	2,254	0	
H&CS	Heating/Boilers Communal - 5130	3,664	1,400	5,064	87	5,064	0	
H&CS	Heating/Boilers Domestic - 5131	3,177	0	3,177	360	3,177	0	
H&CS	Thermal Comfort - 5140	26	0	26	0	0	(26)	
H&CS	Solar Therml/Photovoltaic - 5141	714	0	714	0	714	0	PV element awaiting September Cabinet approval.
H&CS	Windows - 5150	2,900	0	2,900	95	900	(2,000)	Awaiting outcome of review of programme.
H&CS	Doors - 5151	881	0	881	36	881	0	
H&CS	Door Access Controls - 5160	482	0	482	5	362	(120)	Engineers forecast only £362k to be spent on schemes programmed for 2020/21.
H&CS	Estate Aesthetics - 5161	769	0	769	5	519	(250)	Contract award Cabinet September 2021. Forecast based on works currently in pipeline.
H&CS	HRA Shops - 5163	205	0	205	0	205	0	

HOS	Project	Current Budget (£000)	Carry forwards	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
H&CS	Sheltered Hsg Comm Facs - 5171	135	0	135	0	135	0	
H&CS	Re-Roofing - 5180	963	0	963	(25)	963	0	Dependant on the completion of the contract award process
H&CS	Structural - 5181	3,791	0	3,791	47	3,791	0	
H&CS	Tower Block Regeneration - 5182	1,537	0	1,537	206	1,537	0	Subject to placing the PO and commencing work on Normandie Tower
H&CS	Lift Upgrades - 5183	154	0	154	0	154	0	Contract currently out to tender
H&CS	Disabled Adaptations - 5190	1,127	0	1,127	(307)	550	(577)	Delays to delivery of works to date with previous contractor; new contractors now operational and capacity increasing.
H&CS	Stairlifts - 5191	51	0	51	(32)	36	(15)	Based on invoices awaiting payment. All new stairlift installations to be carried out by NCC.
H&CS	Community Alarm - 5192	205	0	205	0	205	0	Based on schemes planned for 20/21
SE&C	Catton Grove CC replace EDB - AA1186	9	0	9	0	9	0	
SE&C	Comm centre assets HRA impact - BB0000	25	0	25	0	25	0	
		29,561	1,620	31,180	1,589	27,543	(3,638)	

Appendix C. Corporate & Commercial Services

C.1 Performance

C.1.1 Summary of performance for this quarter

Corporate and Commercial Services has four KPIs, all of which report quarterly. For the current quarter, the Business Rates KPI exceeded target, largely due to arrears that were delayed due to business being unable to pay on time during the pandemic (see CPI 3 commentary). The KPIs around number of days to process new housing benefit claims and council tax collection both missed target and are rated red. Commentary shows that this was also due to factors related to the pandemic. The KPI monitoring being on track to remain within General Fund budget reported amber.

For additional information regarding performance, please refer to the slides in [Annex 1](#) above.

C.1.2 Successes and challenges

Successes:

- To continue the theme shown throughout 2021/22, the revenues and benefits team have delivered beyond normal BAU activity delivering covid support grants to business and self-isolation payments to individuals.
- The finance team with support from all budget managers have successfully prepared and presented the 2021/22 statement of accounts to audit committee in accordance with the statutory deadlines.
- The elections team with cross cutting support from all services delivered 3 elections in one day under covid social distancing conditions as well as running the Sewell ward election for the City and County in June.
- Appointing the last vacant Head of Service role for the directorate, giving us the platform required to deliver out ambitious agenda of improvement.

Challenges:

- The HR team have seen capacity and system challenges, impact on service delivery. Positive actions are in progress though with roles out to advert, interim processes being developed until a new HR system can be implemented.
- Recruitment to both permanent and interim roles has been challenging with vacancies being in place longer than anticipated. Recruitment and retention in Procurement has been a particular issue but with the successful appointment to the Head of Service responsible for this area, a review of the structure will be completed in line with the second phase of reviews all Heads of Service are completing.
- The decision pathway is still not being achieved for reports, which is putting a lot of pressure on both Democratic Services in publishing the reports but all the enabling services in ensuring their professional advice is considered at the earliest opportunity. The business partnering model is continuing to evolve, but trackers are now in place based on the forward plan, naming leads for each of the CCS professions so we can ensure involvement at the correct phase. This is considered an interim measure until business partners are fully engaged as part of the service plan delivery across all areas.
- Benefit processing times have been affected by the Covid work and the first quarter's performance is presenting the cumulative affect of the last year. The team are proactively redirecting resources and in August seen a reduction to processing new claims to 17.58 days in one particular week.

C.1.3 Case Study

We've continued our work supporting businesses through administering government covid-support grants. Key to meeting the specific needs of our business community have been the Additional Restrictions Grants (ARGs). These are discretionary, which means councils are given the scope to design schemes that specially meet the

needs of their city. Feedback from business and insight from partners such as BID and New Anglia LEP has been essential in ensuring our schemes help those who need it most, or who may have missed out on past grants.

A recent example of an ARG is our Hospitality Adaptation Grant. This provided businesses with money to adapt and enhance their outdoor trading space so they could reopen safely.

The Connaught Kitchen was one of 84 Norwich businesses to benefit from this grant.

“Customers have benefitted massively from being able to sit under the parasols in the rain or shine and we get comments all the time about how great the space is. We would have never been able to afford this without the grant and getting the extra seating outside is paramount to a small business like ours. We couldn’t be more grateful.” Connaught Kitchen, Connaught Road.

Overall, £386,710 was spent by Norwich businesses on adapting their outdoor space via the Hospitality Adaptation Scheme.

Our prudent and measured approach to administering the grants from the beginning has meant we have been able to continue to provide support to businesses as restrictions have continued and changed, impacting different sectors at different times – and respond and adapt our grants criteria accordingly.

C.2 Finance

C.2.1 Corporate & Commercial Services revenue budget

The forecast outturn for the whole directorate at Q1 shows a £0.857m underspend. The Corporate & Commercial Services element of the directorate shows a forecast £0.122m overspend and the Corporate Financing element shows a forecast £0.979m underspend.

Housing benefit is a key area of the directorate. A detailed review of the housing benefit position is shown in [Annex C1](#).

C.2.2 Key variances

The key variances for the directorate:

Figure c.1: Corporate & Commercial Services key variances

Corporate & Commercial Services	Budget	Forecast	Forecast
Corporate & Commercial Services	307	423	116
Revenues & Benefits	3,069	3,106	37
Finance, Audit & Risk	773	766	(7)
HR & Organisational Development	780	761	(20)
Legal & Procurement	1,748	1,743	(5)
Corporate & Commercial Services	6,677	6,799	122
Key variances:			
Savings/increased income			
Additional new burdens grant funding in relation to distribution of business support grants			(229)
Budget pressures – overspends/loss of income			
Net housing benefit forecast position mainly due to lower than anticipated housing benefit subsidy recovery rates - slightly offset by increase in identified overpayments			252
Vacancy factor savings not yet achieved			53
Other minor variances			45
Total forecast variance			122

Further detail is attached in [Annex C2](#).

C.2.3 Corporate Financing revenue budget

The forecast outturn for the directorate at period 3 shows a £0.699m underspend. The key variances are shown in the table below:

Figure c.2: Corporate financing key variances

Corporate Financing	Budget (£000)	Forecast Outturn (£000)	Forecast Variance (£000)
Corporate Financing	(20,018)	(20,997)	(979)
Key variances:			
Savings/increased income			
Lower than budgeted borrowing costs based reprofiling of expected borrowing during the year.			(490)
Reduction in revenue contribution to capital based on current requirements			(280)
Government grants – higher estimated recoverable amount based on sales, fees and charges performance in quarter 1.			(200)
Other minor variances			(9)
Budget pressures – overspends/loss of income			
Total forecast variance			(979)

Further detail is attached in [Annex C2](#).

C.2.4 Savings tracker

The savings tracker summary for the directorate is shown below:

Figure c.3

	Total Budget Savings	Element of Saving at Risk	Additional savings above the budgeted figure	Key savings at risk: £41,000 Revs and Bens Stretch target
Complete	(115,893)	-	(7,400)	
Green	(1,258,000)	-	(490,000)	
Amber	(91,000)	68,000	-	
Red	0	-	-	
	(1,464,893)	68,000	(497,400)	

C.2.5 Corporate & Commercial Services capital budget

The forecast capital outturn for the directorate at Q1 shows a £0.130m overspend.

The budget figure takes into account carry forward amounts from 20/21 budgets.

Figure c.4:

Capital Programme	Budget (£000)	Actual to date (£000)	Forecast outturn (£000)	Forecast variance (£000)
GF - Corporate and Commercial Services	792	5	922	130

The £130K showing as an overspend on the capital contingency budget is awaiting a virement approval from the unrequired 20 Hurricane Way demolition budget.

A full breakdown by project is attached in [Annex C3](#).

C.3 Risk

The table below shows the corporate risk register items owned by the Director of Corporate and Commercial Services.

Risk	Current residual risk			Risk direction since last quarter
	Impact	Likelihood	Combined	
R1: Council Funding Short Term	4	2	8	↔
R2: Council Funding Medium-Long Term	5	3	15	↔
R3: Commercialisation	4	2	8	↔
R15: Contract Management – Governance	4	3	12	↓

For more information about risk, please see the Corporate Risk Register in [Annex 4](#) above.

Annex C1: Housing Benefit Subsidy Briefing Note

- Highlight key pressures on the Housing Benefit financial position
- Set out identified actions to review the forecasts and improve information sharing between the benefits, housing options, private sector leasing and finance teams.

Initial Estimate

The table below shows the estimated subsidy recovery levels for 2021/22 as prepared by the benefits team in February 2021.

Expenditure & Recovered Subsidy	Expenditure	Subsidy	Net Cost	Recovered
Rent Rebate: Non HRA	2,559,091	1,763,319	795,772	68.90%
Rent Rebate: HRA	21,204,236	21,005,474	198,762	99.06%
Rent Allowance & modified schemes	19,500,344	18,718,111	782,233	95.99%
Total initial estimate 2021/22	43,263,671	41,486,904	1,776,767	95.89%

The overall recovery of housing benefit expenditure was estimated at 95.89%, but within the headline figure there are two key areas where recovery levels are significantly lower.

1) Rent Rebate: Non HRA

The area with the worst recovery rate is in the non-HRA subsidy where the council is the landlord; despite the benefits expenditure being the lowest £2.6m, there is a net cost in subsidy terms of £0.8m. This section of the claims covers:

- Board & Lodging or Non self-contained Licensed Accommodation where the Local Authority is the landlord **(housing options team)**
- Short Term Leased or self-contained Licensed Accommodation where the Local Authority is the landlord **(mainly private sector leasing team but housing options tenancies too, where they place people in self-contained leased rooms)**

The history to the low subsidy recovery level on this benefits area is complicated. The position worsened in 17/18 when the subsidy rules changed and a previously allowed management cost of £60 was excluded from the subsidy calculation. Part of implementing the change included bringing in the Flexible Homelessness Support Grant. For 2020/21 the grant totalled £237,684 of which £146,194 (our original allocation) has historically been taken as a contribution to the base budget. For 2021/22 the Flexible Homeless Support Grant has been combined with the Homelessness Reduction Act New Burdens to form the Homelessness Prevention Grant.

The position has been exacerbated by the fact that the LHA rates used have not been updated in about 10 years and therefore annual uplifts in PSL rents add further pressure each year.

Whilst the government aim in this area may be to encourage local authorities to get the best accommodation rates possible, it is currently creating a clear housing benefit pressure. This expenditure and its ratio to other types of Housing Benefit expenditure is increasing and will be closely monitored in 2021/22. Going forward, finance, benefits and housing will work together to understand what the Housing Benefit projections are showing, as well as the use of these types of accommodation and how they affect projected subsidy return rate and Housing Benefit budgets.

2) Rent Allowance – Old Scheme

The rent allowance (private rentals) subsidy recovery rate is higher at 95.99%, however there are specific areas within the claim that account for the majority of the unrecovered expenditure: the 'Old Scheme' and overpayments.

The Old Scheme rules apply to individuals living in exempt accommodation. Exempt accommodation is accommodation provided by a non-met county council, a housing association, registered charity or voluntary organisation if that landlord, or someone acting for the landlord, also provides the claimant with care support or supervision. The schemes run by St Martins fall within the scope of exempt expenditure give the support provided to the individuals. Where the eligible rent used in the HB calculation exceeds the rent officer's determination, nil or 60% subsidy will apply to the HB attributable to the excess. This results in much lower overall subsidy recovery rate due to cases where the rent costs are in excess of the rent officer's determination.

Current Estimates

The June data (see Table 1) suggests a slight decrease in recovery data. Taking a pro-rata approach shows a £492k budget pressure. Taking into account the recent trends as the financial year progresses, these forecasts have been adjusted, showing a £293k forecast overspend. The net forecast relating to movement in bad debt shows a forecast £41k reduction. The net current forecast is, therefore, £252k overspend. A further risk of £200k should be noted at this stage.

Going forward, finance, benefits and housing will work together to understand what the Housing Benefit projections are showing, as well as the use of these types of accommodation and how they affect projected subsidy return rate and Housing Benefit budgets.

MTFS Pressure

The MTFS currently builds in £200k of overall budget growth on HB each year going forwards. The two key areas to keep under review are overpayment levels and subsidy recovery levels. Both are likely to drop in the future due to the transfer of people across to UC (they tend to be in the categories attracting a high subsidy recovery level). Level of overpayments in the short term may be impacted by the voluntary HB initiative to review cases. Estimates of the future impact will need to be refined as we update the MTFS going forwards.

The June data suggests a slight decrease in recovery data, so benefits, finance and housing will work collaboratively to update 2021/22 forecasts to more accurately reflect likely pressures.

June Data

	2021-22 Budget	Initial Estimate	Period 3 Position
HB Private Sector Rent Allowances			
3250 - Rent Allowances New System	22,130,108	19,500,344	21,900,330
3250 - Discretionary Housing Payments*	469,892	469,892	469,892
1070 - Overpayments Identified	(354,000)	(382,101)	(584,406)
1410 - Rent Allowance Subsidy Certif	(21,822,560)	(18,718,111)	(20,628,988)
1411 - Discretionary Housing Payments*	(469,892)	(469,892)	(469,892)
1020 – Write offs (pro-rata)	0	0	25,060
HB Public Sector Rent Rebates			
3250 - Rent Allowances New System	25,969,892	23,763,327	25,056,146
1070 - Overpayments Identified	(446,000)	(369,254)	(396,393)
1020 – Write offs (pro-rata)	0	0	32,414
1410 - Rent Allowance Subsidy Certif	(24,622,800)	(22,768,793)	(24,057,176)
Net Position	854,640	976,767	1,346,987
Budget pressure		170,772	492,347
Total expenditure	48,100,000	43,263,671	46,956,476
Total subsidy	(46,445,360)	(41,486,904)	(44,686,164)
Recovery Rate	96.56%	95.89%	95.17%

Expenditure & Recovered Subsidy	Expenditure	Subsidy	Net Cost	Recovered
Rent Rebate: Non HRA	2,463,449	1,702,004	761,445	69.09%
Rent Rebate: HRA	22,592,697	22,355,172	237,525	98.95%
Rent Allowance & modified schemes	21,900,330	20,628,988	1,271,342	94.19%
Total June position 2021/22	46,956,476	44,686,164	2,270,312	95.17%

Annex C2: Corporate & Commercial Services and Corporate Financing revenue budget

CC	CC Description	Budget (£000)	Actual to Date (£000)	Forecast out-turn (£000)	Forecast variance (£000)
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Corporate Financing

510030	Corporate Management	(1,506)	72	(1,492)	15
511010	Debt Management Expenses	0	34	18	18
511020	Financial Arrangements	(352)	(495)	(815)	(463)
511030	MIRS (SMGFB) Reversing Items	48	0	(232)	(280)
511060	MIRS (SMGFB) Non-Reversing	(16,468)	0	(16,468)	0
511080	CT + NNDR Pool Income	154	(11,531)	154	0
511090	Corporate Financing	(2,257)	(161)	(2,525)	(268)
511100	General Fund Contingency	363	0	363	0
Corporate Financing Total		(20,018)	(12,080)	(20,997)	(979)

Corporate & Commercial Services

512020	Corporate & Commercial Services	307	36	423	116
		307	36	423	116

Finance, Audit & Risk

510050	Professional Finance	444	248	463	19
511070	Business Grants Covid 19	0	(224)	0	0
514010	Internal Audit	126	22	98	(29)
514015	External Audit	81	(160)	83	2
515030	Operational Finance	121	32	123	1
		773	(82)	766	(7)

HR & Organisational Development

530010	Personnel Corporate Costs	126	5,616	125	(1)
530020	Personnel Services	585	106	564	(20)
530050	Learning & Development	70	22	71	2
		780	5,744	761	(20)

Legal & Procurement

315010	Civic Expenses	140	6	126	(13)
512010	Insurance	261	370	261	0
520010	Members Expenses	476	112	476	1
520015	Electoral Registration	93	6	93	0
520020	Committee Secretariat	266	54	270	4
520030	Council Elections	215	33	229	15
521010	Legal Services	0	(84)	(16)	(16)
540010	Procurement Team	148	230	148	0
550080	Corporate Business Services	149	49	154	6
		1,748	776	1,743	(5)

Revenues & Benefits

515010	NNDR Admin	(147)	(281)	(375)	(228)
515020	Council Tax Admin	1,419	228	1,376	(43)
516010	HB Private Sector Rent Allwns	(46)	1,780	350	396
516020	HB Public Sector Rent Rebates	901	2,053	757	(144)
516040	Benefits Admin (HB + CTB)	942	170	998	56
		3,069	3,950	3,106	37
Corporate & Commercial Services Total		6,677	10,423	6,799	122

Annex C3: Corporate & Commercial Services capital budget

Project	Current Budget (£000)	Requested Carry forwards	Current Budget with carry forwards (£000)	Actual at Q1 (£000)	Forecast Outturn (£000)	Forecast Variance (£000)	Comments
Equity Investment - AA1916	0	0	0	0	0	0	
NCS Ltd establishment costs - AA2013	674	0	674	5	674	0	
Finance System - AB5206	0	51	51	(0)	51	0	Anticipated full usage in year to complete implementation
HR System - AC5206	0	7	7	0	7	0	Anticipated full usage in year to complete implementation
Capital contingency - AH0000	0	60	60	0	190	130	Additional £130K to be vired from 20 Hurricane Way demolition budget (no longer required).
	674	118	792	5	922	130	

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